

# **HUSSE 11**

Proceedings of the 11<sup>th</sup> Conference  
of the Hungarian Society  
for the Study of English



HUSSE  
HUNGARIAN SOCIETY FOR THE STUDY OF ENGLISH / MAGYAR ANGLISZTIKAI TÁRSASÁG

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EDITED BY

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## Foreword

This volume contains 58 papers, originally presented at the 11<sup>th</sup> *Conference of the Hungarian Society for the Study of English*, which was hosted by Eötvös Loránd University, Budapest, in January 2013. Other contributions have been published in various other venues—a large number of them in *Filológiai Közlöny* (2013/4), devoted to the upcoming Hungarian History of English Literature project. Our collection offers a broader survey of papers produced by scholars from eighteen different higher education institutions in Hungary and abroad, representing cutting-edge work in various disciplines from Literary and Cultural Studies to History, Cultural Linguistics, Linguistics, and Language Pedagogy.

The volume opens with a provocatively subjective take on the most recent re-configurations of our broader subject—“English”—focusing on the shifting place of “culture” among disciplines in flux. As if to prove Andrew Rouse’s diagnosis, the editors of the present volume were often reminded of Borges’s famous Chinese encyclopaedia, which classifies animals as “(a) belonging to the Emperor, (b) embalmed, (c) tame”—and this is just the beginning of it. Nevertheless, our taxonomy was devised to reflect the richness and diversity of work done in this Protean field. The sections on literature and culture are organised around concepts of genre (as in “Poetry”), literary period (“The Renaissance and Beyond”), theme (“Memory Traces”) and geography (“American Studies”), at times even combining a few of these (as in the different sub-chapters on “Fiction”). Nevertheless, there are numerous questions and concepts linking papers otherwise very different in their topics and scholarly angles. Such concepts include translation between languages and cultures, cognitive mappings, intermediality, the new media, and (especially in literary papers) questions of cultural memory, space and place, the body, and visual culture. Needless to say, readers are invited to range freely across the divisions and to make their own connections.

A collection on this scale could not have been produced without the professional help of many people. We would like to thank our academic readers from the School of English and American Studies: Enikő Bollobás, Katalin Halácsy, Éva Illés, Péter A. Lázár, Miklós Lojkó, and those who wish to keep their names undisclosed. Without

their expertise this volume could not have been what it is: a collection representing the most recent developments in scholarship from across the field. Warm thanks are due to PhD student Hajnalka Lukács, who helped us through many a setback during the initial stages of the editing process. We are grateful to Dániel Levente Pál from Eötvös Kiadó, and to Péter Váradi from L'Harmattan Publishing House, who helped to make this collection available for readers both electronically and in print. Above all, we would like to thank our contributors for their patience and professionalism.

Budapest, 25 November 2014

Veronika Ruttkay and Bálint Gárdos

Eötvös Loránd University  
Budapest

# Changing (the) Subject?



**The Problem with Culture:  
The uncomfortable bedfellow of the traditional  
English foreign language department**

ANDREW C. ROUSE

The present paper is the result of two presentations at conferences, the former to commemorate the thirty-fifth anniversary of English studies at Juraj Strossmayer University, Osijek (October, 2012), and the latter the 2013 HUSSE conference at ELTE University, Budapest, traditionally held at the end of January. Its original construction is somewhat more anecdotal than is usual in an academic conference, the reason partly being that the author is on the verge of celebrating his own thirty-fifth anniversary as a lecturer of English in Hungary, first, between 1979–1982, as a guest native speaking lecturer (*anyanyelvi lektor*), on a twice-extended one-year contract with the Hungarian ministry of education to teach one semester each at the colleges of education in Eger and Pécs, and since 1982 at the newly-formed university in Pécs. It is perhaps telling that one of the opening keynote presentations at the HUSSE 2013 conference was on a cultural theme—food. It should, however, be noted that already at the 2005 EASA (European Association for Studies of Australia) Conference held in Debrecen there were papers delivered on subjects as diverse as Bollywood movies filmed in Australia (and Hungary!) and the Australian wine industry, demonstrating a potential for [(Geographical location) + Studies] far outstripping what foreign language departments and institutes, which are only just coming to terms with cultural studies at all, would be at present happy to accept. At the other end of the spectrum, it must be allowed that we have come a long way further than some other foreign language institutes, which still narrow down studies, and especially thesis topics, to linguistics and literature. Moreover, conflicting information reaches students: one student of English and French at Pécs university was informed by a member of the French department staff that only literature and linguistics topics would be accepted for theses, which goes against even the identity of the head of department—a historian, who has supplied me with different data, as will be seen below.

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It seems a long time ago, but only a couple of decades or so have passed in English higher education in Hungary since “methodology” (*módszertan*) has been recognised, renamed and in Pécs given departmental status in 1998 as part of a wider discipline named applied linguistics. Even more recent is the perplexing variety of disciplines and approaches that have emanated from something once called “civilization” (*civilizáció*). Backed by a prodigious and ever-growing stream of professional and

course literature, both have proven themselves on the university library shelves, yet scepticism seems to prevail longer and more hardened as regards “culture”, as it is so amorphous. At one moment it is history, at another theory, a third instant and it is politics and society, blink again and we see it as ethnography. External factors (for instance, a once-pervasive British Council) have caused it to change direction in order to obtain funding (for instance, with film studies), only for support to be ficklely withdrawn, while at other moments the very word Culture has been used as a slogan the bandying about of which ends up in making it trendily meaningless or meaninglessly trendy. Moreover, extend the use of the word so that it becomes hyphenated to another, creating a new term, and even search engines have problems in coming up with hits. A hunt for the term, “sociocultural history” does not readily yield results that entirely fit the description. First comes sociocultural evolution, then sociocultural theory, and only on the second “page” in the form of an Amazon advert for a book (*Dictatorship as Experience: a sociocultural history of the GDR*<sup>1</sup>) and a few entries later an online article (“A sociocultural history of outdoor education”<sup>2</sup>), where it is linked with psycho-evolutionary theory. In this way a university MA course I teach is being advertised without a ready definition of what it actually refers to—as good a reason as any to hold such a course, in my eyes.

This paper, a kind of case study, describes some of the twists and turns of “culture studies” in the forty-year history of the Pécs English “Department” and its predecessor, that of Pécs’s College of Education, and through pinpointing some of the stranger moments hopes to suggest a route (or three) for the future. It is necessarily sketchy and anecdotal, as exhaustive research, which would doubtless reveal much extra data, would require a great deal more space than is available in a selective volume of the present kind, and also because the main aim of the paper from which it originates, rather than being a long-term ongoing research, was to voice and share some long-term questions and doubts.

The English Departments at the colleges of education in Pécs and Eger were founded in 1970. That of Pécs, partly for historical reasons, was merged with the existing university of law and economics to create the Faculty of Education of Janus Pannonius University, later the Faculty of Humanities, Pécs University. As I write, the entrance to the faculty is still swathed in a combination of round years, including the 30<sup>th</sup> anniversary of the former. The early team of the college taught in an age when practically every course had to be forged and textbooks and readers for them written and compiled (Nagy). Among these was Klára Mátyás’s *szöveggyűjtemény, British and American Civilization*, as well as a volume for correspondence students, *Civilizáció és világnézet* (Civilization and World View). Originally issued during the college years, *British and American Civilization*, inevitably published in Budapest by the monopoly educational publishing house Tankönyvkiadó, went through a number of editions, showing its general practical use with students, but also that “Civilization” long continued to be taught as a single subject with no subdivisions. The 1991 edition

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<sup>1</sup> <http://www.amazon.com/Dictatorship-As-Experience-Towards-Socio-Cultural/dp/1571811818>

<sup>2</sup> <http://www.wilderdom.com/psycho-evolutionary/SocioCulturalHistoryOutdoorEducation.html>

was the eighth. In a telephone conversation at the beginning of June 2013, Klára Mátyás described how, when she started writing these course-books for college students in the 1970s, there was no predecessor upon whom she could construct either the courses or the accompanying literature, and that she was given a great deal of freedom in their construction by the then head of department, Dr. József Bognár. Aside from Mátyás, seminars of a cultural nature were taught by Dr. Miklós Trócsányi. One of the 1985 entries in the grade book of college student Csilla Szabó is for a course called “Anglia földje és népe” taught by Dr. Trócsányi. Interviewed on June 2, 2013, another student from the same year, Éva Marton, remembered back vividly to the way that he included all kinds of cultural aspects in his literature courses as well. Mátyás confessed that it was Trócsányi who encouraged her to write “Civilizáció és világgép” for correspondence students.

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In 1979, a young, slim, photogenic, bearded Englishman arrived on a one-year contract to teach at the colleges of education in Pécs and Eger, Hungary. It has been a long contract. The former establishment, the college in Pécs, was a nameless institute, but the one in Eger was named after the Vietnamese communist prime minister (1945–1955) and president (1945–1969) Ho Chi Minh. It is now named after an eighteenth-century bishop of Eger. That’s not all that has changed. In what follows I will provide a brief, anecdotal history of my accidental cultural career, or, if you prefer, career into culture, first at the Faculty of Education of Janus Pannonius University Pécs, and finally the Faculty of Humanities of Pécs University. This all began some time in 1990–1991, with the unexpected departure of Klára Mátyás from the department. My sole qualification was my travel document: summoned into the then head of department’s office, I was greeted with the rhetorical question (and answer), “Andy, you’ve got a British passport, haven’t you? Right, then from next week you’re teaching British Civilization.”

In the earliest days the students were just as aware as I that we were all groping in the dark. My predecessor had compiled the above-mentioned reader for a much earlier course, published in the hairy brown paper that was the hallmark of the ministry of education’s monopolistic educational publisher, but although it was still being republished in 1993 it was no longer very relevant to the new needs of students (and staff). I proceeded to chisel out a course of my own. At the end of the course I got an ovation: not, I am sure, because my lectures were particularly great, but because the students were exceedingly sympathetic to my plight. (They don’t clap now that I am an old hand at the game.)

Gradually, as I got the hang of what British Civilization constituted, I put together my own course, as one did in the days when textbooks, and certainly a choice of textbooks were unavailable—a ninety-minute lecture with a ninety-minute back-up seminar, the latter held by a variety of permanent and temporary colleagues, whoever happened to be available—and found that it was impossible to do justice to both the whole of British history and contemporary issues as well. In fact, it was impossible to

do justice even to just one of these issues in the time available; the overview nature of the course demonstrates how culture remained subservient to the two traditional disciplines. Moreover, in those days one was not entirely one's master—for different reasons, one still is not—for the British Council began to interpose, using the carrot and the stick tactic. The carrot was the financing of the purchase of books following staff “book bids”—while the stick comprised alternating hints that there was either too little or too much twentieth- or earlier-century cultural material, and that it would be a good idea to have more (or in other years less) history. Additionally, the year-long course was first contracted into a single semester, single forty-five minute lectures being extended to 90 minutes, suggesting that breadth of subject-matter should be sacrificed to depth. Later an extra lecture course was added; these two have survived after going through several changes, and at present appear on the syllabus as “British History” and, less correctly as regards geography, “Contemporary English Society and Culture”.<sup>3</sup> The introduction of this latter course was both to reintroduce a course with a largely post-war profile and to make a clear distinction between a history course and one that was largely sociological and “cultural” in nature.

The 1990s, largely because of the explosion of demand for English teachers in the wake of the political changes at the beginning of the decade, was a brief period when our department actually boasted more native speakers than Hungarians, what with the rotating Fulbright professors, the Peace Corps rep, the British Council teacher, wandering Brits and Yanks who slid in and out of the department with surprising ease, and myself and an American counterpart, Steve Starkey, who like myself decided to marry a Hungarian and stay. The foreign contingent was a varied assortment: the (now long-gone) back-up seminar to my British History lecture—such was it now named—was held by a young American with Polish roots who had mistakenly thought that the south of Hungary was close enough for him to find them. He was a nice young man, a vegetarian who, I was later told, got a job when he returned to the States in a butcher's shop. Another young American stayed, left, returned, married, stayed, left; a New Yorker with Hungarian parentage told of how he had suffered as the only Protestant boy scout among Catholics in New York's Hungarian scout troop. The Peace Corps added further colour, although it was Barbara Gonzales's husband, not herself, who was Mexican. A Welsh lecturer came to us from Poland, complete with her globe-trotting tortoise, only leaving with the same reptile bound for Italy and an EU master's degree scholarship before Hungary joined the Union. Of the Fulbright professors, we never knew what the profile would be: there was the black poet who, horrified by the idea of oral examinations in the Christmas holidays, hunted out a costume hire company and rented a Santa outfit so that the students would be more at their ease. Unused to such pranks by academia, they were petrified to find a black Santa examining them. Another was more

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<sup>3</sup> Numerous attempts on the part of the author to correct the name of the course, not created by him, from “English” to “British” have been thwarted by (amazingly) academic officialdom, which appears to insist on Hungarian shorthand for “British” (*angol*) being inaccurately retranslated into the English language, even though Mátyás's earlier publication uses the word correctly (as do many others the world over).

interested in Pécs's urban garden allotments than any Anglophile studies. A third was a compulsive potter. This international character coloured the activities of the department—for a start, department meetings were held in English, and guest lecturers both expected, and were expected, to attend them. At the other end of the spectrum, a visiting British Council ELT specialist masterminded a staff treasure-hunt around the county, bringing culture to free-time activities—the annual treasure-hunt had been a regular feature of the West Dorset school my father taught at in the 1960s, the headmaster famously rushing to his own back garden to grasp the “longest stinging-nettle”. For a brief while the department in Pécs was as madcap as is, it seems, middle-class, intellectual Anglo-Saxon society. This disappeared along with the nucleus of madcap Anglo-Saxon staff.

English was the *lingua franca* not only in the seminar room and lecture hall, but in the corridor, the student canteen and the nearby watering holes. This again led to decision-making processes that differed considerably from a purely Hungarian approach to academic, administrative and even pastoral work. For instance, it was at this time that the Welsh colleague got together with a Hungarian colleague to write a thesis-writing guideline pamphlet (Nikolov and Turner), one that stressed, alongside the “how to write...” details, a section on the evils of plagiarism. It is from this period, when there was a general outcry from the native speakers on both sides of the Atlantic regarding academic theft, that the department virtually pioneered a faculty-level intolerance towards this unsavoury activity. The early institutionalisation of such intolerance was in itself part of culture education, I felt—and still feel.

With political changes came many others, most drastically the new responsibilities of an English Department that was to suddenly supersede the former giant foreign language unit, the Russian Department. At one point there was a first year intake in excess of the largest lecture hall the faculty possessed (150 seats<sup>4</sup>), which meant that the history lecture (and many others) was suddenly advertised each and every semester. The explosion in numbers also resulted in a gradual move from the more personal, interactive seminar system to that of the lecture hall. This move was one of expediency, not of progress. In hindsight it was a great error on the part of the department—now an institute of three separate departments: of Linguistics, of Applied Linguistics, and the Department of English Literatures and Cultures—not to return to the seminar system when numbers began to recede, partly because new higher education establishments were springing up, partly because of the drop in the demographic curve, partly because of the move from a five-year degree to the internationally preferred 3 + 2 BA/MA system, and partly because the world was opening up and students saw a greater variety of subjects available within the country as well as the possibility to study outside it. Much data would have to be collected to substantiate any claims, but the reduction in grants and the percentage rise in fee-paying student numbers may also have turned prospective students away from the idea of entering an establishment of higher education at all.

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<sup>4</sup> A small example of cultural change in Hungarian higher education is seen in the renaming of C/V/II to “Alexandra Hall” after a locally born successful publishing and distributing magnate financed its refurbishment.

Within the Department and then Institute there had been an increasing number of elective courses, as more and more staff became interested in specialist, less-mainstream areas: indeed, senior staff were expected to perennially advertise new elective courses. Moreover, completely new study areas were entering the curriculum, which in its entirety contained the same number of contact hours as earlier, if not indeed fewer. The difference between contact hours in Hungarian and English higher education is well-exposed through an anecdote rooted in the more than two-decade-long exchange visit between St. Luke's College (later School) of Education, Exeter, and the establishments at Eger and Pécs. Apparently, in the course of a conversation between the students of the institutions where contact hours were compared, when the horrified British students heard of the considerably larger number of Hungarian contact hours, they enquired incredulously, "But then when do you study?" As a result of the timetable changes, some courses, among them the British history lecture, lost their seminar character entirely, while others (for instance, the Educational Drama series that had at its height stretched over four semesters) disappeared entirely, although a truncated version of the latter course has been reintroduced for the new five-year teacher training degree course. One of these new areas of study, long overdue and much welcomed by some, was that of film studies; however, the way in which it finally entered the English Institute merits attention, for it was the result of some aggressive, almost militant work on the part of the British Council. The institute had become used to receiving a British Council staff member and for the main part was grateful for it, though some strange creatures did occasionally turn up. This time the Council sent John Cunningham, a film specialist. Moreover, the Council financed a large-scale film studies conference. John himself accepted a student to write a thesis under his consultancy . . . and then left as his contract expired, leaving the young man high and dry with not a specialist in the country to evaluate his work. John Cunningham, although having left the department, undertook to read the young man's work and informally grade it, but despite his giving it a reasonable grade ("*Jó*" (4) = "good" on a 1–5 scale), the new reader of the thesis failed it and occasioned some agony for the author before it was eventually accepted. I mention the episode because it illustrates the pitfalls of reliance upon temporary external assistance. Film studies have been taught on a regular basis, as part of the curriculum and with a fulltime member of staff (B. László Sári) since the academic year 1998–99, aided by the fact that during the "Cunningham years" a small video library had been amassed, mostly financed, like books, by the British Council. Videos had been provided even earlier, in the late 1980s, by the local representative of the United States Information Agency (1953–1999), who then discovered that the cheap provision of American videotapes was one thing—unfortunately they were not compatible with European machines, and so the USIS (Service) had to provide a multisystem video-player as well. The machine still stands inside a seminar room cupboard that has not been opened for a very long time.

I must say a few words about "culture" courses in general. The name of the department in which I work—the Department of English Literatures and Cultures—is of my own invention, ratified in a department meeting, probably in 1998, when the

single old department of English was divided into three separate entities, the other two being a Department of Linguistics and another of Applied Linguistics. (I can find no record of the meeting, but the division took place in 1998.) It was the result of a determination that the word should appear at least in the name of the department, and with the increase of culture-related courses it has proven, I believe, as good a solution as any other save the cleaving of the department into a separate Department of Literature and Department of Culture, which would be revolutionary though, I believe, timely. The word “English” is unsatisfactory, in the same way that the words “Arab” or “Jewish” are, but the pluralisation of both the literatures and cultures hopefully at least partially clarifies that here we are speaking of the language and the geographical areas in which it is spoken. (Interestingly, I have recently heard of a “British” department that includes a core course in a Gaelic language.)

Gradually, after decades if not centuries in the shadows, courses bearing a cultural character are acquiring a more satisfactory status. From a single “English Civilization” course (and perhaps an independent American one) they have grown in number and kind, showing a multiplicity of approaches to English Studies. History and film I have already mentioned, but there are many others. Among the ones that I teach or have taught myself (obviously but a selection of those available to students from the full complement of staff) are, in addition to my BA history course, Popular Culture (BA), Contemporary Society and Culture (BA), Contemporary Issues of the English-Speaking World (MA), Sociocultural History (MA), an MA course in Oral, Orally Delivered and Popular Literature which approaches the genres mainly as primary sources for social history and culture, and among the older electives Medieval Life, Lyrics and Literature, A Taste of Wales, The Culture Debate, Listening Through Britain and The (extremely well-attended) Language of Sex . . . The list is much longer.

The influence of culture upon English foreign-language departments is unarguable. This is shown in a yet newer trend in the naming of new courses. Our department now offers courses with hybrid names, notably “A Survey of English Literature and Culture”, a two-part lecture course mainly held by literature scholars. The title, as well as the complement of staff involved, pose a question any serious attempt to answer which should create a deep sea change in how we see the task of an English—or for that matter any foreign language major—department. For it either presumes that literature is something *other than* culture, or openly admits to paying lip-service to the “culture” word in order to be educationally correct. In other words, it does a very bad job at trying to conceal the fact that this is not a course dealing with two equal, similar if different areas of study, but the deliberate renaming, and, to be fair, partial reshaping of a course in order to kowtow to current trends. Culture is, I believe, far more important an item than something merely trendy, but we must admit that at present trendiness *is* one of its faculties, because not to do so would be to fall off our guard when it ceases to be so, and when we must continue to build it as the most normal matter of course in foreign-language teaching.

Culture is far closer to other disciplines that hitherto have not had much to do with departments that teach foreign languages as a major subject. These include, as

well as the various branches of cultural studies itself, history, social sciences, ethnography, film criticism, politics. . . depending upon the human resources available, the visual and musical arts, at least from the theoretical angle. It would be foolish to deceive ourselves into ignoring the perceived threat seen by traditional teachers of any foreign language. At a previous HUSSE conference there was a failed attempt by staff with history qualifications to bring together a special interest group within the society. It is ironic that students do not read the works of Winston Churchill where centuries ago they would have had to read Caesar's *Conquest of Gaul*. (And then memorise it. In Latin.)

Before we should think that the culture revolution is something that is exclusively relevant in English foreign language departments, let us take a look at replies given by the heads of the Pécs University department of French (Krisztián Bene = KB)<sup>5</sup> and Institute of German (Zoltán Szendi = ZS)<sup>6</sup> to four simple questions sent by email, each beginning "Over the past 20 years . . .".<sup>7</sup> The decision to give 20 years as a marker is based upon the age of both the department and the institute, as well as setting them within a time frame post-dating the beginning of the political changes and the period of mandatory dominance of the Russian department. Other departments in the university were not sought out, as they have very small staff (two or three) whose tasks are evidently very different from the larger English and German institutes and the French department. Asked whether within this time frame the number of courses that might be described as "cultural" in type had risen, KB replied, "In the first half of the twenty years there was no essential change, apart from the literary and linguistic dominance there were only a handful of general introductory lessons that represented "culture". In the past 10 years this has changed in that a historian has joined the literature and linguistics staff (that's me), and so a greater number of civilization and other disseminating lessons have appeared that can be listed under "culture". Like the English institute, "various native-speaking staff advertised courses related to music and film, thereby demonstrating an upward arc in the period from this point of view". In the German institute (the two decades are not divided up here) "new course-types were advertised, in mass culture, visual culture etc." and an estimated 50%+ of courses started to include modern, or rather postmodern trends. The examples given by ZS are gender, interdisciplinary studies, cultural studies, cultural transfer and so on.

Asked whether there had been an increase in external pressure to increase the number of "culture" courses, both KB and ZS were of the opinion that pressure had been indirect, through participation in international conferences or attendance at book launches and film screenings. KB went further, to say that while the French department's relationship with Alliance Française was close and cordial, the Alliance had never shown any interest in influencing courses. As to whether cultural studies specialists had been appointed on the staff in the period in question (this evidently

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<sup>5</sup> Email, 2 June, 2013

<sup>6</sup> Email, 3 June, 2013

<sup>7</sup> The questions were given and answered in Hungarian, all English text here is my translation/summary.

would not refer to the present economic environment, when departments are losing rather than gaining staff), ZS saw a gradation over the period from such courses being held by visiting staff to the institute's own staff having "learnt their way" into the various professional areas of cultural studies. Though he does not specifically state this, it is implied that permanence has been achieved in the study areas through ensuring that locally employed, full-time staff are able to teach such subject areas. KB sees himself as more of a loner, and that his initial period of higher education as a history major plays an important role in the existence of "culture" courses in the French department.

When asked whether the number of submitted theses addressing cultural topics had increased, ZS wrote, briefly but tellingly, "yes, significantly". KB's answer was more informative and raises questions as to how far we can take the "culture" umbrella term. What he sees is that in "the past 5–6 years the proportion of non-literary and non-linguistic themes has risen, but the rise has not always been the result of work addressing culture, as there are among them some addressing economic terminology and topics related to the European Union. Even so, there is a rise in this area". He adds that as a French department the curriculum deals not only with France, but other territories such as "Wallonia, the French-speaking parts of Switzerland, Quebec, Maghreb and Black Africa", meaning (though he did not explicitly state so) that the teaching of the Francophone areas implied one understanding of cultural studies.

The observations of the two senior staff, for which I am most grateful, show a tendency toward cultural (and other) subject areas that in itself demonstrates acceptance at the institutional level of a greater variety of disciplines and subject-matter appearing in courses and theses than was the case even two decades ago, and that staff, especially in the German institute, have had to re-educate themselves in order to deal with them.

There is much more work to be done in creating a unified cultural element tailor-made to foreign language studies. My own inclination is that one way in which this could be done would be to create independent research and teaching staff teams, in the institute scenario even a department of history and culture, rather than the present cross-sectioning of "American Studies", "British Studies", "Irish Studies" or even "Post-Colonial Studies". While I recognise the geographical construct, it does in itself create problems—at the facile end, what to do about the travellers in the *Mayflower* or the *First Fleet*—when do they cease to be British and become American or Australian? And who gets Sylvia Plath? From the aspect of producing a team of staff using much the same research tools, there is a strong and logical argument for keeping together those members of staff who deal with history and culture irrespective of past and present and geographical location—after all, this is the same logic that has created separate teaching and research areas and individuals for literature and linguistics. One of the most interesting and relevant talks I have recently attended was by our Spring 2013 Fulbright Professor, Gabriel Loiacono, a historian, whose research on the American poor depended greatly upon the Elizabethan English poor laws.

History and culture courses at present are emerging from a longish though comparatively recent history where they existed in the form that in other areas of life would be named a “service industry”, backing up other areas of study. The history course is placed at the beginning of the students’ studies, at least at my university, because it creates a backdrop for the other stuff. The sequence of ethnic groups arriving and settling in the British Isles is also the story of the composition of the English language; the Wars of the Roses are the inspiration for Shakespeare’s history plays; without a German-speaking king at the beginning of the eighteenth century the institution of prime minister may not have been created; no comedy of manners without a culture of manners in which it can be spawned. And is a novel or a film or even a comic monologue or an evangelical sermon or a National Geographic article more likely to create a rounded picture of the culture that, one way or another, the graduate armed with his diploma is in turn to represent one way or another in later working life?

On a previous occasion when I raised the same points as I have today (the international conference 35Y ago, commemorating thirty-five years of English studies at Josip Juraj Strossmayer University Osijek, held on October 15-16, 2012), an objection was raised during the post-paper question time that in the event of “Culture” indeed attaining an independent status similar to that long enjoyed by linguistics and literature (whether formally as departments or educationally as separate disciplines), culture would then no longer be taught, but instead, culture theory. It appeared a rather strange comment to make, as not all linguistics or literature courses are linguistic theory or literature theory, excepting that, naturally, all courses have an element of theory to them: even if the students are not aware of this, it is to be presumed that the course director is! My own courses, apart from the straight history course, include a popular culture (not “pop culture”) survey stretching from the medieval period to the twentieth century. It has an impressive and legitimatising literature—the students would probably say too impressive—but also much popular street literature and many sound recordings. My colleague’s course tracing the development of British film is not a film theory course. A multi-lecturer survey course of literature and culture from the medieval period to the eighteenth century, which includes a separate lecture on the evolution of printing and examples throughout of visual, musical and other culture/art forms, does not attempt to theorize all of these, although—to give but one example—cultural *reasons* are offered for the sudden popularity of the miniature in the sixteenth century, and it would be difficult to separate the importance of the world’s first Valentine letter (1477, Margery Brews to John Paston) in terms of literature or of culture. (Even within cultural confines it is a very complex item as regards gender studies, for here we have a girl begging her man to marry her even if her father won’t pay the full dowry, yet a piece of writing from a female that displays a delightful ability from the provincial, commoner female hand in an age generally associated with partial, and mainly male literacy if at all.)

Culture is, indeed, a far more complex term even than linguistics, which itself is possibly more extensive in its variety than literature (by definition, the former examines, among other matters, the latter, while the converse is not true). A cursory

glance at the titles of articles in any edition of the *Journal of Popular Culture* is sufficient proof that “cultural studies” defies and transgresses borders, and the umbrella term covers a multitude more related and sub-disciplines. It therefore seems professionally desirable that, just as linguists and literary scholars depart from a point of common understanding whatever the actual topic may be, so will those whose business is cultural studies.

The grouping of scholars into geographically exclusive areas is more questionable—though I have certainly enjoyed celebrating Australia Day, St. Patrick’s Day and the Queen’s birthday, all of which I have received invitations to at various times for some service or other to the culture of one or the other. However, stand-up mignons and sausage rolls is hardly a basis for the grouping of academic activity.

A comment upon university numbers: a place in a university humanities faculty has never guaranteed a job (or even a training) as directly associated with a job. For prospective employers, a university degree has more than often shown no more (or less) than an ability to study independently to a certain level with an amount of self-discipline. It is therefore, at least to some point, irrelevant to speak of the *usefulness* of certain subjects, and student numbers should not be manipulated to reflect immediate or projected requirements in workplaces. Internationally, approaches to university education and the young population’s right to it vary, but in a period of recession and dearth, when places are necessary to keep universities buoyant for the future, it would seem the most logical to operate a much freer entry system, so that high levels of first- and second-year students finance small groups of upper-year students. Were that to be introduced in Hungary, a new social paradigm would have to be educated into the population at large: everyone has a right to enter university, but no-one has the right to stay there. While this closing comment may appear tangential to the main body of the paper, it is important when calculating the feasibility of new administrative/academic units, such as a further division of what not so long ago used to be a single department into a variety of departments, each pursuing its particular area of education and research.

Otherwise, from the managerial aspect, it is worth pondering on the relative size and breakdown of the workforces of a university department and a medium-sized private company.

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# Memory Traces: Word and Image



## Hunting, Investigating and Excavating the Past: Effects of the word/image apparatus and photography

LILIANE LOUVEL

It is one of the tasks of literature to uncover and recover if not objects of the past, at least some moments of the past, “moments of being” in Woolf’s parlance, and to bring them to light and life and sensation again. Was not Proust trying to do so in his *Recherche du temps perdu*, his *Remembrance of Things Past*? This might find an equivalent in painting and engraving in the “Poétique des ruines” (with Hubert Robert or Piranese) and also with the deciphering of traces, prints, palimpsests and hidden secrets. Image combines with text in this process of “uncovering and recovering the past” thanks to its particular word/image “dispositif”, a term we could borrow from Agamben who recently wrote about it (after L. Marin, Lacan, and Foucault), and which we could translate as “apparatus”. Writing about Foucault, Agamben notes:

*Il est clair que le terme, dans l’usage commun comme dans celui qu’en propose Foucault, semble renvoyer à un ensemble de pratiques et de mécanismes (tout uniment discursifs et non discursifs, juridiques, techniques et militaires) qui ont pour objectif de faire face à une urgence pour obtenir un effet plus ou moins immédiat.* (Agamben 20)

It is clear that the term, both in common usage and in the one Foucault proposes, seems to refer to a set of practises and mechanisms (all at once discursive and non-discursive, judiciary, technical and military) which aim at confronting an emergency to obtain a more or less immediate effect.

He gives a wider definition a few pages further down: “*J’appelle dispositif tout ce qui a, d’une manière ou d’une autre, la capacité de capturer, d’orienter, de déterminer, d’intercepter, de modeler, de contrôler et d’assurer les gestes, les conduites, les opinions et les discours des êtres vivants.*” (Agamben 31) An apparatus then is a way of constraining people, of exerting power over them. It is also a network: “*le réseau qui existe entre ces relations*” as Foucault, quoted by Agamben, put it (Agamben 18).

One remark: in the instance of the word/image apparatus the issue of anachronism is raised: the image is perforce dialectic for it brings together two times: past and present. It sizzles in-between the two; there is a kind of friction, of vibration, due to their heterogeneity, their hybridity. A fruitful tension thus animates a word/image apparatus.

Word/image studies owe much to excavation. First and foremost that of the *Laocoön* Group which was unearthed in 1506 near the site of the *Domus Aurea* of the Emperor Nero, close to the vats of Trajan's therms and so often represented by poetry, painting and engraving. William Blake surrounded it with graffiti-like words and formulas.<sup>1</sup> We know the use Winckelman and then Lessing made of the statue, the neat separation the latter tried to draw between the arts of time and the arts of space, and the way this has stood at the core of controversies which anyway helped to clarify the debate about visual and literary arts and the word/image relation. Still, a link exists between digging, indulging in archeology, and word/image strategies as far as making sense of chaos is concerned. Image comes to the help of language to bring to view possible hidden meanings in the kind of literature which makes use of it. Let the role of museums also be recalled concerning literature and ekphrasis for, by giving direct access to works which formerly were kept in private collections, museums of art and art galleries gave rise to a great number of writings about them: poems (Browning, Keats, Auden, William Carlos Williams, Durcan), writings on art or for art or about art (Pater, Ruskin, Wilde, Diderot, Gautier, the Goncourts, Huysmans), and novels (Proust, G. Eliot, H. James, V. Woolf, Chevalier, Byatt, Banville . . .).

Three disciplinary fields which emerged practically at the same time, that is at the turn of the 19<sup>th</sup> and 20<sup>th</sup> centuries, i.e. psychoanalysis, art history and detective fiction drawing from the science of police detection (details, proofs, taxonomy, physiognomy and phrenology), also coincide with the building of the great London museums such as the Natural History Museum and the V&A in Kensington. A period and a museum which stand at the centre of A.S. Byatt's encyclopedic *The Children's Book*. Morelli's, Freud's and Doyle's works are all intimately linked to these disciplines, which cohere with the notions of searching for significant details (semiotics) while investigating, digging, hunting. Literature, of course, found inspiration in the methods of these quests and made use of them. Carlo Ginzburg, in a famous study, analyzed the roots of what he called "an indicial paradigm", that of traces, and he reminds his reader that human beings were first hunters, busy deciphering traces and reconstructing the shapes and movements of invisible preys thanks to prints in mud, dejecta, broken branches, feathers, hairs and smells (see Ginzburg, in particular the chapter on "Traces"). Humans learnt to make sense of, classify and record these, for their survival. Three main activities are thus linked to uncovering/recovering the past: hunting, investigating, excavating. As a consequence, recording, building up archives, and preserving objects from the past in museums are

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<sup>1</sup> The most unusual intervention in the debate is William Blake's annotated print "Laocoön", which surrounds the image with graffiti-like commentary in several languages, written in multiple directions. Blake presents the sculpture as a mediocre copy of a lost Israelite original, describing it as "Jehovah & his two Sons Satan & Adam as they were copied from the Cherubim Of Solomons Temple by three Rhodians & applied to Natural Fact or History of Ilium". [13] This reflects Blake's theory that the imitation of ancient Greek and Roman art was destructive to the creative imagination, and that Classical sculpture represented a banal naturalism in contrast to Judeo-Christian spiritual art." "Laocoon", Wikipedia, accessed 30 April 2012.

reflected in the museum-as-book (Preston and Child's *Cabinet of Curiosities*) and the book-as-museum (Byatt's).<sup>2</sup>

The question we may ask then is: how can literature represent this process, how can it stage and use this excavating process when it resorts to image and blends it into a word/image apparatus? This is when the critic turns archeologist too.

Hunting, investigating and excavating or digging will help me organize this talk. The three activities of course need not be separate. They are often intertwined, although one of them is often given pride of place. Photography is one of the media best suited to this quest for the past as we shall see. It is given pride of place in this questioning and recovering operation: instantaneous, it has a direct link with the "I have been here" or Barthes's "it has been". It is the privileged moment of what I call "monumental ekphrasis", a kind of ekphrasis which aims at erecting a monument, at commemorating a memory of what has disappeared but remains as a trace. Often that of a deeply ingrained trauma. Photography is also closely related to elegy as S. Cheeke states, who evokes Susan Sontag's "twilight art", and recalls "the elegiac nature of photographic art" for "the photographic image has something to do with Death" (Cheeke). As Sontag put it: "first of all a photograph is not only an image (as a painting is an image), an interpretation of the real; it is also a trace, something directly stenciled off the real, like a footprint or a deathmask" (Sontag 154). She humorously goes as far as stating "Having a photograph of Shakespeare would be like having a nail from the True Cross". Which nicely ties in with Ginzburg's theory about traces and our excavating theme. This is also what Huxley in a cycle of conferences (1880) about Darwin defined as "Zadig's method", as Ginzburg notes (276). Huxley thus gathered under this name the device common to history, archeology, geology, physical astronomy and paleontology: that is "the capacity to make **retrospective prophecies**" (Ginzburg 276). An interesting twist in time or time warp that literature will also make use of. Let me just add that Cuvier himself quoted Zadig while defining his own method of work based on animal prints and the study of jaw shapes, vertebrae forms, etc.<sup>3</sup>

I will choose four examples of a word/image apparatus offering different degrees of visible image commitment. The first one is concerned with hunting and and image lurks in its background, the second makes great use of photographs by dint of *ekphrasis*, the third and fourth ones combine visible images with text. We shall then have good samples of the word/image apparatus working at excavating time. This will help us draw a kind of gradient of their possible nature and uses.

### **The hunting paradigm: Morelli's detail interpretation**

The obvious way for literature is to stage the hunt for ancient testimonies of former civilizations or even of pre-civilization traces. In *Remarkable Creatures*, Tracy Chevalier tells the story of Mary Anning's life. At the end of the 19<sup>th</sup> century, Mary

<sup>2</sup> Hence also the link with the mausoleum, often a reproach made to museums (also seen as mortuaries). Museums are also close to moment and monument.

<sup>3</sup> Ginzburg (276) quotes Cuvier, *Recherches sur les ossements fossiles*, vol. 1 Paris, 1834. 185.

Anning would have been termed an unremarkable creature had not she been keen on fossil hunting in her native Dorset area, with its cliffs and fossils her father used to sell to the first tourists visiting the seaside. Mary Anning's discoveries were the ictyosaurus and the plesiosaur, the first complete pterodactyl now called a pterosaur in Great Britain and the *squaloraja*. Her findings are now exhibited in Kensington and in Le Museum d'Histoire Naturelle in Paris. Cuvier exchanged letters with her and her ictyosaurus and plesiosaur are duly registered as hers there. The importance of seeing and seeing well is enhanced in the book right from the narrator Elizabeth Philpot's very first words: "Mary Anning leads with her eyes. Her eyes are button brown and bright, and she has a fossil hunter's tendency always to be looking for something . . . I too glance about rather than hold a steady gaze" (Chevalier 7). The memory of a nation before its existence as such, is the object of a fossil hunter's quest, who against all odds, looks for fossils and excavates them from the cliff sides, fighting to keep them from treasure hunters only interested in selling or exhibiting them in London for money's sake. The book is grounded in history and the history of science and is an example of literature closely chronicling excavating processes. Mary Anning's quest ties in with Morelli's method, which comprises the reconstruction of a whole thanks to its parts, the overall importance of details in the attribution of a work of art, and in the identification of a lost species in Mary Anning's case.

Ruins, vestiges, what has to be retrieved and put back in place, often but a fragment, a print or a trace. It has to be safely re-placed in a museum (for fossils, archeology, sculptures), or in the memory of a painful event. To say "it" is necessary, for "it" has to be uttered more or less, if not so, "it" will lie deeply buried and cause trauma. A.S. Byatt's novel describes the first supper gathering the survivors in 1919, when the last rescued soldiers eventually made their way home, after the three families in the novel were cruelly deprived of their sons. The narrator analyzes the experience of repressed horror and the ensuing haunting dream-images when speech was made silent.

They sat, the survivors, quietly round the dinner table, and drank to the memory of Leon. Ghosts occupied their minds, and crowded in the shadows behind them. They all had things they could not speak of and could not free themselves from, stories they survived only by never telling them, although they woke at night, surprised by foul dreams, which returned regularly and always as a new shock. (Byatt 614)

Hence the necessity to classify objects, memories, findings too. A museum gives access to those documents, to archives. The museum-as-book and the book-as-museum displays its collections, its montages. As Roger de Piles said of painting, going to a museum is making a kind of pilgrimage, for the story it tells unfolds as one passes through its different rooms. I think here of the V&A which offers so many different routes as one chooses to go up, down, left or right, and discovers all sorts of unpredictable objects such as snuff boxes, tea spoons, jam spoons, paintings, drawings, jewels, clothes, Asian, Iranian, Indian objects, and stands bemused in front

of so many glittering well-lit glass show-cases. Bemused is an interesting expression by the way. Not musing in the museum but being bemused in a museum.

### **Excavating and investigating the past: Freud's model**

Freud's method would be perfectly suited to a kind of literature which seeks to excavate the past in a more personal and hidden way, aiming at uncovering and recovering trauma, both collective and individual, recapturing the past for a character, for a reader, for a nation. *The Wars*, a novel by Timothy Findley, tries to make sense of a founding image which opens the book and of other allegedly material images, photographs. Robert Ross, a Canadian soldier who held a crucial role in the first World War, *the war to end all wars*, stands at the centre of this memorial reconstruction.

The *Prologue* opens onto a fantastic dreamlike image, for the reader is not given access to where? what? who? why?, while "she" refers to a horse as we understand three lines further down. The book works as an archive, a reservoir of information as one is trying to make sense of the past as ruin, trace, palimpsest, and trauma. Right from the first section (the book is divided into chapters, themselves divided into sections) the narrator declares she/he is trying to know what happened to Robert Ross who "was consumed by fire" but "Sometime, someone will forget himself and say too much or else *the corner of a picture* will reveal the whole." (Findley 3, my emphasis) Then in the very next section the narrator declares:

You begin at the archives with photographs. . . . boxes and boxes of snapshots and portraits; maps and letters; cablegrams and clippings from the papers. All you have to do is sign them out and carry them across the room. Spread over table tops, a whole age lies in fragments underneath the lamps. *The war to end all wars*. All you can hear is the wristwatch on your arm. Outside it snows. The dark comes early. The archivist is gazing from her desk. She coughs. The boxes smell of yellow dust. You hold your breath. As the past moves under your fingertips, part of it crumbles. Other parts, you know you'll never find. This is what you have. (Findley 3–4)

This is a remarkable passage in terms of staging research and the work of one busy digging into archive treasures complete with the archivist's presence. Referential illusion plays in full as we are given details about time, place, senses: smells, hearing, looking, touching, feeling. Doyle's method of investigation will also come in handy here when details will help to find out "who has done what".

The next section develops the uncovering of photographs kept in boxes. A date 1915 opens the section and then the reader is given the ekphrasis of several photos "sepia and soiled" like the year "muddied like its pictures". The tense is the present and there is an abundance of deictics mimicking the discovery of the successive pictures as the looker-on dis-covers them: "Here is the boys' brigade", "This is the

image of motorized portation”, “Here are families”, the deictic “Here come” opens several paragraphs.

Then something happens. April. Ypres. Six thousand dead and wounded.  
The war that was meant to end by Christmas might not end till summer.  
Maybe even fall. This is where the pictures alter—fill up with soldiers—  
horses—wagons . . . more and more people want to be remembered.  
Hundreds—thousands crowd into the frame. (Findley 5)

Pictures “alter,” i.e. they become “other”, the pictures bear the traces of memory, itself the trace of the event: everything changed with Ypres.

The text goes one step further in its attempt at mimicking the object and subject of the archive and photographs perusing, for italics erupt to describe the photograph of Robert Ross:

Robert Ross comes riding straight towards the camera. His hat has fallen off. His hands are knotted to the reins. They bleed. The horse is black and wet and falling. He leans along the horse’s neck. His eyes are blank. There is mud on his cheeks and forehead and his uniform is burning—long bright tails of flame are streaming out behind him. He leaps through memory without a sound. The archivist sighs. Her eyes are lowered above some book. . . . You lay the fiery image back in your mind and let it rest. You know it will obtrude again and again until you find its meaning—here. (Findley 5–6)

Robert is described as an infernal horseman straight out of the Apocalypse leading 100 horses to safety. Once more, the narrator anchors his/her ekphrasis in reality with a return to the archivist’s presence. Memory is recaptured thanks to images, in particular this one, representing the beginning and the end of it all: it has to be deciphered for the looker-on to find rest. Which is close to what Freud wrote about dream images: they (and their affect) only disappear once their elucidation (their being put into words) has been made in full. The narrator even mimicks the inscriptions the photographs bear at the back “You turn them over—wondering if they’ll spill—and you read on the back in the faintest ink in a feminine hand: ‘*Robert*’. But where? . . . Then you see him: Robert Ross.” (Findley 6) The inscriptions in italics run as: “*Robert Ross and Family*”, “*Rowena*”, “*Mother and Miss Davenport*”, and with more personal comments: “*Here is Meg—a Patriotic Pony*”, or exclamation marks: “*This is Peggy Ross with Clinton Brown from Harvard!!!*” (Findley 6–7) Bold letters are also inscribed on photographs: “WHAT IS THIS?”, or the “clipping from a paper reading ‘LONGBOAT WINS THE MARATHON!’” (Findley 8).

The transcript of the tapes of the interview of Marian Turner are also introduced by italics and numbered: *Transcript of Marian Turner—1*. The interview is another way of digging up the past. M. Turner keeps alluding to “what happened”, of

course without disclosing it and circling around a secret, giving it the shape of a secret that will only be revealed at the end. Something awful happened, but what? “My opinion was—he was a hero.” (Findley 10) This turns out to be controversial. The book strikes one as extraordinary for the strength of the images it evokes, the fire, the horses, the soldier, the war.

Archives like museums are repositories of the past and of salvaged documents. Of course, history could be rewritten if different documents had been kept or found and if different choices had been made in their selection and ordering. This is when the Foucauldian notion of discourse intervenes: history as discourse and the role of “discursive formations as apparatus too.

Archive photographs may be materially present in word/image apparatuses. Which will complete our first attempt at following a kind of gradation in the saturation of text by image.

### **Re-memembering Lazarus: Conan Doyle’s investigating method**

Aleksandar Hemon’s *The Lazarus Project* stages a journey back into collective and private memory thanks to a singular device or apparatus linking word and image. Remembering and reviving a new Lazarus after the character of the gospel resuscitated by Christ, gives the book its shape, swaddled in black paper shrouds as it were.

Text and photographs constitute the body of the book where the rather smudgy pictures are printed on black pages like those of an album. A large black frame thus surrounds them. The montage here of the apparatus stresses the double nature of the book: word/image, double characters (Lazarus and Isador, the narrator, a writer, and his friend Rora, a photographer), double narration (he/I), two countries (Bosnia and the USA), double times (past and present), two Lazaruses (L. Averbuch and his gospel ancestor who also had two sisters; Lazarus has one, Olga). The narrative couples the investigation of Brik – an emigrant from Bosnia—about one of his fellow countrymen, Lazarus Averbuch (19) killed in 1908 during the great fear of anarchists in the USA. The alternation between 23 photographs (12 of which are due to Velibor Bozovic and 11 others belonging to the Chicago Historical Society) constitute a reading apparatus based on oscillation, on sudden interruption and fragmentation. Quickly leafed through, the book would be a kind of flip-book animating the pictures. The reading experience then is imbued with these visual elements, weighed down by the presence of the black pages and the hazy, muddy quality of the pictures which impart the reading with a singular “pictorial turn”, leaving its lasting impression on the reader’s inner eye. These “pathos-images” are powerful and their rhythmic appearance interrupts the fluidity and linearity of the reading process by their mere presence (Didi-Huberman, *L’Image Survivante*). One of them (p. 50 and p. 57 for its description) and its pendant (p. 226) deeply move the reader and leave a lasting impression on the following reading, neither text nor image but in-between, an instance of what I’ll define as “the pictorial third”. It is a macabre show, a monstrous “monstrance” of a dead person exhibited in front of the eyes of the living which for

us, contemporary spectators is nothing short of a scandal. The photograph of a living-dead person shows Lazarus Averbuch seated on a chair facing the viewer, his head firmly held by a policeman? With his closed eyes, he reminds us of wax masks, of the dead. Of Christ. In-between a hunting trophy and a funeral wax mask (the Roman *imaginum pictura*, i.e. the first printed-images) the photograph evokes anthropometric pictures when photography was used as a scientific tool and manipulated for racist goals. The picture also has an apotropaic value similar to Medusa's head as stuck up on the Grand Duke of Tuscany's shield: both a punishment and a warning. The young man whose body was repeatedly shot through (his tattered clothes show it) was killed while trying to deliver a letter to the city's chief of police. He was claimed to be an anarchist or even worse, a Jew. As a kind of ironical twist, Lazarus was rescued from pogroms, had fled his country to find rebirth in America. The image truly returns ghostlike, it hovers above the book and interposes itself in-between what I am reading and what I see in my mind's eye. The superimposition of the two images, the mixture of the two times "mounted" together, heterogeneous and anachronic times (1908, the time of the novel, 2012 the time of my reading as seeing experience, lecture-voyure) the "double exposure" it entails give rise to "the pictorial third". A dialectic image and a ghostlike one, the image of a ghost-like survivor is revived 200 pages later by a second photograph of Lazarus and the policeman in profile. On the first picture, white pencilled inscriptions spell the captain's and Lazarus's name. Nothing of the sort in the second one, which truly is a ghostlike version of the first one. Furthermore, the text announced this return of the image a few pages earlier by quoting the front page of *The Tribune* which Olga, Lazarus's sister is reading, showing

a photo of Lazarus in profile, his eyes closed, a dark shadow over his eyes and in the hollow of his cheeks. THE ANARCHIST TYPE, the heading says; numbers are strewn around his face. Below it, the numbers are explained:

1. low forehead;
2. large mouth;
3. receding chin;
4. prominent cheekbones;
5. large simian ears;

. . . "The anarchist vermin that infest Chicago and our nation are to be exterminated to the last vile individual. . . Undesirable foreigners will be deported."  
(Hemon 143)

Here, showing equates proving, for photographs allegedly constitute a proof. The numbers impart the document with a pseudo-scientific seriousness. Its function is to impress the viewer and act as a deterrent.

As a last ironical twist, Lazarus also is the name of the poetess whose lines from "The new Colossus" welcome the immigrants in New York Harbour on the pedestal of the Statue of Liberty:

Give me your tired, your poor,  
Your huddled masses yearning to breathe free,  
The wretched refuse of your teeming shore.  
Send these, the homeless, tempest-tost to me,  
I lift my lamp beside the golden door!

Intermediality enables us to account for such phenomena when we try to identify the way they work, the way they are realized and what their effects are. The function of this kind of hybrid text (or is it better to talk of an “intermedial book-apparatus”, the result of a “bricolage” in Lévi-Strauss’s manner?), which mingles all kinds of visual items, is to integrate indices and clues of a “ça a été”, i.e. elements of a world outside the book. Visually present under the reader’s eye, the photographic prints act upon his body and provoke a reaction. They impart the text with the particular iconorhythm of the hybrid text/image. It is the case of these pictures of the pseudo living-dead which engage the spectator in an impossible and unbearable dialogue. They “regard” us and haunt us a long time after still.

Recapturing the past is also Sebald’s purpose in most of his books. Here again a personal quest is linked to a wider, collective one. His clever combination of word and image offers a powerful apparatus to the reader’s eye which also is a kind of archive complete with all kinds of documents. It also means displaying the past, montage-fashion, while hunting for it: hunting, excavating and investigating the past. The book is turned into a gallery with as many photographs as showcases.

### **The Sebaldian Device, a Case in Point: combining Morelli’s, Freud’s and Doyle’s methods**

Searching for details (and some belonging to art history), leading an investigation both in the human psyche and in criminal records, figure in W.G. Sebald’s extraordinary word/image apparatus. W. G. Sebald displays the whole gamut of the modes of image-in-text insertion, and more particularly so of the photograph-in-text, including bills, mementos, diary extracts, museum tickets, which are nonetheless photographs of two-dimensional objects and which serve as “images” or “illustrative” devices. Image is part and parcel of Sebald’s own writing process, of his aesthetic choices. His truly is an iconotext. The effects of this apparatus (dispositif) which Agamben, after Foucault has redefined, are to constrain the reader to vary his reading under the pressure of the heterogeneity of this kind of hybrid text. They are powerful and provoke a “reading event” in the sense Louis Marin gave it. An upsurge, a perturbation, that of the advent of a presence, as was the case for Marin when he came upon Stendhal’s famous sketches for *Vie de Henry Brulard* (Marin 15). And photographs of the same sketches by Stendhal (which he hastily made while sitting above the Albano Lake, showing the place and lining up the initials of the names of the women he loved) appear in *Vertigo*, the title of which overtly alludes to what was called “Stendhal’s syndrome”, that is the dizziness he felt in front of the works of art he saw in Italy.

Sebald's use of photographs presents a particular twist. The printed text precedes the image as a rule in the Sebaldian text but the image corresponds to a former diegetic time. It chronologically *precedes* the text although it appears *after* its own deictic textual designation or its short *ekphrasis*. Thus in *Vertigo*, the discovery is announced as follows: "However in the arts section of the paper I came across a report which did have a special meaning for me. It was a brief preview of a play that was due to be performed the next day in Bolzano." Then the image appears. It is a press cutting bearing the title "Casanova al castello di Dux in scena domani al comunale". Below the title, three columns introduce the play and tell about one of Casanova's life episodes with passages underlined with a biro. This photograph of a paper clipping which abruptly interrupts the sentence suspends reading, like a syncope: "the next day" (insertion of the paper clipping) in Bolzano. I had just *finished reading this short article, underlining a thing or two*, when Luciano brought me a Fernet." (*Vertigo* 96–7, my emphasis) And the sentence describes the very reading-act one has just done at the same time as the character whose underlining is still visible in the image.

So it is the text which "illustrates" the photograph and not the other way round as one might morphologically expect. Anachrony gives one more twist to the phenomena of "double exposure" and "double perception".<sup>4</sup> This device provokes a feeling of aporia, a twinkling effect between the text which is chronologically posterior to the photograph whereas the photograph is anterior to the text but textually posterior to its "announcement". As a consequence, this twist plunges the reader in doubt concerning the validity of the image to accompany the text: here is "Paul" whom "I" have been talking about, but is it really the case? The reader is left in doubt.

Morphologically, Sebald's text offers a case in point as it is compact, with few paragraphs, whole pages without any indented space, and the absence of inverted commas to signal direct speech, as in *The Rings of Saturn* (40). Thus the text provides the photograph with a grey background in the manner of a woven fabric made up of solid blocks of letters. Illustrations vary according to text, period and semantic content. They range from very banal "documents" (*photographs* of: bills, museum tickets, i.e. *biglietto d'ingresso*, the original language testifies to the genuine origin of them, restaurant bills, but also maps, notes jotted down in spiral bound notebooks . . .) to grimmer historical archives as traces of a traumatic past like the "shattered zeppelins" or the double page (from the *Eastern Daily Press*) with the bodies found in Bergen Belsen when the camp was liberated by the anti-tank regiment and Major Le Strange amongst others (*The Rings of Saturn* 94, and 60–61). The variety of these vestiges or archives of a life look like those albums one used to make to remember a particular journey in which tangible memories (flowers, tickets) and the small items of an already past moment were collected and stuck up. More "noble" subjects are also included such as photographs of paintings and engravings (Giotto, Pisanello, Tiepolo, in *Vertigo*), photographs of postcards (the Cimitero di staglieno in Genoa,

<sup>4</sup> Terms I refer to in *Le tiers pictural*. They are based on Richard Wollheim's work, as well as Carlos Baker's and Tamar Jacobi's.

Vesuvio), photographs of art objects like that of the St Sebald sarcophagus in Nuremberg (which also may be a postcard) in *The Rings of Saturn*, landscape photographs (seaside in Covehithe) and in the same “novel”, the façade of the Kurhaus in Scheveningen (85).

In *The Emigrants*, the photographs are linked to personal memories and take on a technical aspect. One finds more or less acheiropoietic documents, yet the reader has access to photographs of photographs (and at times photographs of photographs of photographs, if one bears in mind the first book layout), thus pictures (at least) are at second-remove. Hence the Sebaldian apparatus shows how reading is performe anachronistic. For one reads a text which anticipates the photograph as “truth”, testimony, or referential anchorage. But at the same time the photograph of a document, of a photograph, of a closed and much worn leather bound Agenda (127) inserted in the text, arrests it but also testifies to a past time, a time before the text, before the writing of the text and thus necessarily constituting its pre-text. The picture truly “figures” memory resurrected from the text and together with it—with a sense of dramatic irony, for the reader knows more than the characters: knows they were there in the picture but also won’t be there for long.

The Sebaldian device wonderfully exemplifies what happens when the image opens up the eye of the text, when photography performs as critical idiom, understood as metareflexive device. Here we witness the full activation of the opening (as wound, as symptom, *aphanisis/epiphasis*) which first provokes a blinding effect and then a vacillation. The reader, surprised by the image, by a process pertaining to an aesthetic of surprise, holds her breath and considers it. She is under a shock as in front of the dead bodies in Bergen Belsen or in dreams. This is the case with the double page opening onto an engraving of Jerusalem under the moon in *The Emigrants* (138–139) surmounted by the list of churches, convents and monasteries the city boasts. The engraving seems to be framed by the text which announced it on the previous page. The text surmounts it and then closes the frame on the following page with the end of the list which closes up on The Church of the Holy Sepulchre. Another example, found in *The Rings of Saturn*, is the photographs of the double page of the “Black Diary, a kind of chronicle of the accused’s homosexual relations found when Casement’s home was searched [...] The authenticity, of the Black Diary, kept until recently under lock and key at the Public Records Office in Kew, was long considered highly debatable. . .” (131).

Written by Roger Casement, a Hero of the Irish Cause, who tried to find German help, failed, and “was then returned to Ireland by a German submarine”. He subsequently tried to stop the Easter Rising which was condemned to failure. The double pages, reproduced in *The Rings of Saturn*, are dated March 29<sup>th</sup> to April 1<sup>st</sup> 1903. The photograph of the agenda is striking for it seems materially present, the sloping penned handwriting clearly reporting the times and activities on board the ship cruising between Santa Cruz and Tenerife strike one as the genuine article. Roger Casement will be tried and sentenced to death for High Treason at the Old Bailey. His body was thrown in a lime pit in the courtyard of Pentonville prison from which it was exhumed and given back to Ireland in 1965. The brutal interruption of the text

with the words: “his body had been thrown” is followed by a photograph playing the paradoxical role of a caption—for usually words explain an image—bearing Roger Casement’s signature dated 14 April 1916. This word/image combination comes as a shock to the reader who has followed the debate around Casement’s alleged homosexuality, a fact which made him unpopular even among his Irish allies. This is all the more poignant as Casement’s plight was brought so close to the reader thanks to the intimate nearness of the hand writing, the format of the agenda, the dates, the square lines of the pages and the rising lines of the 1916 signature just before his death by hanging. The elegiac nature of photography and the fact that it has something to do with death, here plays in full (Cheeke). It also celebrates a form “of historical memory which is itself essentially photographic”.<sup>5</sup>

According to the different periods evoked and the necessity of the narrative, the documents pile up and change: different formats, origins, nature. Their variety and the inventiveness of the “*monteur*” hiding behind it are unbelievable. For we can use the term “montage” here in front of this virtuoso apparatus, in the sense G. Didi-Huberman uses it after Walter Benjamin, and the pictures take position in this dysposition of the images. With *The Emigrants*, the four tales of the Jewish emigrants caught up in the horror of the 20th century are dys-posed and dys-mantled then re-mounted together to be re-membered by the reader who eventually has a more complete vision of a vanished culture and people. He can better make up the chaotic story of the travails of dis-placed families.

In Sebald’s “novels”, for this device runs all along his *œuvre*, the excavating/recovering apparatus is truly “exposed” in a violent way. For violent it is, when the elected photograph, burrowing itself a space within the words of a page, performs a kind of “rape of the text”.

### **Effects of the word/image apparatus: exhibiting results**

The introduction of a visible image within a text produces a “reading event” for it abruptly opens the eye of the text, it provokes a rupture and a kind of syncopation of the visible when what seemed to be of secondary importance (an image included in a text) is on a par with its “other”. For there is a kind of violence here and a rape of the text which recedes in the background, working as a screen onto which a scene is performed, for it consists in few (or often no, in Sebald’s case) paragraphs, few indentations and the text as a block of words is pierced by image which makes its way through the greyness of the compact blocks of letters as called or heralded by the text itself. This staccato rhythm and the hybrid regime of the text are similar to the workings of memory, which is rarely linear and is often made up of images which

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<sup>5</sup> Cheeke remarked à propos Larkin’s war poems of 1960 that nostalgia and/or the elegiac nature of writing about the historical event itself (“the poem *MCMXIV* is about a photograph of volunteers queueing to join the army in 1914”) may also be a nostalgia for the medium (i.e. the reproduction of the historical event, its representation), that is, photography, “Perhaps producing a form of historical memory which is itself essentially photographic” (152).

more often than not appear in a sudden, haphazard, anachronic way rather than in a smooth diachronic fashion.

Adding, subtracting, multiplying, are all kinds of visual tricks playing with presence and absence. The nature of the photographic image changes. It is no longer the Barthesian “this has been”, the true testimony of the genuine photographic document. What is raised here is the issue of true/false and that of Coleridge’s “willing suspension of disbelief”. The recovered memory may turn out to be a mere artefact and the excavation, a hoax, a make-believe, a forgery. The stakes are high, for distortion may always be at work, as well as the risk of shaping the text “around the imperatives of [photography’s] own medium” for memory seems to be working along the same lines (Cheeke 152).

Between word and image, the “pictorial third” produced on the inner screen of the reader/spectator, as an in-between impression, neither text nor image but an oscillation of the iconotext, is even more present when image materially figures in the text (Louvel). W.G. Sebald systematically used it, producing a destabilizing reading effect resting on interruption, surprise, interrogation and prolonged contemplation. It imparts more flesh to the text (fleshes out the text?), that of a real that would return, often with violence. Conversely it may reduce the free play of fantasy. The introduction of images in a text triggers a recognition effect when the reader/spectator identifies a photograph and matches it with the ekphrastic passage. This is the case of Archduke Franz Ferdinand’s blood stained uniform tunic “holed by bullets and soaked with blood which must have been photographed for the press after being stripped from the body of the heir to the throne” on 28<sup>th</sup> of June 1914 (Sebald, *Rings* 95–6). This truly shows the interaction between history and photography and the latter’s role in the construction of historical discursive formations. The violence of such an image is coupled with the following one taken from *The Independent on Sunday* which shows the cruel execution and the bodies “hanged in rows like crows or magpies” (Sebald, *Rings* 97) of Serbs, Jews, and Bosnians by men of the Croatia Ustasha together with the Austrians and the Germans. Horror is slowly deciphered until it provokes nausea.

The Sebaldian apparatus raises numerous questions for the reader/voyeur/spectator who wonders where the image comes from? What archives does it belong to? Is it private or public? Does it come from newspapers? Is it historical? Is it truly the one quoted by the text? To what extent is it related to History? To say the least, Sebald’s text/image is threaded with doubts. This is not one of its lesser merits. These issues are germane to a kind of fiction I call “double fiction”, a kind of fiction which runs parallel to the book the reader is holding between her hands and which hovers above the words the reader is deciphering, because of the other text (other narrative or story) it suggests. It works in a way similar to “double exposure” or “double vision”, when illusion superimposes its mirages upon a text because of the use of images in a twinkling effect. “Double fiction” imparts the first text with a new fictional turn; it is first and foremost of a critical (metatextual) nature (intermedial criticism is the case in point). It also helps superimpose memory, history and their images onto a fictional text.

This kind of “double fiction” is of a migrant or nomad nature for it fluctuates and differs according to the readers. First, there will be as many books as their readers for there will be as many daydreamings and visions conveyed by these images as their viewers. Second, it provokes a second fictional effect which is not only textual but a visual and virtual word/image impression going well beyond the written text. These shimmering images are intertwined in a complex way turning the reader into a viewer/voyeur/spectator as well as a reader who has to trust the photographic medium to take into account the iconotextual work. This visual reading or “voyure” experience or “pictorial third” as I call it (Louvel), is caused by a hybrid text which is a mixture of word and image. Chevalier’s remarkable *Mary Anning* chronicles the discovery of a long buried past and follows the evolution of museums and their roles in 19<sup>th</sup>-century Britain as well as that of women’s slowly changing roles and places in society. If *The Wars* traces the role of images and photography in unearthing a personal and national trauma due to the first world war, Hemon’s *Lazarus* is another way of excavating a forgotten memory, that of a painful period and of its violent excesses. He truly brings back to light a visual testimony which touches the reader thanks to the photographic medium as proof. It also exhibits the recovery of an archive duly registered in the Chicago Historical Society as acknowledged at the end of the book. As for Sebald’s text as texture which weaves together photographs of photographs and printed words, it oscillates between travelogue, diary, autobiography, fiction, historical document, archive, short story: it truly is an iconotext as well as a nomad text from the generic point of view, from start to finish. These literary examples of mine show how once memory has been retrieved and re-constructed, once the past has been recovered, it finds place in a museum of words and images, and exemplifies what showing/exhibiting means. The word/image apparatus as montage serves to dys-pose, dys-play, de-monstrate topics of main concern. It both exposes and exhibits what has to be uncovered and takes part in the building up of an “archeology of knowledge”. It may also denounce and protest. Hence its ethical value too.

Image—photography in particular in the above examples—is the true “inventor” of the text, a term understood as the one who discovers a treasure like those Mary Anning painstakingly found. The inventor of/in the text discloses a hidden truth, the twinkling of a presence/absence, for it reveals what is latent in the text and brings in its own visual rhythm, a dazzling iconorhythm to the grey background of the printed page it opens up in full.

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## Building Visual Archives of Space in W. G. Sebald and Iain Sinclair

Eszter Szép

*The history of culture is in part the story of a protracted struggle for dominance between pictorial and linguistic signs, each claiming for itself certain proprietary rights on a “nature” to which only it has access. At some moments this struggle seems to settle into a relationship of free exchange along open borders; at other times (as in Lessing’s Laocoön) the borders are closed and a separate peace is declared. Among the most interesting and complex versions of this struggle is what might be called the relationship of subversion, in which language or imagery looks into its own heart and finds lurking there its opposite number. (Mitchell, “What is an Image?” 529)*

Both Winfried Georg Sebald and Iain Sinclair frequently incorporate visual elements in their books. In *The Rings of Saturn* Sebald incorporates in the body of his text photographs of photographs or of paintings, and of various documents, such as a diary, a newspaper cut, a map, or a catalogue of silk samples. In the short story collection *Slow Chocolate Autopsy*, a collaboration between Sinclair and the visual artist Dave McKean, we find three “graphic stories” delivered in a format experimenting with the comics layout.

As it will be shown, in both books digressive and associative narrative techniques are used (Long 137, Bán 115), and they both feature the topic of walking. They are both tempted to create an archive of knowledge,<sup>1</sup> and both face the impossibility of collecting knowledge with archival techniques, such as “unification, identification, classification and gathering” (Long 12). The goal of this paper is to argue that the visual inserts juxtapose to the narrative layer, by the frequent appearance of the structure of the grid, the symbol of rationalization. Word and image are of equal importance in these works (Mitchell, *What Do Pictures Want?* 47), and they together create what Mitchell calls “imagetexts” (*Picture Theory* 89). These imagetexts reveal the complexity of the questions these books ask about coming to terms with our past and representing both our cultural heritage and the process of coming to terms with it.

Visual elements have power: they foreground the physical aspects of the printed text. When a picture, as it very often happens with Sebald, interrupts the sentence we are reading, or is inserted between two syllables of a word, we start to regard not only the content, but also the appearance of the text. In effect, the photo

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<sup>1</sup>I use the word ‘archive’ as defined by Michel Foucault: “the idea of accumulating everything . . . , the desire to contain all times, all ages, all forms, all tastes in one place” (Long 11).

“opens up the eye of the text” (Louvel 40): typography, text layout, the rhythm of lines, the position of page numbers, paper quality—all the features that contribute to the physical appearance of the text become noticed.

However, pictures have traditionally been considered essentially different and even alien to words, and often subordinate to them (Mitchell, “What is an Image?” 527). Mitchell warns us to avoid comparing text and image, as they can have a “whole ensemble of relations” apart from similarity or difference (*Picture Theory* 89). He adds: “the medium of *writing* deconstructs the possibility of a pure image or pure text, along with the opposition between the ‘literal’ (letters) and the ‘figurative’ (pictures) on which it depends. Writing [is] . . . the ‘imagetext’ incarnate” (*Picture Theory* 95). Sebald’s works and Sinclair/McKean’s unconventional graphic story do not make word and image distinctions possible. Each page of the graphic stories in *Slow Chocolate Autopsy* illustrates this impossibility, while some obvious examples from *The Rings of Saturn* are those instances when the boundary between text and image is not distinct, but they melt into each other.

The real question to ask when confronted with these kinds of image-text relations is not “what is the difference (or similarity) between the words and the images?” but “what differences do the differences (and similarities) make?”—that is, why does it matter how words and images are juxtaposed, blended, or separated? (Mitchell, *Picture Theory* 91)

My answer to the above question is that in these two books taking the juxtaposition of word with image into consideration adds an extra interpretative layer to the narratives. Sebald and Sinclair have been linked on account of sharing common topics and a similar perspective, but not on account of the similar logic of their (very different) visual inserts and imagetexts. They both express concern about the representability of the past, they question the established cultural canon. Aimless walking is one of their important common motifs, related to which they both express deep concern about “the catastrophic outcome of the dreams of modernity” (Davies 250). Zsófia Bán shows that walking can be linked to the *wandern* motif of German literature (115), while in *Image, Archive, Modernity*, J. J. Long states that walking is a form of resisting modernity, its rationalist logic and practical devices of transport (133, 145).

### **Introducing *The Rings of Saturn* and *Slow Chocolate Autopsy***

Sebald’s *The Rings of Saturn* tells the story of the narrator’s journey in East Anglia. Walking along the Suffolk coastline or across fields, and visiting the towns of the area serves as a method of approaching and a method of writing about past moments of cultural decline (Bán 115). The story of the walk can be considered as a frame in which the narrator inserts his intricately structured micro-narratives about earlier travels (to the same towns, or to Belgium, for example), people he researched (for instance, Sir Thomas Browne) or books he read (Borges’s *Tlön, Uqbar, Orbis Tertius*,

or Browne's *Museum Clausum*, among others). The photographs that interrupt the narrative in what seems to be a random fashion are rarely referred to in the text.

The majority of Sinclair's works, for example *Lights out for the Territory* (1997) or *London Orbital* (2002), belong to the psychogeography movement, and their aim is to record all layers of culture of a chosen area, a "local community" (Bond 14). The first psychogeographers in France in the 1950s and 1960s wanted to study the city, their urban environment, with a combination of objective and subjective methodologies: "On the one hand it [the movement] recognized that the self cannot be divorced from the urban environment; on the other hand, it had to pertain to more than just the psyche of the individual if it was to be useful in the collective thinking of the city" (Sadler 77). Sadler is critical about the psychogeographical practice: to him it "offered a sense of violent emotive possession over the streets" (81). However, Guy Debord, the founding father of the movement clearly intended it to be an objective science: "Psychogeography sets for itself the study of the precise laws and specific effects of the geographical environment, whether consciously organized or not, on the emotions and behavior of individuals" (*Introduction* n.p.).

According to Debord, the three key features of psychogeographical method are *derive*, *détournement*, and *spectacle*. *Derive* refers to the spontaneity that is essential in the mapping of the city. Instead of a plan, an openness to impulses should govern the psychogeographer on his/her route. *Détournement* refers to the psychogeographical montage practice: elements (of the city) are taken out of context, and assigned new meanings. "The walker in *derive*, who is therefore not orientated by convention, can playfully and artfully 'see' the juxtaposition of the elements that make up the city in new and revealing relationships" (Jenks 155). Finally, psychogeographers are critical about ready-made visual relationships: "all of life presents itself as an immense accumulation of *spectacles*" (Debord, *Society of the Spectacle* n.p.). Commodities, 'see-worthy' spectacles are challenged by psychogeography, which for Debord was also a political stand. Ford quotes Debord: "*Détournement* not only leads to the discovery of new aspects of talent; in addition, clashing head-on with all social and legal conventions, it cannot fail to be a powerful cultural weapon in the service of a real class struggle" (36).

Sinclair and McKean's *Slow Chocolate Autopsy—Incidents from the Notorious Career of Norton, Prisoner of London* is a collection of short stories with a psychogeographic interest. The character called Norton appears in all of them, but the stories do not allow for a coherent interpretation of Norton's character: he is as changeable as the city he lives in. Instead of a person, it is rather the city that can be considered the protagonist. Three of the chapters are labeled "graphic story": in these Sinclair's dark world and drifting narrative style is matched by McKean's often disturbing and very intricate montages. These chapters use and abuse the toolkit of comic books, they are balancing on the boundary of coherence and incoherence. Panel connections are loose and elliptical, while panel boundaries are frequently and deliberately blurry and uncertain. As a rule, individual panels or pages risk information overload—or loss of information into the irrelevance of noise. "The page

manages to simultaneously look and not look like a comic. . . .The visual/textual clash presents a writhing vision on which the various distinctions that typically distinguish the comics page collapse into each other”, writes Venezia (n.p.), who also argues that in the case of these unique montages the traditional text-image distinction does not hold.

In this paper I examine only the first graphic story, *The Griffin’s Egg* in detail, and mention the other two, *The Double Death of the Falconer*, and *Scrip. Scribe. Script* only briefly. In all three of these stories the characters are frequently shown to be walking, and the narrator of *The Rings of Saturn* is also a keen walker. The pace of walking allows for noticing and brooding over one’s environment. Walking can also be interrupted by stops. As mentioned earlier, walking can be interpreted as a revolt against modern means of transport (Long 6). De Certeau compares the act of walking to the enunciative function of speech acts (97–99), and emphasizes its spontaneity:

Walking affirms, suspects, tries out, transgresses, respects, etc., the trajectories it “speaks”. All the modalities sing a part in this chorus, changing from step to step, stepping in through proportions, sequences, and intensities which vary according to the time, the path taken and the walker. These enunciatory operations are of an unlimited diversity. They therefore cannot be reduced to their graphic trail. (99)

The scepticism about maps expressed here (“cannot be reduced to their graphic trail”) is a central topic of both Sebald and Sinclair/McKean, and is going to be examined in detail. But first I am going to explore the significance of the act of walking and its relationship to photography in *Slow Chocolate Autopsy* and in *The Rings of Saturn*.

### **Photograph, text, walking in *Slow Chocolate Autopsy***

For the psychogeographer walking is the key to deciphering the city.

[The] act of walking is an urban affair and, in cities that are increasingly hostile to the pedestrian, it inevitably becomes an act of subversion. . . . [T]he street-level gaze that walking requires allows one to challenge the official representation of the city by cutting across established routes and exploring those marginal and forgotten areas often overlooked by the city’s inhabitants. (Coverley 12)

Walking is just as evident for Sinclair’s characters. In *The Griffin’s Egg*, the ex-studio photographer Turner is walking in the city, quite uncertainly, as he does not know what to focus on. Norton hired and dismissed him in quick succession: “What am I supposed to do? Norton has the entire city on file—but he’s left me with no instructions.” (85) Their project would have been “providing pictorial evidence to support research undertaken by a man named Norton. To gain access to—& photograph—the riverside penthouse apartment of millionaire political fixer, &

blockbuster novelist, Lord Kawn.” (85) Turner, instead of spying on Kawn, walks and takes snapshots of a church. He does not organize the pictures he takes (87). He does not edit or interpret the city the way Norton would have demanded when he was hired.

Norton’s and Turner’s distrust of the other’s medium constitutes the body of the story. Turner was hired as an interpreter, but for him photos need no explanation: “Who needs a writer?”(88) He does not accept the primacy of language: “Fucking writers. Think there’s no memory without language” (90), while Norton calls the camera “an unreliable instrument of fiction, cursed with memory” (86). As various font types are used in the graphic story, their diversity is significant. I propose considering them imagetexts and assigning each font type to a character. The majority of the story is narrated in Axel Turner’s font. Whatever Norton is saying or thinking is in capitalized Century Gothic (84, 86, 88, 91). The way Norton’s sentences are remembered by Turner is printed with a font type imitating handwriting (87). Lord Kawn’s voice hovers bodiless above the story, like the mechanical voice in *The Double Death of the Falconer*, which in turn imitates J. L. Godard’s *Alphaville* from 1965. Lord Kawn’s sentences are given Lucida Console font (91, 92, 93).

Although Norton and Turner stand for two contradictory sides in the debate between word and image, their arguments are represented by McKean with the same logic. Regardless of the content of the text, we are offered complex panels where there is no point in separating word and image. Ironically, Turner’s (verbal) opinion to “Pin down the true images and words are redundant. Stick any two postcards to a wall and you’ve got a narrative. UNEDITED” (88) coexists and forms a frame with the photograph of a Secret Intelligence Service building at Lambeth. His argument for natural, picture-motivated narratives is juxtaposed by a picture of an enigmatic narrative-producing institution.

Another enigmatic imagetext is Norton’s advertisement “WANTED: INTERPRETER. UNEDITED CITY” (84). However much Norton detests photography, his sentence is printed over a cityscape montage, where the great number of spires highlights the amount of information to edit. An example for page level imagetext is page 91, where Norton’s sentence “Surveillance is the art form of the millennium” is seemingly not part of panel structure: it is not part of any panels. However, as images, Norton’s words do contribute to the layout of the page. They are printed in the bottom right corner, their line gives balance to a page that is operating, from top to bottom, with lighter and lighter colours. This sentence also reorganizes page semantics: reading it sheds new light on the security camera images, or that Turner is following a person, possibly Norton. The extract of metanarrative provided as part of the montage also centres around surveillance: “Page given over to surveillance imagery—as narrative now moves deeper into Secret State territory. Panel 1. On surveillance camera” (91).



Figure 1: *Slow Chocolate Autopsy* 91.

### Photograph, text, walking in *The Rings of Saturn*

The narrator's Suffolk walk in *The Rings of Saturn* offers the excitement of exploration and the pleasure of revisiting familiar places. The narrator compares his previous experience to what he sees, and finding that the routine of life is the same as it used to be reinforces him. He uses expressions like "as I have often found" (51), "I sought the familiarity of the streets" (92), and "I have never encountered" (225). The familiarity of places motivates repetitive actions, as illustrated by the quote below:

Whenever I am in Southwold, the Sailor's Reading Room is by far my favourite haunt. . . . So on this occasion too I entered the Reading Room to see whether anything had changed and to make notes on things that had occurred to me during the day. At first, as on some of my earlier visits, I leafed through the log of the Southwold, a patrol ship that was anchored off the pier from autumn of 1914. (93)

The narrator's meditations over the past are rooted in the confirmation of the unchanged present. Finding what he expected, experiencing a certain timelessness create the proper atmosphere for the narrator's associative broodings. The narrator connects the present of the Suffolk countryside to analogous distant places or atmospheres of the past, known to him via reading. On the one hand, the narrator particularly enjoys moments of arrested time:

I sat alone till tea time in the bar restaurant of the Crown Hotel. The rattle of crockery in the kitchen had long since subsided; in the grandfather clock, with its rising and setting sun and a moon that appears at night, the cogwheels gripped, the pendulum swung from side to side, and the big hand, bit by bit, in tiny jerks, went its round. For some time I had been feeling a sense of eternal peace. . . (96)

On the other hand, whenever the narrator encounters evidence of change or something unexpected during his walk, a sense of panic and weakness overwhelms him. When, contrary to his expectations, he finds the seaside resort of Lowestoft even more deserted and "run down" than fifteen years before, he writes: "[a]lthough I knew all of this, I was unprepared for the feeling of wretchedness that instantly seized hold of me in Lowestoft" (42). Similarly, when at the Covehithe cliffs he comes upon a couple making love below him at the coast, he is "overcome by a sudden panic" (68) and physical weakness: "[f]illed with consternation, I stood up once more, shaking as if it were the first time in my life that I had got to my feet, and left the place, which seemed fearsome to me now" (68).

Later he is overcome by panic when he gets lost: "I stuck to the sandy path until to my astonishment, not to say horror, I found myself back again at the same tangled thicket from which I had emerged about an hour before, or, as it now seemed to me, in some distant past" (171). Parallel to losing orientation in space, he loses his orientation in time. "I cannot say how long I walked about in that state of mind." (172)

The view the narrator absorbs must be unaffected by time so that it can serve as the background for his broodings about various instances from the past that support his concern about human civilization. "The narrative is . . . one of melancholy despair: the universe is grinding down and humanity is bent on accelerating our eventual demise" (Beck 82). Twenty-one photos of the book illustrate directly the places the narrator visits, the remaining fifty-one support his broodings. The photographs that show stops in the narrator's wanderings are deliberately "amateurish". We are offered

five pictures of empty beaches (44, 51, 69, 155, 225), where the universal *greyness* of the sky and the sea is matched by an unnecessarily detailed view of sand – they could be schoolbook examples of tonelessness and noise. Sebald speaks about grayish tones in an interview: “I believe that the black-and-white photograph, or rather the gray zones in the black-and-white photograph, stand for this territory that is located between death and life” (Scholz 108). Amateurishness is turned into a tool: Sebald uses the toneless quality of his pictures to support both the message and the tone of his micronarratives on decay.

The pictures of the walk also seem to be composed in an ad hoc manner. Some examples: the photograph that he offers of a canal (138) resists all attempts at composition, while the photo of the bridge at Orfordness military base shows a tiny structure in the centre, too small to open up an interesting perspective (235). The Orfordness buildings are tiny dots in the distance, between a section of sky and a section of dust (236). Interestingly, the two photographs about the home of Michael Hamburger, friend and writer, represent a sharp contrast to the other photographic documents of the narrator’s journey: they offer an intricate geometry and are carefully composed (183, 184).

Taking photographs during walking has several functions in the narrative. Firstly, photographs serve as visual aids for remembering. They are not meant to possess aesthetic value, they are meant to enhance memories. As Sebald explains:

I use the camera as a kind of shorthand, or *aide mémoire*. I don’t tie this to any artistic ambitions at all. Most of the time my camera is something cheap. But I’ve taken to carrying it in my pocket at all times if possible. And I don’t care either what kind of film finds its way into the camera.

(Scholz 106)

Sebald also talks about the ties of the photograph to reality:

Strange things happen when you aimlessly wander through the world, when you go somewhere and then just want to see what happens next. Then things happen that no one is going to believe later. And what comes next is very important: it is necessary to somehow capture and document these things. Of course you can do this through writing, but the written world is not a true document after all. The photograph is the true document par excellence. People let themselves be convinced by a photograph.

(Scholz 105-6)

Naturally, using photographs as documents is very problematic (Snyder and Allen 151-152), and Sebald’s books benefit a lot from the uncertainty around the medium. As Louvel says, the photograph “triggers more fiction” (46). It is not only that photographs can be manipulated, but their very existence is the result of manipulation of paper with chemicals. The bad quality of the photos also frequently reduces their documentary status. These photos are inserted “to be read as fictional elements”

(Horstkotte 60), and not as transparent documents: “Sebald constantly unsettles readers’ assumptions about the photograph as document and evidence of the real” (Horstkotte 72).

The third function of the photographs taken during walking is to support the narrator’s need to focus on the unchanged in order to be able to think about “history as a story of universal decomposition” (Beck 76). He never takes photos of people: he takes photos of the background. There are no people at the Lowestoft Central Railway Station (48), only their abandoned cars. The towns seem deserted (41), photos of nature show traces of humans, man-made canals or tents of fishermen, but never people.

### **The *Flâneur* and the Tourist**

As we have seen, walking and taking photographs are central motifs in both books. In this section I would like to contrast the two typical characters for whom these two elements are central: the tourist and the *flâneur*. My aim is not only to shed light on their opposing attitudes towards walking and the city, but, most importantly, to contrast their different attitudes to photography.

Tourism and *flânerie* are modern inventions, made possible by a fortunate combination of routine, leisure time, and income. Interestingly, while the *flâneur* is generally praised, the tourist is described in secondary literature as a shallow figure, almost as a cultural enemy. For example, MacCannel explains that tourists engage in a lot of activities during their holidays because they feel guilty for not spending their time with work (23-37). Sontag’s view that the compulsion of tourists to take photos has “a work-driven feel about not working” (10) expresses a similar idea. In contrast, the figure of the *flâneur* is interpreted as an “attitude towards knowledge,” or as a metaphor for accessing modern urban culture (Jenks 146, 148). Historically, the solitary *flâneur* appeared in nineteenth-century Paris (Coverley 10), and acted as a disinterested observer. The character has changed a lot, and became more politically and socially engaged (Ford 36). In this study I use the word *flâneur* for sensitive walkers who stroll aimlessly in non-touristic areas, and record what they encounter while constantly questioning the “spectacles” they are offered. In *Slow Chocolate Autopsy* it is only Norton who can be labeled a typical *flâneur*. He chooses to walk and record, while Turner does so only because he starts to work for Norton. Interestingly, walking with a photographer was the method that Sinclair himself followed in *Lights out for the Territory*.

The *flâneur* has a notebook in hand and takes notes of what (s)he has seen and further things to check, while the tourist has sights on his checklist. The *flâneur* collects information and creates an archive by reorganizing it: he seeks minor details and inserts them in an associative context. Both of them take photos to document, to take possession of a place (Sontag 9), but these are very different photos. For the tourist “[p]hotographs will offer indisputable evidence that the trip was made, that the program was carried out, that fun was had” (Sontag 9). The tourist puts his/her camera between him/herself and the world, sees the world through the screen of a digital

camera. In contrast, the *flâneur* uses the photograph to administer, after close observation, the place itself. The tourist puts the photos in albums (or more recently, does not even have them printed), while the *flâneur* works with the photos, organizes and reorganizes them.

When the tourist goes sightseeing, (s)he takes part in a ritual: “[t]he ritual attitude of the tourist originates in the act of travel itself and culminates when he arrives in the presence of the sight” (MacCannell 43). By visiting places prescribed to him/her, sights that cannot be missed, the tourist tries to “overcome the discontinuity of modernity” (MacCannell 13), the fragmented nature of the modernized world (s)he suffers from day by day. The guidebook and the map are his/her facilitating objects: they offer a matrix of sights and curiosities that can be filled in.

Sebald’s narrator refuses to visit the must-see British cities, or sights highlighted by guidebooks and tourist offices. It is a gesture of revolt to choose Suffolk over more touristic destinations, such as “The Top 10 Natural Wonders of Britain,” as listed by *VisitBritain*. Moreover, once in Suffolk, the narrator avoids sights: he walks across agricultural fields, spends his time in pubs, stays at hotel lobbies, or just walks the streets aimlessly. In the meantime he thinks back, in ways that eliminate the possibility of him ever being a commodity tourist, on earlier travels that included visiting more touristic places, such as museums, galleries, or churches. At the collection of Mauritshuis he offers a deep understanding and reinterpretation of Rembrandt’s *The Anatomy Lesson*, at Nuremberg he establishes a personal connection between him and St Sebolt, calling him “my patron saint” (86).

In accordance with the German subtitle, *Eine englische Wallfahrt (An English Pilgrimage)*, the narrator is a pilgrim of former touristic resorts and forgotten transport hubs. Although there is no mention of it, he may be visiting places recommended by his early-20<sup>th</sup>-century guidebook. He inspects what has become of the fashionable towns of earlier times, and finds what he expects: decay on a historical scale. He visits Dunwich, a flourishing centre of international trade in the Middle Ages, or celebrated tourism sites of the Victorian period. He describes the Victorian splendour of the Suffolk coast: “Under the patronage of their [the Hohenzollern’s] imperial majesties, the North Sea coast might become one great health resort for the upper classes, equipped with the amenities of modern life. Everywhere, hotels mushroomed from the barren land. Promenades and bathing facilities were established, and piers grew out into the sea” (224–5). By now, however, these places are empty ghost-towns. The photograph inserted in the middle of the sentence quoted above shows an abandoned coastline with not even the traces of the described piers or promenades.

### Maps and Digressions

The biggest help for the tourist is the greatest enemy of the *flâneur*: the map. Neither Sebald’s narrator, nor Sinclair/McKean’s Turner or Norton use it. They can be described as improvisational walkers who disregard the offered routes of the map, and whose “[d]estinations emerge as a contingent by-product of walking, not its *telos*”

(Long 136). One's route can be traced on maps, however, as de Certeau states, by transforming the activity of walking into dots and lines on the map the "[s]urveys of routes miss what was: the act itself of passing by" (97).

For Sebald's narrator and Sinclair/McKean's characters the map is an artificial structure imposed upon space, they are "intentional structures that embody social values and power relationships" (Long 130). As Long explains, maps are linked to the colonial enterprise and railway expansion, and offer the "practical rationalization of space" (131): in them space is reorganized into homogenous and equal parts of the grid, so that it can be ruled, rationalized, and used (77-86). The map, and not only those early ones with large white unknown territories of which Sebald also writes in chapter V., offer the illusion of empty space. Space that is not controlled or edited yet. The edited place of maps could be Norton's dream, but instead this kind of edition is his nightmare.

Touristic maps offer the homogenizing grid and an intricate hierarchy at the same time: the editors highlight some sights over others, emphasize the beaten track (Long 132). Labels and small pictures of sights are frequently inserted, by which streets or their names are often eliminated. Psychogeographers also work with and frequently create maps; however, these are very different: they record the processes of how space is used and experienced, and not how established routes offer it for usage. The movement of people frequently overwrites the rationalized structures offered by maps. Recording these constitutes a different representation of space. Debord says:

The production of psychogeographical maps, or even the introduction of alterations such as more or less arbitrarily transposing maps of two different regions, can contribute to clarifying certain wanderings that express not subordination to randomness but total *insubordination* to habitual influences (influences generally categorized as tourism, that popular drug as repugnant as sports or buying on credit).

("Introduction" n.p.)

A distrust of maps is present in *The Rings of Saturn* where the map of East Anglia demonstrates how space is edited: Orfordness secret military base is not shown. This map also features the established routes one is supposed to follow, the contacts these routes allow for, and white territories regarded uninteresting and empty.

The *flâneurs* of the two examined books have various techniques to avoid the power of the map. The first is simply disregarding what is shown. Sebald's narrator frequently abandons paths and walks through fields, even if it is physically more difficult to do so. As a more radical form of revolt, the map of London is cut up into small pieces in *Slow Chocolate Autopsy*. *The Double Death of the Falconer* begins with the images of two maps, an earlier one of the City of London, evoking the irregularities of a hand-drawn tradition and the style of early prints; and a modern and scientifically more accurate map of Battersea Park. Compared to the intricate forms of the first map, the map of the park is rather simple: it offers a simplifyingly clear view

of mostly grey space. In an attempt to rehumanize the map, trees and figures are drawn on its surface.

The map of the park is cut up into what at first sight seems to be four pieces. There is empty white cross-shaped space between them. A closer look reveals that the four map-pieces do not complete but mirror and repeat each other. Certain elements are even shown twice. This reorganized layout refuses established structures and offers the map as an object with aesthetic value rather than an object to be used as a guide.

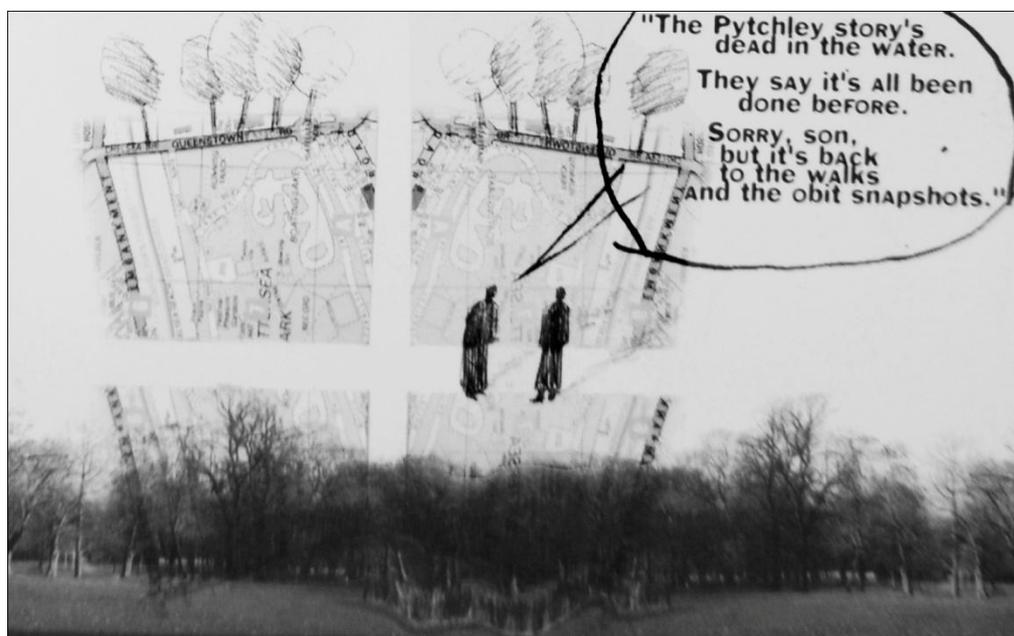


Figure 2: *Slow Chocolate Autopsy* 131.

The same cut up map appears at the end of the story (131), where it is juxtaposed with a photo of the actual park. We can see the branches of the bare trees that are rendered by the map as uniformly grey park terrain. The photographic image is also an answer to the drawn trees: the stereotypically rich drawn canopies are contrasted to the intricate structures of leafless branches. However, at a closer look it turns out that the photograph is the result of manipulation: it consists of two mirroring parts, though the axis is not so easy to see. The photograph's claims to reality turn out to be just another convention, contrasting the conventional structure of the map with the photograph is "dead in the water," as one of the drawn figures says about the short story itself.

In the case of both Sebald and Sinclair/McKean, not following the map is matched by the narrative strategy of not establishing and following one clear storyline: we are offered a multitude of micronarratives. We can easily feel buried and lost in narrative threads. As Long says about Sebald, the reader becomes uncertain about which stories are important and should be remembered in detail, and which needn't (143). This is absolutely true about Sinclair's psychogeographical works, while the graphic stories of *Slow Chocolate Autopsy* offer elliptically structured

narratives with unconventional visual support. Long calls this narrative technique “the poetics of digression” (137). In Sebald’s and Sinclair’s decentered narratives “each digression is soon abandoned in favour of another digression.” (Long 137-142). This technique is contradictory to the efficiency of the map. Sebald’s strategy of one story leading to the next, and Sinclair/McKean’s devotion to details result in an accumulation of narratives and information: we get archives of knowledge.

### **Archival Logic and the Grid**

The Foucauldian perception of the archive as the collection of knowledge is very much present in the works of Sinclair and Sebald. In his psychogeographical works Sinclair collects all accessible information about a location. In *Slow Chocolate Autopsy*, the characters attempt to build archives of knowledge: Norton and Turner file and edit the city, or Frankie’s assignment in *The Double Death of the Falconer* is to find and tag Norton. The visual representations highlight the validity of such an interpretation: repetition of the same or slightly different visual information is a key aesthetic principle of McKean’s comics. (See, for example the sequence of CCTV images in Figure 1.) In McKean’s montages pictorial accumulation frequently results in catalogues of faces, situations, or settings.

One of the settings of *The Double Death of the Falconer* is the National Portrait Gallery, where Alex Turner’s photographs are exhibited. Museums and collections are typical embodiments of archival logic, they embody the modernist idea that a totalizing order of things can be achieved and showed adequately. Like maps, museums are very much indebted to the colonial enterprise. Both Sinclair/McKean and Sebald are very sceptical about the ways museums and archives reorganize knowledge. In the digressive, drifting structures of their narratives these authors revolt against the clearcut, classificatory logic of the archive. Beck emphasizes the rebellious nature of Sebald’s text against the archival logic of modernism: “The book is about the erosion of confidence in the power of representation to record a knowable world adequately and thereby control it” (75). However disillusioned Sebald may be about modernist ways of representation, what he offers on the pages of *The Rings of Saturn* is a collection of photographs. These photos occasionally illustrate the function and malfunction of archival logic. A picture of catalogued butterflies (274) and the Norwich silk merchants’ sample catalogue (283-4) represent the functioning archive, while the two photographs of victims of mass murder (60-1, 97), and the messy piles of documents in Hamburger’s house (184) represent the breakdown of archival logic.

Whatever the texts may claim, however sceptical they may be about devices of order, such as coherent narratives, archival structures and maps; the visual inserts and representations frequently undermine that scepticism. The result is not a simple opposition, but text and pictures together illustrate and explore the complex problems of thinking in archival terms, creating archives, or rebelling against their logic. The visual worlds of both books reveal a deep and self-reflexive understanding of archival-rationalizing logic, or rather, of anarchival-rationalizing gaze. It is no coincidence that the structure of the grid is frequently featured in the visual inserts of

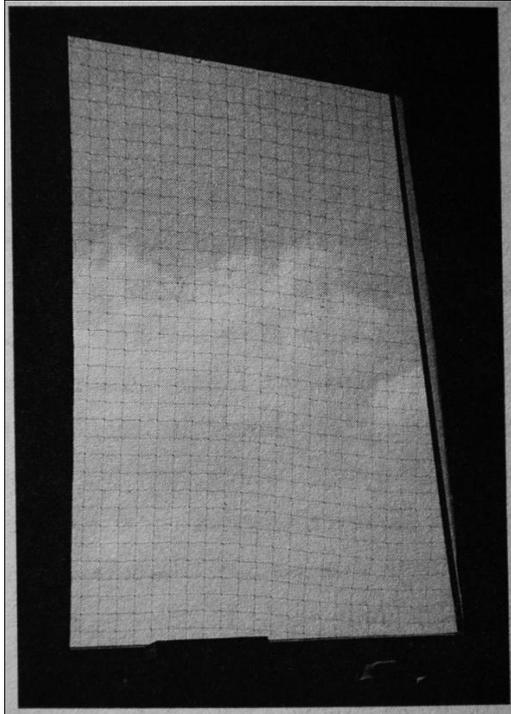


Figure 3: *The Rings of Saturn* 4.

both books. The significance of this motif can only be understood if we examine, with Mitchell, “what happens if we question pictures about their desires instead of looking at them as vehicles of meaning or instruments of power” (*What do Pictures Want?* 36). The grid, the symbol of normalization and rationalization, appears more frequently than any other motif. It is an ever-present sign: it shows that in spite of the digressive narrative technique and the frequent criticism of archival structures the authors, narrator, and characters are aware of the presence of an artificial structure. They are aware that they are constantly imposing this artificial and rationalizing grid upon whatever they are looking at. This is the point where the visual ceases to be a mere illustration of the text: the grid that the inserts highlight is a visual expression of scepticism central to both examined texts.

The very first picture of *The Rings of Saturn* is emblematic in this regard: it shows the view from the window of the hospitalized narrator (4). However, what we actually see is not the view, but the safety grid in front of the window. A similar grid stops us from naively looking at the outside world in Hamburger’s study (183). The map of Suffolk has already been mentioned: here, too, the grid that divides space can be made out more easily than the routes the map shows (232). The grid that Sir Thomas Browne created is a historical example of the ever-presence of the grid structure (20). Its description is the only textual mention of the grid:

Browne records the patterns which recur in the seemingly infinite diversity of forms; in *The Garden of Cyrus*, for instance, he draws the quincunx, which is composed by using the corners of a regular quadrilateral and the point at which its diagonals intersect. Browne identifies this structure

everywhere, in animate and inanimate matter . . . Examples might be multiplied without end. (19-21)

For Browne the quincunx is the basic structure of nature. In contrast to this organic view, the grid appears in the two books as an artificial structure, which is created by us.

In three photos Sebald shows how he perceives the relationship of the grid and nature. By human interference, namely agriculture, a grid is imposed upon nature: the fields watched from above reveal a grid structure (230). Early on in the book we can see a picture of a bird in a cage: the bird is seen and photographed via a square of the grid, but the photograph also reveals the prison of the cage (37). Sebald also shows a picture of trees after the 1987 hurricane (228). This photo is so bad in quality that we can hardly see anything apart from thick dark lines of pixels and visual noise, and possibly the structure of the paper the picture was printed on. As it happens, what gets our attention in the picture is not the trees, but the grid.

In Sinclair/McKean's *The Griffin's Egg* the breakdown of archival knowledge becomes significant with the mysterious death of Turner: in my reading he discovered that Norton and Kawnare the same person, that the archive of the city that they were editing is arbitrary and self-serving. To silence him, he mysteriously gets entrapped in the griffin's egg, an ornament at Kawn's windowsill. Before the discovery we see Turner climbing a skyscraper (92), the grid-like structure of which has appeared in many panels. This grid helps him reveal the loophole of the archive, and in return the last page of the story, his death, is rendered in a grid form: the two columns of four panels are units of a thick black grid. In *The Double Death of the Falconer* the grid structure of maps and medical records are returning motifs. At one point the small pictures of McKean's montage take on the form of frames of photographic negatives organised in a film negative album – constituting a grid (118).

As Louvel explains, in Sebald's works there is a certain "recognition effect" when the reader or viewer identifies a picture with its textual description or reference. At the very same moment the element of doubt also appears, as we do not know where – from which archive – the picture comes from, or whether it really shows what the text describes (46). In this way the method by which the pictures are inserted in the texts illustrates the very doubt the text has about archival structures. The same recognition effect applies for Sinclair/McKean's work: its elliptic structure and visual hints are presented as riddles to the reader. Yet finding a possible coherent interpretation, establishing an order in the graphic story never offers satisfaction: the montages do not offer the illusion of having grasped everything. The motif of the grid that is present in the representations of both books shows attempts at arriving at a comprehensive structure. The grids appearing in the photographs and montages juxtapose the expressions of doubt about maps, institutions, archives, organized knowledge. Visual and textual representations together show both the difficulty and the necessity to create such structures.

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## Elements of Pilgrimage in Non-Religious Contexts: Non-places and “*lieux de memoire*” in film location tourism

ANDREA HÜBNER

### Introduction

This paper wishes to analyse pilgrimage in the non-religious context of alternative touristic trends, especially film location tourism. On the basis of motivations and values added to the “toured place” (Belhassen), the semantics of film tourism seems to be comparable to that of pilgrimages. The essential feature of all pilgrimages is the fictitious nature of the place visited, as it is saturated by and gains value from religious contents instead of physical/historical/architectural/etc. essences.

Tourism studies often regards authenticity as the very product marketed by tourism. There are industries to sustain and develop the feeling of authenticity and to serve the growing (and artificially generated) demand. The assumption to test in this paper is that the concept tourism literature labels *authenticity* (which is claimed to be self-evident and given as something concrete and possible to sell) is exactly the same phenomenon as *fictitiousness* in terms of cultural memory studies (Halbwachs 1941; Assmann) and can be best examined with methods of social psychology. Authenticity in terms of fictitiousness may in turn be investigated in the framework of Moscovici’s social representation theory, which studies the processes and contents of representations in relation to social dynamics: things that are represented become part of common social knowledge consistent with the reality of the group (Wagner). Moscovici’s approach has much in common with the theory of cultural memory, above all in its approach to culture by relating social sign systems to cognition in terms of psychology (László, “Narrative organizations”).

On the basis of this hypothesis my paper aims to investigate whether cultic attitudes performed in verbal and visual representations can be detected in the behaviour of the so-called film-tourists. The basis of this assumption is that the attitude we call cultic is related to religious behaviour. Religious behaviour in this study will be reduced to forms of pilgrimage, the object and goal of which is imaginary and fictitious, existing only in the pilgrim’s perception and in his experienced reality, constructed upon his preconception. The background of this study is provided by an on-going research project in social psychology among film tourists, based on interviews and questionnaires.

As I will argue, these places do not exist beyond the pilgrim’s—and the tourist’s—perception of reality, at least not in the way that they could be called “anthropological spaces”, with a history and a tradition in the general sense. Augé claims that “non-places” are not “anthropological spaces” because they do not have a history by which they are determined (78). I wish to develop Augé’s concept arguing

that places filled with imaginary contents and essences may be considered fictitious and even non-existent even in the extreme case of a built, hence tangible, object or a building. The aim of this paper is to prove that *non-places* are created by a special religious perception and cultic mode of behaviour which recreates existing spaces by physical movements: the “toured place” may be conceived as a re-created topography, a re-mapped location. Since fictitiousness may be equated with the concept Halbwachs called “legendary” (*La topographie legendaire*), it seems reasonable to investigate pilgrim behaviour in terms of the theory of collective and cultural memory.

Technically speaking, tourism literature will be confronted with the literature of cultural studies and social psychology to touch upon the motives of the tourist-pilgrim. Tourism industry and marketing strategies usually take motivations for granted: the tourists are handled as target groups only from marketing points of view, with regard to business communication, slightly touching upon (sometimes vulgar) psychology. The trend lately called *experience economy* (Gilmore) is specifically concerned with selling the experience, rather than something material and tangible. This seems to grasp the outlines of the phenomenon without explaining tourists’ behaviour, manifestations of attitude, motivations, manipulation, or channels of interest.

Who is the pilgrim and who is the tourist? When does the tourist turn into a pilgrim, and when does the pilgrim turn into a tourist? Are the two concepts permeable? What is the relic, and what is the souvenir? When does one turn into the other? In order to reveal motivations, interviews were taken with (mostly young) film tourists, focusing on questions of film watching habits, evaluation mechanisms, taste, motivations for visiting film locations, emotions, reactions, and elaboration of the experience. In order to see how they communicate their travel, verbal and visual manifestations on the social media were also closely examined.

### **Mitchell’s “pictorial turn” vs Stafford’s “ocular-centricism”**

Visual representation on the internet is an important contemporary mode of how travels are communicated. In the interviews I made, young people repeatedly claim that pictures on the social media are more important to them than texts. The pictures often bear witness to a grandiose and unreal impression, showing a wished status and position in an imagined landscape Stafford calls “dreamscape”. It is a widespread phenomenon to post imaginary filmic places on the internet with the tourist being the protagonist of the scene, as if he stepped into the reality of the movie by simply physically being on the spot where the films were shot (Roesch). This is to be examined firstly from the point of view of art history, then, secondly, from the point of view of culture and social psychology, as visual modes of social representation and, thirdly, in the scope of the tourism-industry, in order to investigate how the sold object is visualized and in what ways marketing strategies and advertisements operate, and how all these manipulate people via artificially-created and self-generated mechanisms.

Art historian W. J. T. Mitchell has written about the “pictorial turn” in contemporary culture as “the widely shared notion that visual images have replaced words as dominant mode of expression in our time” (5). Barbara Stafford’s concept of “ocular-centricism” seems to overlap with Mitchell’s term: tourists approach the landscape as a wished spectacle they dream of, a “dreamscape” framed as a photo theme to be posted on the internet. According to Schoefield, the postmodern touristic space is a “media-imagined experience of space”.

Mitchell assumes that the media is a kind of “middle ground” between material and social practice, and this paradox is immanent in the concept itself: “The medium is just in the middle, an in-between or go-between, a space pathway or messenger that connects two things—a sender to a receiver, a writer to a reader, an artist to a beholder.” (204–205) However, the medium is really not between the sender and the receiver, but it includes and is a part of both.

### **Moscovici’s social representation vs Halbwachs’s collective memory**

I think that any kind of pilgrimage or tourism may be fruitfully investigated in the framework of Halbwachs’s theory of collective memory, especially because his influential case study focused on the legendary topography of the Biblical Holy Land, as realized in pilgrimages and the crusades. Assmann claims that Halbwachs’s original thinking can be seen especially in the fact that he, as a sociologist and a philosopher, dared to demonstrate his theory on such a marginal theme as the crusades (41). Assmann’s gesture of calling the crusades marginal is astonishing: the movement actually determined more than two hundred years in European history, with long-lasting effects not only in history, but also in religion and thinking: culture as such.

Georges Duby the prominent French medievalist claimed in his *Le temps des cathedrales* that it was the crusades that strengthened the impression that the Holy Land was reality, and that the Biblical places did in fact exist, thus underlining Jesus’s earthly life and human essence, i.e. the dual nature of Jesus. Duby maintained that all the important elements that characterize the High Middle Ages, from the cult of the Virgin Mary to scholastic thinking, come from the Jesus-centred new religion, to produce in the end what we call gothic art and architecture. Duby interpreted all these elements in a framework he labelled as “medieval humanism”. In Duby’s revolutionary concept, “medieval humanism” is related to the witness experience of pilgrims and crusaders. The theory claims that the mass experience (by troops of crusaders) of a “real” Holy Land changed the religious perspective of European Christianity, shifting its focus more to the human Jesus rather than the judging Christ of the *Dies Irae*. The *Maiestas Domini* image turned more and more into the concept of *Imitatio Christi*.

As Duby argues, crusaders and pilgrims experienced the reality of the Biblical places. They could see, touch and witness locations like Jerusalem, Bethlehem, Nazareth, the Mount of Olives, the River Jordan and the place of Ascension. These experiences could prove that the Bible was not a fiction (an idea directly to be

confronted with Halbwachs), because the places mentioned in the scriptures were all real geographical locations, which seemed to prove the reality of the Biblical events associated with them. As a result, Duby claims, even the images of Christian iconography underwent a significant transformation, with the appearance of iconographic scenes such as the life scenes of Jesus, or the tree of Jesse, which emphasised the human origin of Jesus. This new humanistic perspective also brought together with it the increased importance of Jesus's human mother, resulting in the cult of the Virgin Mary, and, according to Duby, even troubadour love literature is a result of the appearance of the image of the woman first through the image of the Madonna in the Middle Ages.

Georges Duby's argumentation seems to be the direct opposite of that of Halbwachs (at least with regard to fictitiousness). However, I think the two theories operate on different levels and with careful handling it may be possible to construct a complex theory of the two. What is important for us now is to prove, with the help of another influential interpretative system, that Halbwachs's theme was not only not marginal (Assmann 41), but truly ingenious. In other words, I think that Halbwachs did not only create an original new framing system for cultural interpretation, but also touched upon a theme that is specifically European and excitingly multi-layered. His findings in terms of the "legendary"—in our interpretation, the fictitious—are at least as important and exciting as his concept of collective memory. Moreover, Halbwachs's structure is to be especially appreciated because of the combination of these two. Assmann underlined the collective memory element, thus making the original idea triumphant, and developed a special structure to explain the interrelations of collective and cultural memory (54). However, the notion of cultural memory had been used and taken for granted even before Assmann, for example in art history: Hans Belting in his book *Bild und Kult* (edited in 1990, that is, two years prior to Assmann) uses "cultural memory" as a term parallel to Aby Warburg's *mnemosyne* concept and Jung's *archetypes*.

Contemporary postcolonial theory views the crusades to the Holy Land as crucial to European culture and the development of Euro-centric attitudes, arguing that the movement could be conceived as the first manifestation of European expansiveness, possibly to be understood as colonization (Feldbauer, Liedl, Morissey). The Euro-centric narratives created by the crusades speak in terms of binary oppositions, the dichotomy of "us" and "them". The originality of Halbwachs was not only to link social, cultural and psychological semantic layers of interpretation (László, "A szociális reprezentáció" 9–41), but also to touch upon the special discourse and curious narrative of the Holy Land for the first time.

Moscovici's social representation theory is closely linked to Halbwach's collective memory not only in the idea that both constructions are created in social communication, but also in both being sensitive to psychological processes. Halbwach emphasises the concrete nature of memory: "Any truth should take the form of a particular, concrete event, person, or space, concept and image should merge, so as to be preserved in collective memory" (*Collective Memory* 151). Similarly, Moscovici underlines that "concept and image are inseparable": two sides of the same coin in

social representation (33). “Visual images . . . are parts of the socialization and enculturation processes” and as such are integrative and central components of social representations (Mamali 3.2).

As mentioned above, film tourists claim that the pictures they take on the spot and then post on the social media pages are much more important than the text (comment) they add to it. The representation of film-tourism on the internet is mainly through the visual mode: a re-interpretation not only of movies, but also of famous traditional sites appearing in fiction (like, for example, Rome in *Angels and Demons*) or of places of no particular character or history (like the rock Bella jumps from in *Twilight*). As we have seen, the visual nature of film-tourism representations may be approached from various angles: from Mitchell’s art historical concept of the “pictorial turn” overlapping with Stafford’s “ocular centricism”, to Moscovici’s theory of social representation that has, in turn, several interrelations with Halbwachs’s theory of collective memory.

### **The tourist and the pilgrim**

Elements of pilgrimage appearing outside the terrain of religion are well-known to all of us from school excursions, when birthplaces, death masks, pens and slippers of famous literary figures had to be visited and observed on an obligatory basis. Conferences and publications prove the intensive study of literary cults from the 1980’s onwards, both in Hungary and abroad. To visit Shakespeare’s tomb or his birthplace are cultic forms of behaviour: Péter Dávidházi in his major work quotes Hungarian writer Magda Szabó who swore to herself as a little girl to kneel down at Shakespeare’s tomb if she could ever get to the church („*Isten másodszülöttje*” 269).

The cultic approach to outstanding literary, cultural, or historical figures has a long tradition. Visiting “sacred places” is a typical phenomenon of cultic behaviour: birth and burial sites of famous personalities have attracted visitors and induced tourism for a long time. Shakespeare’s birthplace in Stratford-on-Avon, Freud’s house in Vienna, or Rembrandt’s house in Amsterdam are important touristic spectacles. All these objects are available in the museum shop in reduced size, in puzzle or pop-up form, and can be taken home. Mechanisms of consumption strengthen the need for spectacles (Best) and institutionalise how the tourist attractions should be gazed upon, photographed and framed (Urry, *Consuming Places*). The “toured objects” (i.e. the places) are then captured and reproduced as previously imaged in representative examples. This phenomenon is again in connection with Mitchell’s “pictorial turn”, a shift that has been denoted as a transition into a society of spectacle. The real has become hyper-real or a simulacrum, the world has been replaced by a copy of the world. Eco has labelled this notion as the “*authentic fake*” (*Travels in Hyperreality*), a concept also to be paralleled with Stafford’s theories.

However, what is the fictitious element in these buildings that exist in evident reality and in a tangible form? The possible answer is that it is not the architectural or historical value we look for in these buildings—after all, old houses like Shakespeare’s house can be seen all over England. The touristic value is the personal

aspect that may make the figure of the famous author more human and personal, and possibly more consumable by a process of domestication. The motivation is not to know or to understand better the oeuvre of the author, and the phenomenon has got nothing to do with the interpretation of works of art. A huge number of visitors and potential visitors most probably have never read and will never read anything by the given author. These houses, then, are not what they are: they are permeated by a content that makes them special. Shakespeare's house is not one of the old English cottages, but the birthplace of the person considered the greatest genius of literature. In this sense, real objects can be called fictitious as well. They do not exist in the manner they are conceived and consumed, which means they do not exist in their original sense: they are not there as they are (for example as an architectural object) in the cognition of the tourist-pilgrim.

In Dublin there are touristic agencies operating to show scenes of *Ulysses* and in Moscow a significant number of guided tours are built around Bulgakov's *The Master and Margarita*: symbolic literary spaces are being concretized in forms of guided city tours. Ferenc Takács writes: "Dublin is now properly infused with the spiritual power emanating from the person, the life and work of James Joyce as memorial plaques, statues, commemorative ceremonies abound", and, as the curator of the James Joyce Museum in Sandycove claimed, the Bloomsday ritual is "an act, not merely of study, but of homage. It is, in fact, a sort of pilgrimage." (Takács 249) Real buildings filtered through a literary work of art gain new meaning by being released and by becoming independent of the work of art. In other words, it is not the original building that is looked for, but the one that had gained a special meaning through and by the work of art. The buildings and objects are present in their reality, and still, the building in front of the tourist as the object of what Urry calls the "tourist's gaze" is a fictitious entity (*The Tourist Gaze*).

The behaviour operating when we approach the birthplace or the tomb of the author is governed by a religious and cultic mechanism, with its special rites and language (Dávidházi, "Cult and Criticism"). The experience is not void of spiritual content, i.e., of the religious mode in the psychological sense. We may become emotional, we may cry, so a definitely elevated, sometimes even cathartic experience may take place. This is how the tourist can turn into a pilgrim and in the same way the souvenir bought at the "shrine" may become a "relic". The analysis of the extent to which every souvenir has got the potential to become a relic or whether souvenirs are produced with an innate relic-making intention exceeds the scope of this study. However, we may assert that the tourist may transform into a pilgrim and the pilgrim "dormant in many tourists" (Dávidházi, "Cult and Criticism" 39) may be resuscitated, even if only for a few seconds. The feeling of recognition or the experience of witnessing and testimony may take place several times during travel, bringing together with it an elevated and emotional state of mind. Equally, the pilgrim is often functionally a tourist. Besides his elevated state he needs accommodation, he has to eat, he spends money. This evident point has been fully exploited by pilgrim tourism, and as a result, pilgrimage is and has been not only a religious activity but an important trigger of economy from the earliest times.

## Religious pilgrimage

However, the goal of pilgrimage is in itself problematic. The most traditional destinations of pilgrim routes are the tombs of saints. But the decaying body as a cultic object is difficult to interpret in terms of the spirituality of Christianity. The cult of the saints used to be interpreted as hidden polytheism, through which believers can gain an easier access to abstract Christian dogmas. The so called “two-layer-model” wished to separate high and low culture also in terms of religious attitude much before David Hume’s *The Natural History of Religion* (Brown 51). According to this argumentation, abstract Christian dogmas are popularized and simplified in the cult of the saints: it was easier to pray to them and ask for their intervention than to believe and understand difficult concepts.

Gibbon quotes Hume who argued that sublimely simple ideas of the early Christians later became corrupted into a low-level folk mythology, which was introduced to restore polytheism (Hume 335; Gibbon 225). More recently, a miracle-sustaining element has also been underlined in studies of religious history. Peter Brown gave an absolutely new direction to saint studies, claiming that the miraculous motifs we find in the lives and martyrdom of saints are a continuation and maintenance of the miracle elements in the Gospels, a projection of a miraculous essence into eternity. Max Weber already argued that the miracle was the essence of medieval religious thought, cut short by Protestantism with its more rational attitude (*Die Protestantische Ethik*). According to Brown, the cult of the saints was the immanent essence of Christianity: through miracles, saints’ tombs, bodies and body parts became privileged sites where the two opposite poles of Heaven and Earth could meet (48). The tombs of the saints and the relics re-structured the space surrounding humans, sacralizing some of its parts and elements (Barna 14).

The understanding and perception of the “marvellous” (*merveilleux*) is related to sight (Le Goff 10) and was expected to elicit astonishment. Imagination, Le Goff claims, is a part of the representational field which does not simply transform reality into a mental image, but the method of conversion is a creative poetic process (*L’image médiévale*). The primary aim and motivation of the pilgrim is to witness, prove and physically experience the presence and reality of the saints by seeing or touching their relics (or at least the reliquary box or shrine): to prove and witness that the object and goal of his pilgrimage, the remains of the body or the memorial of it, really exist, and that they are definable by factors of matter and localization.

The most significant pilgrim goal of Christian Europe has of course always been the Holy Land, where it was possible to localize spots and places of Jesus’s birth, life, death and ascension. Pilgrimages to the Holy Land and the Crusades resulting from and rooted in these movements need to be interpreted in relation to a strange and unique tension, that is, we need to consider the consequences of the fact that the holiest place is to be found outside the territory of the practiced religion. Furthermore, it generates a strong visual and cultural tension that the holiest of relics, the body of Jesus Christ, cannot be seen, cannot be touched, cannot be witnessed, because “he went up to heaven and is seated at the right hand of the father” (Nicene

Creed of the Catholic Liturgy). The visualization of this mystery, the representation of the unrepresentable body can be examined in the iconography of the ascension, especially in the image of the so-called “disappearing Christ” (see Meyer Shapiro). Although the Christian concept of corporeality, as manifested in the case of the Ascension and the Resurrection, is not our topic here (but see Bynum), we can underline that pilgrim literature has always looked for Jesus’s material presence in the memorial places of the Holy Land.

### **Autopsy: the testimony of ‘here and now’**

The idea of *hic et nunc* is also covered by a classical rhetorical term. The so-called *autopsy* applies to the authenticity of the eye-witness and is the sole privilege of the person who visited the spot and can prove its reality. The expressions “I saw”, “I heard”, “I was there” all place the information in the framework of the personal perception of experiencing the event, which, due to the pilgrim’s privileged position acts as a mediator in the line of information transmission. Autopsy in Christian pilgrim books completed the typological reference system of the two books of the Bible, creating semantic relationships in terms of other territories and even in terms of the representation of the *other* beyond the *oikumene*. Exegesis, and all human life, was understood *secundum Scriptura* (Padgen 52). Via the Old and New Testaments, scenes realized for the traveller the whole Salvation story in the special form of a profaned and banalized, but at the same time humanized Christianity.

The travels are personal and human on the one hand, and eternal on the other, in a realization of the unique human experience. Descriptions of pilgrimages are objectified and material mementos of Lord God’s divine son’s human essence, domesticating the holy story (Campbell). As a result of personal presence, the traveller feels that he possesses the landscape and experiences a physical encounter with the place as if it were a kind of initiation, and by participation in the holy story he may feel a state of grace. Psychologically speaking, he experiences a special kind of religious cognition inducing an equally special kind of behaviour we may call cultic. Travellers of non-religious contexts such as film tourists also claim to feel sometimes a kind of elevation and katharsis according to the interviews. The experience of witnessing is a characteristic element of pilgrim literature. Elements of the same feeling can be detected in the descriptions of film-tourists both in terms of topoi, and language.

### **‘Lieux de memoire’, Jemeinigkeit, authenticity, fictitiousness and non-places**

Pilgrim places, the “*lieux de memoire*” gain essences originally not their own; that is to say, something that is not there, something that DOES NOT EXIST. (It is of course a theoretical problem whether there is a concept “originally intrinsic” to a place, or there are as many interpretations as experiences. The question is very complicated since the personal experience is itself not definable and depends on age, education, culture, psychological state, etc., and can be approached synchronically,

diachronically, hermeneutically, micro-historically, etc.. For the purposes of the present study we assume that there is a tangible sign system of a place to be understood geographically, historically, culturally, architecturally, that is worth examining from the point of view of the visitor's perception.)

The goal of a pilgrimage, the place of memory, is the place of witnessing: the authentic proof of the historical event, or that of the abstract concept of the Heideggerian "*Jemeinigkeit*" ('mineness') through the experience of '*hic et nunc*'. Collective memory may turn the *Jemeinigkeit* of memories via analogical transformation into a collective experience ("*Jeunserigkeit*") at the memory places and in the ritual behaviour practiced at the memory places (Ricoeur 56).

However, the experience of the '*hic et nunc*' may itself circumscribe the notion of *authenticity* that all pilgrims wish to feel, achieve and experience. For these places are constructs of remembrance, and not the memories of a historical reality. Memory and history are by far not synonyms. Pierre Nora claims that history and memory are almost opposites of each other: if history had not liquidated remembrance, there would be no places of memory (Nora 14). The pilgrim places, the *loci* or the "*lieux de memoire*" are filled with a content originally not their own, i.e. with something actually not there. The goal or destination of the travel does not actually exist, and its significance should not be looked for in its real representative presence, but in some other additional feature or value. The goal of a pilgrimage (or, in the broad sense, of every travel) is not a place, but, more precisely, a *non-place*. This is what we may call *fictive form*.

Augé argues that, as opposed to places, non-places lack a relational, historical component, and are without identity. These "are not themselves anthropological places . . . and . . . do not integrate earlier places, instead these are listed, classified and promoted to the status of '*places of memory*' and assigned to a circumscribed and specific position" (Augé 78, italics mine). In his view, the space of the traveller is the archetype of the non-place, as it involves a movement to places already possessing anticipated images implemented by the structure of tourism. Even though the terrain of Augé's considerations is the anthropology of supermodernity, his description is true of all forms of travel, and especially of pilgrim tours. Augé's point was further developed by Massey who describes this formation as a new (local, global) sense of place (*Space, Place and Gender*). Massey claims that a touristic experience is a space-creating process as a result of which local spaces gain characteristics of any kind in personal interactions. Place, on this level, can be equated with community, and perceived as "the authentic" (Young).

How does the sense of place come into being? The tourist, as it seems, will visit the places made significant by *cultural memory*. The touristic locality will become the special terrain of collective memory (Gergely 7). But acquiring a sense of place seems to be inseparable from an experience of otherness, which might challenge pre-existing expectations. Pilgrimages, and actually all kinds of travel, are experiences of otherness, concretely, in terms of space and time, and in the abstract form as well: they will create new human relations among those on travel, and among the travellers and the locals as well. Plenty of medieval sources reveal how social

relations, morals, hierarchy and many other factors collapsed during a pilgrim tour (Malouf).

Jan Assmann in his book on cultural and collective memory elaborates on Halbwachs's postmodern thought, according to which the movement of the Crusades that defined and determined Europe's history for centuries was actually based on a *legendary*, that is to say, a *fictitious topography*. The places of the Bible were considered and accepted as real, and thus the memory places have been looked upon as proofs of historical events. Witnessing as a cognitive and representative act may, in turn, certify the location as real through the mutual relationship of specialization and spatialization processes. As we have seen, Halbwachs labelled the European medieval interpretation of the Holy Land as "*legendary*"—a concept, I would argue, not easily definable in terms of *authenticity*, *fictivity*, "*non-placeness*" or *Jemeinigkeit*. However, Caren Kaplan's "mythologized narrativization of displacement" (in *Questions of Travel*) may serve as another conceptual tool towards the interpretation of Halbwachs' "*legendary*". In order to see how the "*legendary*" is different from either the notion of *fictitiousness* or that of the *non-place*, we might start with the clarification, in the case of both concepts, of their relation to, and distance from, reality. The concept "*legendary*" may be defined as a displacement of an otherwise linear unity from the realm of natural reality onto the terrain of a mythological reality, keeping the coherence of the narrative, while *fictitiousness* may be conceived as an intricate web of mutual non-existences in terms of movable localizations.

With an extension of Benedict Anderson's concept of "imagined communities", *fictive places*, I think, could also be called *imaginary* or even *imagined places*. According to Anderson's anthropological approach, the nation is a political community whose borders and sovereignty are both imagined and innate (Anderson 20). His famous example of the tomb of the unknown soldier touches upon the problem of the fictive tomb containing nobody's ashes (23). In a footnote (23(1)), he mentions the *cenothaphium*, an ancient Egyptian type of pseudo-tomb, which was erected in case someone's body was not available for funeral. Anderson is clearly wrong in stating the function of the *cenotaphium*, which actually appeared first in the period of the Old Kingdom in ancient Egypt, and it was not a burial place instead of the real one, but a pseudo-tomb of the Pharaoh (usually in the holy town of Abydos), besides the place where he was actually buried (usually in the necropolis Saqqara) (see Kákosy 43). However, Anderson's ideas on the tomb of fictive persons or the fictive tombs of real or legendary ones (like the saints, or Jesus himself) may bring us closer to the pilgrim's conception of a tomb, or shrine, or place.

*Non-places*—we may say, then—signify *non-events* and, if further elaborated, may induce *non-travels*. On the basis of Augé's structure, "*places of memory*", I think, fall into the category of the *non-place*. The travel itself may be seen as translating this unreality into temporal and spatial terms: both the geographical movement and the psychological process helps people grasp the essence of the place, which, although tangible, is still non-existent, at least in the way the traveller or tourist thinks it is.

## **Authenticity**

Studies on tourism seem to underline authenticity as a central element of all tourism, and especially of pilgrim tourism (Belhassen). However, when the nature of the pilgrim experience is investigated, I think *authenticity* itself becomes the questionable point that needs to be clarified: the authenticity of the place of pilgrimage is a *fiction* according to the theory of cultural memory. Does not the concept of authenticity merely cover the same set of relations that have been characterised as fictivity? Is not fictivity the negation of authenticity?

Belhassen claims that the essence of pilgrim experience depends on *teoplacity*, which is made up of the three elements of *belief*, *action* and the *toured place*. The pilgrim is armed with a preconception, i.e. with a construction of a belief-thought-imagination complex, which helps him decode the reality seen and experienced on the basis of an autonomous system.

Although Belhassen's study, and other tourism studies often analyse the phenomenon in detail, they take the concept of authenticity for granted, whereas it is the "authentic" nature of the pilgrim place itself which is to be questioned according to the system of cultural memory. Authenticity and fictitiousness seem to circumscribe the same thing, although possibly they are the direct opposites of each other. Interpreting the place with preconceptions of a belief-thought-imagination complex means that we are not in the place we think we are or, in other words, the place visited does not exist. It does not exist in the imagined way, which means the tourist is nowhere, in a non-place.

In contemporary tourism there are several trends of non-religious nature still to be characterised by religious behaviour, without any intention of spiritual content. As we have seen, to apply the theory of cultural memory to the field of tourism seems almost inevitable, since the basis of the idea (Halbwachs, *La topographie legendaire*) itself was born in relation to a kind of tourism. The crusades were anticipated and prepared by pilgrimages to the Holy Land and recorded in pilgrim books, for example by Egeria in the 4<sup>th</sup>, 5<sup>th</sup> or 6<sup>th</sup> century (Egeria; Campbell). In the same way, the medieval pilgrim route El Camino to Santiago de Compostela was related to the Reconquista: Christian pilgrimages seem to be closely connected to conquest, which appears as a result of the familiarization of the place by touring it. The alleged tomb of St James in Santiago is a fiction (just like the Holy Land): neither the tomb, nor the existence of St James can be validated through reliable historical sources. Sigal claims the concept of the pilgrimage was composed during the 11<sup>th</sup> century, and was added a new dimension through the declaration of the first crusade in 1096 by Pope Urban II (Sigal 11).

## **Elements of pilgrimage in film location tourism**

In the case of so-called alternative touristic trends, religious elements of pilgrimage are clearly recognizable. When the location of a film is visited, no matter whether it is a man-made object or a natural site, the value for the film location tourist is not the

reality of the place but the contents it carries as a result of the movie shot there. The stairs of a famous Oxford library are “sold” not on the “face value” of the architectural construction or due to their historical importance (which itself is of cultic significance to a certain degree), but because of the film scene in which professor Snape in *Harry Potter* is descending those steps. The visitor may be overcome by emotions similar to religious experience: here is the famous place and here I am, I can take a photo of it or I can have myself photographed or make a selfie (and then I can post the pictures on facebook).

Cultic feeling as it was explained above can be clearly inspected in facebook language. We may compare, for instance, two quotations, one from a contemporary pilgrim to the Holy Land, and another, the reflections of a young woman who visited the locations of Star Wars in Tunisia:

I can hardly express what I felt when I was stepping on the soil where the most important event of history happened, where Jesus himself walked. It was an indescribable experience. (female, 40, Hungary)

It was a fantastic feeling that I hadn't even been alive when Star Wars was shot here—it was a huge feeling to know that Luke Skywalker himself walked on the same ground. (female, 26, Hungary)

A 2005 inquiry in Great Britain showed that TV films or movies influence the choice of holiday destination among 27% of adults but among 45% of young people (aged 10–24). That is why there is a so-called movie-map on the home page of *VisitBritain*, with the British Tourism Institute showing locations of all the latest films, those already in the cinemas or the ones being shot now, together with accessibility and tourism services (Roesch 3). The scenes of the *Harry Potter* films, for example, produced huge tourism from almost nothing: Kings Cross station (platform 9 and  $\frac{3}{4}$ ), Goatland railway station (Roxfort), Christ Church College, the Divinity School, Gloucester cathedral, and particularly Alnwick Castle had been relatively unknown destinations, but now enthusiastic tourists can even play quidditch at some of these places.

The phenomenon is usually called film tourism, film location tourism, or film-induced tourism—these terms are usually used as synonyms (Tooke and Baker). They denote a specific pattern of tourism that drives visitors to see screened places during or after the production of a feature film or television production. My research focusing on film tourism involved interviews targeting young people's travelling habits, motivations, and the feelings they experienced when catching sight of the location known from the films.

The answers are very similar to the one already quoted above. In the experience of recognition, a motif of religious feeling can almost always be detected, together with the cultic behaviour resulting from it. In such a research, the descriptions and photos posted on facebook should also be taken into consideration. In one of the cases a young tourist who visited the scenes of the film *Angels and*

*Daemons* posted her photos of Rome on the facebook with the title of the film. She really was not interested in other attractions of Rome: for her, the city is not the centre of Christianity, not even the Eternal City, not the centre of the Roman Empire or a place of renaissance or baroque art and architecture. In this interpretation Rome ceases to have any of the traditional connotations and meanings: the city has become the scenery for the film only. Instead of the real sites, even animation could have been applied as far as the information value for the film location is concerned. Rome becomes fictive, a non-place, or a non-Rome, at least only the Rome of *Angels and Daemons*. Reality and still fiction: at least for those who visit the city because of the film.

Will the visitor, then, see the real place, or not? The real place filtered through the film will possibly at least colour the perception of the experienced reality. In some cases, as my research suggests, it will fully determine it. The tourism of real places and objects (Rome, Gloucester cathedral, Stratford-on-Avon) induced by a work of art (drama, book, film) is based on non-existent realities, similarly to pilgrim tourism which is directed by imagined realities controlled by faith.

However, there seems to be—in most cases—a huge difference between literature-induced tourism and film-induced tourism. Literary cults are mostly created around works of art of accepted literary value, while the artistic value of the most common films of film location tourism seems questionable. But the problem is that this statement is not always or necessarily true. Fellini's *Dolce Vita* created one of the first forms of film tourism—even now, crowds are sitting around the Trevi fountain in restrained silence because of Anita Ekberg, and not because of Nicolo Salvi, the master of the fountain. Their respectful behaviour and silence may also remind us of religious behaviour. Moreover, it is evident that pulp fiction can induce tourism as well. Even before the film was launched on the basis of Dan Brown's *Da Vinci Code*, the first tourists appeared in the Louvre. Thirdly, from the aspect of tourism the original motivating factor may be ultimately irrelevant, at least on the level of the phenomenon.

Film location tourism is equally exciting from the aspect of business. If the location is a field or a simple cottage (like a recreated samurai hut from *The Last Samurai*) or a simple rock (from where Bella jumped into the sea in *Twilight*) the theoretical idea of non-place actually turns into business issues of investment and benefit. In cases of non-places what film location tourists pay for are non-objects or no-things. As critics have argued, images have become the “highest form of commodity reification” (Best 31). Crang and Jackson see consumption as profoundly contextual, embedded in the particular spaces, times and social relations that constitute contemporary culture (330), while Urry claims that contemporary places are places for consumption and are increasingly being reconstructed as centres for consumption, where goods are serviced and possessed while localities can consume one's identity.

If we claim that authenticity is the marketed product especially in terms of experience economy (Gilmore), which is to be questioned from the theoretical aspect of fictitiousness, the question is the nature of the sold product. Shortly we can ask:

what is it that we buy or sell? According to our arguments it can be said it is the experience in the business sense, but it is the NOTHING in the philosophical sense.

Film location tourists often claim that their greatest experience was to feel identical with the figures of the movie. The figure is not only the figure of the film, but the film-star as well. Although this paper does not analyse the in-between role and cultic strategies surrounding film stars and their celebrity function, we have to add that authenticity is also to be interpreted in terms of the actors and actresses. Film locations may not only be looked upon as authentic because the film was shot there, but the film stars also create a second cult, hence a double authenticity: it is not only Harry Potter who stepped on the holy soil of Roxfort, but also Daniel Radcliffe. The authenticity of both personal presences are looked for by film tourists.

The star is a cultural text and should be interpreted as such: it is “constituted discursively by a way in which the individual is represented. It crosses boundaries between the private and the public world.” (Turner 9) Whereas the film-star is a historicized and contextualized representational field, the discursive semantics of the film-star should be investigated in terms of authenticity, Turner argues.

If the basis of the film is a book, as in the movies corresponding to the seven volumes of *Harry Potter*, or in the case of *The Lord of the Rings*, the film tourists often demonstrate cultic relationship towards the book. Most of them have read the books several times, in extreme cases ten or fifteen times. Some of them tend to read nothing else. The structure of the cult is multi-layered in these cases, organized around the movie, the “holy book”, the protagonists, and the film stars who play them.

### **The touristic space**

The “toured space” may become touristic space or pilgrim space according to the characteristics originally possessed or produced artificially through the tourism industry. Pearce defines the touristic space somewhat tautologically as “an environment which fosters the feeling of being a tourist” (98), and this space can equally be real, material, concrete or metaphorical and imaginative, Crouch adds (2). In post-modernity, Roesch claims, the experience of touristic places has become a media-imagined spatial experience. The present situation in film location tourism is characterised by the deconstruction of the space with a subsequent reconstruction in the destination image—admittedly, not attracting elite tourists but rather mass tourism.

Film locations are now iconic sites, “sacred centres, objects of spiritual and historic pilgrimage”, according to Edensor (46). The icon, as a “pictorial representation of an object, a film image that is taken to represent an object because of its similarity to the object” (Beaver 185), may be combined into a specific spatial configuration of reference sites and relational objects with extensions to filmic figures/film-stars. Further investigation may consider the extent to which icons are unreal objects or non-places, how icons are determined by cultural memory and what icon-making processes produce *lieux de memoire* in terms of fictitiousness.

In the experience of the tourist the element of some kind of religious behaviour can always be recognized in terms of expectation, recognition, reception and elaboration. According to MacCannel (“Staged Authenticity”), naming, elevation, framing, mechanical reproduction, and finally social reproduction are steps of sacralisation of touristic attractions. In his later book he claims that the holy place is a temporal and spatial consummation of the ocular spectacle (*The Tourist*). Ocular spectacle in MacCannel means something similar to ocular-centricism in Stafford: it refers to the photo-like (and, I would add, facebook-image-to-be) perception of both the sight and the site, a phenomenon we linked above to Mitchell’s ‘pictorial turn’.

Since the main focus of this paper is to investigate the concept of authenticity in the framework of cultural memory theory it may be interesting to mention that certain categories MacCannel uses seem to overlap with Assmann’s system (Assmann 55), although MacCannel does not use Assmann’s terms and focuses on business aspects. Assmann’s “mediator channels” in particular seem to overlap with MacCannel’s “mechanic reproduction” (quoted in Roesch 53), whereas his “social reproduction” may be understood as Assmann’s “professional carriers of tradition” (Assmann 55).

Pierre Nora claims that memory is not present everywhere, only if some people take on the task of remembrance and turn themselves into a *memory-person*. Memory can resurrect the past, hence the present may become a recalled and actualized past (Nora 24). Nora’s “memory-person”, I think, can be the pilgrim or tourist as well, although his function is not conscious. When visiting the place he rephrases and recreates the space: the “toured place” or the “*lieu de mémoire*”. Places, where the physical surroundings carry deep meanings may gain a quasi-religious status (Roesch 28). Jacobsen claims that the sight of the holy place is realized as authentic in the perception of the viewer, signifying the transmission from past to present and from present to future (Jacobsen 342). We have to add that it may also offer the possibility to move in inter-temporal terrains and the possibility to step from one to the other.

Re-interpretation of the touristic space by imaginary essences sometimes gives the impression of an astonishing lack of education. In the following quotation one has got the feeling the historic monuments in the movie could well have been substituted by animation without losing the visual meanings for the film tourist:

When we went to Petra, to see the location of the *Raiders of the Lost Arc* we were amazed to see that the place is not Spielberg’s idea, but it really exists. ( <Toochee.postr.hu.filmturizmus> )

### **The “touristic gaze”**

The concept of the “touristic gaze” introduced by Urry, means the transformation of the built surroundings (“built heritage”) into a cultural image. Postmodern tourism industry produces this artificially by forcing peculiar features on the landscape or on the townscape (Urry, *Consuming Places*). However, the phenomenon itself seems to

be innate in the social psychology of travelling, and not only in postmodern tourism, as analysed above. Visited places are reproduced through a pre-imagined representational practice. Thus, the touristic gaze is a special representational field even in terms of Moscovici's social representation theory, and a special social practice according to Edensor.

The "touristic gaze" may be conceived as one of the modes of cultural memory and, in turn a special frame of a social representation. The phenomenon is a cultural form approachable only through psychological channels. Halbwachs's collective memory, Assmann's cultural memory and Moscovici's social representation theories seem interchangeable in the interpretation of the "touristic gaze", especially because both "Halbwachs and Moscovici tried to conceptualise the interplay between social and psychological phenomena" (László, *Theories and Controversies* 8).

The "touristic gaze" can also be paralleled with the concept of the understanding of the work of art in literary criticism or in art theory: the process through which the viewer perceives, understands, enjoys and elaborates what he sees or reads. It is interesting to see that tourism studies often circumscribes the idea without concretizing or realizing it, and some books even use partly misunderstood and partly deformed quotations from Coleridge's *Biographia Literaria* (1817) without being aware of the original source of the sentence they usually use as a slogan. Coleridge's "willing suspension of disbelief" is detectable in Holmes when he claims that virtual reality allows to travel to fantastic, yet seemingly real places, resulting in the "suspension disbelief" (Holmes 1–22). An equally simplified version by McHale claims the film tourist exists in an ambivalent zone: "as being in-between, amphibious, neither true, nor false, suspended between belief and disbelief" (33). To examine the misunderstandings and to analyse the corruption of the original text is beyond the scope of this paper.

### **Motivations and language**

The most important question the interviews were designed around was "why?" No wonder the interviewees could not really answer why they visited the film locations and why they were interested in the sight. Answers could be grouped around "because the film was shot there" which is understandable if we admit the question disturbed and doubted the basic dogma. The offending question could have been even put as "Why did you visit the place where there is nothing?"

After interrogating the phenomenon of film tourism, one of the most exciting elements seems to be the simplicity and almost infantile attitude and manner in which the topic is communicated and manifested both in picture and text. Speech mode actually does not even make age evident. There is a peculiar simple language used especially in the facebook representations, which is possibly more the characteristic feature of the social media than of film tourism, but, since the latter is mostly represented on social pages, the two phenomena intermingle. Film tourism is one of the acceptable topics for facebook: it is definitely 'tight' and 'cool'. It seems that

simple language and cliché-s are the special, (cultic?) language for film tourists. The image-making practice of the film tourist—in our interpretation of the film-pilgrim—is not identical with everyday language. His motivation cannot be grasped on the level of logic, since it is not navigated by rational considerations. Activities are guided by preconceptions similar to religious pilgrimages. The need of testimony and his privileged feeling make his descriptions and experiences similar to those of religious pilgrims.

Additional cultic activity like relic-making processes are equally detectable: film tourist tend to collect soil, pebbles, sand or grass from the site to take them home just like Holy Land tourists or visitors of memory places like Auschwitz. To investigate the creation of relics, the nature of souvenirs and their relation or transformation into relics, the delicate terrain of kitsch and souvenir, kitsch and relic, are all exciting topics for further study, not to mention the different positions and roles of these objects when taken home in terms of how they modify and reinterpret spaces and cognitions.

## **Conclusion**

Cults of films and film location tourism induced by them can be interpreted in terms of myth-making processes, and as such, they create a mythic discourse and religious behaviour on the grounds of a fictive reality, and in turn, are to be examined in the framework of popular culture.

Film tourism is a manifestation of popular culture forming its representations in the social media both in terms of text and image. This paper wished to claim that this quickly spreading mode of travel can be well interpreted in the framework of *cultural memory* inflected by Moscovici's *social representation* theory in order to understand and circumscribe the notion of *authenticity*. "In effect social representations, to rephrase a common expression, are ways of world making" (Moscovici 231). One of the most exciting problems the phenomenon of film tourism raises (especially in cases of visiting historical monuments of architectural, artistic or archaeological value in the traditional sense) is whether the practice could be understood as another mode of cultural interpretation.

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## **The 1970s in British Cinema and Film History: A “disappointingly thin filling” or a period of immense change?**

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Described as “a disappointingly thin filling” coming in between the critical and commercial successes of the previous and the following decades, the 1970s have until recently been a much neglected and dismissed period of British cinema. After 1968, the *annus mirabilis* when eighty-five per cent of British productions were fuelled by American capital, we can see a break in patterns. Thus the decade brought significant changes to the British film industry and urged a desperate quest for identity, self-definition and a way out of the decline. What is British cinema? What makes a film British? What are the attributes of national cinema? And what is the role of national cinema in contemporary society? These were the most important questions posed by scholars and critics whose attention—after the opening of WWII archives and files related to cinema—turned towards the golden age of British film. The new research projects brought along marked changes in the course of studying film history, which, eventually led to the recognition of film history as an academic discipline and made visible two distinctive schools of analyzing national representations. In my paper I discuss the impact of the revisionist approaches of the ‘empiricists’, on the one hand, and the ‘theorists’, on the other, on the understanding of British cinema since the 1980s. To illustrate the approaches of the two schools I will discuss two alternative readings of *Chariots of Fire* (1981).

The most striking thing one encounters when reading about the 1970s in Great Britain is the lack of positive adjectives. Andy Beckett gave the title *When the Lights Went Out* (2009) to his book on the political and social issues of the period, and described the Seventies as a “period of doom and gloom” for the whole of Britain. Inevitably this was a period of a series of crises. An economic crisis and especially the two oil crises (1973 and 1979) hit the western world and shook people’s feelings of comfort and stability. In Britain, as the result of the economic crisis, racial tension began to grow even though the number of immigrants coming to the country did not increase in this period. It was the bad economy which made immigrants more ‘visible’ and made their presence more discomforting, particularly for the unemployed. Nationalism also began to rise in Northern-Ireland and culminated in a renewed outbreak of the Anglo-Irish conflict, which turned Northern-Ireland, especially the streets of Belfast, into a battlefield. Neither the Conservative Prime Minister Edward Heath (1970–1974) nor his Labour successor Harold Wilson was able to tackle the problems effectively. As Tom Nairn remarked in *The Break-Up of Britain*, Great Britain in the Seventies showed “rapidly accelerating backwardness, economic

stagnation, social decay and cultural despair” (51). The accelerated spread of multi-national companies and globalization also contributed to a serious identity crisis and a quest for defining or redefining such hitherto often used but never really defined terms as ‘nation’ and ‘nationhood’.

### **The British film industry in the 1970s**

The “period of doom and gloom” was even more apparent in the British filmmaking industry, except that the crisis had hit the industry even earlier, and consequently British cinema’s quest for identity coincided with its struggle for survival. Sue Harper suggested in her keynote lecture on Seventies British Cinema held at the University of Exeter in 2007 that the 1970s actually started in 1968 (23). Harper suggests that the Seventies, in fact, lasted until Margaret Thatcher’s election in 1979, while others would argue that the Seventies ended with the Oscar winning success of *Chariots of Fire* (1981) by director Hugh Hudson. 1968, or the *annus mirabilis* as Harper referred to it, is a major landmark since this was the very year when eighty-five per cent of the films were financed by subsidiaries of major American studios but right after that the majority of the American funding was withdrawn from British productions. This meant that the industry faced its most severe crisis and mostly television productions and small independent productions kept filmmaking alive in Great Britain (Newland 23). This lack of financial resources led to a marked decline in production, which was the main reason why the Seventies has become the most neglected period ever in the history of British cinema. So neglected is the period that there have only been very few books written about it. Alexander Walker’s *National Heroes* and John Walker’s *The Once and Future Film* were both published in 1985. The third publication, *Seventies British Cinema* edited by Robert Shail arrived only in 2008. The most recent book, which aimed at turning our attention back to this period, is Paul Newland’s *Don’t Look Now* (2010): a collection of papers delivered at the above-mentioned conference in Exeter, which was exclusively devoted to the cinema of the Seventies in Britain and aimed at rediscovering what really was going on in the film industry in that “dark period”.

It was not only the withdrawal of the American funding that made the Seventies seem so disregarded but also the fact that this decade, described as a “disappointingly thin filling” by Newland (14), was sandwiched between the critically acclaimed English New Wave and the international commercial successes of the 1980s heritage films.<sup>1</sup> The late 1950s and early 1960s witnessed the British New Wave, which had, in fact, very little impact on world cinema but reformed domestic filmmaking: it made domestic productions step out of the closed world of London

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<sup>1</sup> The beginning of the English New Wave is linked to Jack Clayton’s *Room at the Top* (1959) and John Schlesinger’s *Darling* (1965) marks the end of it. However, some filmmakers, notably Ken Loach and Mike Leigh, have managed to keep the traditions of the New Wave alive to date. The contemporary drama series of the BBC called *Play For Today* also managed to preserve the best achievements of the New Wave. *Play For Today* started in 1970 and produced over three hundred contemporary television dramas. The number of shows dropped dramatically by the early 1980s and consequently the series came to an end in 1984 (see also Newland 165–198; Badder; Cushmann).

studios and focus on social issues raised by contemporary writers. These adaptations made by mostly leftist directors relied on new talent from outside the prestigious London drama schools. Their socially engaged movies won the acclaim of a new generation of critics grouped around *Sight and Sound* (edited by Lindsay Anderson and Penelope Houston, started in 1952), but they did not offer a sustainable formula for the British film industry to win international recognition, not to mention international commercial success. Without the latter it is very difficult to keep the industry alive in any country which is unable to sport a sizable domestic market.

The trends of the New Wave were unsustainable also because the swinging Sixties and the buzzing life of London, the Beatles and the unexpected hype around the James Bond series offered more excitement,<sup>2</sup> and the kitchen sink dramas did not provide marketable images of Britain for an international appeal. The foggy and rainy streets of northern industrial cities and the everyday lives of workers of the steel industry represented in these films did not attract many international viewers, and did not seem appealing for foreign tourists either, so consequently did not invite any foreign investment—unlike swinging London, which immediately attracted the attention of American Studios. Studio executives, seeing the commercial successes of such films as, for example, *Dr. No* (Terence Young, 1962) or *A Hard Day's Night* (Richard Lester, 1964) were happy to invest in British productions, especially in films linked to the British record companies, predominantly EMI.<sup>3</sup> However, the majority of their large-scale investments failed (see Newland 13) and it turned out that the studios backed some of the biggest and most expensive failures of the decade.<sup>4</sup> No wonder that the US studios decided to withdraw funding after 1968. In 1971, 98 British productions were registered according to Linda Wood and 96 according to the BFI's Screenonline database. The number of British films fell to one third by 1981: 36 films according to Wood (143) and only 24 according to the BFI's Screenonline database ("Facts").

Without foreign investors, by the early 1970s the British film industry was left to its own devices and spent a decade trying to find a way out of this crisis. In this period, British movie theatres were kept alive by American blockbusters such as *The Godfather* (Francis Ford Coppola, 1972) *Jaws* (Steven Spielberg, 1975) and *Star Wars* (George Lucas, 1977), which actually increased cinema-going. However, by the beginning of the 1980s, due mostly to the spread of home movie channels and VCRs, the number of cinema goers dropped markedly both in Britain and in the US.

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<sup>2</sup> The Bond phenomenon started with Terence Young's *Dr. No* (1962), followed by *From Russia With Love* (Terence Young 1963), *Goldfinger* (Guy Hamilton 1964), *Thunderball* (Terence Young 1965), *You Only Live Twice* (Lewis Gilbert 1967) in the 1960s. It is still one of the most profitable franchises in the history of cinema.

<sup>3</sup> The record company EMI first showed interest in film production in the 1970s when it first acquired the Association British Picture Corporation and later, in 1976, the British Lion Film Corporation. British Lion was established in 1919.

<sup>4</sup> For instance, *The Battle of Britain* (Guy Hamilton, 1969), *Cromwell* (Ken Hughes, 1970), *Goodbye, Mr. Chips* (Herbert Ross, 1969) and *Half a Sixpence* (George Sydney, 1967). At the same time, in the USA, such films as *Easy Rider* (Dennis Hopper), which was clearly made on a shoestring (only 400 000 USD was the total production cost) gained critical acclaim and appealed to the audiences at home and abroad, multiplying its modest budget at the box office.

## **Opening of the National Film Archives**

As we could see the 1970s could be described as the period of the British Film Industry's quest for identity and desperate search for a way to reinvigorate domestic production and keep audiences in the movie theatres. Filmmakers were in search of a sustainable formula. The answer came from an earlier era and could be linked to the opening of the National Film Archives in Britain. The opening of the National Film Archives and the release of the records of the Ministry of Information (MOI)'s Film Division under the Thirty Year Rule are probably the most important reasons why the Seventies deserve more attention (Chapman, "Cinema"). This was what made the decade one of the key periods in British Cinema, and even more so of film studies as they opened up new possibilities for scholars and made new approaches to studying and writing about films possible. Although not necessarily in a direct way, the studies showed a route for the film industry out of the crisis by the coming of the next decade. Above all, the systematic study of the collections of the film archives and of the MOI's film related documents reinvigorated ideology-free empiricist study of films coming especially from the 1930s and the Second World War era. These films offered a formula, a key to success pattern from the golden ages of British Cinema.

The Thirties and Forties can be described not only as the golden age of British Cinema but also as the golden age of the British costume drama. These period pieces, including historical films, period melodramas and some occasional adaptations were immensely popular in and outside of Britain—especially in the US market—for their lavish period costumes and spectacular sets, the Shakespeare-trained British cast, and the insight they offered into the private lives of famous historical figures or for their enjoyable renderings of the finest of British literature. The makers of these films knew exactly what images of Britain the foreign audiences were most interested in and how to market their country's best assets, i.e. its rich literary and theatrical traditions, its history and historical sites. Instead of the considerably innovative contemporary dramas of the British New Wave, filmmakers and historians found a way out of the crisis of the Seventies by returning to the tradition of the costume dramas, thus producing marketable images of the country, as Thomas Elsaesser pointed out in his influential essay "Images For Sale: The New British Cinema".

### **The first wave of revisionism: the empiricists**

In the course of studying films from the Seventies, 'empiricists' such as Jeffrey Richards, Anthony Aldgate and Nicholas Pronay began the systematic study of the treasures of the archives claiming that in order to get a complex and overall picture of the films the context of their production circumstances, and their political, cultural and movie market contexts should be studied carefully as well. The best way for that is by reading all relevant documents such as production notes, budget calculations, box-office reports, reviews and audience attendances together with interviews with the filmmakers, producers and stars (Richards 21–34). This approach can also be seen in the writings of Charles Barr and Andrew Higson in the Seventies. Empiricists of

the decade with the leadership of Richards grouped around the prestigious *Historical Journal of Film, Radio and Television*, started in 1981. Among the members of the group we find Nicholas Pronay, Anthony Aldgate, Vincent Porter, Sue Harper, and the co-editors of the *Historical Journal of Film, Radio and Television*: Philip Taylor and Kenneth Short. These historians were all engaged in the study of the collections of the archives and the MOI records, including all the film related official government documents, critical writings and writings of film publications, the statistical data of Mass Observation and other empirical studies (Richards 21–34). They were all committed to historical investigation but recognized that history is neither neutral nor objective (Ashby and Higson 12).

The significance of the empirical research and study lies in the method itself which concentrated on facts and figures rather than on the ideology of the era but was aware of the fact that “[h]istory is never simply the amassing of empirical facts, the accumulation of evidence” (Ashby and Higson 12). The empiricists managed to free their writings of the critical biases of the “old film historians” such as Roger Manvell, Paul Rotha, Basil Wright and critics of the previous generation such as C.A. Lejeune, Dilys Powell and Richard Winnington, who were mainly concerned with realism and the notions of quality (Chapman, “Cinema” 194). “The rigorous scholarship has done much to revise the critical prejudices and assumptions of the earlier generation of writers about how successful certain films were.” (Chapman, “Cinema” 195) As a result of the empirical studies the whole national film corpus was taken under revision and representatives of popular cinema gained acceptance into the national film canon.

### **The second wave of revisionism: the theorists**

The reinvigorated empirical studies laid the foundations for a new critical approach, which was similarly rooted in the increased interest in the contents of the National Film Archives and the opening of the MOI records, but also took a big leap from the strictly scientific approach of the empirical studies. The representatives of the new critical approach were film theorists rather than film historians, hence the name: ‘the theorists’ or ‘the revisionist theorists’ (Chapman, “Cinema” 196). This school came into effect in the 1980s. Starting from the Seventies, film history and film theory began to get closer to each other, which eventually led to the acceptance of film history as an academic discipline. The main reason for the birth of this new approach was that the systematic study of the films in the Seventies brought to light some shortcomings of the empirical methods (for example, the challenges of categorizing the increased number of films and new tendencies after the 1950s).

Some authors opened new prospects for studying films and rethinking British Cinema. The most influential of these writings were pointed out by Jeffrey Richards in “Rethinking British Cinema”: James Curran and Vincent Porter’s *British Cinema History*, Charles Barr’s *All Our Yesterdays*, Andrew Higson’s, *Dissolving Views* and Robert Murphy’s *The British Cinema Book*. It was also new to apply the concepts of genres for studying national cinema. Marcia Landy, Sarah Street and Robert Murphy’s writings are examples of analysing British cinema from the aspects of its

most popular genres. The horror genre, for example, was meticulously studied in books such as David Pirie's *A Heritage Horror* (1973), Peter Hutchings' *Hammer and Beyond: The British Horror Film* (1993) and Denis Meikle's *A History of Horrors: The Rise and Fall of the House of Hammer* (1996). The ever popular costume drama was also subjected to close examination for example in Sue Harper's *Picturing the Past* (1994) which provided a model for genre analysis. Harper established a taxonomy to aid social, gender and class studies of the genre and mapped out the way these films functioned in the representation and consumption of history (Richards).

Most of these writers started working in the Seventies and their works were rooted in the empirical studies of that decade but they have managed to step away from the rigorous scientific research method and to take a major step closer to theoretical writings. The birth of theorist criticism took place in 1983 at a summer university course at Stirling University (30 July–6 August) organized by the British Film Institute and with the preceding evening lectures held at the National Film Theatre by Charles Barr, John Ellis, John Hill, and Bob Murphy (see Geraghty). The summer university course and the evening lectures resulted in a publication entitled: "National Fictions: Struggles over the Meaning of WWII". The main focus of their examinations were the popular genres, such as comedies and war films of WWII and of the Fifties, and films made during the Falkland crisis in 1982. Significantly, the new critical approach came into effect during the first years of the Thatcher era. The most outstanding representatives of theorist criticism were Christine Gledhill, Gillian Swanson, Andrew Higson, Geoff Hurd, Steve Neale, John Hill, and the most prominent scholar of the representation of identity was Stuart Hall (Geraghty 94).

The starting point of the examination of the films was the question of national identity, more specifically how national identity was represented in these films, and how national identity was constructed—especially in gender and class relations. The feminist reading of films provided the basis of the examinations which also raised issues concerning the representation of the past, history, nostalgia, collective memory and popular remembering (Geraghty 94). As Chapman explains, "[s]ome of the authors analyse particular films in respect of their representation of gender (Christine Gledhill, Gillian Swanson) or nationhood (Andrew Higson). Others are concerned with constructing an ideological basis for British wartime cinema (Jeff Hurd, Steve Neale)" ("Cinema" 196).

The theorists began to question the notion of such established concepts as national cinema and claimed that the very word 'national' should be subject to examination and called for a redefinition in the light of the political and social changes, globalization and the identity crisis of the Seventies. "What are the attributes of national cinema?" "What is the role of national cinema in contemporary society?" "What is British cinema?" These were some of the questions raised. Without answering these questions it was impossible to establish a set of criteria for what makes a film typically British. After the opening of WWII archives and the MOI files related to cinema, scholars and critics turned their attention towards the golden age of British film, i.e. the period of the 1930s and 40s. However, instead of providing answers underpinned by scientific results as the empiricists did, theorists believed in

the power of formulating new questions. They attempted to rewrite the history of cinema along these questions and bring to light new results from various fresh angles. The new research projects brought along considerable changes in the course of studying film history, and eventually led to the recognition of film history as an academic discipline, making visible two distinctive schools of analyzing national representations.

To illustrate the focuses of the two revisionist schools, the empiricists and the theorists, I would like to present two different approaches to *Chariots of Fire*, the film which put an end to the dark period in the history of British Cinema and gave rise to the so-called 'heritage films'. First, let us take a look at James Chapman's study of the film, which seems to follow in the footsteps of the empiricists.

### **James Chapman's reading of *Chariots of Fire***

James Chapman in his book *Past and Present: National Identity and the British Historical Film* (2005) takes a close look at the film in the chapter "The British Are Coming: *Chariots of Fire* (1981)" (270–299). Chapman's approach clearly falls closer to the above detailed empiricist method. Before taking a closer look at the film, he first carefully places it into a political, social and cultural context and also considers the film market conditions of the early 1980s. In order to do so, he studies meticulously the most important social, political and cultural issues of the era, i.e. Margaret Thatcher's rise to power and her first years as Prime Minister and the impact of the Falkland war. Chapman also charts the troubled production of the film and reads the production notes, various versions of the script, looks at the historical truth behind the story and how, and most importantly why, historical facts are distorted in the movie. He cites domestic and international reviews, box-office reports, interviews with the filmmakers, and also letters and memoirs from the filmmakers. He finds it particularly interesting that the initial critical reception of the film was quite modest and the predictions for audience attendances had not been too optimistic, but after *Chariots* collected four Oscars in 1982 (including Best Picture, Best Screenplay, Best Music and Best Costume Design) reviews became more enthusiastic and the number of people wanting to see the film rose considerably both in the UK and in the US.

Chapman opens his essay by comparing *Chariots of Fire* to Alexander Korda's 1933 box-office success, *The Private Life of Henry VIII*, pointing out the similarities of the market conditions and the situation of the British film industry. He carefully places *Chariots of Fire* in the market conditions of the early 1980s by quoting box-office reports and production budget reports. He talks in much detail about the troubled history of the production and that at one stage it was more likely that the original script would be turned into a TV series. Chapman also establishes the political context of the era by referring to news articles that influenced or might have influenced the making, and also the reception, of the movie.

In his essay, Chapman recounts the story-line of *Chariots of Fire* and demonstrates how it evolved and changed throughout various stages of script development. He quotes scriptwriter Colin Welland several times and takes notice of

the most apparent changes between the earlier versions of the script and that of the final movie. These changes include, for instance, that in the earlier drafts the Americans were portrayed in a more negative light—there were numerous references to their lack of culture. Furthermore, anti-Semitism was much stronger in the previous versions of the script.

Chapman quotes critical responses from the most influential publications and critics to show how this film divided its reviewers. He cites box-office records that reflect public acclaim and then moves on to the controversy surrounding the movie. He recounts the endless debate about *Chariots of Fire* being a Thatcherite film or not. At this point, for the first time in his essay, he gives a close reading of the movie and quotes scenes that support the statement that *Chariots of Fire* could indeed be seen as a Thatcherite film and also recalls scenes which contradict the earlier statement. He also refers to critics' and film scholars' arguments on the topic and also how the filmmakers themselves reacted to the Thatcherite label of the film.

Chapman talks briefly about the *mise-en-scène* and the film's visual style, bringing up the issue of heritage cinema. He raises the question whether heritage film is a genre or just a style and whether or not *Chariots of Fire* fits into the category of heritage cinema. He also talks about the relevance of examining the film in the context of heritage film and in the broader context of heritage cinema and Thatcherism. His conclusion is, that the film came out in 1981, too early to see the overall outcome and effects of Mrs. Thatcher's policies. He also remembers that 1981 was the very beginning of the boom of the heritage industry. *Chariots of Fire* was the very first film labelled as a 'heritage film', and the label came a bit later. Hudson's film only signalled, if it indeed did that, the very beginning of the forthcoming trend of the heritage film—a category *Chariots of Fire* became an emblem of, but which it only partly fitted into.

As we can see Chapman is more concerned with the context of films and with all the extra-filmic elements related to them, which could be learnt from various documents. He also acknowledges issues (namely whether *Chariots* is a Thatcherite film or not) raised by theorist critics like John Hill but to answer this question he focuses more on the extra-filmic elements, and therefore his approach to *Chariots* resembles that of the empiricists of the 1970s. His main focus is the film's context and reception and his aim is to provide a complex and overall picture of *Chariots* and the society it grew out of, which might help us understand the controversies around it.

### **John Hill's reading of *Chariots of Fire***

As opposed to Chapman, John Hill in his book *British Cinema in the 1980s* (1999), provides a different reading of *Chariots of Fire* in the chapter "*Chariots of Fire: A Thatcherite Film?*" (20–30). Hill starts by raising the question in his chapter title, and in order to answer that question he focuses on the image of the nation and national unity the film creates, and even more importantly on the problematic nature of this image. Instead of focusing on the extra-filmic elements, Hill takes a close look at *Chariots of Fire* and examines how it represents the different nationalities (the

Scottish through the deeply religious Liddell, the Jewish Abrahams and his professional coach the Italian Arab Mussabini), religious convictions (Abrahams was Jewish, Liddell was Presbyterian) and the different classes (Lord Lindsay is an aristocrat, while there are hints at Montague's middle-class background). He focuses on how the film, in spite of all these racial, religious and class differences, manages to convey national unity, and glorify joint team effort. He points out how in the narrative certain elements are neglected for the sake of this sense of unity. For instance, Liddell is Scottish, but pictured in a rather stereotypical way, which fits into the Kailyard tradition. He is often shot in the Highlands or in Edinburgh at the University and at Arthur's Seat with his sister, who is walking a West Highland Terrier. This is partly justified by the fact that it is not Liddell's nationality but his religion which gets more emphasis in the narrative, as it is the factor that almost prevents him from running at the Olympic Games. Lord Lindsay offers him a solution, which has become the emblem of solidarity, the esprit de corps of the different classes, as well as the emblem of self-sacrifice for the triumph and glory of a nation.

Hill touches upon a wide range of issues including nationality, class, race, religion and gender. He reads the film through the questions of how nationalities are represented and how national unity is achieved by representation, how the different classes are represented and what the film suggests about the class system of Britain (Britain in the 1920s, when the plot of *Chariots* takes place and Britain in the 1980s), how race relations are often overlooked and ethnic minorities—similarly to the lower classes and women—are largely absent from the picture and when present portrayed in stereotypical ways. He not only points out what is included in the film but most importantly the things which are underrepresented or missing from it. He shows the price the film pays for the portrayal of national unity and national grandeur and how this fits into Mrs. Thatcher's rhetoric. He draws attention to the stereotypical images of Scotland and the Scottish people, for example, and how the importance of Liddell's nationality is played down. Hill also points out the absence of certain social classes from the film, which takes place mostly in the highly privileged environment of Caius College, Cambridge. However, certain racial issues are brought into light through the figure of the professional coach Sam Mussabini, whose presence as a coach bothers the leaders of the university much more than his ethnic background. (He is played by an English actor Ian Holm, which shifts the focus even further from his ethnicity.)

Hill notices that the multi-character narrative, typical of the heritage genre, focuses on the individual motivations and efforts to succeed, but in spite of that the film still manages to emphasize unity and team effort by such emblematic scenes as, for example, the runners at the beginning and at the end of the movie. They are all wearing white runner's clothes and run together in harmony with no signs of the differences between them in terms of class, race or religion. They all have small emblems of the Union Jack on their shirts to eliminate any possible trace of difference and they all look as if they were running to the rhythms of Vangelis's music, moving together as a group. The sequence implies an inclusive nation, which eliminates class, race and religious differences for the sake of a collective effort. No wonder that in spite of the distorted historical truth in the script and the fact that the piece was

composed by a Greek composer, this scene has become the emblem of sportsmanship, team effort and heroic sports achievement for the glory of Great Britain, and the Vangelis score has gone on to become the official theme music of the 2012 London Olympic Games. In his analysis, Hill does not shy away from pointing out that what seems to be an inclusive nation in the film is in fact rather exclusive.

As we can see, Hill goes deeper in the analysis of the film itself and starts questioning what factors play key parts in the construction of national identity and national cinema. Hill also acknowledges the importance of extra-filmic elements and briefly talks about the production circumstances of *Chariots* but he concentrates more on the close reading itself. His main concern is the reading of certain scenes of the film along the lines of the questions he poses. He looks at what directly retraceable elements or indirect hints give specific national character to *Chariots of Fire* and what it says about the film's relation to Thatcherism. He analyzes carefully what is incorporated in this image of the nation and what is excluded from it. (Film historian Mark Ferro once remarked that the omissions often speak louder of an era than those things which are represented in a movie.)

In conclusion it may be said that in fact the 1970s were much more than just a disappointingly thin filling. It was a key period in the history of British cinema's quest for identity, and most importantly in the history of film studies. However, the impact of the period could only be felt in the 1980s when *Chariots of Fire* started the renaissance of British cinema and of the British costume drama, and when the two revisionist schools, especially the theorists, started to question notions of the 'nation' and 'national identity' and began to rewrite the history of British cinema.

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## ***The River* and the Uncanny Topography of “Found Footage” Horror\***

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Ever since *The Blair Witch Project* (1999), I have been fascinated by the so called “found footage” style horror films. In the present essay I would like to examine in detail a similar example of “found footage” films, a recent series called *The River* (2012), created by Oren Peli and Michael R. Perry. As an introduction to this topic, I believe it is essential to position *The River* within cinematic history to tease out the insights it gives into the transformation of the “found footage” thriller/horror genre. Once this is done, I will establish a link between these generic assumptions and the series by using the vocabulary of postcolonial studies and the so called “spatial turn” in cultural studies elaborating on the poetics of space and place.

### ***The Blair Witch Project* and Beyond: A Possible Genealogy of the Genre**

If we take *The Blair Witch Project* as a founding moment in our genealogy, it becomes clear that the film—as well as the genre itself—weaves together different cinematic traditions into a unique whole. The film portrays how a group of students set out to the Maryland woods to create a documentary about the local witchcraft legends, to disappear a few days later; the only thing they leave behind is their footage of the project. The movie thus relies heavily on the generic devices of horror films, while imitating the style of the documentary tradition, so it is best to approach it with these two different generic and ideological frameworks in mind.

In *The Philosophy of Horror* Noël Carroll argues that horror is “a genre that crosses numerous artforms and media” (Carroll 12), and all the “narratives and/or images” belonging to this category are “predicated on raising the affect of horror in audiences” (Carroll 15). Drawing upon a set of thematic elements and representational conventions, the horror genre in the second half of the 20<sup>th</sup> century has “flourished as a major source of mass aesthetic stimulation” (Carroll 1), creating a long tradition of films that *The Blair Witch Project* draws its inspiration from. Despite the fact that horror movies are inevitably fictive, the media campaign of *The Blair Witch Project* tried to position it as a documentary exposing “the raw footage of three filmmakers who tragically disappeared” (Nichols xii). In this way, the movie blended the horror genre with the stylistic elements of the documentary tradition, a genre connected to objectivity, truth, realism and verisimilitude. As Bill Nichols claims, documentaries use “a style that seems to provide unproblematic access to the world; it takes form as

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physical, psychological, and emotional realism through techniques of evidentiary or continuity editing, character development, and narrative structure” (126). Such an “unproblematic” or unmediated access to the world provided by the documentary becomes dubious when a basically fictitious work of art mimics essentially non-fictional forms. Blending the horror genre with the documentary thus inevitably results in a “mock” or a “fake” documentary, because in order to elicit the desired response from audiences—in this case, the affect of horror—, “they control some aspects of the profilmic with scripting, performance, direction of actors, manipulation of mise-en-scène, and the like” (Juhász and Lerner 8), subverting the ideological underpinnings of the documentary genre. Still, Jamie Sexton’s categorization of *The Blair Witch Project* as an “independent realist American horror” shows a close affiliation with these documentarist ideologies:

Within independent cinema, realism tends to be connected with particular production techniques, such as the use of low-budget cameras, which produce grainy, less glossy images and which can therefore convey a certain sense of “authenticity.” This needs to be accompanied, however, either by a particularly low key, observational style (in which self-conscious, authorial intrusions are kept to a minimum) or by techniques that mimic documentary codes (probably the best known being the use of the handheld camera), which are sometimes incorporated into the fiction, as when the images are produced by a fictional character. In addition, within horror, the use of more realistic—as opposed to supernatural—content can also be an important component contributing to an overall impression of realism. (Sexton 78)

If we apply these general observations to *The Blair Witch Project*, one feature seems to make it impossible to easily categorize the movie into Sexton’s category: self-reflexivity (the movie is, after all, about the making of a movie). While Sexton argues that such moments need to be kept to a minimum, one of the main elements of Charles Derry’s praise for the film is its self-reflexivity and experimental nature (Derry 228–229). Therefore, one more generic tradition needs to be taken into consideration when we are pursuing the unique aesthetic effect provoked by this film: that of experimental cinema and the “found footage” film.

As Michael Zryd argues, “The found footage film is a specific subgenre of experimental (or avant-garde) cinema that integrates previously shot film material into new productions.” (Zryd 41) This means that these independent movies, like Craig Baldwin’s *Tribulation 99* (1992), recycle pictures and movie fragments taken from other sources as *objet trouvés* either to subvert the original mainstream artwork they came from (Wees 4), or to self-reflexively tease out their hidden meanings (Zryd 41), and in such a way providing an alternative discourse to counter commercial cinema made for mass audiences (Wees 5). I believe that *The Blair Witch Project* can be regarded as an heir to this avant-garde tradition as well, though with certain restrictions. On the one hand, it belongs to this tradition based on the fact that it was

an independent movie made from a relatively low budget (Derry 230). With its rough look and seemingly amateurish camera handling, it took the horror genre back to its roots, only hinting at the demonic forces terrorizing the protagonists (Derry 228; Prendergast and Prendergast 148), so it proved to be an intriguing counterpoint to Hollywood slashers and teen horrors of the late 1990s period (like the *Scream* or the *I Know What You Did Last Summer* franchise), when the genre was already showing signs of depletion. With such a low budget it could not compete with the marketing campaigns of blockbusters, so it fully exploited the possibilities offered by other media—mainly the internet—to supplement the viewing experience (Daly 86; Prendergast and Prendergast 148). The movie created a fictive documentary of its own by playing upon the uncanny constellations of representation and reality that proved to be such a haunting experience for many viewers (Egginton 208–209). In fact it was one of the first films to use the internet in such a comprehensive way and it became an example to follow for the marketing campaigns of today's films (Telotte 32). On the other hand, the film clearly differs from the avant-garde tradition in that it does not recycle footage taken from other films and it does not (directly, at least) aim at the subversion of the whole genre it belongs to: after all, genre movies usually reinforce received ideologies by compulsively repeating a certain set of characteristics and themes (Banash 10), and *The Blair Witch Project* is no exception.

Nowadays this motif of the found footage is in the process of being appropriated by mainstream Hollywood horror movies and series as well. There is a whole tradition of films now which all employ the stylistic device of the mock documentary and their fictitious frames include the motif of footage found by either the protagonists or the makers of the movie. Probably the first horror movie that applied this motif was Ruggero Deodato's notorious *Cannibal Holocaust* as early as in 1980. The genre now includes, for example, Oren Peli's *Paranormal Activity* (2006); Tod Williams's *Paranormal Activity 2* (2010); Henry Joost and Ariel Schulman's *Paranormal Activity 3* (2011); George A. Romero's *Diary of the Dead* (2008); Jaume Balagueró and Paco Plaza's *[Rec]* (2007) and *[Rec]<sup>2</sup>* (2009); Matt Reeves's *Cloverfield* (2008); John Erick Dowdle's *Quarantine* (2008), which was a shot by shot Hollywood remake of Balagueró and Plaza's original *[Rec]*; John Pogue's *Quarantine 2: Terminal* (2011); and The Vicious Brothers's *Grave Encounters* (2011).<sup>1</sup>

If we are trying to document this process of appropriation, it is essential to devote a few lines to the sequel to *The Blair Witch Project*, Joe Berlinger's *Book of Shadows: Blair Witch 2* (2000). While it tried to capitalize on the tremendous success of its prequel, Berlinger's film became a total failure in the end. It is interesting to note that Berlinger was an established documentary filmmaker when he directed the sequel and he returned to his home ground and never looked back to fiction film since the box office flop of *Book of Shadows*. Regardless of the low critical esteem, I believe the film was an important step towards the complex narrative method

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<sup>1</sup> One of the most comprehensive lists of these films can be found in the Wikipedia entry devoted to the genre: <[http://en.wikipedia.org/wiki/Found\\_footage\\_\(genre\)](http://en.wikipedia.org/wiki/Found_footage_(genre))>.

employed by *The River* as it takes the self-reflexivity of the first part a step further. Berlinger portrays the misadventures of a group of young people fueled by the hysteria of the first movie: Jeff runs a site for the Blair Witch franchise selling accessories and trips; Kim is part of a goth subculture interested in the supernatural; Erica claims to be a Wicca “white witch”; while Tristen and Stephen are working on a scientific research project about the whole phenomenon. Thus all of these characters, in one way or another, take part in disseminating *The Blair Witch Project* into mass culture and various subcultures (Jeff, Kim and Erica), or “translating” it for high culture (Tristen and Stephen). During their trip to the key locations of the first movie, they experience a total blackout and the only way to recover their memories is by watching the footage they recorded throughout the night.

Most of *Book of Shadows* uses the stylistic devices of mainstream Hollywood horror movies, that is, we have a third person camera eye directed by Berlinger that stands in for the audience’s gaze, whereas in the first movie such an objective perspective did not exist. This outsider’s view is juxtaposed to the camcorders recording within the movie, which seem to reveal “the true events” as opposed to the fiction and delusion of the “objective” perspective experienced by the characters as well as the audience. This distance between the two types of cameras thus defamiliarizes the “objective” point of view, self-reflexively pointing out questions and instabilities of representation that arise in all films, documentaries or fictive films alike. In this sense, this movie can be regarded as a true postmodernist meta-film questioning the borders of reality and fiction, truth and representation. From the critical reception and the audience’s response to the film, it seems that the appropriation of the “found footage” genre for mainstream Hollywood horror cinema was quite unsuccessful in the second part of *The Blair Witch Project*. No wonder the “found footage” horror genre only gained new momentum with Oren Peli’s *Paranormal Activity* six years later, which returned to the example of the 1999 film. However, *The River* is sailing on similar waters like *Book of Shadows*, so we can wonder whether it will achieve what Berlinger’s movie could not.

### **The Camera and the Gaze in *The River***

The official poster for *The River* depicting an ominous eye looking out of the jungle vegetation hints at two very important motifs that govern the series: the fascination with watching and being watched, and the fear of the unknown dangers or hostile forces that might lurk within an unknown and alien landscape. The following pages will elaborate on these two motifs exemplifying two perspectives: a cinematic and a thematic one.

The episodes of *The River* tell a story about a rescue mission in South America near the Amazon river. Dr. Emmet Cole, the mastermind behind a fictitious documentary series *The Undiscovered Country* disappeared and the protagonists lead an expedition into the jungle to find him. The channel running the successful documentary decides to fund the mission on one condition: the entire quest has to be recorded to provide material for a new show. The crew includes Dr. Cole’s son

Lincoln and his wife Tess; their bodyguard, Kurt; Lincoln's childhood friend, Lena; Emilio, the ship's mechanic and his daughter, Jahel; Clark, the producer of the show and his cameramen.

The narrative frame is similar to *The Blair Witch Project* in two respects. On the one hand, the series is partly about the making of a documentary, though this time it is anything but an amateur project: it is a well-funded professional TV show. On the other hand, *The River* runs with the same premise: the failure of the project. For this expedition also disappeared, the only thing they left behind was the footage, the edited version of which we are watching as the series. This moment of watching the footage left behind by someone is prefigured in *The River* when the protagonists find the tapes of Dr. Cole and watch them, looking for clues about what might have happened to him, and trying to find leads about where to look for him next. However, there is a crucial difference between the audience watching the series and the protagonists watching the tapes: Dr. Cole's tapes are unedited so first they have to undergo a process of selection and interpretation before they start to make sense. They lack a timestamp, so to make sense of them requires the protagonists to put them in the correct order first. But what we, as the audience of *The River* get is a carefully edited show, a finished product that qualitatively and quantitatively differs from the footage left behind by the rescue mission. The footage must have already undergone a process of heavy editing with certain moments erased,<sup>2</sup> other footage added (scenes from *The Undiscovered Country*, news reports about Dr. Cole's disappearance and his funeral service, recordings of family life, etc.). What is not clear at this moment (the end of the first season) is how the footage was transmitted to us in the end, for example, who edited the episodes after all?<sup>3</sup>

While *Book of Shadows* alternated between two types of cinematography, an "objective" camera view and footage filmed by the protagonists and various surveillance cameras, *The River* returns to the example set by *The Blair Witch Project*: the series seems to include only such scenes which were (or theoretically could have been) recorded by the crew. The series is thus self-reflexive in the sense that it gives a crucial role to the camera on the screen and we also witness "the return of the cameraman": *The River* thus bares the artifice of filmmaking by showing the cameraman, who acts as a key member in creating a show, who needs to be there to allow us to see things through the lens of the camera, but who usually remains invisible.

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<sup>2</sup> In the third episode, Tess explicitly asks Clark to erase the records of them embracing: "[Tess] I want you to erase these tapes. I don't want anyone to— [Clark] Yeah, of course. Wouldn't be the first time, would it?"

<sup>3</sup> In one of the concluding interviews of the season finale Clark talks about his plan to edit the material: "The final voyage of the *Magus*. Yeah, it's a good title. Oh, I will, uh, I will get home. I will get to work, and I will cut together, what, eight episodes? I'll give everyone their happy ending. And I will move past what needs ignoring. And I will make this expedition look every bit the adventure it was... Or maybe a bit more." Interestingly enough, there are exactly eight episodes in the first season, but no happy end. The fictional frame of the series declares that the whole expedition disappeared with only the footage being found, so the case is either that Clark edited the episodes on the boat (after all he had all the equipment for it), or someone else edited them and found it a good idea to follow Clark's suggestion.

While *The Blair Witch Project* basically presented the camera as a technological device providing an unmediated vision of the events (Banash 1), as I have argued, its sequel, *Book of Shadows* introduced certain ambiguities within this scheme: by itself, the camera cannot act as a medium of truth. *The River* plays with both styles. First, it consciously evokes the notion of the documentary gaze: Jonas, Dr. Cole's recovered cameraman, points out the fact that he is just archiving what he sees and as a newcomer to the crew, he has no deeper understanding of the motivation or the relationship between the people he is filming. However, the series also emphasizes the fact that the camera and the cameraman is far from being a neutral, invisible presence. On the one hand, the behavior of both A.J. and Jonas hint at the ethical problems involved in such "observer's neutrality": for both of them, recording becomes more important than ethical norms.<sup>4</sup> On the other hand, Dr. Cole also admits in the sixth episode that talking to a camera provided a way for him to rebuild his identity again after the tragedy of their first daughter, and this experience also became the founding moment, or the "primal scene" of the original show, *The Undiscovered Country*.

Many reviewers and critics praised *The Blair Witch Project* for "returning us to an authentic psychological (think Hitchcock) rather than technical horror (Wes Craven)" (Banash 1) and as Banash convincingly argues, in the movie we witness the failure of mimetic camera technology in representing the demonic presence stalking the protagonists (Banash 2). As opposed to the first part, *Book of Shadows* trusted the audience's imagination a lot less and partly reinserted the story within the representational context of "technical horror," which might have been one reason for its lack of success. *The River* seems to stand somewhere between the two approaches: it relies more on our imagination, but sometimes we get to see partial shots of the menace stalking the characters. Thus as opposed to *The Blair Witch Project*, the camera seems to be able to capture something of the demonic presence: the intrusion of the supernatural is usually signified by a sudden blur or an interference on the camera screens, and sometimes the camera can even represent the true nature of the opponents the protagonists have to face, for example in episode five.

We have seen that in *Book of Shadows*, what the camera showed could not be interpreted as a direct representation of real events, so this might be a question that we need to ponder while interpreting *The River*. Is the camera footage we are watching "objective" all throughout the series? In most of the episodes, yes, but judging by the season finale, the answer is no: the demonic presence can alter what the characters see on the screens.<sup>5</sup> This seems to be a moment in *The River* where it subverts its own fiction of being filmed from only the perspective of the cameras of the crew or the boat, whose picture can be altered by the spirits: the viewers should *not* be able to see

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<sup>4</sup> For example in the first episode, instead of helping Lena who was wounded by the malignant spirit they unleash, A.J. continues to film. In episode four, Jonas is punished by the spirits inhabiting the place because he filmed an elder funeral, which is considered taboo.

<sup>5</sup> In the last episode we witness how Lincoln, possessed by the spirit of the Boiúna, slashes Jonas's throat, whereas on the screens within the studio on the boat, we see Jonas walking away unharmed.

the “real” events if the episode stuck to its own rules, so this scene partly questions “the myth of authenticity” evoked by the creators of the series.

### **Spaces and Places**

After touching upon the most important cinematic aspects of *The River*, we also need to examine some of the thematic issues brought up by the series, which I believe are best approached from a hybrid perspective utilizing key insights taken from psychoanalysis, postcolonial studies and the so called “spatial turn” in cultural studies.

Gaston Bachelard’s *Poetics of Space* opens with a phenomenological treatise on the house, arguing that the home is a primordial “felicitous space” (xxxix) that provides us with intimacy, safety and stability, giving us a chance to view the home as a storehouse of memories building up our identity and a place for fantasy: “the house shelters daydreaming, the house protects the dreamer, the house allows one to dream in peace” (6). Yet, for example, Oren Peli’s *Paranormal Activity* or *Insidious* (2011) presents the family home as a site of horror, where a demonic presence intrudes on moments of private life, making the house “unhomely” or *unheimlich* in the Freudian sense (Freud 347), turning the home into a house resembling the horrible abandoned house glimpsed at the last moments of *The Blair Witch Project*.

However, the site of family life in *The River* is no longer the family home or a house, but a ship or the Amazonian jungle even. The *Magus* is like a modern day Noah’s ark, which records only the representations of exotic animals instead of saving the species themselves. Just like Peli’s first movie, *Paranormal Activity*, *The River* stages the family and family life as a crucial motif in the series. We see countless examples of scenes from family life being inserted into *The Undiscovered Country*, and, according to the fiction of the series, part of the immense appeal of the show was that it did not only present the viewers with exotic locales and animals of the world, but it represented the brave adventurer Dr. Cole together with his wife and son as an ideal, happy family. Through the omnipresence of the cameras, the weekly documentary completely blurred the borderlines between the private and the public life of the family; they practically lived their lives in front of cameras. *The River* follows this example by inserting footage of family life that was not included in the original show, but which tells us a lot about the internal dynamics of the family. Even more interesting moments would have been the scenes which were not recorded on tapes (or maybe they were erased?), because they could have shown us the problems beneath the picture of the ideal family presented in the documentary. Very early into the series the image of the happy family fades and we gradually catch a glimpse of a husband and father focusing monomaniacally on his quest into the unknown and the undiscovered, which leads to his estrangement from his son and wife.

While *The Blair Witch Project* took place in the relatively familiar woods of New England, which became exponentially uncanny, *The River* brings us—just like the first example of “found footage” horror, *Cannibal Holocaust*—to the South American jungle, an unknown, exotic land (at least for Western audiences). The

original documentary, *The Undiscovered Country* aimed to show the secrets of this world for the viewers sitting comfortably in their armchairs. It heavily romanticized the land as an exotic place and never hinted at its darker side. Dr. Cole symbolically quotes Rudyard Kipling's poem, "The Explorer" in the sixth episode as prefiguring his own discoveries that he shared with the world. *The Undiscovered Country* represents exploration as full of romance, adventure and poetry. But besides quoting Kipling's texts, I believe that the series also took a lot of inspiration from Joseph Conrad's masterpiece, *Heart of Darkness* (1898), which is also about a boat journey upriver into the heart of uncharted lands, that of the Belgian Congo. Marlowe, one of the narrators of the tale seems to share Dr. Cole's passion for discovering unknown lands. Just as the unrepresented horrors of *The Blair Witch Project* captured the audience's imagination, so the "blank spaces" (Conrad 9) on the map fascinate Marlowe—and Dr. Cole. *The River* also ventures into such an uncharted territory, or a "place of darkness" (Conrad 10): the Boiúna, the mysterious side waters of the Amazon river in South America.<sup>6</sup> I think this spatial figure can be interpreted in at least two different contexts: the context of postcolonialism, and the context of the sacred and the taboo. The Boiúna becomes a hybrid space condensing all these layers of possible meanings.

As the follow-up to *The Undiscovered Country*, *The River* encounters the darker side of the land: the crew has to overcome cultural as well linguistic difference within an essentially hostile environment, a landscape which postcolonial critics refer to as unreadable, in excess of description, evoking a feeling of the uncanny.<sup>7</sup> The excessive nature of the landscape becomes a symptom of the anxieties of the Western subject of the gaze (Bényei 260, 269) and the terror that invades the subject returns in the most palpable form in the colonial gothic genre, which imagines the landscape as the projection of the darkness of the psyche (Bényei 106). We might regard *The River* as a modern-day cinematic counterpart to the colonial gothic, much like, for example, John Stockwell's *Turistas* (2006): both of these films picture the darker side of the continent and the mortal danger it means for Western visitors. The series presents us with allegories of the encounters with the Other, which always leads to some form of transgression resulting in violence.

It seems clear that not all of the explorers were as innocent, benevolent and sympathetic as the persona of Kipling's poem. *The River* also needs to face the cultural memory of the conquest of South America by the Portuguese five centuries earlier. In the second episode they encounter traces of the violent colonial past of the land in the jungle: a graveyard of "the robber barons" ruling over the land, and it seems that one of the "robber barons" daughter had drowned and became a malignant

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<sup>6</sup> The Boiúna is not only a river, but a figure in South American mythology as well, referring to a "Mythical giant serpent who ruled over rivers in the Amazon rain forest. This nocturnal, supernatural snake was black in color but could shape-shift into various swamp creatures in order to frighten away local fishermen." (Bingham 16) It must also be noted that snakes in South American are "often associated with darkness and the underworld" (Bingham 114).

<sup>7</sup> As Sara Suleri argues, "The narratives of anxiety that emerge [...] are consequently colonial testimonials in which aggressions function as a symptom of terror rather than of possession. Most typically, such terror translates into the ostensible unreadability of the colonized continent." (Suleri 6)

spirit seducing people to join her in her watery grave. After facing the gothic heritage of colonialism, the crew members have to ask themselves: in what ways are they similar to, or different from, these “robber barons”? For example in the third episode Clark ponders that “Every corner of the Amazon has some story legend—designed to keep out the white people. . . . We’re not here to drill for oil, clear cut the forest. We’re just trying to make a TV show, okay?” The legends they encounter here are from a hybrid heritage mingling the folklore of the original inhabitants of the region with the cultural memory of the Portuguese conquerors and the legends of the black slaves (Bingham 117). It could be argued that these legends Clark is referring to came into existence partly as a resistance to colonial power: the repressed rage involved in the colonial situation found its vent in the gothic imagination and populated the land with hostile spirits. Although the crew is no longer there to exploit the land or the people, making a TV show sometimes does result in certain transgressions due to a lack of knowledge of local customs, for example, sacrilege. Every episode seems to be based on a native legend and an act of transgression, mistake, or sin, usually followed by some kind of retribution.<sup>8</sup>

The notions of transgression and sacrilege bring us to the second context I wish to connect the Boiúna with: the concept of the sacred. Mircea Eliade’s *The Sacred and the Profane* argues:

For religious man, space is not homogeneous; he experiences interruptions, breaks in it; some parts of space are qualitatively different from others. . . . There is, then, a sacred space, and hence a strong, significant space; there are other spaces that are not sacred and so are without structure or consistency, amorphous. . . . For religious man, this spatial nonhomogeneity finds expression in the experience of an opposition between space that is sacred—the only *real* and *real-ly* existing space—and all other space, the formless expanse surrounding it.

(Eliade 20)

Eliade contrast this primordial concept of sacred space and sacred experience with profane space and profane experience:

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<sup>8</sup> The first episode is about a bloodthirsty spirit and the transgressions include entering the Boiúna and setting the spirit free, which returns to hunt them; the second episode is about the ghost of a drowned girl and the transgression is the theft of an appeasing gift from her spirit tree; the third episode is about the Morçegos, an ominous tribe of hunters who are judging the crew’s deeds within the jungle, and the transgression is killing without any reason, which evokes the wrath of the tribe; the fourth episode revolves around Jonas, who recorded an elder’s funeral thereby breaking a taboo, which caused him to hover endlessly between life and death just like Coleridge’s *Ancient Mariner*; the fifth episode is about the crew of a ghost ship Exodus who are condemned to wander the Boiúna like Flying Dutchmen until they find someone else to take their place; the sixth episode is about finding the Xulo tribe and the transgression is leaving someone behind; the seventh episode shows a laboratory in the jungle dedicated to finding out the secrets of the Xulo’s DNA for medical/military purposes, which evokes the *Resident Evil* franchise; in the last episode Lincoln is brought back to life by demonic means, but he brings a malignant spirit with himself, just like in *Insidious*. It is important to note that beside excess, transgression seems to be the other returning motif of the gothic tradition as well (Botting 1, 6), which had a considerable impact on the history of the horror genre.

For profane experience, on the contrary, space is homogeneous and neutral; no break qualitatively differentiates the various parts of its mass. Geometrical space can be cut and delimited in any direction; but no qualitative differentiation and, hence, no orientation are given by virtue of its inherent structure. (Eliade 22)

If we interpret *The River* along this differentiation of spaces, it can be argued that the protagonists begin their journey in the profane space of the Western world, which is a rational, geometrically oriented space. The symbol of this rational geometry is the map, which mimetically represents the world for the crew. This profane geometry allows Lena to predict the most probable location of the *Magus* by mathematical means and she comes up with a result not interpretable within the same conceptual framework: as Lincoln explains, “There’s nothing there, Lena. There’s no river for the boat to be on. It’s not on the map. It doesn’t exist.” Even though local maps say otherwise, the territory *does* exist, and the expedition enters the sacred space of the Boiúna. What seems to make it impossible to represent this area on maps—and hence to rationalize it—is that it is like a labyrinth which is unstable and keeps changing.<sup>9</sup> Jahel, who, as opposed to the rest of the crew, has a profound knowledge of local legends and customs, immediately warns the others that “We cannot go there. It is [untranslatable].” Most likely the untranslatable part of her sentence refers to the Boiúna as a taboo territory, thus the entry itself is considered a transgression stemming from a lack of knowledge or carelessness that seems to be a recurring motif in the series. The transition from the profane, geometrical space towards the sacred space is accompanied by a host of dragonflies, the figures of change and passage, and which seem to be connected to the spirit world within *The River*. However, the passage from profane space to sacred space proves to be a one-way road (or river): the final irony of the first season is that they cannot leave the sacred area, they remain trapped within the ever-changing borders of the Boiúna: “The River’s changing. It’s never gonna let us go.”

## Conclusion

After tracing a possible genealogy of *The River* and analyzing the various figures it uses to reinvent the “found footage” horror genre, I must return to a previous point I made when writing about the relationship between *The Blair Witch Project*, *Book of Shadows*, and the series. The first movie showed us a unique way of guiding the horror genre back to its psychological roots by using the “found footage” technique, thereby visualizing a powerful alternative to mainstream Hollywood horror. I argued later that the sequel of the movie can be regarded as an unsuccessful attempt to appropriate the “found footage” technique for mainstream horror cinema. In such a

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<sup>9</sup> The ends of the first and the last episodes allow us to catch a glimpse of the Boiúna from above through the eyes of the remote controlled camera. The failure of mimetic representation in the area seems to mirror Heather’s confusion in *The Blair Witch Project* when she fails to read the map properly resulting in her crew getting hopelessly lost in the New England woods (cf. Banash 6).

critical narrative, *The River* seems to reconceptualize the “found footage” horror genre as a series of encounters with the cultural Other, and thus the series—together with, for example, *Quarantine* and *Cloverfield*—can be seen as a new attempt at appropriating the stylistic device made popular by *The Blair Witch Project*. The outcome seems dubious: the series surely has its promising moments as well as some major flaws which might be a general symptom of the exhaustion of the subgenre. The rumor has it that ABC has already canceled the show because of the disappointing viewer statistics (cf. Gorman), hinting that *The River* might end up just like Berlinger’s sequel and disappear among the flood of movies.

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# Celtic, Old English, and Middle English Legacies



## Traces of Ancient Celtic Religiosity in the Place Names of the British Isles

ANDREA BÖLCSKEI

Religion played an important role in the lives of the ancient Celtic people of the British Isles. Its significance is well represented by the fact that several toponyms reflecting heathen Celtic beliefs have come down to us both in Britain and in Ireland. Based on data collected from relevant etymological dictionaries (e.g. *The Cambridge Dictionary of English Place-Names* by Victor Watts, *A Dictionary of British Place Names* by A. D. Mills), this paper describes names for bodies of water (e.g. *Brent, Dee, Lea, Boyne, Shannon*), (historical) names for settlements (e.g. *Camulodunon, Clackmannan, Armagh*) and names for territories (e.g. *Isle of Man, Éire, Atholl*) relating presumably to the names of Celtic gods, goddesses and mythological figures. It also looks at place names of Celtic origin referring to oak or yew trees, as several of them must have identified sacred groves of religious importance, described also by classical authors (e.g. *Iona, Mayo, Kildare, Derwent*).

### Religion in ancient Celtic people's lives

The Celts, dominating a vast territory which extended from Ireland to Anatolia by the 3<sup>rd</sup> century BC, never established a politically unified empire in their history; Celtic people, however, were undoubtedly united by their common language, culture and religion. With agriculture still the basis of their economy, several elements of the religion of the ancient Celts had their roots in the nature worship practised by prehistoric farmers. In Celtic myths, the most important themes were fertility, death and the reasons for natural phenomena. Although Celtic people did not assume the existence of a strict hierarchy among their numerous gods and goddesses, they had some important, generally respected deities, who may be linked to the above mentioned themes. One of them was Lugus, the god of light and fertility (who, at the same time, also protected soldiers, bards and magicians). He was equated with Mercury in Gallo-Roman inscriptions. The Celtic gods Esus, Teutatis and Taranis are considered by some scholars to be the triple manifestation of Lugus. Lucan, the first-century Roman poet, claimed that the Celts regularly sacrificed humans in three different ways to these three deities. Human sacrifice became less and less frequent with the advance of Christianity (Dillon and Chadwick 13–15; Davies 220; Ross 95–96, 98; Eliade 386).

Irish mythology, almost untouched by Roman influence, has preserved, in literary form, many important features of the ancient Celtic religion. Irish myths associated with fertility often emphasize the significant role of Ernmas, the goddess of

the land. Her daughter, Mórrígan—one of the war goddesses alongside her sisters, Macha and Badb—also appears, under the name of Anann, as the personification of death in the mythological stories. One of the most important Gaelic deities, Brigit—whose British counterpart was Brigantia ‘the elevated one’—is said to have been the goddess of elevated physical state (e.g. highlands, flames running high) as well as noble thoughts or deeds (e.g. wisdom, craftsmanship, healing power, military skills) (Dillon and Chadwick 142–144; Ross 97).

Belenus, the Celtic sun god and Belisama’s (see also below) consort, had a strong cult in Cornwall. Ogmios, the Gallic god of eloquence, whose equivalent is Ogma in Irish mythology, is said to have been responsible for leading the souls of the recently deceased to the other world. Animals such as bulls and horses seem to have also been objects of worship among the British (cf. the Burghead Bull slabs; or the survival of the cult of Epona, the Gallic goddess protecting horses, in the veneration of Rhiannon, a female figure in Welsh mythology). The Celts, apart from the military and administrative role, attributed to their kings a sacral function as well: kings were supposed to mediate between people and the forces of nature. This idea was reflected in Ireland as late as the 12<sup>th</sup> century in the form of inauguration rites carried out in coronation ceremonies (Dillon and Chadwick 14, 141–142; Ross 99–100, 106; Eliade 386, 388).

In accordance with the importance of nature in their religious beliefs, the Celts revered several geographical objects of their physical surroundings (e.g. rivers, mountains, forests, fields) as (abodes of) local deities. Researchers have already identified nearly 400 names of more or less important Celtic gods and goddesses in continental Europe and in the British Isles with the help of archaeological findings, inscriptions and place names: most names seem to appear once, and even the frequent names can mostly be linked to a given territory. Celtic gods, although gradually endowed with more and more human features in myth, as a result of their original links with natural phenomena and forces, have always retained a touch of impersonality (Dillon and Chadwick 13, 146; Johnston and Abbot “The Celtic Iron Age”; Ross 96–97).

### **Toponyms reflecting heathen Celtic beliefs in the British Isles**

Names of the deities and figures of the ancient Celtic religion have most frequently been preserved in names for bodies of water, for settlements, and for islands and areas. The Druids, the Celtic priests, reportedly practiced their mysterious rites in groves of oak, yew and other trees held sacred by them, so today’s several toponyms of Celtic origin emphasizing the presence of this flora in the British Isles might also be associated with ancient Celtic religiosity (see also Bölcskei “Reflections of Gaelic Identity”, “A kelta vallásosság”).

To present the types of toponyms reflecting heathen Celtic beliefs in the British Isles, I have compiled a set of 85 relevant place names from two prestigious contemporary etymological dictionaries (CDEPN, DBPN; see above), in the following distribution with respect to denotata: 42 (former) names for bodies of water,

33 (former) names for settlements, 10 names for islands and areas; including altogether 41 names referring presumably to former sacred places. Regarding references in place names, gods and goddesses named more than once in the observed name forms include Manannán mac Lir, the Irish sea god (5 instances); Camulos, the Celtic war god (5 instances); Sentona, a British divinity (3 instances); Brigantia, the Celtic goddess of elevated physical and mental state (2 instances); Fótla, a tutelary goddess of Ireland (2 instances); Lugus, a pan-Celtic deity (2 instances); Macha, an Irish war goddess (2 instances); and Verbeia, a river goddess (2 instances); the required vegetation is mentioned in 32 place names. I also consulted the relevant literature, which gave me the background of the age, as well as the reasons for divergence of views concerning the origins of the observed names I sometimes encountered in the dictionaries. This paper gives a selection of the collected toponyms: the place names discussed below are considered the most representative ones for the topic.

## 1 Names for bodies of water

The old Celtic religion set a high value on springs, rivers, lakes and bogs: the ancient Celts, as is suggested in many of their myths, strongly believed that the bodies of water—as transitional zones between the realms of the living and the dead—were inhabited by supernatural beings equipped with distinct magical powers. To ensure their benevolence, expensive pieces of metalwork, often piled up in cauldrons, symbolizing abundance, were regularly deposited into the water by the early Celts as votive offerings both in Europe and in the British Isles. This tradition is also reflected in the story of Excalibur, the magical sword, which, in one version of the legend, is said to have been given to King Arthur by the semi-divine Lady of the Lake and to have been thrown back to her in the water after some hesitation by Sir Bedivere, a knight of the Round Table, at Arthur's death (Matthews 16; Harbinson 161; Raftery 184; Dillon and Chadwick 137; Ross 106; Hunt).<sup>1</sup>

It is no wonder that in these circumstances bodies of water themselves were frequently worshipped as sacred features of the landscape by the early Celts. In the British Isles, some river names of British origin explicitly express the sacredness of the water. The river name *Brent* in England, for instance, is regularly interpreted as 'holy river' by most scholars (DEPN 63; CDEPN 83; Cameron 39); others believe that the name—alongside the river name *Braint* in Anglesey—might be related to (the root of) the name of Brigantia, the Celtic goddess of poets, physicians and smiths, as well as of fire (CDEPN 83, under *East Brent*; Matthews 16; Ziegler; Eliade 386). The river name *Dee* 'the goddess', 'the holy one' (cf. also *Afon Dyfrdwy* 'the sacred river', today's Welsh name of the river) is suspected by Victor Watts to be an allusive substitution of less specific semantic content for *Aerfen* 'the goddess of war', presumably the original name of the river, as it appeared in early Welsh poetry

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<sup>1</sup> Other scholars claim rather that the Celts stored (part of) their booty weapons in the bodies of water to guarantee their inviolability (Ross 47, 66).

(CDEPN 182; Cameron 39). Percy H. Reaney quotes Giraldus Cambrensis, the 12<sup>th</sup>–13<sup>th</sup> century chronicler, who claimed that the river, constituting a part of the boundary between England and Wales, even in his time was believed to indicate the outcome of the English–Welsh wars by washing away its bank on the losing side (79). Watts also considers the river name *Glen* ‘clean, holy or beautiful river’, both in Lincolnshire and Northumberland, to be ultimately of British origin, from the root *\*glano-* ‘clean, holy, beautiful’ (CDEPN 252).

Other rivers have become known by the name of their Celtic gods or goddesses. The river name *Lea* is said to have a reference to Lugus, the god of light (or, alternatively, that of shadows), either in the sense ‘river dedicated to Lugus’ or by way of incorporating the Indo-European root *\*leug-* ‘bright, light’ (out of which the god’s name has also been derived) and meaning ‘bright river’. The River *Wharfe* (‘the winding river’) is considered to have borne a name that was identical with the name *Verbeia*, the goddess of the river, whose veneration has also been displayed by an inscription on a local Roman altar stone. The river name *Camelar* (today’s Cam Brook), preserved in the settlement name *Camerton* (‘settlement or estate on the river Camelar’), is suspected to have been derived from the name of *Camulos*, the Celtic war god. The name of the River *Yarty* might refer to *Artio*, the Celtic bear goddess. In Roman records, the estuary of the river known today as Ribble was called *Belisama*, which happens to be the name of the warlike Celtic goddess of wisdom and crafts, whom the Romans identified with *Minerva*. In Celtic mythology, the nymph of the river today called Severn, a name of uncertain origin, is *Sabrina*, by which name, as a result of folk etymology, the river was known by the Romans. However, in Celtic times the god of the flooding Severn was *Nodens*, who was associated with healing, hunting and the sea, and whose temple to accommodate sick pilgrims stood at *Lydney*, overlooking the estuary of the stream. The river name *Trent* (‘great wanderer’, ‘great flooder’) might incorporate the name of *Sentona*, a British divinity, who was believed to manifest herself in the frequent tidal waves on the stream (DBPN 86, under *Burley in Wharfedale*, 467; DEPN 291, 413; CDEPN 364–365, 669, 112, 709, 498, 537–538, 627; Reaney 79; Matthews 16, 17; Dillon and Chadwick 140).

Irish mythology explains that the River *Boyne* was created and named after *Boann* (‘she who has) white cow(s)’, the goddess of the river, fertility, and wisdom. Likewise, the River *Shannon* ‘old goddess’ also received its name from its Celtic goddess, *Sionna*. The supposedly common spring of the two rivers was said in Irish myths to be the source of all knowledge (DBPN 413; Gwynn 27, 35, 287, 293: poems 2 and 3, *Boand I and II*, poems 53 and 54, *Sinann I and II*; Matthews 141; Dillon and Chadwick 145; G&G 49–50). The healing power of medicinal waters was also attributed by the Celts to a local goddess, whose veneration was later often adopted by the Romans as well, e.g. the spa at *Buxton* in Derbyshire, rising from two different sources, was known as *Aquae Arnemetiae* ‘waters of Arnemetia’ by the Romans, after *Arnemetia*, ‘she who dwells in the sacred grove’, the Celtic goddess of the place (Hunt).

## 2 Names for settlements

*Camulodunon* (Latin *Camulodunum*) ‘fortress of Camulos’, the former British name of today’s Colchester, may preserve the name of Camulos (see above), whose cult must have been popularized in Britain by the immigrating Belgae. Matthews believes that *Camelot*, the name of Arthur’s castle, appearing first in a 12<sup>th</sup>-century French version of the saga, might also be connected to the name of the same god, regardless of the fact that the place itself was legendary (DEPN 116; CDEPN 113; Reaney 79; Cameron 36; Matthews 7, 11–12).

*Luguvalium*, the Romano-British name of present-day Carlisle, according to one explanation, may be in connection with the cult of the previously mentioned Lugus and might mean ‘the wall(ed town) of the god Lugus’. Another possibility is that the place name comes from the Old British personal name *\*Luguvalos* ‘strong as Lugus’ and means ‘belonging to *\*Luguvalos*’. Bede recorded that the 8<sup>th</sup>-century name of the settlement was *Luel*, to which the Old Welsh *\*cair* ‘city, fort’ had become prefixed by the 9<sup>th</sup> century in local use. The name *Cair Luel* was transformed into *Carlisle* in the writings of Norman clerks, who failed to understand the components of this toponym (DEPN 88; CDEPN 386; Reaney 79; Cameron 35; Matthews 7–8).

In Ireland, the veneration of Macha, an ancient Irish war goddess, was reflected in such place names as *Armagh* ‘Macha’s height’ (explained alternatively as the ‘height of the plain’), a county town; and *Eamhain Mhacha* ‘Macha’s brooch’, today’s Navan Fort, an ancient monument in County Armagh, whose outlines, as the legend says, were marked with the help of a brooch by the goddess herself to indicate the site for the Kings of Ulster (DBPN: 18, 341, under *Navan*; PDI, under *Ard Mhacha*).

In the Roman period, today’s Bath, because of its natural hot springs, was known as *Aquae Sulis* ‘the waters of Sulis’, after the local Celtic goddess of wisdom, decisions and revenge, who, merged with their own corresponding goddess, was revered by the Romans as Sulis Minerva and to whom a temple was erected in the town (CDEPN 16; Matthews 7, 25; Hunt). The memory of the cultic significance of river mouths might be preserved by the numerous settlement names beginning in *Aber-* ‘confluence’ in the land of the former Picts, e.g. *Aberfeldy* ‘confluence of Peallaidh’, for instance, is said to include the name of a water sprite who allegedly used to visit the place quite often (DBPN 2; Ross 107).

Matthews suspects that behind some personal names of unknown reference one might find the figures of Celtic mythology: if the name *London*, as proposed by Ekwall (DEPN 303) and his followers, has indeed been derived from the British personal name *Londinos* ‘the fierce one’—says Matthews—, this name did not necessarily refer to a tribal leader, as was believed earlier, but rather to a local minor Celtic god, which would explain why no authentic historical records were kept about a person of that name (6). In the same way, the otherwise unknown *Eburos*, mentioned in connection with the British name *Eborakon* (Latin *Eburacum*), indicating today’s York—which name, at the same time, is also compared to a British

word meaning ‘yew’ (see below)—, might have been, according to Celtic beliefs, the god of the local yew grove(s).

### 3 Names for islands and areas

Myths connect the name (*Isle of*) *Man* to that of Manannán mac Lir, the Irish sea god, but the true etymology of the name for this island has so far remained obscure. It is probable, though, that the name (*Isle of*) *Man* is related to (*Ynys*) *Môn*, the Welsh name for Anglesey (which, for that matter, used to be a favourite place of the Druids until the 1<sup>st</sup> century, when it was raided by the Romans; cf. Ross 104). These names might rightfully be associated with *Manaw* (*Gododdin*), the post-Roman name for the narrow southern shore of the Firth of Forth, forming part of the contemporary British Kingdom of Gododdin. The name for the area has survived north of the river in the settlement name *Clackmannan* ‘stone of Manau’<sup>2</sup> and south of the river in the habitation name *Slamannan* ‘moor of Manau’, the British forms *Manaw* ~ *Manau* being the equivalents of the Gaelic *Manann* (DBPN 315–316, 13, 115, 423; Matthews 135, 138; Dillon and Chadwick 151; Fox).

Matthews builds her explanations of certain Scottish Gaelic place names upon the fact that the Gaels brought with them also their myths when some groups moved from Ireland to Britain (145).<sup>3</sup> In Irish mythology, Fódla, alongside Banba and Ériu, is a tutelary goddess of Ireland. A legend says that the ancient names of the country come from the names of the goddesses. *Éire*, today’s Irish name of the country, meaning presumably ‘abundant land’, may indeed be a derivation from the name of Ériu, the goddess of the land, sovereignty and fertility in myths (DBPN 258, under *Ireland*; G&G 98–99; Ross 76). *Fodhla*, a poetic name for Ireland, also pops up in *Atholl* (< Gaelic *ath Fódla* ‘new Ireland’), the name of a territory occupied by Gaelic people in medieval times in the Scottish Highlands (DBPN 61, under *Blair Atholl*).

### 4 Names for sacred places

Ancient Celtic religious lore was propagated by the highly respected members of the learned caste called the Druids, who, usually descending from aristocratic families, acted at the same time as priests, judges (spreading the ideas of community law: the tribe or kinship group could be made responsible for the acts of the individual), scholars (having a deep understanding of natural sciences and philosophy), teachers (passing down their comprehensive knowledge from one generation to the next in the form of oral tradition, because of the ritual prohibition on writing in Celtic culture), magicians (interpreting various natural phenomena as omens, and, by doing so, exerting a subtle but effective and very real influence on important political decisions)

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<sup>2</sup> The Stone of Manau, a pre-Christian monument from a glacial rock, can be seen even today in Clackmannan (DBPN 115).

<sup>3</sup> Some of these myths originate from the 1<sup>st</sup> century, but were not recorded before the 5<sup>th</sup> or 6<sup>th</sup> centuries, and the surviving manuscripts might have been produced four to five hundred years later, which definitely renders the explanation of the relevant place names difficult (Matthews 142).

and ambassadors (travelling freely among the Celtic kingdoms). Historical records report that they regularly performed their rituals at the confluences of rivers or in sacred groves. In the British Isles, the sheer number of toponyms of Celtic origin referring to oak or yew trees near rivers or in woods might indicate the former importance of such places, e.g. the river names *Derwent* ‘river in the oakwood’, *Darwen* ‘oak river’ and *Dart* ‘oak-tree river’ in England;<sup>4</sup> or the settlement names *Ballinderreen* ‘townland of the little oak grove’, *Dunderry* ‘fort of the oak grove’ and *Lisnarrick* ‘fort of the oaks’ in Ireland (CDEPN 185, 180, 179; DBPN 31, 163, 299; Matthews 17, 158; Szántó 7; Dillon and Chadwick 10–12, 138; Ross 100–105; Eliade 389–391; Leech 10).

In Devon and Cornwall, where the Celtic population were able to live a relatively undisturbed life long after the Anglo-Saxon invasion of Britain, place-name derivations from the British word *\*nemeto-* ‘sacred place’ are also believed to have indicated scenes of Druidic activities, e.g. *Nymet* (*Rowland* and *Tracey*) ‘pagan sacred place, sacred grove’ (held by Roland and the Tracy family, respectively), *Nymet* being originally the old name for the River Yeo flowing nearby; *Nympsfield* ‘open land of Nymed’; *Nemetobala*, the presumable Romano-British name of the holy place at Lydney; (*Bishop’s*, *George* and *King’s*) *Nympton* ‘estate on the River *Nymet*’ (owned by the bishop of Exeter in 1086, with a church dedicated to St George and possessed by the king in 1086, respectively), *Nymet* being the old name for River Mole; *Lanivet* ‘church-site at Neved’, *\*Neved* being a relevant early place name<sup>5</sup> (CDEPN 446, 361; DBPN 350–351, 288; Reaney 87; Dillon and Chadwick 138; Ross 107).

In some cases, tradition has indeed preserved the memory of Druidic activity carried out in the place bearing a relevant name. A legend says that *Iona*, whose name comes from the Old Irish *eo* ‘yew’ and took its present spelling as a result of a misinterpretation of the Latin adjectival form *Ioua* (*insula*), had been an important centre of the Druids before St Columba moved to the island in the 6<sup>th</sup> century. In Ireland, *Mayo* ‘plain of yew trees’, as the early and medieval religious significance of the place suggests, might also bear a name referring to a former sacred grove. *York*, originating from British *Ebórákon* ~ Latin *Eburacum*,<sup>6</sup> is either a derivative of the personal name *Eburos*, meaning ‘the estate of Eburos’ (see above); or goes back to an expression meaning ‘place abounding in yews’, which might have indicated a grove

<sup>4</sup> A river called *Derwent* can be found in Derbyshire, on the border between Durham and Northumberland, in Cumbria as well as in North Yorkshire; the River *Darwen* is in Lancashire; and the river known as *Dart* flows in Devon (CDEPN 185, 180, 179).

<sup>5</sup> Sometimes, in toponyms of Old English origin, the OE words *hearg* ‘a heathen shrine’ or *wīg*, *wēoh* ‘a heathen temple’ might also have reference to the (former) presence of a building perceived by the late coming English as a Celtic sanctuary, e.g. the remnants of the Iron Age hill-fort at *Harrow Hill* (< OE *hearg* + *hyll* ‘hill’) ‘the heathen temple hill’, considered to be a place of heathen worship; the likely presence of a temple near *Weedon* (< OE *wīg*, *wēoh* + *dūn* ‘down, hill, mountain’) (*Bec* and *Lois*) ‘hill with a heathen temple’ (possessed by the abbey of Bec-Hellouin, Normandy and with the well of St Loys or St Lewis, respectively) (CDEPN 282, 658; DEPN 260, under *hyll*, and 153, under *dūn*).

<sup>6</sup> The British name *Ebórákon* in the 7th-century Old English language, as a result of popular etymology, became *Eoforwīc* ‘boar village’ (see OE *eofor* ‘boar’ and OE *wīc* ‘dwelling, village’), which in the Old Norse language of the 9th and 10th-century Scandinavian immigrants was transformed first into *Iorvík* and later into *Iork*. This form was borrowed back into the English language, and turned into *York* in the 13th century (DEPN 545, 515–516, under *wīc*).

held sacred by the Druids (DEPN 545; DBPN 257, 322, 517; CDEPN 207; Reaney 24–25; Matthews 6, 158).

It is hardly a coincidence that St Brigit, one of the patron saints of Ireland, according to hagiography, established her monastery at *Kildare*, ‘church of the oak tree’, where previously the Celtic goddess Brigit had her own shrine: sites of heathen worship have often later become important Christian centres (DBPN 270; Matthews 158; Dillon and Chadwick 144; Ross 113; PDI, under *Cill Dara*).<sup>7</sup> The Welsh name *Carreg y Druidion* ‘the Druid’s stone’ also preserves the memory of the Celtic priests (Matthews 128).

## Conclusion

As we have seen, the religious ideas so characteristic of the ancient Celts left their mark on the toponymic landscape of the territory they once occupied. For the Celts, the supernatural world formed an integral part of and served as an explanation for the natural world, so components of the latter—bodies of water, forests, mountain tops, burial mounds, and even inhabited places—were populated with transcendent beings with several divine responsibilities in the Celtic imagination. Early Celtic toponyms associated with the deities of the indicated places in the British Isles, however, prove not only that the cults of gods and goddesses of the pan-Celtic pantheon were suppressed by the veneration of local divinities in the islands, but also that, though many British gods and goddesses had their appropriate Gaelic counterparts, even the British and the Gaels worshiped several distinct deities, in accordance with the strong links supposed to connect the beliefs of ancient Celtic religiosity to the actual natural surroundings of the believers.

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## *Scín*—An Imported Sickness Afflicting Demon?

ZSUZSA ZÁVOTI

“*Ɔađa Drihten ɔam scipe genealæhte, ɔa wurdon hi afyrhte, wendon þæt hit sum gedwimor wære. Drihten cwæð him to, Habbað eow truwan; ic hit eom; ne beo ge ofdrædde.*” *Ne eom ic na scinnhiw, swa swa ge wenað: oncnawað þone þe ge geseoð.*

[“When the Lord drew near unto the ship they were afraid, thinking that it was an apparition. The Lord said unto them, Have trust, it is I, be ye not afraid.” I am not a phantom, as ye ween: know him whom ye see.]

(Thorpe, 388-9)

According to medical texts circulating in ninth- to eleventh-century England, the cause of certain diseases was attributed to supernatural beings. These creatures were mostly part of the Germanic pagan heritage such as elves, the *nihtgenga* (‘night-walker’) or the night-mare. But because these medical texts were the results of a long interaction between Anglo-Saxon and various continental medical traditions, attitudes towards sickness and conceptions regarding these sickness-afflicting creatures constantly moulded and incorporated foreign elements. One such creature is the *scín*. In Bosworth and Toller’s *Anglo-Saxon Dictionary*, the meaning of *scín* is ‘an extraordinary appearance, deceptive appearance, spectre, evil spirit, phantom’ (832); in addition, the verb *scinan* means ‘to shine, to appear’ (832). In an eleventh-century glossary preserved in MS Cotton Cleopatra A iii, the Latin word *fantasma* is translated with *scín* as well as “*idem et nebulum*” (Wright, column 407), implying that if a Latin text describes phantoms and eerie clouds of mist, then the Anglo-Saxon reader should think of a *scín*. *Scín-lác*, in the same glossary is given as an equivalent for the Latin *monstra* adding the meaning of miracle, portent or supernatural appearance. However, in the Old English version of the text entitled *Medicina de Quadrupedibus* (“Medicine [made] of four-legged animals”), the creature related to epilepsy is translated from Latin as *scín*. However, I argue that *scín* as a sickness (and especially epilepsy) causing ghost-like apparition was not innate in Anglo-Saxon medicine but was the product of translations of Latin medical texts into Old English.

Four major medical compendia survive in Old English: the sequence of the *Leechbooks* consisting of three books; the *Lacnunga*; the *Old English Herbarium*; and the translation of *Medicina de Quadrupedibus*. The *Leechbooks* contain the bipartite *Bald’s Leechbook* and *Leechbook III*; the *Herbarium* is often written as one continuous text with (i) *De herba vettonica liber*, (ii) *Herbarium Apulei* and (iii) *Liber medicinæ ex herbis femininis* and is often accompanied by the *Medicina de Quadrupedibus* consisting of (i) *Liber taxone*, (ii) a treatise on the mulberry’s healing properties, and (iii) a short version of the *Liber medicinæ ex animalibus*. Both the

Latin and the Old English versions of the *Herbarium* and the *Medicina de Quadrupedibus* could be found in Anglo-Saxon England; in fact, the Latin version was known from the eighth century and probably even earlier, while the translation is believed to have been completed no later than the ninth or tenth century (De Vriend xlii).

While the *Leechbooks* and the *Lacnunga*, compiled and edited by Anglo-Saxons, are miscellaneous collections of recipes reflecting Classical, Byzantine, medieval continental and Germanic folkloric influences, the *Old English Herbarium* and the Old English version of the *Medicina de Quadrupedibus* are translations of existing, independent works originating from the Continent.

Even though the *Leechbooks* and the *Lacnunga* were written down most plausibly in the tenth-eleventh centuries by Christians (Ker 333), they obviously reached back to a much older tradition, both in using classical sources, medieval continental sources and in resorting to Germanic folkloric tradition. “There is convincing evidence that the compiler [of the *Leechbooks*] had the following works available for direct quotation: Oribasius’ *Synopsis* and *Euporistes*; *Practica Alexandri* (for all extracts from the works of Philemanus, Philagrius and Alexander of Tralles); Marcellus’ *De Medicamentis*; *Physica Plinii* and possibly *Medicina Plinii*” (Cameron 154) which were among the most outstanding and popular medical texts circulating at the time. *Bald’s Leechbook* shows a stronger Classical and continental influence than *Leechbook III*. There is a more apparent logic in the structure and the arrangement of the recipes, which follow the classical head-to-toe pattern. In this system, diseases and their treatments were vertically mapped onto the body, starting with different types of headaches and finishing with the ills of the feet. In addition, another organizing principle of *Bald’s Leechbook* is the classical (Hippocratic) theory of the four humours and the four elements. Diseases are mostly ascribed to the imbalance of the four humours of the human body (phlegm, blood, yellow bile and black bile) or to “ill humours”. While *Leechbook III* also attests to knowledge of the theory of the four humours, it rather resorts to a magico-medical stratagem and contains more elements of the Germanic pagan tradition. Already the first leechdom fights headaches, *nihtgenga* (night-walker), *mara* (personified nightmare) and *yflum gealdor cræftum* (evil chanting) (Cockayne 306). Compared to *Bald’s Leechbook*, a significantly greater number of curious medical conditions are attributed to elves, as, for instance, the so-called *ælf-adl* (elf-illness) (Cockayne 344), *ælf-sogopa* (the exact meaning of this ailment is still debated but *sogopa* is translated by Cockayne as hiccup) (Cockayne 348) or *wæter-ælf-adl* (water-elf-disease) (Cockayne 350).

The existence of the Latin original of the *Old English Herbarium* or the “enlarged *Herbarium*” can be traced back as early as the fourth century (De Vriend lvi–lvii). However, in one of its surviving manuscripts, a dedication is found to the physician Antonius Musa of the first century BC and parts of it are “purported to be an Old English translation of a work . . . attributed to Dioscorides” of the first century AD (De Vriend lviii). Similarly, the *Medicina de Quadrupedibus* goes back to the fifth century, and its third part is ascribed to Sextus Placitus (no such person has been identified so far), who resorts to Pliny the Elder’s lore and uses his texts. Hence, we

can see that the *Herbarium* and the *Medicina de Quadrupedibus* are rooted more firmly in the so-called “rational” medicine, which deploys the chemical or physical effects of its instruments, and which was typical of classical Greek Hippocratic medicine. As Philip van der Eijk puts it, “[t]he ‘rationality’ of Greek medicine was perceived to lie in the fact that it abandons ‘superstitious’ beliefs about gods and demons as causes and healers of disease, and that it adheres to what is sometimes referred to as ‘the principle of the uniformity of Nature’, i.e. the view that like causes always produce like results” (Van der Eijk 3). As opposed to this, the *Leechbooks* and the *Lacnunga*, even though relying on classical (and thus, rational) sources to a certain extent, drift farther away in space and time from the Hippocratic tradition. Thus they allow more folklore leaking in: since they were written down about five centuries later and many hundred miles farther than the *Herbarium* and the *Medicina*, more layers of medical lore and local vernacular beliefs were built into them that were procured throughout the passing centuries and miles.

The impact of Christianity is also evident in the *Leechbooks* and the *Lacnunga* as a great deal of ailments are cured by means closely associated with Christianity: herbs are made efficient by singing masses over them,<sup>1</sup> salves are to be drunk out of church bells,<sup>2</sup> *Pater Nosters* are to be sung over the patients,<sup>3</sup> lichen taken off a stone cross is to be concocted into a “holy salve”,<sup>4</sup> and devils possess people causing diseases.<sup>5</sup>

<sup>1</sup> C.f. e.g. Cockayne 334 (all quotes from this edition are in my translation):

*Vyr̃c [sic!] godne drenc wiþ eallum feondes costungum. Nim betonican bisceop wyr̃t elehtran gyþrifan . . . lege under weofod gesinge viiii mæssan ofer . . .*

[Make a good drink against the devil’s temptations. Take betony and bishop’s wort and lupine and corncockle . . . lay them under altar and sing 9 masses over them . . .]

<sup>2</sup> C.f. Cockayne 136:

*Drenc wiþ feondseocum men of ciricbellan to drincanne . . . gesinge seofon mæssan ofer þam wyr̃tum do garleac 7 halig wæter to 7 drype on ælcne drincan þone drenc þe he drincan wille eft 7 singe þone sealm Beati Immaculati 7 exurgat 7 Saluum me fac deus 7 þonne drince þone drenc of ciricbellan 7 se mæsse preost him singe æfter þam drence þis ofer . . .*

[A drink for the devil sick men that should be drunk out of church bell . . . seven masses should be sung over the plants, add garlic and holy water and drip in every drink he drinks. And he should sing the psalms *Beati Immaculati* and *exurgat* and *Saluum me fac deus* and then he should drink this out of church bell and after the drink the priest should sing this over him . . .]

<sup>3</sup> E.g. Cockayne 138:

*Wið weden heorte bisceopwyr̃t . . . þonne sing þu on ciricean letanias þat is þara haliga naman 7 pater noster mid þy sange þu ga þat þu sie æt þam wyr̃tum 7 þriwa ymbga 7 þonne þu hie nime gang eft to ciricean mid þy ilcan sange . . .*

[For wooden heart bishop’s wort (..) and then sing upon church litanies that is the names of the holy and the Pater Noster and while singing go near the plants and go around them three times and when you pick them go to church singing the same . . .]

<sup>4</sup> Cockayne 344:

*Við (sic!) ælfadle nim bisceop wyr̃t finul . . . 7 gehalgodes cristes mæles ragu . . . bebind ealla þa wyr̃ta on clape bedyp on font wætre gehalgodum þriwa . . .*

Against ælf disease take bishop’s wort, fennel . . . and lichen taken off a holy Christ’s cross . . . bind all the plants in a cloth and dip them three times into consecrated font water . . .

<sup>5</sup> Cockayne 136:

*Wiþ feond seocum men þonne deofol þone monnan fede oððe hine innan gewælde mid adle. Spiwedrenc eluhre bisceopwyr̃t . . .*

Against devil-sick people when the devil possesses the man or controls him with illness from within. Purgative drink from lupine, bishop’s wort . . .

As opposed to this, there is no sign of Christianization in the *Old English Herbarium* and the *Medicina de Quadrupedibus*. They show, on the one hand, that they were written in an age when the Church did not have such an authority in medicine as it had in the time of the *Leechbooks*. On the other hand, the authority of these works was appreciated so much that the new prevailing principles reflected in the *Leechbooks* and *Lacnunga* were not allowed to modify the original text; the *Leechbooks* and *Lacnunga*, even though sometimes citing classical, non-Christian sources word-by-word, are imbued with Christianity. Whereas the *Old English Herbarium* and the *Medicina de Quadrupedibus* are intact in this sense, although they do offer opportunities here and there where one could insert some Christian thought (e.g. praying over patients or using holy water to make a salve more efficient).

Unlike the *Herbarium* or the *Medicina* where the source of sickness is either rational or ignored, the *Leechbooks* and the *Lacnunga* often originate diseases from transcendental beings. As mentioned before, much of the vernacular folk traditions were incorporated into Anglo-Saxon medicine, as the *Leechbooks* and the *Lacnunga* reveal. Remnants of the old Germanic pagan faith survive in the form of ritual or in transcendental beings causing sickness. For instance, the *ælf* whose Proto-Germanic origin is well attested in Scandinavian mythology and other Germanic languages is a common source of sickness, just like the so-called *nihtgenga* or the *mæra*. The more “international” Christian demons and devils are also members of the army bullying medieval Anglo-Saxons . . . but not the *scín*. *Scín* occurs five times in the text of the *Old English Herbarium* and the *Medicina de Quadrupedibus*, four out of five times in the form of *scínlác*, and is the only transcendental being associated with sickness in these works. Interestingly, this association of *scín* with sickness is missing from other Anglo-Saxon medical texts.

As mentioned before, *scín* is rather associated with light, apparitions and delusion. *Scín-lác* denotes a portent or supernatural appearance in the glosses, however, in a tenth century glossary in MS Harley 3376 (Wright, column 236), the more sinister phrase “*ferale monstrum*” (deadly omen/apparition) occurs as *reþlic scinhiw*. *Scín-lác*, in addition, has a twofold interpretation: according to Bosworth-Toller, *lác*, on the one hand, has a meaning of a special movement describing “the motion of a vessel riding on the waves, the flight of a bird as it rises and falls in the air, the flickering, wavering motion of flame, and the like” (Bosworth-Toller 603); on the other hand, it bears the meaning of battle, playing, sacrifice and offering, possibly the dancing and ancillary rituals included as well (Bosworth-Toller 603). In this sense, *scín-lác* can mean both an apparition with emphasis on the optics of a flickering light, and a ritual involving the phenomenon of the *scín*.

Other texts of Old English literature further nuance the meaning of *scín*: *scín* is often connected to the devil and to delusion. For instance, in the poem *The Whale* preserved in the Exeter Book, the whale is described as similar to the devil:

... swa þæt wenap      wæglibende  
 þæt hy on ealond sum      eagam wliton,  
 ond þonne gehydað      heahstefn scipu



Christianity, possibly as an analogue of Lucifer the “Light Bearer” remains a puzzle; however, Scandinavian *scín*-like beings are often heralds of death and misfortune but function as a message, or a portent, rather than something evil (cf. the *fylgja* in Icelandic sagas foreshadowing people’s death).

The Norrøn (Old Norse) cognates of the word also confirm the same connotations. Both the word *skí* (‘sorcery’, ‘jugglery’) and *skrípi* (‘phantom’) are recognized to derive from the root *\*skei* (‘appear’, ‘shine’), which is present in the Old Norse verb *skína* (‘shine’). The alliterative formula often occurring in sagas *skí ok skrípi* means a hallucination, and *skí-maðr* denotes a sorcerer (Sturtevant 155). In addition, the base *\*skrei* is present in Old Norse *skrim* (‘a faint light’) and *skrimsl* (‘spook’, ‘ghost’), which has survived in modern Norwegian as *skrimsel/skrimsle* (‘weak light’, ‘dim’, ‘shady’) (Sturtevant 156–7). The presence of obscurity and deception in the meaning is emphasized both in the Norrøn and in the Old English *scín*, in line with other Northern supernatural beings, like the Anglo-Saxon *ælf* (in Anglo-Saxon literature, the compound *ælf-sciéne* denotes an enchanting beauty with the potency of deluding<sup>6</sup>) or the Old Norse *draugr* ‘deceiver’ (Sturtevant 152), an apparition often haunting the sea and shrieking at fishermen. As it has been pointed out, “[t]he idea of deception was often fundamental in words for a supernatural creature” (Sturtevant 153).

Since *scín* is represented as a supernatural being related to sickness in the *Medicina de Quadrupedibus*, we might expect it to occur in the *Leechbooks* and *Lacnunga*, those being the major vernacular, “almost originally” Anglo-Saxon medical compendia. However, to our surprise, we can realize that instead of *scín*—elves, devils, *mæra*-s and *nihtgenga*-s are roaming the Anglo-Saxon wastelands hunting for people, and only one single word derived from *scín* (*scínlac*) emerges beside the condition of fever once:

*Dis balzaman smyring wiþ eallum untrumnessum þe on mannes lichoman  
biþ wiþ fefre 7 wiþ scínlace 7 wið eallum gedwolþinge.*

[This smearing with balsam is against all infirmities that are on a mans body, against fever, and against apparitions, and against all delusions.]

(Cockayne 288–89)

It is difficult to identify now what ailments could have been understood under those connected to supernatural beings, but *scínlac*, mentioned in the second part of *Bald’s Leechbook* might not even be afflicted by a supernatural being, as Cockayne’s translation suggests. It rather appears to be some sort of malicious sorcery aimed at someone by another person. *Scínlac* in this remedy stands beside *gedwolþing* and *fefer*, and *gedwolþing* means according to Bosworth-Toller, a false thing, an erroneous thing and deceit, which resonates with the expressions used in laws for doing sorcery, idolatry and heresy:

<sup>6</sup> E.g. in the poem “Judith”, in Benjamin Thorpe’s *Cædmon’s Metrical Paraphrase of Parts of the Holy Scriptures* (109).

[*preosta*] *forbeode wil-weorðunga 7 lic-wiglunga 7 hwata 7 galdra 7 man-weorðunga 6 þa gemearr þe man drifð on mislicum gewiglungum 7 on frið-splottum 7 on ellenum 7 eac on oðrum mislicum treowum 7 on stanum 7 on manegum mislicum gedwimerum þe men ondreogað fela þær þe hi na ne scoldon.*

[And we enjoin, that every priest zealously promote Christianity, and totally extinguish every heathenism; and forbid well-worshipings, and necromancies, and divinations, and enchantments, and man-worshipings, and the vain practices which are carried on with various spells, and with “frith-splots,” and with elders, and also with various other trees, and with stones, and with many various delusions [errors], with which men do much of what they should not.]

(*Ancient Laws and Institutes of England* 248–49)

*Gemearr* and *gedwimer* > *dwimor* mean a ‘hindrance’, ‘an error’ (Bosworth-Toller 415) and an ‘illusion’, ‘delusion’, ‘error’ (Bosworth-Toller 220), respectively. Here, the word “error” denotes acts of pagan rituals, and this suggests that *gedwolping* in the leechdom might also be a pagan ritual performed to harm somebody, perhaps in the form of a curse. As we have already noted above, *scín-lác* can also mean a ritual performed, so it allows the interpretation that *gedwolping* and *scín-lác* in the leechdom are activities meant to deteriorate a person’s health. But even if the malevolent voodoo-like magic produced epilepsy-like symptoms, the main and primary feature of the *scín*-condition in this leechdom is not of epilepsy but of sorcery.

On the other hand, the ailments which are in connection with epilepsy in the *Leechbooks* are called *fylle-wærc*, *fellewærc* and *bræc-seoc* and appear in both parts of *Bald’s Leechbook*, but nothing resembling epilepsy is found in the “more vernacular” *Leechbook III*, except for lunatic (*monap-seoc*) and those obscure conditions which are related to elves and devils. *Scín*, however, was apparently not a sickness-afflicting factor in the context of the *Leechbooks*.

In line with the terms in the *Leechbooks*, it can be found in the glosses of Ælfric that “*epilepsia, vel caduca, vel larvatio, vel commitialis*” is translated as *bræc-coðu* and *fylle-seoc* (Wright, column 112). In the tenth century Harley glossary, the Latin “*caducus*” stands beside “*demoniacus*” and *bræcseoca* “*vel inanis*,” but also beside “*demoniaticus*,” we find “*insanus, amens vel*” *woda* (madman, *wód* = mad with anger) (Wright, column 196). The “falling” aspect of epilepsy is clearly connected here with demons and general mental disorder. So we can see that the Latin word *epilepsia* is associated with (i) falling as in “*caduca*,” (ii) ghosts as in “*larvatio*,” (iii) assembly as in “*commitialis*,” (iv) demons as in “*demoniacus*” and (v) madness and raging as in “*amens*” and *woda*.

So far we have observed *scín* in its “natural habitat” in original Anglo-Saxon texts. Now it is time for us to consider it in the translated texts of the *Herbarium* and the *Medicina*. As pointed out earlier, *scín* occurs five times in the *Old English*

*Herbarium* and the *Medicina de Quadrupedibus*. The first occurrence is not connected to sickness, it describes the herb *asterion* as it shines in the night like a star and ignorant people would mistake it for an apparition (De Vriend 104 [all quotes from de Vriend's edition are in my translation]).

The second occurrence is in connection with the “falling sickness”, epilepsy (De Vriend 254):

*Ne infans caducus sit aut fantasma experiatur, cerebrum caprae silvaticae [per] anulum aureum traiectum, si dederis infanti glutture antequam lac ducat, sanus erit.*

[Lest a child be falling or endure apparitions, a wild she-goat's brain is to be pulled through a golden ring, if given to the child to eat before drinking milk, the child will be healed.]

*Py læs cild sy hreosende, þæt is fylleseoc, oþþe scinlac mete, fyrgate brægen teoh þurh gyldenne hring, syle þam cilde swelgan ær þam hyt meolc onbyrge, hyt byþ gehæled.*

[Lest a child be falling, that is having the falling sickness or endure apparitions, a wild goat's brain is to be pulled through a golden ring, if given to the child to eat before milk, the child will be healed.]

The Latin word for epilepsy (*caduca*) implying a sudden attack and falling is faithfully translated *yet* with the word *hreosende*. The Latin word *fantasma* (‘apparition’), is rendered by *scinlac*. Epilepsy here is already paralleled with the notion of seeing or being visited by apparitions first in the Latin, then also in the Old English version.

The third occurrence is in connection with demoniacs (De Vriend 262):

*Ad daemniacos vel umbrosos carnem lupi conditam qui ederit, a daemonibus vel umbris quae per fantasma apparent non tam inquietantur.*

[For the “demon-sick” and “ghost-sick” those who eat prepared wolf's flesh, the demons and ghosts that appear in visions will not disturb anymore.]

*Wiþ deofulseocnysse 7 wið yfelre gesihðe wulfes flæsc wel getawod 7 gesoden syle etan ðam þe þearf sy; þa scinlac þe him ær ætywdon, ne geunstillað hy hine.*

[For devil-sickness and dreadful sights, if well-prepared wolf's flesh is eaten by him who is in need, the apparitions that appeared to him before will not disturb him.]

A “*daemniacus*” and an “*umbrosus*” is a person tortured, possessed or visited by demons or apparitions. These conditions are translated into Old English as *deofulseocnys* (‘devil sickness’) and *yfel gesihð* (‘dreadful sights’). In Aelfric's

glosses mentioned earlier, we can also see that “*dæmoniacus*” is translated as *deofelseoc* (Wright, column 162), so the sick person called “*dæmoniacus*” is translated in line with the glosses, where the Anglo-Saxon reader could find that a “*dæmoniacus*” is a *deofol-seoc* or a “*caducus*” or a *bræc-seoca*. The demons and apparitions “*dæmonibus*” and “*umbris*” are not named separately but the word *scínlac* is used for them as an umbrella term.

So after all this blurring of images and ideas of epileptics, demons and apparitions, it is understandable that in the fourth occurrence, where the Latin text gives “*ad caducos*”, which is ‘for the falling-sick people’, the Old English text says “*scínseocum men*”, i.e. ‘for ghost-sick men’ (De Vriend 264):

*Ad caducos stercus canis albi potatum ex cinere de lexiva caducos mire sanat.*

[For the “falling-sick” a drink should be made of white dog’s faeces with lye ash, the “falling-sick” will miraculously be healed.]

*Scinseocum men wyrce drenc of hwites hundes þoste on bitere lege, wundorlice hyt hæleþ.*

[For the “ghost-sick” make a drink of white dog’s faeces with bitter ash, it heals miraculously.]

This use of the word suggests that the association of ghosts and apparitions with epilepsy became so prevalent that the word *caducos*, which could easily have been translated as *fylleseoc* or *hreosende* as before, is chosen to be translated as *scínseoc*. Thus it is represented primarily as a sickness of apparitions and its main characteristic as falling with spasm is oppressed by its immanent and hidden feature of pertaining to a supernatural being.

The fifth and last occurrence of *scín* is a word-by-word translation similarly to the first instance (De Vriend 266):

*Ad eos qui fantasma patiuntur carnem leonis manducant, fantasma non patiuntur.*

[Those who suffer from apparitions shall eat lion’s flesh, and they will not suffer apparitions.]

*Ða þe scinlac þrowien etan leon flæsc, ne þrowiað hy ofer þæt ænig scinlac.*

[Those who suffer from apparitions shall eat lion’s flesh and they will not suffer apparitions.]

For us, the truly interesting cases are numbers 2, 3 and 4, where a link between *scín* and epilepsy is formed, or rather, the “latent” background knowledge of it is confirmed. It seems as if the notion of epilepsy being related to apparitions was taking shape and this formation was palpable through a chronological thread in the text. In

case 2, epilepsy is seen side-by-side with the presence of apparitions. In case 3, the picturesque and obvious “*daemoniacus*,” who probably produced similar symptoms to a *fylle-seoc*, is paralleled to a “ghost-sick”. Finally, in case 4, a “*caducus*” is simply translated as a person sick with apparitions.

The question arises why this association was so prevalent—why the glosses and why the peculiar use of *scín* in the *Medicina de Quadrupedibus*? Especially if the *Leechbooks* and the *Lacnunga* do not give preliminaries. The solution might lie in Isidore of Seville’s *Etymologies* written in the seventh century. In Book IV dedicated to medicine, he describes:

*Epilemsia* (sic!) vocabulum sumsit, quod mentem adpendens pariter etiam corpus possideat . . . Haec passio et *caduca* vocatur, eo quod cadens aeger spasmos patiatur. Hos etiam vulgus *lunaticos* vocant, quod per lunae cursum comitetur eos insidia daemonum. Item et *larvatici*. Ipse est et morbus *comitialis*, id est maior et divinus, quo caduci tenentur. Cui tanta vis est ut homo valens concidat spumetque. Comitialis autem dictus, quod apud gentiles cum comitorum die cuiquam accidisset, comitia dimittebantur.

[Epilepsy is called so because it hangs over the mind as it possesses the body ... This condition is also called “falling sickness”, because that who is ill with it falls down and suffers spasms. Amongst common people it is called “lunatics”, because the treacherous demons accompany them according to the course of the moon. They are also called “ghost-sick”. It is also called the “comitial disease,” which is major and divine by which epileptics are possessed. It is so powerful that a man of good health falls down from it and froths at the mouth. However, it is called “comitial” because among the gentiles, when it happened on any day of the assembly (comitium), the assembly was dismissed.]

(Dölger-Klauser 105, translation mine)

The synonyms for epilepsy are thus (i) “falling sickness”, “*caducus*” in Latin, that is *fylleseoc* or *hresende* in Old English; (ii) “lunatic”, “*lunaticus*” in Latin, that is “*monaþ seoc*” in Old English; (iii) “ghost-sick” or “possessed by an evil spirit”, “*larvaticus*” or *scín-seoc*; and (iv) “*comitialis*” which was not used in Anglo-Saxon texts, having no sense in Anglo-Saxon context as it refers to assemblies held in the Roman Empire. As Isidore’s *Etymologies* was one of the most used books in the Middle Ages and was also a work of great authority, its statements were treated as starting points in many fields of knowledge. Isidore’s popularity in Anglo-Saxon England is well evidenced by the fact that he had been cited by several Anglo-Saxon medieval authors and copies of his works survived in monasteries all around England. Isidore’s *Etymologiae* and other works are alluded to in, for example, Byrhtferth of Ramsey’s *Computus* and *Enchiridion* (Lapidge 271); Aldhelm of Malmesbury’s *Enigmata* (Lapidge 181); Bede’s *De natura rerum*, *De temporum ratione* and *De arte metrica* (Lapidge 212–3). Even the so-called “Leiden Glossary” contains references to

Isidore, and “[v]arious evidence indicates that the original glossary was compiled in the school of the Mediterranean scholars Theodore and Hadrian at Canterbury, during the years 670 × 690” (Lapidge 175). Isidore’s authority clearly prevailed in a wide geographical range throughout many centuries. Thus, it seems that its vocabulary and its concepts were incorporated in the medieval literary corpus. As it was so popular and widely used in monasteries,<sup>7</sup> Isidore’s work could provide a basis for Latin learning and knowledge in Anglo-Saxon England, and glossaries written of it could give foundation to many other Latin translations in several fields of knowledge. As the uses of the word *scín* suggest, this was also the situation with the translation of the *Medicina de Quadrupedibus*. The *Medicina de Quadrupedibus* suggested once that seeing ghosts is akin to epilepsy (De Vriend, 254), and the text and glosses written of Isidore’s *Etymologies* reinforced the notion by declaring that “*caducus*,” “*lunaticus*” and “*larvaticus*” are effectively synonyms.

The Leechbooks and the Lacnunga do not provide examples for *scín* as epilepsy-wielding supernatural being but the concept is very much present in Isidore of Seville’s *Etymologies* and in Latin glosses. This argues for epilepsy-*scín*’s being alien, or at least foreign to Anglo-Saxon culture. If epilepsy-like symptoms were thought to be caused by supernatural beings, the perpetrator might have been another type of *numen* (like, for instance, the chief god Woðan, as *wóda*, the word for “*demoniaticus*” mentioned before implies). It seems that originally, epilepsy was not associated with the *scín*-type being specifically in Anglo-Saxon England. But the concept of originating epilepsy from apparitions/ghosts (as we can see in the “*larva-larvaticus*” expression) was apparently present in the continental medical “dogma”, as Isidore’s text and the Latin glosses show. This “dogma” as bearing medical authority provided basis to Anglo-Saxon medicine as well. Thus, the notion infiltrated in the Anglo-Saxon tradition. Since the most fitting Old English word for Latin “*larva*” as ghost might have been *scín*, the productive Anglo-Saxon mind created the notion of *scínseoc*. Therefore, the condition called *scínseoc* and the association of the ghost-like being called *scín* with epilepsy, is apparently the product of imported medical knowledge and translation.

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<sup>7</sup> See e.g. Michael Lapidge’s *The Anglo-Saxon Library*, where Lapidge identifies Isidore’s *Etymologies* as part of the “typical Anglo-Saxon library” and discusses which monasteries owned copies of it.

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## ***Resignation A and B:*** **A new translation with analysis**

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*Resignation* (or simply *Age mec*) is two poems found in the Exeter Book, donated to Exeter Cathedral by bishop Leofric in 1050. The book contains quite a number of poems, the more famous being *Christ*, *Widsith*, *The Seafarer*, *The Ruin* and several riddles. The tome has apparently gone through many hardships; from the circa 130 original leaves about twenty are lost or replaced, and at many places the MS is burnt.

*Resignation A* and *B* are among the often overlooked pieces of the book, and for quite some time not much thought had been given to them—to the extent, indeed, that the two disparate poems were taken to be one. The discrepancy was pointed out only in the 70's by Bliss and Frantzen in their article titled “The Integrity of *Resignation*”, wherein they proved that at line 69 a new poem starts, altogether different from the preceding prayer. Their analysis is based on the physical state of the book, as well as differences in style, syntax and the vocabulary of the two poems (for instance, *Resignation A* is distinctly Anglian, and is dominated by the use of imperative and subjunctive structures, whereas *Resignation B* appears to be regular West Saxon). The poems appeared as one in Krapp and Dobbie's edition of the Exeter Book in 1936 (215–18), but even recent editions, such as B. J. Muir's (appearing in 2000), fail to mark the distinction.<sup>1</sup>

The results of the research of Bliss and Frantzen, however, in effect render some of the questions and criticisms that have been raised concerning the poems meaningless.<sup>2</sup> Such are the obvious discrepancies between the diction and the aims of the ‘poem’, and the perceived sudden plunges towards entirely different directions (quoted in Bliss and Frantzen 390–95). Unfortunately, no literary analysis which takes into account the findings of Bliss and Frantzen has as yet appeared.<sup>3</sup> The aforementioned authors provide a brief comparative synopsis of the two poems, and they include a prose translation of *Resignation B*, but they go no further, and provide no possible sources. Neither does a full translation of the poems exist. I will attempt

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<sup>1</sup> A welcome difference is apparent in Fulk and Cain's *A History of Old English Literature*, who notes, *pace* Bliss and Frantzen, that *Resignation* is in fact two poems. However, even the definitive edition of OE elegies by Anne L. Klinck, although mentioning that Bliss and Frantzen determined *Resignation* to be two texts, nevertheless handles the material as one poem (although she does present some counter-arguments to Bliss and Frantzen, she admits that these are more or less speculations) (Klinck 55–56).

<sup>2</sup> An ample enumeration of them is to be found in Klinck (55–56): “the first part is very repetitive, and the second fails to develop its suggestive images of the longed-for boat and the flourishing tree that counterpoint the speaker's misery; the poem's ending, which merely admonishes the unfortunate to make the best of a bad job, is a let-down.”

<sup>3</sup> Not even Fulk and Cain devote the poems more than a single paragraph (136), only mentioning them as one of the *variae* in the Exeter Book.

to remedy this situation, and at the end of the paper I also give my own literal translation of both poems, based on the text of Krapp and Dobbie.

The most that has been said about *Resignation* is that it is either a versified prayer, such as the *Pater Noster*, the *Gloria* or the *Psalms*, or that it is in line “with the *commendatio animæ*” tradition (Stanley, qtd. in Bliss and Frantzen 395ff). I feel both statements to be erroneous. Firstly, there is no “prose” original for *Resignation* (or not even, as in the case of the *Psalms*, lyric antecedents in Hebrew). Secondly, the poem is not a *commendatio animæ*, that is, a prayer offering the soul of a **dying** man to God, in the conventional sense.

*Resignation A* is a prayer, which, quite clearly, offers the speaker’s soul to God. The speaker of the poem asks God to possess him in order that he might attain God in everything. He offers God his very being: his body and his thoughts are severally mentioned as being subjected to God’s will. Although the speaker acknowledges that he has committed many sins, he begs God to cleanse him of them; and he is frightened of the idea that he might fall prey to Satan and his fallen angels. He begs God help to save him: and he promises to remember the help and try to (retroactively) merit it. The speaker in the last lines does indeed seem to be moribund: but this stands in stark contrast with the first fifteen lines, where he appears to ask God to aid him in living a good life. I believe that these lines are simply an instance of *memento mori*, especially since the theme is not carried further: just before the MS breaks off, the speaker recalls how those around him thanked God for the blessings showered upon him.

There are many possible analogues for *Resignation A*. The ideas it gives expression to have been part and parcel of Christianity and Christian thinking since the birth of the religion. There are, however, two particular texts which offer interesting parallels, and occasionally even verbatim agreement. One is St Augustine of Hippo’s *Confessions*; the other is a sermon of St Columbanus. Firstly, I will describe the former.

It is well known that Augustine has been one of the most popular and influential Christian authors. After his death, an extreme resurgence of interest in his life and his theology occurred in the post-Roman Germanic states during the 9<sup>th</sup> century, which became an enduring trend. The best evidence to this is that except for a few fragments and two 6<sup>th</sup>-century manuscripts, all of our extant copies of the *Confessions* come from the 9<sup>th</sup> century. The 9<sup>th</sup> century also saw, with the reinvention of Antique learning in Carolingian Francia, an extreme resurgence of interest in Augustine’s works (Schubert 447ff.). The philosophical and theological debates were fuelled with material from Augustine, and indeed he himself was a matter of controversy. His teaching concerning Grace and Providence was often mistaken for some sort of “semi-Pelagianism” already during the Doctor’s life, but in the 9<sup>th</sup> century Augustine’s theories and stance in many debates were reanalysed and

reinterpreted,<sup>4</sup> especially based on passages of the *Confessions*. We have 7(!) manuscripts of the Latin surviving in various places in Anglo-Saxon England (*SoASLC* 71), and Bede quoted and used his texts in works such as *De ortographia*, *De Natura Rerum*, *De Temporum Ratione* and his commentary of the Genesis (*ibid.*; see also Wallis lxxxiv). Alas, we know of no extant *prose* Old English translation, although that would have been of particular interest. It is, however, noteworthy that *Resignation A* contains many of the ideas to be found in the *Confessions*; and, as I mentioned above, there are in some cases verbatim correspondences. This makes a strong case for the work of the bishop of Hippo as inspiration. *Resignation A* has a constellation of ideas that in this precise combination can, I believe, only be found again in the *Confessions*. I am not claiming that the poem is a verse paraphrase of Augustine's book, or that it would be some sort of a *collectanea* of Augustine. But the close similitude of the two works is striking, and deserves to be drawn attention to. Below, I enumerate the similarities in thought and diction that I have found.<sup>5</sup>

The first lines (1-2a), which offer the speaker's soul to God, constitute an offer which is reiterated in the *Confessions* many times and in a variety of forms. For a close parallel, I would quote book V, paragraph iii, 4: "Moreover, when they do discover that you are their Maker, they do not give themselves to you so that you may preserve what you have made."<sup>6</sup> (Chadwick 74) This offering of oneself to God is such a central concept in the *Confessions* that Augustine condemns everyone (in this case, the Manichees) who refuses to do so.<sup>7</sup>

Lines 2b-5a describe the creation of the world. This was a problem which fascinated Augustine; besides dedicating the entirety of books XII and XIII of the *Confessions* to it, he also wrote the treatise *De Genesi ad litteram (libri duodecim)*, 'On the literal meaning of Genesis (in twelve books)'. The bishop of Carthage fought a lifelong war against those who wished to treat the Book of Creation as a simple myth on the one hand (e.g., the Manichees), and on the other hand against those who read it literally *without* accepting the spiritual truths contained therein.

In the following lines (5b-15a) the offer made at the opening of the poem is reiterated, and in greater detail. One of the closest verbatim agreements with Augustine occurs here; for example, "Let me offer you in sacrifice the service of my thinking and my tongue", XI, ii, 3 (Chadwick 222);<sup>8</sup> or "May I dedicate to your

<sup>4</sup> For the controversy during Augustine's lifetime see: Márkus; Koopmans; Rees. For Augustine's re-evaluation, see *Geschichte der christlichen Kirche im Frühmittelalter* by Schubert *passim*; and Rees 98–124.

<sup>5</sup> In the following discussion, I give the text in Henry Chadwick's translation. The numbering is to be construed in this order: book; paragraph; Chadwick's own subdivision. Chadwick, besides the commonly accepted numbering of the passages offers his own, alternative division of the paragraphs of the *Confessions*. For ease of reference, I shall also give the appropriate page numbers. Latin quotations, given in footnotes, are taken from the edition of the *Confessions* to be found in the Loeb Classical Library (in two volumes), quoted by page numbers.

<sup>6</sup> *...et invenientes, quia tu fecisti eos, non ipsi se dant tibi, se, ut serves quod fecisti, et quales se ipsi fecerant occidunt se tibi...* (Loeb I, 212)

<sup>7</sup> For other passages, voicing the same idea see: IV, x (15)

<sup>8</sup> *Sacrificem tibi famulatum cogitationis et linguae meae, et da quod offeram tibi.* (Loeb II, 210)

service my power to speak and write and read and count”, I, xv, 24 (Chadwick 18);<sup>9</sup> or “You know, Lord my God, that quick thinking and capacity for acute analysis are your gift. But that did not move me to offer them in sacrifice to you . . . I went to much pains to keep a good part of my talents under my own control”, IV, xvi, 30 (Chadwick 70).<sup>10</sup> The verbal correspondence is very strong, especially in the case of the first quotation; and my corpora based searches revealed that this precise formation in Latin is unique to Augustine.<sup>11</sup> It is therefore, I feel, not unreasonable to suppose a connection between *Resignation A* and the *Confessions*, especially in light of further agreements of sense and diction.

For *getacna me . . . raed araere* many parallels can be found throughout the *Confessions*. Augustine wishes to attend God’s will: the first nine books of his work recount precisely this. It is, however, a passage from book X, xxix, 40, which I would like to quote: “grant what you command, and command what you will” (Chadwick 202).<sup>12</sup> This was perceived by contemporaries as a central thought of the *Confessions*; so much so that it is claimed that the whole Pelagian controversy was ignited by this single passage (Chadwick *ibid.*, Rees *passim*).

Lines 15b-18, wherein the speaker begs God not to hand him over to the devil, even though he deserves it, mirror several statements of Augustine: “We have been justly handed over the *ancient sinner*, the president of death, who has persuaded us to conform our will to his will which did not remain in your truth”, VII, xxi, 27 (Chadwick 131).<sup>13</sup> It is even as the speaker of the prayer says: “I listen to you less than my rôle (or benefit) were” ( *þeah þe ic scyppendum wuldorcyninge waccor hyrde, ricum dryhtne, þonne min raed wære*). This statement of acknowledging one’s sinful nature again appears in 25b-29b.

The speaker asks God to lend him aid in fighting against his “bitter bale-deeds”, and promises that he shall keep this aid in mind, and, as I wrote before, he shall try to retroactively deserve it. Augustine’s entire theology was built on the doctrine of prevenient Grace (especially in the form of infant baptism), and in the *Confessions* he often gives voice to his opinion that man alone, without God’s pre-emptive and prevenient help cannot do anything. It is God who takes the first action in the salvation of man: all an individual is able to do is to accept God’s grace and merit it. From the several passages describing this, I would like to quote Book IV, i, 1: “Without you, what am I to myself but a guide to my own self-destruction?”

<sup>9</sup> *...tibi seruiat quod loquor et scribo et lego et numero.* (Loeb I 46)

<sup>10</sup> *... scis tu, domine deus meus, quia et celeritas intelligendi et dispiciendi acumen donum tuum est. Sed non inde sacrificabam tibi. [...] quia tam bonam partem substantiae meae satégi habere in potestate.* (Loeb I, 198–200)

<sup>11</sup> The corpora I used are the *Library of Latin Texts A* and B, maintained by brepolis.net (access was kindly provided by the CEU Mediaeval Library); and the *Documenta Catholica Omnia*.

<sup>12</sup> *...da quod iubes et iube quod vis.* (Loeb II 150)

<sup>13</sup> *...et iuste traditi sumus antiquo peccatori, praepositio mortis, quia persuasit voluntati nostrae similitudinem voluntatis suae, qua in veritate tua non stetit.* (Loeb I 396–98)

(Chadwick 52),<sup>14</sup> and “Protect us and bear us up. It is you who will carry us; you will bear us up from our infancy until old age”, from IV, xvi, 31 (Chadwick 71).<sup>15</sup>

*Forgif þu me, min frea, fierst ond ondgiet . . .* (1.22), until *to cunnunge* is a moving petition of the speaker to God to enable him to comprehend whatever happens in his life with which God wishes to test him (I posit an alternative reading in the appropriate footnotes). The speaker also asks for enough time—this, I believe, is a sign of his desire to retrospectively make sense of the past events of his life. That again is a very Augustinian thought, as the Doctor wrote his autobiography precisely to try to construct a coherent, logical narrative of his conversion. At the very beginning of the *Confessions*, after having duly praised God, Augustine opens with “Grant me Lord to know and understand”, I, i, 1 (Chadwick 3),<sup>16</sup> which, while being a quotation from Psalm 118 (119), establishes a frame of the work. The closing lines of the *Confessions* are the following: “What can enable the human mind to understand this? [...] Only you can be asked, only you can be begged, only on your door can we knock. Yes indeed, that is how it is received, how it is found, how the door is opened”, XIII, xxxviii, 53 (Chadwick 304-5).<sup>17</sup> Or again, when Augustine asks God to “make it clear to me, physician of my most intimate self, that good results from my present undertaking”, X, iii, 4 (Chadwick 180).<sup>18</sup>

The following ten lines are in many ways repetitions of the themes I discussed earlier. In line 34b, however, there is a keyword: *leatlicor* ‘more sluggish, tardy, lazy’. Laziness was a central problem to Augustine: laziness to accept our allotted rôle, to do what is right. He describes his life before conversion thus in VIII, v, 12: “Though at every point you showed that what you were saying was true, yet I, convinced by that truth, had no answer to give you except merely slow and sleepy words: ‘At once’—‘But presently’—‘Just a little longer, please’” (Chadwick 141)<sup>19</sup>, likening himself to a lazy man putting off getting up until it is too late. Some passages later he describes his anguish thus: “I was afraid you might hear my prayer quickly, and that you might too rapidly heal me of the disease of lust which I preferred to satisfy rather than suppress”, VIII, vi, 17 (Chadwick 145),<sup>20</sup> and that the “only thing left to it [Augustine’s soul] was a mute trembling, and as if it were facing death it was terrified of being restrained from the treadmill of habit by which it suffered sickness unto death”, VIII, vii, 18 (Chadwick 146).<sup>21</sup> The speaker of *Resignation A*, too, speaks of a laziness to correct his ways, even though this had been commanded to him by God.

<sup>14</sup> *Quid enim sum ego mihi sine te nisi dux in praeceps?* (Loeb I 148)

<sup>15</sup> *Protege nos et porta nos. Tu portabis, tu portabis et parvulos et usque ad canos tu portabis: quoniam firmitas nostra quando tu es, tunc est firmitas, cum autem nostra est, infirmitas est.* (Loeb I 200–202)

<sup>16</sup> *Da mihi, Domine, scire et intelligere...* (Loeb I 2)

<sup>17</sup> *Et hoc intelligere quis hominum dabit homini? [...] A te petatur, in te petatur, ad te petatur: sic, sic accipientur, sic invenientur, sic aperietur.* (Loeb II 474)

<sup>18</sup> *Verum tu, medice meus intime, quo fructu iste faciam, eliqua mihi* (referring to his writing of the *Confessions*). (Loeb II 78)

<sup>19</sup> *Et undique ostendenti vera te dicere, non erat omnino, quid responderem veritate convictus, nisi tantum verba lenta et somnolenta: “modo”, “ecce modo”, “sine paulum”.* (Loeb I 426)

<sup>20</sup> *Timebat enim, ne me cito exaudires et cito sanares a morbo concupiscentiae, quem malebam expleri quam exstingui.* (Loeb I 440)

<sup>21</sup> *Remanserat muta trepidatio, et quasi mortem formidabat restringi a fluxu consuetudinis, quo tabescebat mortem.* (Loeb I 442)

He, however, like Augustine, knows that God is merciful and forgives us past sins (ll. 36b-37a).

The Bishop of Hippo throughout his *Confessions* speaks of the necessity to concentrate with all of one's powers, soul, and being on God in order to attain salvation. He describes his effort in the Neoplatonic terms of spiritual ascent to God in IV, xii, 19 (Chadwick 64)<sup>22</sup>, or V, i, 1 (Chadwick 72)<sup>23</sup>. I have already described the *memento mori*-motif present in both *Resignation A* and in Augustine's work; and I continue with line 45.

The speaker of the prayer is clearly afraid for his soul, and envisages a veritable psychomachia, with Satan and his angels assaying him from all sides, to snatch him away from the presence of God. He begs God to thwart the hope of the devils and punish them. This is very much reminiscent of the closure of book VII:

It is one thing from a wooded summit to catch a glimpse of the homeland of peace and not to find the way to it, but vainly to attempt the journey along an impracticable route surrounded by the ambushes and assaults of fugitive deserters with their chief, the lion and the dragon. It is another thing to hold on to the way that leads there, defended by the protection of the heavenly emperor. There no deserters from the heavenly army lie in waiting to attack. For this way they hate like torture.

VII, xxi, 27 (Chadwick 131-2)<sup>24</sup>

What Augustine here is describing is in fact life, beset on all sides with the assaults of Satan and his slaves, *englas oferhydige þonne ece Crist*. Pride was by “Augustine considered the most basic sin, which stood at the root of the fall” (McKim 362). Proud sinners (including himself) “act as if they were allowed to do what would never be permitted by your eternal law. They think they are free to act with impunity when by the very blindness of their behaviour they are being punished, and inflict on themselves incomparably worse damage than on others”, V, viii, 14 (Chadwick 81).<sup>25</sup>

I have already written about the themes which are reiterated by the speaker of the prayer: the one last connection I would like to make is the speaker's fear for his soul (*ond ic ymb sawle eom feam sibum forht*, ll. 65b-66a), and his thankfulness for the bounty of grace granted to him by God (ll.65b-68b). Augustine considered, according to his account, the death of the soul an actual possibility: “Insofar as the death of his [Christ's] flesh was in my opinion unreal, the death of my soul was real”,

<sup>22</sup> *Fili hominum, etc.* (Loeb I 182)

<sup>23</sup> *Ut exurgat, etc.* (Loeb I 204)

<sup>24</sup> *Et aliud est de silvestri cacumine videre patriam pacis, et iter ad eam non invenire, et frustra conari per inuia, circum obsidentibus et insidentibus fugitivis desertoribus, cum principe suo leone et dracone: et aliud tenere viam illuc ducentem, cura caelestis imperatoris mutinam, ubi non latrocinantur qui caelestem militiam deseruerunt; vitant enim eam sicut supplicium.* (Loeb I 398)

<sup>25</sup> *Multa iniuriosa faciunt, mira hebetudine et punienda legibus, nisi consuetudo patrona sit, hoc miseres eos ostendens, quo iam quasi liceat faciunt, quod per tuam aeternam legem numquam licebit—et inpune se facere arbitrantur, cum ipsa faciendi caecitate puiantur, et incomparabiliter patiantur peiora, quam faciunt.* (Loeb I 234)

V, ix, 16 (Chadwick 82),<sup>26</sup> and described the proud Manichaean heresy as a “snare of death”, V, vii, 13 (Chadwick 80).<sup>27</sup> But Augustine also discusses at times, especially when mentioning his mother, the incredible grace God bestowed upon him (*passim*). Especially in book VI, the African Doctor writes at length about his secular ambitions, and how close he came to the imperial court (xi, 19), and of the honour of delivering a panegyric on the anniversary of the ascent of Valentinian II (vi, 9); and again in book VIII, vi, 15, Augustine says that the only mundane honour which was not yet achieved by him and his associates was to being nominated Friends of the Emperor (Chadwick 143).<sup>28</sup> Yet Augustine, as presumably the speaker of *Resignation A*, chose to forego worldly gains and instead wished to attain the spiritual gifts of God.

I believe sufficient similarities between the two texts have been presented to enable me to suppose a connection between them. It is not unreasonable to hypothesise that *Age mec* could have been inspired by the *Confessions*. This, certainly, is just a theory, as it (as yet) cannot be conclusively proved. Especially since, as I have mentioned above, another likely candidate for inspiration can be found: Sermon XII of St Columbanus.<sup>29</sup>

Columbanus (543–615) an Irish missionary on the Continent, especially in Francia and Lombardia, was the author of several influential works, such as his *regula* for monks, several poems, and sermons (also called *instructiones*). He was known at the very least to Alcuin: he uses Columbanus’ letters and precepts, and a prayer attributed to Columbanus in his works (Ogilvy 117) A manuscript of the poem *Monosticha* also is extant from this period, MS Cambridge Gonville and Caius 144 (194) (Ogilvy *ibid.*). Unfortunately, as no known Anglo-Saxon manuscript of the *Sermones* exists, my argumentation is restricted to briefly pointing out the similarities of thought and diction between the two works.

Columbanus’ sermon is titled *On Remorse*, and is indeed its central topic. It is designed to spur the listener to contrition, and give hope that, although we might be sinners, not all is lost. The sermon begins with the parable of Christ suddenly calling the listener’s soul to judgment: “if today, as someone says, you were told that a judge of this world wishes to burn you alive tomorrow, what anxiety, I ask, what fear would threaten you?”<sup>30</sup> The *memento mori*-motif is the peg from which the sermon hangs. Columbanus further likens the sinful condition of man to “the filthy and drowsy slumbers of a deadly sloth”<sup>31</sup> and the “sleep of idleness”<sup>32</sup> and speaks of conversion in

<sup>26</sup> *Quam ergo falsa mihi videbatur mors carnis eius, tam ver erat animae meae; et quam vera erat mors carnis eius, tam falsa vita animae meae, quae id non credebat.* (Loeb I 238)

<sup>27</sup> *ita ille Faustus, qui multis laqueus mortis extitit...* (Loeb I 230)

<sup>28</sup> *amici imperatores* (Loeb I 434). Chadwick writes that “Friends of the Emperor were [...] honoured individuals in high office” (Chadwick, *ibid.*).

<sup>29</sup> The version I use it that of Migne, *Patrologia Latina*, vol. 80, Columbanus Hibernus, *Instructiones Variarum Vulgo Dictarum Sermonum*, p 252ff. *De compunctione etc...* The translation I cite is by G. S. M Walker, made available electronically by the University College, Cork. In the case of the latter, no pagination is given.

<sup>30</sup> *si tibi hodie, ut ait quidam, diceretur quod iudex saeculi huius vult te crastino vivum exurere, quid, rogo, tibi sollicitudinis, quid timoris immineret?* (Migne 252)

<sup>31</sup> *... ac discussis squalentibus atque torpentibus mortiferi teporis torporibus, etc.* (Migne *ibid.*)

terms of awakening and vigilance.

The sermon, too, begs God:

that knowing Thee, we may love Thee only, love Thee alone, desire Thee alone, contemplate Thee alone by day and night, and ever hold Thee in our thoughts; and do Thou deign so far to inspire us with Thy love, as it befits Thee to be loved and cherished as our God; that Thy charity may possess all our inward parts, and Thy love may own us all, and Thine affection may fill all our senses. (n. pag.)<sup>33</sup>

This passage coincides with the emotive gist of *Resignation A*: the wish to be taken over by God, locked in His contemplation for all time. The sermon further elaborates on the picture of corporeal possession by likening the person to a lamp, which is filled with God's fire.

Many of the ideas presented in *Resignation A* are missing, however. There is no sense of direct, physical threat from the devil, nor of humiliating shame. The sermon also lacks the same urgency and immediacy that can be felt in the poem—written in dignified Latin, and interspersed with quotations from the Bible, it makes the less likely candidate for a possible inspiration, but similarities are worthy of note.

Let us now turn to *Resignation B*. Here the task of establishing possible parallels shall be only slightly easier: as no direct textual evidence exists, I will again be limited to pointing out similarities in meanings between texts. In this case, however, the possible analogue is much more accessible: the Book of Job.

The Old English text is in many ways unique. Although it is in line with the other elegies (also included in the Exeter Book), such as *The Wanderer* and *The Seafarer*, inasmuch as it recounts the sorrows experienced by an outcast, and that it also expresses that solace ultimately lies with God, its use of biting irony is, to my knowledge, unparalleled. The speaker accuses God with punishing him for sins that he is not aware of; but when speaking of the sorrows he experiences at the moment, the interjection “*gode ealles þonc!*” is cruelly sardonic. The other elegies attribute the misfortunes of the speakers to *wyrd* (e.g., *The Wanderer* l. 5, *The Seafarer*, l. 115), ‘fate, chance, destiny’, and not to God directly. The speaker of *Resignation B*, however, reiterates his claim: “*is him wrað meotud*”, as if God had some sort of personal grudge against him. The anti-simile of the thriving woods, in contrast with the speaker's condition, sounds almost as a parody of Luke 12:27: “Consider the lilies how they grow: they toil not, they spin not . . . If then God so clothe the grass, which is to-day in the field and to-morrow is cast into the oven; how much more will he clothe you, O ye of little faith?” Bliss and Frantzen describe it as “emerging as

<sup>32</sup> *Utinam me quoque, vilem licet, suum tamen servulum, ita dignaretur de somno inertiae excitare, etc.* (Migne 253)

<sup>33</sup> *ut te intelligentes, tantum te amemus, te solum amemus, te solum desideremus, te solum meditemur die ac nocte, semper te cogitemus, et in tantum nobis tuum inspirare digneris amorem, quantum te amari Deum decet ac diligere; ut omnia interiora nostra tua occupet dilectio, totosque nos tuus possideat amor, totos nostros sensus tua impleat caritas, etc.* (Migne, *ibid.*)

something quite unlike anything else in Old English: it is a dramatic monologue by the kind of man who never succeeds in any of his enterprises, and who blames everyone but himself for his failure” (Bliss and Frantzen 397). I do not agree with the latter part of their statement: could not indeed others have been the cause of the speaker’s devastation? Are we sure that this is but an excuse? Ultimately the speaker acknowledges his subjection to God, and with this the fact that he could, indeed, have transgressed against Him.

The poem also has two *volte-face*, the first in line 6b, where the apparently blithe and expectant mood of the speaker, eager and determined (and able!) to set out on his journey, suddenly reverses to a self-inspecting and contrite tone (though without understanding). The other one is at the very end, l. 38, when from the aggressive and condemning stance the speaker abruptly turns to God, again remorsefully asking His help and submitting himself to His doom. In the intervening 32 lines it is quite interesting to see how the speaker ‘works himself up’, so to speak, until he quite openly blames God for his misfortunes. Both the psychological aspect<sup>34</sup> and the thematic correspondences of the poem (and the little information that can be gleaned from its fragmented narrative) point to the Book of Job as a likely inspiration.

The story of Job is well known: the prosperous and peerless Job is made the subject of trials by Satan with the consent of God. God assures the Devil that, whatever may betide, Job will not blaspheme him, but will, ultimately, endure all that Satan may torture him with.

Job is shown to be feasting with his family when, in a matter of minutes, all that he possesses, and all his family (except for his wife), is destroyed. He himself is struck with sickness, and cast out by society. His wife cruelly castigates him, telling him to curse God and die; and people asperse him. Three (actually, four) of his friends come to console him: but although they are come in kindness and wish to help Job (hinting at the fact that he must have committed some grievous sin for which he is now making atonement), they only deepen Job’s sorrow. Although they name themselves wise, they are not aware of Job’s sinlessness. Job, of course, tries to defend himself: “For even if I have sinned, I know it not in my soul: but my life is taken away” (9:21) and “How many are my sins and my transgressions? teach me what they are” (13:23), assuring God and his friends that he is sinless. His presupposition indeed is that of the speaker of *Resignation B*: he must have broken the divine law unwittingly, and this is why God is wroth with him: “And thou hast sealed up my transgressions in a bag, and marked if I have been guilty of any transgression unawares” (14:17).

Job is fully aware of the fact that he is entirely dependent on God. In the dialogues between him and his friends he constantly stresses that one cannot possibly reason with God. Indeed, Job almost paints a picture of a divinity unpredictable and

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<sup>34</sup> “*Resignation B* is not in any way a religious poem: it is a psychological study of a state of mind” (Bliss and Frantzen 400). We may ask, why would these two categories be at variance, mutually exclusive? The Psalms (especially for example Psalm 21 (22)) have long been accepted as showing deep psychological consciousness (see for example, Déz, *A Zsoltárok világa* 31ff.), and the Book of Job, the Song of Songs, the Proverbs, etc., also demonstrate signs of acute psychological insight.

by human standards entirely unreasonable. He defends and accuses God with the same: his ways are unfathomable, and his reasons above human understanding. This, as we have seen, is a central topic of *Resignation B*; and indeed I believe that the irony of the latter is only understandable in this context. “God be thanked for all”—the speaker knows that he *should* thank God for all: his very existence is a gift. Yet he cannot, due to his present circumstances and the “hate-speeches of men” appreciate this gift. Neither can he realise his full potential of existence: and it is very curious that *Resignation B* employs the same picture to express this as Job. “*Wudu mot him weaxan, wyrde bidan, tanum lædan*”—the insensible world of nature is allowed to flourish and thrive, waiting for their doom (unwittingly), while the speaker must suffer, fully conscious of his paradoxical unconsciousness of the reasons of his misery. “Neither shall he in any wise escape the darkness: let the wind blast his blossom, let his flower fall of. Let him not think that he shall endure; for his end shall be vanity” (15:30-31) contrasts sharply with “For there is hope for a tree, even if it should be cut down, that it shall blossom again, and its branch shall not fail” (14:7).

However, Job, even as the speaker of *Resignation B*, in the end confesses that God, being the ultimate power, is the ultimate help and remedy against unhappiness. “I know that thou canst do all things, and nothing is impossible with thee. . . . But hear me, O Lord, that I also may speak: and I will ask thee, and do thou teach me.” (42:2-4)

Without hard textual evidence, however, this speculation cannot be conclusive. *Resignation B*, or what we have of it, does not treat the Book of Job in full: and whereas the latter has a deep psychological background to it (cf. Astell), with a logical conclusion (both spiritually and in worldly terms—the wealth of Job is restored, even doubled, by God, and new children are born to him in the 140 years of his life which follow), the poem in its present state lacks both of these: the episodic, fragmented nature of the narrative hardly reflects a coherent process of dealing with deprivation, and the closing lines of the poem—“*giet biþ þæt selast, þonne mon him sylf ne mæg wyrd onwendan, þæt he þonne wel þolige*”—are more resigned than humbly submissive.

Nevertheless, the similarities once again are striking. Perhaps *Resignation B* was inspired by the Book of Job, but applied by its author to his or her own situation, which had not, as yet, ended as happily as that of Job. It might also be the case that what we have is the Book of Job ‘adapted’, so to speak, to the characteristic Germanic/Anglo-Saxon melancholy. Then again, the poem might be altogether distinct from the biblical story, and the likenesses be mere coincidence. The moral of both tales, however, is the same: there is a light at the end of the tunnel, and we must endure until *it reaches us*, and not we it.

As we have seen, with *Resignation A* the case is clearer. To every line of the poem central themes and passages of the *Confessions* can be connected, and there are word-for-word agreements as well. The circumstances of the probable composition of the prayer also make it very much likely that it was indeed at least inspired by, if not based upon, the work of Augustine. Another, but less plausible candidate of source was Sermon XII of Columbanus, but there the likeness is more remote and less

complete, although it is probable that the sermon was known in Anglo-Saxon England.

The case is different with *Resignation B*. The only possible inspiration that I am aware of is the biblical Book of Job, since certain ideas—the unfathomable reasons of God; the misery of human condition generally and of the speaker specifically; and the utter dependence of man on God—are to be found in both, and sometimes described in the same terms. But whereas the Book of Job is a complete arc of a psychological and spiritual narrative (a psychomachia, in this case, between Job and God), *Resignation B* is a disjuncted narrative with no logical conclusion. Therefore a direct correspondence between the two works is less probable: an indirect connection or a loose, “Anglo-Saxoned” paraphrasing is to be supposed.

**Resignation A + B<sup>1</sup>***Verse Indeterminate Saxon*

Age mec se ælmihta god,  
 helpe min se halga dryhten! þu gesceope heofon ond eorþan  
 ond wundor eall, min wundorcýning,

þe þær on sindon, ece dryhten,

5

micel ond manigfeald. Ic þe, mære god,  
 mine sawle bebeode ond mines sylfes lic,  
 ond min word ond min weorc, witig dryhten,  
 ond eal min leoþo, leohtes hyrde,  
 ond þa manigfealdan mine geþohtas.

10

Getacna me, tungla hyrde,  
 þær selast sy sawle minre  
 to gemearcenne meotudes willan,  
 þæt ic þe geþeo þinga gehwylce,  
 ond on me sylfum, soðfæst cýning,

15

ræd arære. Regnþeof ne læt  
 on sceade sceppan, þeah þe ic scyppendum  
 wuldorcýninge waccor hyrde,  
 ricum dryhtne, þonne min ræd wære.  
 Forgif me to lisse, lifgende god,

*Resignation (my literal translation)*

May the almighty god possess me  
 help me the almighty captain! Thou shapedest heaven and earth  
 and all wonders, my wonderking  
 that exist [there]in, eternal captain

5

great and manifold. I thee, great god  
 my soul offer and my own body  
 and my word and my work, wise captain  
 and all my limbs, herdsman of light  
 and the multiplicity of my thoughts.

10

Betoken me, herdsman of stars  
 where it the most blessed would be for my soul  
 to mark the will of the judge<sup>1</sup>  
 that I thee attain<sup>2</sup> in each and every thing  
 and on/in my own self, eternal king

15

(thy) counsel/plan establish<sup>3</sup>. Let not the arch-thief  
 [me] in the shadow harm, though I thee, creator,  
 gloryking, less obey<sup>4</sup>,  
 captain of riches, as my benefit were<sup>5</sup>.  
 Give me mercy, living god

<sup>1</sup> The text I use is that of Krapp and Dobbie (215-18), with the necessary changes as suggested by Bliss and Frantzen.

20  
bitre bealodæde. Ic þa bote gemon,  
cyninga wuldor, cume to, gif ic mot.  
Forgif þu me, min frea, fierst ond ondgiet  
ond geþyld ond gemynd þinga gehwylces  
þara þu me, soþfæst cyning, sendan wylle  
25  
to cunnunge. Nu þu const on mec  
firendæda fela, feorma mec hwæpre,  
meotod, for þinre miltse, þeah þe ic ma fremede  
grimra gylta þonne me god lyfde;  
hæbbe ic þonne þearfe þæt ic þine seþeah,  
30  
halges heofoncyniges, hylde getilge  
leorendum dagum, lif æfter oþrum  
geseo ond gesece, þæt me siþþan þær  
unne arfæst god ecan dreames,  
lif alyfe, þeah þe lætlicor  
35  
bette bealodæde þonne bibodu wæron  
halgan heofonmægnas. Hwæt, þu me her fela  
..... forgeafe. Gesette minne hyht on þec,  
forhte foreþoncas, þæt hio fæstlice  
stonde gestaðelad. Onstep minne hige,

20  
from bitter bale-deeds. I remember that help  
gloryking, [and] attain it<sup>6</sup>, if I am able.  
Grant me, my lord, time and understanding  
and patience [toward] and mindfulness of everything  
that thou me, evertrue king, send would  
25  
to know<sup>7</sup>. Now thou knowest in me  
many crime-deeds; cleanse me of any,  
judge, for thy mercy, though I more commit  
grim sins, [even] though God love me.  
Have I then need [of] that I (nevertheless),  
30  
holy heavenking, for your favour strive  
with losing days, [and on] the life after this one  
look upon and seek, [so] that to me, there later,  
[the] one honourable<sup>8</sup> god, everlasting joy  
and life may give, [even] though [I] sluggish [be]  
35  
to mend crime-deeds, although it commanded be  
by holy heaven-might. See, thou me here many  
... forgavest. Set my expectations/intentions on thee,  
frightened fore-thoughts, so that they firmly  
stand, established. Raise my mind

40  
 gæsta god cyning, in gearone ræd.  
 Nu ic fundige to þe, fæder moncynnes,  
 of þisse worulde, nu ic wat þæt ic sceal,  
 ful unfyr faca; feorma me þonne,  
 wyrda waldend, in þinne wuldordream,  
 45  
 ond mec geleoran læt, leofra dryhten,  
 geoca mines gæstes. þonne is gromra to fela  
 æfestum eaden, hæbbe ic þonne  
 æt frean frofre, þeah þe ic ær on fyrste lyt  
 earnode arna. Forlæt mec englas seþeah  
 50  
 geniman on þinne neawest, nergende cyning,  
 meotud, for þinre miltse. þeah ðe ic mana fela  
 æfter dogrum dyde, ne læt þu mec næfre deofol seþeah  
 þin lim lædan on laðne sið,  
 þy læs hi on þone foreþonc gefeon motan  
 55  
 þy þe hy him sylfum sellan þuhten  
 englas oferhydige þonne ece Crist.  
 Gelugon hy him æt þam geleafan; forþon hy longe scul...,  
 werge wihta, wræce þrowian.  
 Forstond þu mec ond gestyr him, þonne storm cyme

40  
 spirits' god-king, in eager/yearning thought.  
 Now I strive/hasten to thee, father of mankind  
 from this world, now I know that I shall [away]  
 in a little while; support me then,  
 worthy ruler, in thy richness of strength,  
 45  
 and me from getting lost hinder<sup>9</sup> beloved captain,  
 succour of my soul. [There] are too many hostile ones,  
 of bliss envious, that I have  
 against soul's comfort; though I formerly little was eager  
 to gain [wordly] honours<sup>10</sup>. Send me angels nevertheless,  
 50  
 take me to thy closest, saviour king  
 judge, for thy mercy. Though I [against] thee  
 days after days have done, nevertheless allow the devil never me,  
 thy offspring/member, lead on loathful journey  
 lest in that expectation they rejoice<sup>11</sup>  
 55  
 they who themselves better consider,  
 angels vain, than eternal Christ<sup>12</sup>.  
 Disappoint them in that belief/hope<sup>13</sup>, for which they long [should?]  
 evil people, misery suffer.  
 Defend me and drive him [away], when the storm/attack would come

60  
 minum gæste onegn; geoca þonne,  
 mihtig dryhten, minre sawle,  
 gefreopa hyre ond gefeorma hy, fæder moncynnes,  
 hædre gehogode, hæl, ece god,  
 meotod meahtrum swiþ. Min is nu þa

65  
 sefa synnum fah, ond ic ymb sawle eom  
 feam siþum forht, þeah þu me fela sealde  
 arna on þisse eorþan. þe sie ealles þonc  
 meorda ond miltsa, þara þu me sealdest.  
 No ðæs earninga ænige wæron  
 mid

*Lacuna in the text (one leaf missing) Resignation B commences....*

70  
 hwæþre ic me ealles þæs ellen wylle  
 habban ond hlyhhan ond me hyhtan to,  
 frætwian mec on ferðweg ond fundian  
 sylf to þam siþe þe ic asettan sceal,  
 gæst gearwian, ond me þæt eal for gode þolian

75  
 bliþe mode, nu ic gebunden eom  
 fæste in minum ferþe. Huru me frea witeð  
 sume þara synna þe ic me sylf ne conn  
 ongietan gleawlice. Gode ic hæbbe  
 abolgen, brego moncynnes; forþon ic þus bittre wearð

60  
 against my soul; be of help then,  
 mighty captain, to my soul,  
 liberate her and harbour her, father of mankind,  
 the hard oppressed heal, eternal god,  
 judge of great might. Now is my  
 65  
 mind with sins stained, and I am concerning my soul  
 afraid at times, though thou me hast given much  
 grace upon this earth. Thee they all thank  
 for the reward and bounty that thou gavest me.  
 [These were not with any merit] - *approximation, the second half of the  
 sentence is missing.*

*Resignation B commences...*

1(70)  
 ...even though I me all of that strength will  
 to have and laugh and look forward to  
 preparing me for that expedition and hastening  
 verily to that voyage whereupon I shall set out,  
 and my ghost equip, and me that all for good suffer

5 (75)  
 with blithe heart; now I am bound  
 fast in my mind. Indeed my lord knows  
 many of those sins that I even myself cannot  
 perceive clearly<sup>14</sup>. God I have  
 offended, chief of mankind; wherefore I was

80

gewitnad for þisse worulde, swa min gewyrhto wæron  
 micle fore monnum, þæt ic martirdom  
 deopne adreoge. Ne eom ic dema gleaw,  
 wis fore weorude; forþon ic þas word spræce  
 fus on ferþe, swa me on frymðe gelomp

85

yrmþu ofer eorþan, þæt ic a þolade  
 geara gehwylce (gode ealles þonc!)  
 modearfoþa ma þonne on oþrum,  
 fyrhto in folce; forþon ic afyсед eom  
 earm of minum eþle. Ne mæg þæs anhoga,

90

leodwynna leas, leng drohtian,  
 wineleas wræcca, (is him wrað meotud),  
 gnornað on his geoguþe,  
 ond him ælce mæle men fullestað,  
 ycað his yrmþu, ond he þæt eal þolað,

95

sarcwide secga, ond him bið a sefa geomor,  
 mod morgenseoc. Ic bi me tylgust  
 secge þis sarspel ond ymb siþ spræce,  
 longunge fus, ond on lagu þence,  
 nat min ... [lacuna in text]

10 (80)

punished in front of this world, as it my desert was,  
 greatly before men<sup>15</sup>, that I deprivation<sup>16</sup>  
 sorely suffer. I am no wise/clear-sighted judge,  
 wise before men; wherefore I this word say,  
 ready for death<sup>17</sup> in mind: as to me at the beginning befell

15 (85)

misery over the earth, which I eternally suffer  
 every year (God be thanked for all)<sup>18</sup>,  
 troubled of heart, more than in the other [year],  
 terror among folks; wherefore<sup>19</sup> I eager-to-leave am,  
 bereft of my people. Nor may the hermit,

20 (90)

without people-joy, long live,  
 friendless wretch (with whom the Judge is wroth),  
 he laments on his youth,  
 and for him on every occasion men aid/eke out  
 and augment his misery, and he all that suffers,

25 (95)

hate-speeches of men, and he is in soul aggrieved,  
 mind sick of the morrow<sup>20</sup>. I alone with myself best  
 say this lament, and of journey discourse  
 longingly eager, and on the sea think,  
 I know not my ...

100

hwy ic gebycge bat on sæwe,  
 fleot on fāroðe; nah ic fela goldes  
 ne huru þæs freondes, þe me gefylste  
 to þam siðfate, nu ic me sylf ne mæg  
 fore minum wonæhtum willan adreogan.

105

Wudu mot him weaxan, wyrde bidan,  
 tanum lædan; ic for tæle ne mæg  
 ænigne moncynnes mode gelufian  
 eorl on eþle. Eala dryhten min,  
 meahtig mundbora! þæt ic eom mode seoc,

110

bittre abolgen, is seo bot æt þe  
 gelong æfter **life**. Ic on leohte ne mæg  
 butan earfoþum ænge þinga  
 feasceft hæle foldan ...unian;  
 þonne ic me to fremþum freode hæfde,

115

cyðþu gecwe... me wæs a cearu symle  
 lufena to leane, swa ic alifde nu.  
 Giet biþ þæt selast, þonne mon him sylf ne mæg  
 wyrd onwendan, þæt he þonne wel þolige.

30 (100)

how I may buy a sea-boat  
 on the water to traverse; I have little gold,  
 nor indeed that of friends', who me would help  
 onto that expedition, now that I myself cannot  
 due to my scant-possession my wish perform.

35 (105)

Woods to themselves may wax, [their] fate awaiting,  
 branches producing<sup>21</sup>; I for vituperation cannot  
 any of mankind's minds love,  
 [that of the] earls of the nation. Behold my captain,  
 mighty patron-shield, that I am of mind sick,

40 (110)

bitterly offended, and the help is with thee<sup>22</sup>  
 belonging to after-life. I into the light may not  
 but with hardship [come], single soul,  
 miserable hero, of earth .....;  
 though I me towards strangers with honour had,

45 (115)

of native country... to me it ever was a sorrow/care  
 love to recompense, even as I experience it now<sup>23</sup>  
 Yet is that the best, that man: who himself cannot  
 fate turn [aside], but nevertheless well endures<sup>24</sup>

## Notes on the translation

<sup>1</sup> The word *meotud* is polysemic, and could alternatively be rendered as ‘providence’, ‘alotter’, ‘measurer’. Also, according to the Bosworth-Toller dictionary, “[t]he earlier meaning of the word in heathen times may have been *fate, destiny, death* (cf. *metan*), by which Grein would translate *metod* in Wald. 1, 34” (Bosworth-Toller 682). I connect the word, along with Lehnert (p. 147), with *gemetan*.

<sup>2</sup> *gepeon* is a verb of many meanings: ‘flourish’, ‘prosper’, ‘thrive’, (Lehnert 211) ‘perform’, (B-T Supplement 728) ‘attain’ (Malone 36–37). Malone writes that the meanings ‘thrive, attain’, and ‘do, perform’, are divided between the strong and weak forms respectively; others, such as Lehnert and the Bosworth-Toller dictionary make no such distinction. Here, however, only the sense ‘thrive, attain’ makes sense; and an alternative rendition of the line would be ‘that I with thee flourish in each and every thing’.

<sup>3</sup> lit. ‘rear, raise’

<sup>4</sup> lit. ‘weaker listen to’

<sup>5</sup> Or, ‘as it would be advisable for me’. This *raed* echoes that of l. 15—it would be the rôle of the speaker to have the divine plan/counsel established on themselves.

<sup>6</sup> lit. ‘come to, reach’

<sup>7</sup> *to cunnunge* is ambiguous. It is a noun derived from *cunnian*, ‘to prove, try, inquire, search into, seek for, explore, examine, investigate, tempt, venture’ (B-T p 174). I take all these reading, apart from, of course ‘tempt’, to be conceivable here. The exact relationship between God, the things sent and the speaker is unclear: does God present to the speaker things to test, experience, examine, try him (i.e., the speaker?), as a sort of trial? Alternatively, does he send the things for the speaker to test, try? Or, as a third reading, does God send the things to the speaker so that the speaker might try, test, experience, etc. God himself?

<sup>8</sup> alternatively, ‘merciful’

<sup>9</sup> *lettan* or *lættan* in the second (rare) sense: ‘impede, hinder, delay’ (B-T 653)

<sup>10</sup> Although the connection is not immediately obvious, ambition is often viewed as a reason for damnation; see the analysis for analogues in the *Confessions*.

<sup>11</sup> The syntax is extremely convoluted. The speaker asks God not to allow him to be led astray by the devil; the devil rejoices in the expectation of the speaker’s condemnation (for going astray).

<sup>12</sup> For the condemnation of pride and vanity as a grave sin, see the analysis.

<sup>13</sup> The hope or belief of the devils (suddenly appearing in the plural) is the same as in l. 54: that the speaker shall be led astray by them, and thus condemned to hell by God.

<sup>14</sup> The sharp contrast of this sentence with the preceding one is astonishing. From happily, ever recklessly, preparing on a voyage—an *actual*, physical voyage—the speaker with a sudden inward turn accuses himself of having committed grave sins. But he also accuses God of being petulant, and charging the speaker with crimes he is not aware of having done.

<sup>15</sup> *micle fore monnum* stands in apposition with *for pisse worulde*.

<sup>16</sup> *martydrom* in Old English poetry can also mean ‘privation, suffering’ (Bliss and Frantzen 399). This certainly is not martyrdom in the usual sense: after all, it is a punishment meted out by God onto the speaker.

<sup>17</sup> *fus* can alternatively be translated as: ‘ready, prepared, prompt, quick, eager, hastening, prone, inclined, willing’ (Bosworth-Toller 349), ‘eager to go, ready, hastening, ready for death; shining, brilliant’ (Lehnert 88).

<sup>18</sup> The sardonic nature of this comment is obvious, but to my knowledge also unparalleled in Old English poetry.

<sup>19</sup> *forþon* refers back to *yrmþu ofer eorþan*.

<sup>20</sup> *morgenseoc* is a hapax legmenon. Morning is often associated in Anglo-Saxon poetry with sorrow, or impending catastrophe: see *Beowulf* l. 129 *morgensweg* ‘morning-sound’, meaning ‘lament, wailing’; or l. 3022 *morgenceald* ‘morning-cold’, an adjective of spears ready for battle; *morgencolla*, *Judith* l. 12, ‘attack in the morning’; *uhtcearu*, *Wife's Lament*, l. 7 (I thank Andrea Nagy for pointing me out this reference).

<sup>21</sup> A startling insertion, but the intention is clear: whereas the trees are allowed by God to live their life to the fullest, and to perform their task, peacefully awaiting their eventual doom, this is denied to the speaker.

<sup>22</sup> The help consisting, I assume, of being able to buy a boat and escape the hostile society the speaker experiences.

<sup>23</sup> The sense of this sentence is very unclear. Bliss and Frantzen translate this line as “whenever I have felt friendship towards strangers, a pleasant relationship, sorrow was always my repayment for love, as I have recently experienced” (Bliss and Frantzen 398). However, I do not feel so sure about this meaning. Technically it also could mean that it had always been a cause for sorrow for the speaker that *he* had to repay love. But another sense could be that the speaker was always careful, meticulous (it was his constant care), to repay love, even as he had recently done or experienced so. All three readings, I believe, are possible.

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**From *Pagina* to *Pulpitus*:  
Variations of late-medieval strategies  
from the manuscript page to performance**

ZSUZSANNA PÉRI-NAGY

Nicholas Love's *Mirroure of the Blessed Lyf of Jesus Christ* was a text which enjoyed unusual popularity in late-medieval England in a culturally and spiritually complex and turbulent period.<sup>1</sup> It was the translation of *Meditationes Vitae Christi*,<sup>2</sup> a highly influential work of devotion. It contained the official approbation of Archbishop Arundel,<sup>3</sup> given in 1410, granting its appropriateness for the instruction of the faith and the refutation of Lollardy. The very rapid dissemination of the text was partly due to the popularity of its source text but also, in the same measure, to this approbation. The *Mirroure* was one main device of the official Church in the fight against the Lollard heresy.

Among the more than fifty extant manuscripts some are produced with a set of magnificent illuminations,<sup>4</sup> where the images conscientiously carry the same manifold message as the text itself, one of which being the propaganda against Lollard tenets. In my paper I attempt to investigate how the same strategy of combating Lollardy appeared in the homiletic material of its day, where, by the performance of the preachers, it could reach another and maybe a larger audience. By setting Love's text into this context with a similar agenda against Wycliffite doctrine, I hope to clarify how these texts written for different audiences created different strategies and how this influenced their popularity.

The choice of homiletic material to present a background for the *Mirroure* may be justified on several grounds. Firstly, Love's work was designed very conscientiously to meet the needs of its readers and these form roughly the same kind

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<sup>1</sup> Little is known about the life and other works of Nicholas Love. He was prior of the Carthusian monastery of Mount Grace around 1415. For more details, see *The Mirroure* (1995). The most recent edition of the text is that of Sargent. The text, following the original, retells the narrative of the Gospels in a more detailed way. It emphasises the importance of imagining the scenes described; thus, with the help of the practice of imagination, the reader was invited to an inner participation in the events of the life of Christ. The sequence of the narrative is structured according to the days of the week, and the days are segmented according to the order followed by the Breviary.

<sup>2</sup> The *Meditationes Vitae Christi* was attributed to Bonaventura, but in fact was written by Johannes Caulibus, a Franciscan friar from Tuscany, for his sister, a Clarisse, around 1250. It became one of the most influential works in the Middle Ages, one which served as an aid for meditation on the narrative of the Gospels. See *Meditationes Vitae Christi* (1975). The English translation of the work is provided by Isa Ragusa and Rosalie B. Green (1961).

<sup>3</sup> Thomas Arundel (1353–1414), Archbishop of York from 1388, then Archbishop of Canterbury from 1399.

<sup>4</sup> The two manuscripts, which contain a surprisingly large cycle of illuminations, are those of the National Library of Scotland MS Advocates 18.1.7, kept in Edinburgh, and the New York Pierpont Morgan Library, MS M 648.

of audience as that of the sermons, namely predominantly the late-medieval laity, as attested to also by the ownership of the extant *Mirroure* manuscripts. Secondly, Love wrote a treatise on the Eucharistic doctrine, as a second closing of his translation, entitled *The Treatise of the Sacrament*, which was appended to almost all the extant manuscripts of the *Mirroure*. Although the *Treatise* was meant for devotional reading, it is written in the form of a sermon, of a typical modern university type. It was composed specially to accompany the text of the *Mirroure*, forming an organic part of it. Moreover, being entirely the original composition of Love it contains in a condensed and emphatic form the main message its author destined to his audience.

From the available material I tried to choose examples of sermons, which are characteristic of their types, encompassing a large scale of possibilities. The chosen homiletic texts form a chain of successive steps from the written treatise in the form of a sermon (Love's *Treatise*), through the written sermon meant to be read (the *Macaronic sermons*) (Wenzel), followed by sermons written to be delivered to a mixed audience (*The Ross sermons*) (Ross) and finally closing with sermons written definitely and emphatically to be delivered mainly to the most common, massively illiterate laity (John Mirk's *Festial*) (*Festial*). One sermon-type is catalogued by Spencer (1993) as written exclusively to refute Wycliffism. I consider it however, as a different type, where the text written had no other scope than exerting this criticism. In the chosen texts, however, the anti-Lollard message had to reach the public incorporated into the body of the texts relating to other issues as well.

### **Medieval sermons**

The 10<sup>th</sup> canon of the Fourth Lateran Council, which stated that among all other things, which aim at the salvation of the Christians, "the food of the Word of God" (*De predicatoribus instituendis* 329), that is, preaching, is of the utmost importance, offered not only a new status to preaching but also, through the new regulations of the religious life of all Christians, with a special focus on the laity, created new circumstances as well, favourable for their instruction. This programme "to attack the heretic deviations and to confirm the Catholic faith" (*De predicatoribus instituendis* 329) was, to a great extent, carried out by sermons delivered for lay people. These endeavours were paralleled by the new demands of the laity for a stronger devotional life.

The sermon was the genre *par excellence* where the two spheres, that is, the clerical and the lay, were most visibly in a close relationship; thus the transmission processes from one to the other and their reciprocal influence can be detected. These sermons lay at the intersection of orality and textuality: they were either actually delivered or written for devotional reading, not only for clerics and members of religious houses, male and female, but also for lay people needing devotional literature. Moreover, there are several variations of function of a sermon text, whether it was an actual draft, a *reportatio* of a heard speech or a model for a speech to be written, and so on. Sermons were also situated at the intersection where languages are mingled: Latin and the vernacular. The basic idea was to deliver a speech in Latin for

a clerical audience and in the vernacular to the lay, but there were several possibilities of variations and interchange.<sup>5</sup>

The dynamism resulting from all these aspects has allowed scholarly work on sermons to flourish.<sup>6</sup> These works classify sermons and offer a well-documented overall account of such general issues as form, audience, provenance of texts, function of the texts, and so on. Studies of all these aspects are on the scholarly agenda of the day; new source editions and text studies transform and overthrow previously accepted views, such as too rigid categorisations. For a classification of sermons—from homily to the more flexible and transformed form of late medieval sermon types—several attempts are now being made at creating a typology, but the diversity of the material seems to withstand the claim of a clear-cut and all-embracing systematisation. As regards the form of the *sermo*, an important change seems to have taken place around the twelfth century, when the *homilia*, which means the systematic, verse-by-verse treatment of the Gospel pericope, gave way to the later form, called *sermo*, where a certain theme was elaborated upon, not necessarily the Gospel pericope, and the basic structure was *thema-prothema* and then the development of the different *divisiones* and *subdivisiones*. However, recent studies meticulously call attention to the fact that a great variety of forms existed, even enriched by the parallel survival of the *homilia*-type from older times. All of these aspects have a significant relevance for the uncovering of their functioning and for the functioning of their message as well.

Sermons are also treated as important sources for a better construction of the “histoire des mentalités” through the study of variations of *topoi* related to the appearance of these in other genres as well. The number of studies trying to map the interchanges between *Gelehrtenkultur* and *Volkskultur* is increasing, and they embrace cultural and religious anthropology as well.<sup>7</sup> The problems of diffusion of forms are also attracting more and more attention, besides the changes in the discourse according to the “horizon of expectation” of the audience, or according to the message that the preacher wanted to convey. Jacques Verger (1997) contributed to the former aspect with interesting studies about the “middle class” of the transmitters of clerical culture to the laity. The appropriation of this culture by the laity and the

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<sup>5</sup> Valente Bacci offers a concise list of the possible variants: 1) in Latin that existed as models and sources of inspiration for preachers and were never delivered orally before the public; 2) delivered in vernacular which have reached us in Latin; 3) in a mixture of Latin and in vernacular; 4) in vernacular, based on Latin models; 5) originally in vernacular; 6) originally written in vernacular, to be translated into Latin at a later date (Bacci 321).

<sup>6</sup> See Martine de Reu (1998), Jean Longère, (1983), etc..Seminal work on late medieval English sermons is produced by H. Leith Spencer (1993); see also the more recent works of David d’Avray, etc..

<sup>7</sup> Somewhat in contrast is the theory of Alain Boureau (1993) about the existence of a common culture of clerics and laity already from the twelfth century. The “histoire des mentalités” also emphasises the different pace at which culture norms and forms were changed and settled; it is interesting to see how the “longue durée” phenomena were paralleled by those of the “courte durée,” and how all these are reflected in the sermon production of this given period (for example, by heterodox movements, and so on, as factors which influence the changes in the “courte durée”).

altering of the models of transmission are mostly reflected by the changes in the discourse.<sup>8</sup>

The considerable increase in the sermon-production of the fourteenth century is followed by a similar increase in the transmission of these in the fifteenth century, and scholars agree that this was closely connected to the religious reform movements of the Late Middle Ages.<sup>9</sup> This explosion was also manifested in the appearance of a large number of sermon-types, determined by the historical context, the function, and the audience of the delivery. The new figures of preachers carried out their activity in rural areas or in cities for large lay audiences and eventually with a great popularity. The concern for the instruction and pastoral care of laity helped the further development of the genre of the sermon as a text to be heard, and even read by laity as well.<sup>10</sup>

Still, one has to be aware and accept that sermon research often implies several problems which may not be fully solved, such as those caused by the question of the language of delivery, the lack of knowledge of—or the impossibility of discovering—the provenance of certain texts, of the authoritative/model sources available for the medieval author, the question of whether the text was actually performed, and if so, in which form, where, and when, and the validity/reliability of speculations about the reception. Being one of the most challenging parts of the research of sermons, the investigation of the reception condenses a series of questions, and the plausibility of definite answers is rather meagre. The first question pertaining here is about the actual delivery. In this respect both the analysis of the genre of the actual text, to see whether it is a *Reportatio*, a *Model Sermon*, a preparatory draft or a text written for devotional reading, and the investigations of external data about actual preaching may yield results. Then questions arise about the actual audience, of the purpose or the occasion of the delivery follows, with those of the echoes or reactions.

### **The differing anti-Lollard strategies of some sermons and of the *Mirroure***

The chosen sermons to create a context for Love's *Mirroure* represent some of the problems mentioned above. In some cases authorship is not detectable, as in the case of the *Ross Sermons* and the *Macaronic* ones, then the types, whether written for actual delivery or as models is not clear in all cases. However, they all share important common grounds, and from these two are of relevance to our present investigations, in that they were all meant for the laity as well, and secondly, that they all contain anti-Lollard hints.

Love's *Mirroure* was translated especially for a lay audience, but for such a substratum, who were literate, as Love explicitly states in his *Proheme* to the work. The long doctrinal expositions with a highly specialized philosophical-theological

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<sup>8</sup> See Horner (1998) and Howard (1998).

<sup>9</sup> For the sermon production of the thirteenth-century in Latin, see Schneyer (1969–1995).

<sup>10</sup> “The reasons for a sudden increase in *plenaria* with gloss after 1400 are most likely to be sought in the increasing and programmatic transfer of theological knowledge to the laity as we were able to observe.” (Schiewer 895).

terminology attest to the fact that it was designed for a readership judged to be erudite enough to understand it and show interest in it. My analysis of the text shows that Love's main strategy in refuting Lollard doctrines and gaining his readers to the cause of orthodoxy mainly consists in adopting a positive attitude toward his readers instead of being menacing or admonitory, and also in showing the attractive face of a Church, which estimates and incorporates those who are faithful and willing to submit themselves to its protection. I will argue for my hypothesis later.

The first group of sermons chosen to contextualize the *Mirror*, and which represent maybe the most distant type from it is a collection of macaronic sermons preserved in the Bodleian Library, MS Bodley 649, described and analyzed by Siegfried Wenzel in his *Latin Sermon Collections from Late Medieval England*. (Ford 2005) These are famous for their fervent anti-Wycliffism. All twenty-five pieces mention Lollards by name. From the doctrinal points they mainly focus on the auricular confession and the doctrine of the Eucharist, being themselves the main issues of the Lollard attack on the sacramental doctrine of the Church. Sometimes the sermons, following a tendency detectable in other writings of orthodox apologetics, do not present an explicit controversy in these doctrinal issues, but rather expound the official theology, thus reaffirming the readers in the sanctioned opinions. This paper will examine sermons 6 and 7; the latter entitled *De celo querebant* will be in the focus of my analysis, together with another macaronic one by the same author, that is sermon 154, *Quem teipsum facis* from the Worcester collection, Cathedral Library MS F.10.

The first section of the sermon-series is supposed to be the creation of the Benedictine Paunteley. Some of these sermons were intended for a lay audience, others were aimed at the clergy, and some evidently addressed both. All belong to the type called "scholastic sermon": they are based on a short biblical *thema*, which, after a *prothema* and introduction, is formally divided, with the divisions then being developed. The macaronic sermons are first of all products of literary composition, and internal evidence proves that some of them were intended for reading. Their language is macaronic: a mixture of Latin and English, with sudden and hitherto inexplicable switches from one to the other. However, the language of the written sermons does not indicate in any way the language of their actual delivery. As they are in majority written for a mixed audience, supposedly they were also delivered in a bilingual way.

Wenzel noticed an interesting phenomenon as regards the structuring and form of the sermons in this collection, namely the parallel presence of two different forms of sub-categorizing the *thema*. These different ways were traditionally used for differing audiences, thus the hybrid nature of the intended audience of the collection is further evidenced:

We find here the successive application of the two traditional ways to divide the *thema*: *intra* (dividing the verbal matter of the *thema*) and *extra* (dividing the concept that is contained in or suggested by the theme). The two techniques not only were recognized in a popular *ars praedicandi*

attributed to St. Bonaventure but were linked there to different audiences, with the former being of greater appeal to trained exegetes (the clergy) and the latter more easily grasped by theologically untrained minds (the laity). It is surprising that we should find both kinds used simultaneously in several macaronic sermons preserved in different manuscripts.

(Wenzel, *Macaronic Sermons* 77)

Love's *Treatise* is structured in a similarly complex way, itself betraying the composite nature of the intended audience, from the simpler members of laity to the more erudite.

The Middle English sermon collection from the British Museum MS Royal 18 B. 24. is known as the *Ross sermons*, after their editor. They form a miscellany of randomly collected sermons, written both for *de tempore* and *de sanctis*, and it seems that the sermons were designed to be preached, not simply to be read. From internal evidence we may assume that they were intended for a mixed audience, even for the most part for the laity, as the frequently recurrent salutation: 'Good men and wymmen' shows. Their language is Middle English, and their form is also mixed: some are modern, scholastic, while others are simpler. Four of the sermons contain expressed anti-Lollard views.

The Macaronic sermons and the Ross sermons, however, share a common ground in applying a different tactic than that of Love. This tactic consists of exercising a harsh, outspoken critique, of using a strongly admonishing style, and a more didactic attitude towards their audience. In my view they form a separate group from that of Love's *Mirroure* with which the last collection, Mirk's *Festial* bears striking similarities as regards their strategies.

Judy Ann Ford in her book about *Mirk's Festial*<sup>11</sup> provides an excellent analysis of the strategy Mirk invented to gain his listeners for the cause of the orthodoxy against the Lollard challenge. She summarizes Mirk's strategy in the *Festial* in these terms:

Mirk's *Festial* constituted a potentially potent force in persuading the ordinary parishioners of late-medieval England that they belonged to a tradition that embraced illiterate commoners . . . Moreover, the *Festial's* compelling images of lay agency functioning within established orthodoxy could serve as a ballast against an heretical ideology which set lay agency and clerical authority in opposition. (Ford 150)

Mirk's strategy was not that of a fierce, direct attack on Wyclffism, but rather an indirect infiltration of his preaching material with larger amounts of doctrinal expositions of issues criticized by Lollardy and therefore claiming more accurate and solid orthodox treatment. Moreover, by the preponderant usage of narratives which have laypeople as positive agents in the form of the exempla, Mirk created a sense of

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<sup>11</sup> As for the manuscripts of the *Festial*, see Spencer (311–316).

a greater participation of his lay audience in the spiritual life exhibited in his sermons, thus fulfilling a need that Lollardy itself detected and attempted to respond to. Ford writes thus about Mirk: “Mirk provides a model of lay agency within the church; he offers an alternative to Lollardy for those who wished to have a more active role in their own salvation. . . . Such inspiration was present in a sermon collection which was, as Susan Powell has so bluntly expressed, ‘intended to be preached by the most ignorant of priests to the most ignorant of people’.” (Ford 25) She goes on later to explain:

Other medieval sermon collections, in contrast, include narratives describing the process of confession in which the priest was a principal actor, asking questions and drawing out the penitent . . . The passage allows the audience to view the power of transubstantiation as a great dignity yet still consider the priest exercising it as a fellow human, subject to moral failings, needing to improve himself, and in just as much danger of damnation as anyone else alive. (Ford 32)

Love and Mirk seem to apply the same strategy, although to differing publics: Mirk’s audience was the common, in the large part completely illiterate stratum whereas that of Love constituted mainly of the literate, and moderately well-read, mainly urban middle-class. Both authors’ concern is to ensure their audience of their sympathetic attitude towards them, which stands in sharp contrast with that of the Macaronic-Ross doublet.

The anti-Wycliffite stances of the macaronic sermons have been analyzed by Haines in several articles. My investigations, however, are directed at their attitude towards their audience: the overall tone, and the style of these sermons, which display a consistent heterogeneity. This style is outstanding for its strong admonishing, reprehensive character, which permeates the whole texture of the sermons. Although these are built on a thematic structure in which the discourse against Lollards forms only one constituent, the tone of address remains dominant for the entire text.

This tone attains the heights of its acrimony in the passages where the Lollard phenomenon is attacked. Surprisingly, however, the criticism is extended to the orthodox audience as well, which proves to be a mixed one, including clerics and lay persons. The same tone is preserved in a series of attacks on the negligence of clerics and of the irresponsible attitude of laity, which are both to be blamed for the spread of the Lollard pestilence and the ruin of the country. Clerics are targeted first: “their devotion is slacker than usual, their heart and mind is not as much fixed upon God as it used to be, our way of life is not what it once was . . . As to their preaching and teaching, God knows how they are doing their job . . .” (Wenzel, *Macaronic Sermons* 31). Or:

Because you therefore have so many good sermons through which you can know God's will, if you do the opposite, you deserve more blame than other people. And you will be like the one of whom the Lord says in

the gospel: "A servant who knows his master's will and does not act accordingly will be beaten with many stripes. Truly, the prelates and the ministers in their jurisdiction are much to blame if they allow those to preach, (that is, the Lollards) for it is their duty to correct them.

(Wenzel, *Macaronic Sermons* 337)

The author of the sermon accuses the member of higher clergy of their avarice that stops them from informing their flock about the correct use of the images, fearing to lose the offerings made for these. As Wenzel writes: "Many curates themselves have fallen prey to Lollard teaching, . . . the true shepherd must 'fight with the harshness of the words of Scripture and his shepherd's staff by threatening ecclesiastical censure'." (Wenzel, *Latin Sermon Collections* 383)

*Sermon W 154. Quem teipsum facis* repeats the same attitude to inculcate clerics. It uses a pathetic tone, building up an allegory in which love is stolen, but Christ cannot find it either with the archbishops, bishops, other prelates and preachers, nor even with the brethren (that is, the mendicants):

But if we look now, what shall we find there? Indeed, in many of them only the basket, which is nothing but the sign of their priestly order; it remains, but love has flown away. Seculars, too, and some married people show forth a beautiful basket, that is, the name of Christianity, but their basket is empty. That this is true is plain to our eyes, for many among both clergy and laypersons are glad to hear of their neighbors' misfortune, ready to push them down.

(Wenzel, *Macaronic Sermons* 331)

In both analyzed sermons laity is offered an image of its state in a rather exclusive, degrading way, moreover, repeatedly so, with the obvious pedagogical aim to teach them to keep to their predestined status in the hierarchy of the society and of the Church. The laity, too, is equally blamed to be instrumental in the spread of heresy by their lukewarm attitude:

But is Hur without fault, you think? In no way. In many of them [i.e., the laity] there is very little goodness. Their faith is weak, their devotion very short, many of them put little stock in the divine service and the teaching of the Church . . . I don't wish to speak any more about this, the facts speak for themselves. (Wenzel, *Latin Sermon Collections* 376)

The rich and the poor are equally reprehended. After having admonished the governing strata to fulfill its duties in due way, the preacher carries on with an allegory:

What is more like it than the powerful rich people of this world, whose riches and positions are changeable like the moon, for as is seen daily to

our eye, this moon is never stable or steadfast, [a man is] now a lord then a servant, now a knight then a stable boy, now rich then a beggar. . . . Devotion is much abandoned, almsgiving is almost forgotten. I fear the moon has entered the head or tail of the dragon and is in an eclipse.

(Wenzel, *Macaronic Sermons* 285)

Then the preacher turns to the poor commoners, who are admonished not to forget their designed place, but to fulfill their duties:

These rails are nothing else than the community of the realm, the common people who are under the rule of the lords, who must be rooted in humility, suffer without groaning and gnashing of teeth against the correction by their superiors if they have done wrong; they must obey their governors in everything that is lawful and support the vines of their lord with their body and goods. (Wenzel, *Macaronic Sermons* 277)

They are equally scorned in an all-exclusive exhortation, ensuring that no one could feel himself exempt:

Because our victuallers lack truth, their words are so uncertain and unstable that no one has any pleasure in their talk, no one puts any trust in them. And for many of them it is not sufficient to falsely deceive their neighbors, but in maintaining their falsehood, they aggravate their sin by taking God's name in vain, tearing apart Christ's limbs . . . This is not just one or two people, but nearly everybody, men and women, old and young. (Wenzel, *Macaronic Sermons* 291).

Finally, let me quote another passage warning the listeners, now taken individually, against Pride, which is a true gem of medieval rhetoric:

In this way, though you may have individual virtues, even if you have grown from a noble stem and come from an exalted line, do not set your heart too high so that you may not become proud. Put a mirror, yourself, before your eyes; consider what you are. What are you, do you think? However much alive, agile, or lively you may be, you have a skin with death inside, you carry death around you no matter how fair or fresh in complexion you may be. St. Bernard gives a homely description: you are but dust and ashes, and—I am ashamed to quote his text—“sack full of filth, sack full of dung, sack full of excrement, you are but filth, however beautiful you are”. (Wenzel, *Macaronic Sermons* 104)

Mirk's strategy greatly differs from this. In constructing his collection he employs several techniques to carefully balance the clerical-lay dichotomy. In the sermons of the *Festial* the laity is required to participate in the sacraments

administered by the clergy, yet his expositions and mainly his numerous exempla are formulated in such a way that lay people become the central characters, and the clergy appear as essential but dramatically marginal figures.

Another characteristic of the first group of sermons, the Macaronic ones and the Ross collection is the lack of a systematic theology, both in “real” sermons of the period, which were most presumably actually delivered, and in the model ones. The sermons surveyed here seem to avoid the treatment of delicate doctrinal issues as well as the special philosophical terminology abounding in such terms as “substance” and “accidents”, etc.. This harmonizes with their negative assumptions about the intellectual capacity and scope of their audience, thus also barring them from a discourse retained exclusively for clerics.

Mirk himself seems to have avoided a high-brow academic terminology, which naturally correlates with the fact that he wrote for the illiterate commoners. Nevertheless, a certain quantity of Latinate philosophical terms found their way into his expositions about the Trinity, exactly in the sermon where his explicit attacks on Lollardy are included. Thus the *Festial* could suggest a confiding attitude in the comprehensive capacities of its undoubtedly simple listeners.

Nicholas Love’s text is a genuinely outstanding exception in this respect. In the whole body of his translation of the *Mirroure*, but most prominently in his original expositions of the doctrine of the Eucharist both in the main body of the *Mirroure* and in his *Treatise*, he uses a startling amount of philosophical-theological academic terminology in displaying his complexly written long theological argumentations. In my interpretation this is also an eloquent proof of his sympathetic treatment of his own readership.

Another sign of his respectful judgment of the state and of the cultural dignity he bestows on his readers is also his assumption that they are well-read and also have access to a considerable amount of devotional, what is more, theological literature. In several passages of the *Mirroure* Love explains his decisions to cut off material from the original as these can be found and attained in “othere bookes”.

Where of and othere vertuose exercie that longeth to contemplatyf  
lyuyng and specially to a recluse and also of medled lyf that is to saye  
somytyme actyfe and somytyme contemplatyf as it longeth to dyuerse  
persones that in worldely astate hauen grace of goostly loue who so wole  
more pleyndly be enformed and tauzt in Englysshe tonge lete hym loke the  
tretys that the worthy clerke and holy lyuere maister Walter hyltoun the  
chanoun of thurgartun wrote in englysshe by grace and hize discrecioun  
and he schal fynde there / as I leue a sufficient scole and a trewe of alle  
thise: whose soule reste in euere lastyng blisse and pees as I hope he be  
ful hize in blisse ioyned and knytte with outhen departyng to his spouse  
Jesu by parfite vse of the beste parte that he chase here with marye of the  
which parte he graunt vs felawschippe Jesu oure lorde god. Amen.

(*The Mirroure* 124)

In such passages Love gives the impression that he allows his lay readers to participate in some of his own spiritual and intellectual activities, charging them with intellectual tasks. Through this, he treats his readers as lower clerics and university intellectuals, although it is true that in his *Proheme* he separates them from the high clergy and from the contemplatives, that is, the spiritual aristocracy.

By way of conclusion, the efficacy of the different strategies of the two groups may be deduced from the popularity of the respective texts. Whereas only one copy came down to us of the Macaronic and of the Ross collections (with double occurrence of certain individual sermons from them), Mirk's *Festial* proves to be the most representative and also the most popular sermon collection in the vernacular in late medieval England, and its popularity spanned unbroken into the era of Reformation. The number of the extant manuscripts of the *Mirror* text, which exceeds sixty, and which is equal to those of Chaucer, speaks for itself, let alone its manifold influence on other contemporary texts.

Obviously, this popularity was primarily due to other reasons, such as supplying a model-series of sermons for the lower clergy in accessible style and format in the case of the *Festial*. Another reason of the success could be that the sermons provided an appealing devotional reading material for the interested laity in Love's case. However, the success of the chosen anti-Lollard and pro-orthodoxy strategy by Love and Mirk may have had its role as an additional component. Their ingenious turn and the subtleties of their tactic seem to have been effective, or at least popular, in keeping their flock within the protecting walls of the Church, and preserving them from the alluring threat of Lollardy.

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## False Brotherhood in Chaucer's *The Knight's Tale* / Part 1: Sworn brotherhood and Chaucer's sources on friendship<sup>1</sup>

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Sworn brotherhood is a cliché that appears in several of Chaucer's *Canterbury Tales*. Besides *The Knight's Tale*, it appears in *The Shipman's Tale* (the merchant and the monk), *The Friar's Tale* (court officials) and *The Pardoner's Tale* (the three debauched comrades). This paper explores how Chaucer may have met the traditions of this bond, and what his influences were when writing the *Knight's Tale*. In the story, Chaucer sets the doctrines of idealized male friendship, i.e. sworn brotherhood, against the concept of "courtly love," the similarly idealized male–female love. This romantic passion turns out to be more compelling than any other rules or principles (similarly to sworn brotherhood depicted in traditional romances addressing the issue of friendship), even than the knights' code of conduct, and therefore, it results not only in the withdrawal of friendship vows but even in the changing of former bosom friends into mortal enemies: for their love of the same woman, Emelye, Palamon and Arcite, the two knights bound not only by their oath of brotherhood but also by kinship, commit several unvirtuous deeds and turn on each other, which eventually results in the death of Arcite.

Friendship is a subject widely dealt with throughout the Middle Ages, and its form commonly known as sworn brotherhood was especially prevalent in the period between the eleventh and the fifteenth centuries, represented in all literary genres. As Robert Stretter puts it, "[w]riters mention brotherhood with the sort of casualness that bespeaks easy familiarity on the part of both author and audience, with a well-established cultural tradition" ("Engendering Obligation" 503).<sup>2</sup> Several Medieval English romances have sworn brothers as their protagonists (the most illustrious example is probably *Amis and Amiloun* but we might also mention *King Horn*, *Guy of Warwick*, *Eger and Grime* and *Athelston*, to name but a few), and historical records,

<sup>1</sup> The second part of this paper is going to be published as "False Brotherhood in Chaucer's *The Knight's Tale* / Part 2: Palamon and Arcite—False Friends will be Friends" in *Heroes and Saints: Studies in Honour of Katalin Halácsy* (ed. by Zsuzsanna Simonkay and Andrea Nagy), forthcoming.

<sup>2</sup> This statement is in accord with what Alan Bray formulated in his all-embracing book on friendship: "the references to 'fratres iurati,' to 'wedded brothers,' or to 'sworn brothers,' from the eleventh to the sixteenth centuries invariably assume that the terms will be readily intelligible to the reader; I know of no occasion before the seventeenth century when any need is shown to explain what these terms mean" (32). See also Elizabeth A. R. Brown's fundamental essay on ritual brotherhood, in which she proves that this phenomenon was more common in Western Europe than John Boswell thought. Note that Brown (357) and Stretter ("Engendering Obligation" 503) investigate sworn brotherhood within the period between the eleventh and fifteenth centuries (although Brown writes that it "survived in the West into the sixteenth and seventeenth centuries, in the East far longer" (381)), while Bray (32) extends this period up until the sixteenth century.

too, report that prominent figures pledged friendship to each other.<sup>3</sup> Such a famous pair, for instance, was Robert d’Oilly and Roger d’Ivry, who arrived in England at the time of the Norman Conquest, and who were still remembered two centuries later—as testified by the cartulary of Oseney Abbey in Oxfordshire (Bray 26, Brown 359, and Green 331).

The practice of sworn brotherhood seems to have flourished in fourteenth-century England, around Chaucer’s time: even King Edward II (1284–1327) is said to have been bound by an oath of brotherhood to Piers Gaveston (see Bray 27–8, 37–8),<sup>4</sup> but one can find sworn brothers also in Chaucer’s circle: Sir William Neville and Sir John Clanvowe (both *c.* 1341–1391). These two friends of the poet were figures who, as Bray formulates, “might have been taken out of the pages of a medieval romance ...: two knights who had died together on the military pilgrimage to liberate the holy city of Jerusalem from Moslem rule” (77). Neville had distinguished kin: his father was Lord Ralph Neville of Raby and among his brothers were the fifth Baron Neville (John) and the archbishop of York (Alexander). Clanvowe, on the other hand, was born to a minor land-owner family in the Welsh borders.<sup>5</sup> Both men saw active military service abroad and they were mentioned among the group of ten people referred to as “the Lollard knights” by the chronicler, Thomas Walsingham.<sup>6</sup> With four of their associates they appeared together in documents as witnesses, trustees, mainpernors and executors in many cases, on the basis of which Derek Brewer states that “it is clear that they [i.e. the six comrades] were friends with many financial and other interests in common” (*The World of Chaucer* 169). Clanvowe and Neville (alongside with Sir Richard Starry and Sir Lewis Clifford from their circle) were also knights of the King’s Chamber. Their association with Chaucer is evinced for example by the document from which we know that they were witnesses to Chaucer’s release from the charge of “raptus” brought by Cecilia Chaumpaigne (1380).<sup>7</sup> Furthermore, in another case commonly known as the Scrope-Grosvenor trial (1385–1390) both Chaucer and Clanvowe were deponents on behalf of their friend Richard Scrope, asserting that the Scrope family had the right to bear the coat of arms the Grosvenors also claimed as theirs.<sup>8</sup> Clanvowe is also connected to Chaucer by another thread: being a poet himself, he composed *The Boke of Cupide*, which was influenced by Chaucer’s works, especially by *The Parliament of Fowls*, *The Knight’s Tale* (or an

<sup>3</sup> Bray and Brown give account of numerous chronicles in which the phenomenon of sworn brotherhood occurs (and is treated in a notably respectful way, according to Bray), and they name many persons who engaged in such relationships: see Bray (especially 29, *passim*) and Brown (*passim*).

<sup>4</sup> The brotherhood of the king and Gaveston is also analysed in detail by Pierre Chaplais, who argues against the generally assumed homoerotic nature of their bond. See also Brown (*passim*, especially 378–80).

<sup>5</sup> For the biographies of Neville and Clanvowe (also spelt Clanvow) see Thomson and Saul respectively.

<sup>6</sup> On their association with Lollardy see McFarlane (197–206).

<sup>7</sup> On their association with Chaucer see Brewer (*The World of Chaucer* 169). For a short description of the Chaumpaigne case, see Crow and Leland (xviii). For a detailed discussion of the issue, go to Brewer (*The World of Chaucer* 149–50) and Harley.

<sup>8</sup> For a discussion of the case, see Brewer (*The World of Chaucer* 26–8, *passim*). The trial is recorded in Nichols.

earlier version of it) and possibly *The Legend of Good Women*.<sup>9</sup> The most eloquent memorial of Clanvowe and Neville's friendship is their shared tomb found in an Istanbul Mosque, once a Dominican church in a village called Galata. The story of their death is told in the *Westminster Chronicle*: in October 1391 John Clanvowe died in a village near Constantinople, which caused his friend William Neville such sorrow that he refused food and eventually died of grief.<sup>10</sup>

The friendship of John Whytton and John Bloxham (both priests and scholars, Bloxham the seventh warden of Merton College, Oxford, while Whytton rector of Wootton and benefactor to the College<sup>11</sup>) is another example Chaucer may have known. Similarly to the above-mentioned knights, they were buried together—in the chapel of Merton College, where a brass commemorates their friendship.<sup>12</sup> I cannot prove that Chaucer knew them personally. Bray (77, 80) hints, however, that Clanvowe and Neville very probably knew of Whytton and Bloxham (and vice versa), which assumption I would extend to Chaucer, too: the poet might also have at least heard of their association. A fact that may support this theory is that there is at least one person connecting Chaucer and Bloxham: in 1377, Chaucer's friend and neighbour at Aldersgate, Ralph Strode (to whom, incidentally, he dedicated *Troilus and Criseyde*—alongside with Gower), acted as surety on behalf of Bloxham.<sup>13</sup> If the relationship of Strode and Bloxham was of a nature compelling Strode to stand by the warden in such a case, it is more than possible that they were friends and Strode might as well have talked about his friend, Bloxham, to his other friend, Chaucer. In addition, Bloxham's post in Merton College might also have made him a figure commonly known in the circles where Chaucer generally moved.

Besides the experience Chaucer could gain from real-life examples of friends, he could also draw on his readings and on the common knowledge among the lettered at that time—even without everybody necessarily having to read those specific works themselves. One of these were the romances of the time, concerning what scholars often debate as to which of them Chaucer did in fact read or hear or hear about. In order to support their claims, scholars turned to the actual texts of Chaucer's poems and collected analogies that can provide a link to romances. As a first point, for example, Carol Falvo Heffernan examined the occurrences of the very word

<sup>9</sup> Clanvowe also wrote *The Two Ways*, a religious treatise. For a concise description of his writings, see Brewer (*The World of Chaucer* 171–3). On the connection between *The Boke of Cupide* and Chaucer's poetry, see Laird ("Chaucer, Clanvowe, and Cupid").

<sup>10</sup> On the friendship of Clanvowe and Neville, see Bray (passim, especially 17–9). Bray provides a photo of the tombstone and the image of the knights – who are depicted as if they were kissing – carved in it (18). Note the confusion concerning the day of their death. Although all sources agree upon the year and the month, the tombstone script dates Clanvowe's death to the 6th and Neville's to the 10th, while according to the chronicle it was on the 17th when Clanvowe died and his friend followed him two days later. These contradictory data, however, should not influence our confidence in the veracity of the story of the two knights' death (Bray arrives at the same conclusion: Bray 19).

<sup>11</sup> It is difficult to find bibliographic data on Whytton. In his history of Merton College, Henry Julian White mentions he was rector of Wootton (52).

<sup>12</sup> Their friendship is discussed in depth by Bray (78–82, passim). On pp. 78–80, the reader can find a detailed description of their tomb, which is later on compared to other tombs of the like.

<sup>13</sup> The issue concerned the dispute between the king and the college over the ownership of land in Oxford (North).

“romance” (4). She found that Chaucer used it in his earliest narrative poem, *The Book of the Duchess*, and also in *Troilus and Criseyde*. The only instance in *The Canterbury Tales* the genre of romance is mentioned is in *Sir Thopas*, a mock romance itself, which “specifically links itself with ‘romances’” (Heffernan 4). The narrator mentions six romances in the tale: “Horn Child,” “Ypotys,” “Beves,” “Sir Gy,” “Sir Lybeux,” and “Pleyndamour” (887–90) and he also refers to “Sire Percyvell” (916), which, according to some scholars, might be an allusion to a seventh one, *Sir Percival of Galles* (Eckert 574, 18n).

While analysing Chaucer’s poems, besides parallels in content, several critics came upon textual correspondences to some romances, and especially *Guy of Warwick*.<sup>14</sup> These findings made them conclude that the poet must have known these romances, and most probably he had read them.<sup>15</sup> Besides *Guy*, among the romances considered appear also *Horn* and *Floris and Blanchefleur* (Loomis, Heffernan, Eckert), which I think important to mention because all the three of them feature sworn brothers. There has been considerable debate with regard to the form Chaucer could meet these and other romances. The most important manuscript that frequently comes up in such debates is the Auchinleck MS, of which some state that he not only knew it but also owned a copy of it (Loomis “Chaucer and the Auchinleck MS” and also her “The Auchinleck Manuscript”).<sup>16</sup> If we accept the supposition that Chaucer at least read—if not owned—the MS, the list of the romances he knew and in which sworn brotherhood occurs can be extended by one of the most important (if not the most important) romances of friendship: *Amis and Amiloun*, a romance featuring the prototype of sworn brothers.<sup>17</sup> Whatever the truth is about the Auchinleck MS and its connection to Chaucer, scholars generally agree that the poet in his works made good use of some romances he had evidently met in one form or another. Similarly, not only he but also his audience is thought to have been generally familiar with romance. In Ken Eckert’s words: “whether his circle of literary friends and associates greeted romances with fondness or eye-rolling, they likely recognized and knew them firsthand as members of the first English-speaking court since Harold Godwineson” (17).<sup>18</sup> Without doubt, the same can be said of the friendship presented in romances.

<sup>14</sup> On the textual comparison of *Sir Thopas* and *Guy of Warwick* see Loomis (“Chaucer and the Auchinleck MS” and Strong (“Sir Thopas and Sir Guy I” and “Sir Thopas and Sir Guy II”).

<sup>15</sup> See, for example, Brewer (“The Relationship of Chaucer to the English and European Traditions”) and Haymes. Edward R. Haymes concludes that “Chaucer derived a considerable amount of his poetic diction from the English romance tradition surrounding him” (42). Note also Ralph Hanna’s statement concerning *Sir Thopas*: “Chaucerian parody, like all parody, depends upon the accepted status of its target and, equally, upon a readers detailed knowledge of that product. The joke does not work without both knowledge and (perhaps undue) respect” (108). Evidently, Chaucer could not have written a romance parody like *Thopas* if he had not known romances well.

<sup>16</sup> Cf. Brewer, who says that “Chaucer certainly *knew* a manuscript *like* it [i.e. the Auchinleck MS]” and “it is entirely possible that his father, with his East Anglian origins, had a book *like* the Auchinleck Manuscript” (*The World of Chaucer* 47, my emphasis).

<sup>17</sup> On sworn brotherhood in *Amis*, see Simonkay. In this article I also wrote about the popularity of the romance throughout Europe (Simonkay 4, 7n), which also suggests such well-knownness that regardless whether Chaucer read the romance or not, it is almost certain that he was at least familiar with the story.

<sup>18</sup> See also Hanna (104–47).

Probably the most obvious example of sworn brotherhood in romances is the friendship of the two knights, Amis and Amiloun, depicted in the above-mentioned fourteenth-century poem, but as I implied before, one can find others without great effort. In another paper I examined the characteristics and the philosophical background of this special bond depicted in four romances: *Sadius and Galo*, *Amis and Amiloun*, *Eger and Grime* and *Athelston* (Simonkay). What I established is that it shares notable similarities with the perfect friendship defined by Aristotle and Cicero in the *Nicomachean Ethics* and in *De Amicitia*. These two philosophical dialogues were not only popular with the medieval readership but also served as cornerstones for medieval treatises on the issue, such as, for example, *De Spirituali Amicitia* by Aelred of Rievaulx (1110–1167), who based his work admittedly on Cicero (Prologue 2–5, pp. 53–4). Apart from drawing on the sworn brotherhood of romances, it is not at all impossible that Chaucer was familiar with these ancient theories that lie behind them.

It is definitely not new to Chaucer scholarship to connect the poet to the two classical authors and especially to these works. When speculating on who the philosopher mentioned in *A Treatise on the Astrolabe* (“a filosofre saith, ‘he wrappith him in his frend, that condescendith to the rightfulle praiers of his frend’,” 5–8) might be, scholars brought up the names of both Aristotle and Cicero, whose views on friendship are quoted in support of these theories.<sup>19</sup>

With regard to Chaucer’s possible knowledge of Aristotle and the *Ethics*, Jacqueline de Weever points out that

John Norton-Smith shows that Chaucer could have known Aristotle’s *Ethics* in at least five versions in Latin, several Latin and vernacular adaptations, and one good complete translation in Old French. Robert Grosseteste did the first Latin translation of all ten books of the *Vetus Translatio* of the *Ethics* c. 1245, and Walter Burley wrote a commentary between 1340 and 1345, which Chaucer could have known. The *Ethics* could also be found in summary and verbatim quotations in Vincent of Beauvais, *Speculum Doctrinale* IV.x.xvi.<sup>20</sup>

Cicero, who is commonly thought as having been greatly dependent on Aristotle while setting up his ideas in his *De Amicitia*, even more evidently comes up in literary criticism analysing the medieval representations of friendship, including the warped friendships depicted by Chaucer. Scholars such as Alan T. Gaylord, John Hill, Robert Stretter (“Rewriting Perfect Friendship”), Alcuin Blamires (esp. 20–45) and Tison Pugh, too, analysed different specimens of this bond in the Chaucerian corpus in the light of Cicero’s theories.

<sup>19</sup> It was common among authors of astrolabe treatises to claim that they were writing at the request of a friend. Chaucer does the same. See, for example, Laird (“Chaucer and Friends”).

<sup>20</sup> De Weever refers to Smith (253–4, 18n). In the same entry, she gives a detailed account of the works of Aristotle known in the Middle Ages.

It is all the more justifiable to include Cicero's views on friendship in an analysis like this since *Le Roman de la Rose*, generally regarded as one of Chaucer's major influences,<sup>21</sup> contains a passage in which Reason gives a summary of the theories included in *De Amicitia*. It is a well-known fact that Chaucer knew the *Roman*. He even refers to it several times: in *The Book of the Duchess*, *The Legend of Good Women* and in *The Merchant's Tale*, to name only a few instances.<sup>22</sup> Moreover, some parts of the Middle English translation (*The Romaunt of the Rose*) are attributed to him. Nevertheless, scholars have not come to a complete agreement on the issue of the authorship of the entire translation. Charles Dahlberg presents the theories in detail and concludes that most scholars agree that Fragment A (the part written by Guillaume de Lorris) is of Chaucer, and they found it likely that he wrote Fragment C (second part of Jean de Meun's work), too (3–24). Although it is obsolete to attribute to him Fragment B (first part of Jean de Meun's), in which the prominent passage on friendship appears, still, as Stretter writes, "he almost certainly would have been familiar with the ideas contained in it" ("Rewriting Perfect Friendship" 250, 7n). Apparently, Alan T. Gaylord, too, shared the same idea when he compared the role of Pandarus in *Troilus* to that of Ami in the second section of the *Romance* (243–4, *passim*).

In order to fully appreciate how all these works mentioned so far are interrelated, one must be reminded that this second part of the *Romaunt* was written by the same Jean de Meun, who translated into French the above-mentioned *De Spirituali Amicitia* by the Cistercian Aelred of Rievaulx,<sup>23</sup> who, as previously stated, relied on Cicero's *De Amicitia*. Thus, we have come full circle with Aelred, Jean de Meun and Chaucer, and it seems that all roads lead to Rome – or, in Chaucer's words, "Right as diverse pathes leden diverse folk the righte way to Rome" (*Treatise on the Astrolabe*, Prologue, 39–40).

We have arrived back to Cicero and to the ideal usually referred to as the Aristotelian-Ciceronian friendship. In my paper referred to above, I discussed their theories in detail, so here I present only a list of the main principles and characteristics of *amicitia perfecta*:

1. it is based on virtue
2. the parties are motivated not by usefulness or advantage but by mutual love and goodwill

<sup>21</sup> See the plethora of books and papers comparing Chaucer's work to the *Roman*, for example, Fansler, Tatlock and A. G. Kennedy (eds), Wimsatt, Diekstra, Finlayson, and Correale and Mary Hamel (eds).

<sup>22</sup> *The Book of the Duchess* 332–4, *Merchant's Tale* 2031–3, *Legend of Good Women* F 329–33, *Legend of Good Women* G 255–7.

<sup>23</sup> In the prologue to his translation of Boethius's *De consolacione philosophiae*, Jean de Meun mentions four works he translated into French: Vegetius's *De re militari* ("le livre Vegece de Chevalerie"), *Topographia Hibernica* by Giraldus Cambrensis ("le livre des Merveilles de Hyrlande"), the life and letters of Abelard and Heloise ("la Vie et les Epistres Pierres Abaelart et Heloys sa fame"), and Aelred's *De spirituali amicitia* ("le livre Aered de Esperituelle Amicitie") (Dedeck-Héry, ed., 168).

3. the parties are similar (in character, and sometimes even in appearance as in *Amis and Amiloun*), and can be considered alter egos of each other
4. the parties agree in their views
5. the parties are equal
6. the parties share common upbringing, physical proximity (living together)<sup>24</sup>
7. the parties have all things in common (including not only properties but the sharing of miseries and joys as well as secrets)
8. the parties are loyal to each other, i.e. they stand by the other in misfortune and help him both with words (advice) and deeds, even at the expense of their life – especially when the other’s life or fame is at stake
9. true friendship lasts—if it fails it means that it has never been a true one

In addition to defining the attributes of perfect friendship, the two ancient philosophers also specified the main causes that can corrupt friendship. Of these we can learn from a passage of *De Amicitia*, in which Cicero expresses his doubts concerning the outcome of boyhood friendships:

The most ardent attachments of boyhood are often laid aside with the boyish dress; but if continued to the time of manhood, they are broken off, sometimes by *rivalry in courtship* or sometimes by a contest for some advantage, in which both of the parties to the friendship cannot be successful at the same time. But should friendship continue for a longer time, yet it is often overthrown when a struggle for office happens to arise; for while, with the generality of men, the greatest bane of friendship is the lust for money, with the most worthy men it is the strife for preferment and glory, and from this source frequently have sprung the deadliest enmities between the dearest friends (10.33–4, pp. 145–6, my emphasis).<sup>25</sup>

Incidentally, the friendship of Palamon and Arcite fails due to one of the causes mentioned by Cicero: their affection towards the same woman, who in their

<sup>24</sup> Note that while Aristotle states in the *Nicomachean Ethics* that “friendship between brothers is fostered by common upbringing” (μέγα δὲ πρὸς φιλίαν καὶ τὸ σύντροφον (8.12.4, 1161b.30, p. 501), Cicero is suspicious of friendships formed at young age (see the subsequent quotation). Still, he considers physical closeness essential for maintaining the tie of perfect friends. In medieval friendship romances like *Amis and Eger*, for example, the protagonists are often brought up together and they also share one home (Simonkay 13–5).

<sup>25</sup> *Summi puerorum amores saepe una cum pretexta toga deponerentur; sin autem ad adulescentiam perduxissent, dirimi tamen interdum contentione vel uxoriae condicionis vel commodi alicuius, quod idem adipisci uterque non posset. Quod si qui longius in amicitia proveci essent, tamen saepe labefactari, si in honoris contentionem incidissent; pestem enim nullam maiorem esse amicitiiis quam in plerisque pecuniae cupiditatem, in optimis quibusque honoris certamen et gloriae, ex quo inimicitias maximas saepe inter amicissimos exstitisse.*

case is Emelye. Love is, then, the cause that makes them betray the rules of their bond and which turns their sworn brotherhood into false brotherhood. What is extraordinary in this is the fact that the sworn brotherhood depicted in medieval romances (with which, as stated above, Chaucer was more than familiar) is generally represented as a relationship superior to any other ties, including heterosexual love and even family relationships. For medieval romancers it would have been impossible to picture Amis, for example, as someone who is more closely related to his wife than to his friend (Simonkay 18). Speaking of Chaucer, however, this shift in the story is not entirely surprising—as it was not surprising in Boccaccio’s *Teseida*, either, which poem served as the main source of *The Knight’s Tale*.<sup>26</sup>

One of the numerous things that connect the English and the Italian author is their devotion to Ovid.<sup>27</sup> The Roman author is referred to by F. N. Robinson as “the classical poet to whom throughout his life he [i.e. Chaucer] was most deeply indebted” (315) and his special place amidst Chaucer’s sources has been repeatedly emphasized, as in, for example, Edgar Finley Shannon’s book on the influence of Roman poets on Chaucer: “In Chaucer’s poetry there are more direct references to Ovid by name, and to his works, than to any other single author” (318). The same can be said of Boccaccio, who refers to Ovid several times in his works, and who calls Ovid’s *Ars Amatoria* a “sacred book” in the epilogue to his *Filocolo* (Havely 6).<sup>28</sup> The reason why I highlight this specific work of Ovid is that it contains an idea on friendship which might be particularly relevant if one wants to explore the philosophy behind the story of Palamon and Arcite: “Friendship and constancy are both but empty names. You cannot with safety tell your friend all the charms of the woman you adore; if he believed what you said of her, he would straightway become your rival (740–3, p. 63).”<sup>29</sup>

From the combination of the Aristotelian-Ciceronian *amicitia perfecta* and Ovid’s dictum on friendship, the tale of the two knights can be easily set up: two perfect friends—sworn brothers—, whose friendship is destroyed by their love of a woman.

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<sup>26</sup> On Boccaccio as the source for Chaucer’s poems, see, for example, the introduction and notes in Havely, and also Edwards.

<sup>27</sup> From the various works on Ovid’s influence on Chaucer see, for example, Connely, Cooper, Calabrese, Paxson and Gravlee (eds), and McKinley.

<sup>28</sup> For Boccaccio’s use of Ovid’s different works, see the whole introduction to Havely.

<sup>29</sup> *Nomen amicitia est, nomen inane fides. / Ei mihi, non tutum est, quod ames, laudare sodali; / Cum tibi laudanti credidit, ipse subit.*

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## Creating the Beast: The Wife of Bath on the page and on the screen

DOROTTYA JÁSZAY

*One is not born, but rather becomes, a woman. No biological, psychological or economic fate determines the figure that the human female presents in society; it is a civilisation as a whole that produces this creature . . .*  
(Simone de Beauvoir 273)

I believe that Simone de Beauvoir's words perfectly characterise the subject of my investigation: the "phenomenon" of the Wife of Bath in Chaucer's *The Canterbury Tales*. I have deliberately opted for the word "phenomenon" since it is my intention to emphasise the fact that, as Pearsall also acknowledges, "Alisoun of Bath is not a 'character' in the modern sense at all, but an elaborate iconographic figure designed to show the manifold implications of an attitude." (Pearsall 76) In my analysis I shall consider Alisoun primarily from a feminist film theoretical point of view, especially the "male gaze" theory of Laura Mulvey, and through this I wish to compare Chaucer's fourteenth-century "original" and the 2003 BBC film version of the *Wife of Bath's Tale*, directed by Andy de Emmony, which is one in a series of six tales that the BBC decided to adapt. By showing that Mulvey's theory is applicable both to the film version and the fourteenth-century text, I would like to prove that despite the immense temporal distance and the shift of media, the character of Alisoun shows a surprising constancy. In addition, I will also elaborate on how the figure of the woman as the "beast" was created (and has been re-created) in order to nourish and at the same time deter the male fantasy through the centuries. It is obvious that the Wife of Bath cannot be brought to our age directly, thus it is a great challenge for filmmakers to visualize her. However, the BBC adaptation manages not only to successfully grasp the "phenomenon" but to convey something of the atmosphere of Chaucer's work as well.

Alisoun of Bath is a peculiar character, who has for a long while divided the readership, especially feminist critics: some argue for, others against her (and Chaucer's) feminist or anti-feminist tendencies. I would, however, occupy a standpoint somewhere in between, or rather, outside these debates, bearing in mind a point made by Evans and Johnson according to which "'feminism' is not an historically portable term: during the passage of some six hundred years women's social, legal, cultural and ideological status has shifted considerably, and with it the corresponding modes of resistance". (1)

Although I do not wish to take sides on the question of Chaucer's "feminism", I would like to begin by referring to a feminist critic, Laura Mulvey, whose theories and concepts I will rely on to be able to grasp the phenomenon of the Wife of Bath on the screen and the page. In her influential essay "Visual Pleasure and Narrative Cinema," the British feminist film theorist presents and develops the concept of the "male gaze" and formulates a ternary structure around it. Relying heavily on psychoanalytic, mainly Lacanian, theory she defines the "male gaze" in order to characterise a phenomenon most typical of Hollywood-type cinema. As she explains, "pleasure in looking has been split between active/male and passive/female. The determining male gaze projects its fantasy to the female figure, which is styled accordingly." (Thornham 62) She continues: "traditionally, the woman displayed has functioned on two levels: as the erotic object of the characters within the screen story, and as erotic object for the spectator within the auditorium" (Thornham 63). This way she delineates the tripartite structure consisting of the "eye" of the camera, the gaze/look of the male protagonist, and the gaze/look of the spectator. She states that the "eroticization of women on the screen comes about through the way the cinema is structured around three explicitly male looks or gazes" (E. A. Kaplan 30). In connection with this theory, there is another concept I will use from Mulvey's essay, namely, the "fetish" and the fetishization of the female body in motion picture through the lens of the camera.

The fetishizing tendencies of the camera are made apparent from the very beginning of the BBC adaptation. In fact, the first glimpse we have of the Wife of Bath (in the film, Beth Craddock, a famous actress) or, more precisely, of her carelessly dangling foot, is in one of the interview scenes which frame the narrative. In these interviews, in a contemporary setting, we hear Beth and other characters (e.g. her husband or her colleagues) reflecting mainly on her personal life and career. It is also in the interview frame that the characters are first introduced to the audience: Beth's present husband, the dentist James; her next husband Jerome, a young actor in the crew, who plays Beth's partner in the series they are shooting; and her niece Jessica, who is also Beth's personal assistant. Beside the interviews there are two more narrative layers in the film: the first one is the level on which Beth lives her everyday life, while the second level visualises the TV series in which she is the leading actress. These layers are embedded into each other, using a "Chinese box" technique: the uppermost layer is the interview frame in which Beth reflects on her life, then comes the level of her ordinary life, and at the bottom is the television series. Thus, from the very first moments we can see that the 2003 BBC version is far from being a traditional adaptation of the *Wife of Bath's Tale*; it does not dedicate itself to close fidelity to the literary text, but interprets it in a rather liberal way. In the film version, elements of *The Wife of Bath's Prologue* are heavily mixed and intertwined with elements of her tale; however, it is predominantly based on the Prologue.

As outlined above, the three narrative levels in the film are: (1) the level of the interviews, which corresponds to the pilgrimage in *The Canterbury Tales*, giving a frame to the stories, (2) the level of Beth's everyday life, which is reflected on in the

interview frames, and which corresponds to the story of Alisoun's life and her marriages in *The Wife of Bath's Prologue*, and (3) the level of the television series she acts in, which is structurally in the same position as Alisoun's tale in Chaucer. Considering these tripartite divisions, I would like to argue that Mulvey's system could be fruitfully applied not only to the BBC adaptation but to the Chaucerian text as well. The author/narrator corresponds to the eye of the camera; the gaze within the narrative to the point of view of the pilgrims and the characters in the film; and finally, the male spectator to the reader or the viewer.

The multi-levelled structure of the film allows Beth to act and to be represented in a complex way. Of course, just like Beth, Chaucer's Alisoun is also acting a part, but in the film this is properly highlighted by assigning to the character the job of a real actress in a TV series. This matches Beth's character perfectly also because "female screen performance has always, quite overtly, included . . . exhibitionist display," as Laura Mulvey observes in her book *Death 24x a Second*, when she elaborates on how the displayed body gives visual pleasure through the lens of the camera (162–163). Playing a role is central to Beth, even in her private life, which may be effectively illustrated with a recurring motif from the film: at various points of the narrative, Beth (almost ritually) performs an obviously faked lewd story about a vicar's daughter, which she uses to pursue her male prey. Role-playing is also what young Jerome, her new husband accuses her of in a very tense scene, when she says that she loves him:

Jerome:            So tell me, you love me.  
Beth:                I do love you.  
Jerome:            Properly.  
Beth:                I just did...  
Jerome:            YOU'RE ACTING! YOU ARE PRETENDING! You're  
                          so bloody good that you believe your own shit, don't  
                          you?"

Beth's artificiality is further emphasised by the mock-documentary interview frame. Through this, it is again and again brought to our attention that what we are watching is a movie, a piece of fiction. With the help of the frame Beth is circumscribed by the world of fiction—by the realm, of course, where she rightly belongs. Again and again, the interviews break the "natural" flow of the story, just like in *The Canterbury Tales* when the pilgrims interrupt Alisoun, or when she addresses the reader, this way dislocating the reader/spectator and thereby creating a distance from more mainstream constructions. Beth's—and the whole narrative's—artificiality is also highlighted by the front credits of the film, which lead us from the level of the interview to the layer of her "real" life. In these moments we see how the stage is "set" for her by people preparing the make-up tools, the lighting, the costumes, adjusting the camera. These subtle, self-reflexive moments simultaneously also evoke the fourteenth century through the soft lute music playing in the

background. Through all these means, the film manages to make the viewer quite uncertain about the truthfulness of Beth's words.

The motif of artificiality is, of course, already present in Chaucer's text as well. Let us consider the passage in which Alisoun tells about her dream to her husband: "It was a lie. I hadn't dreamt at all. / 'Twas from my godmother I learnt my lore / In mattes such as that, and many more." (Chaucer 292) These lines aptly illustrate her capabilities as an actress (not to mention the way she presents her life or her tale). The situation is the same when she continues: "No one can be so bold—I mean no man— / At lies and swearing as a woman can" (282); or when she describes her marriages:

Lies, tears and spinning are the things God gives  
By nature to a woman, while she lives.  
So there's one thing at least that I can boast,  
That in the end I always ruled the roast;  
Cunning or force was sure to make them stumble,  
And always keeping up a steady grumble." (287)

Through passages like these, we are convinced over and over again of her dramatic skills. Alisoun (like Beth, of course) is a role player whose natural medium is acting. Moreover, she even calls attention to her own artificiality: "And please don't be offended at my views; / They're really only offered to amuse." (281).

Alison "exists in her own language" (Crane 20), as Susan Crane states in her article about the Wife of Bath. This is true indeed, but this language, according to Elaine Showalter, is still male-dominated (and it continues to be so even in the twentieth century). As Showalter claims in "Feminist Criticism in the Wilderness", "the very act of naming has been till now a male prerogative" (Showalter 181), and this way language is always already confining (for) women. The Wife of Bath is constructed (or, rather, forced to be constructed) by her tale; she is made to sell herself through it. However, her words are not her own, as "all dominant images are basically male constructions" (E. A. Kaplan 33). Therefore, the Wife is placed in and constructed by a completely male-dominated discourse (on page and on screen as well); "'giving of words' and 'giving of self'" (Blamires 140) cannot originate purely from her person.

The Wife of Bath comes to represent a peculiar "type". She is a "phenomenon," a pattern, a construction. She becomes much more than a single creature, she embodies woman as a construct, the "Wife" of six centuries. In this position she is not articulating herself but is being articulated by external (but already internalised) pressure. She is forced to adjust herself to the circumstances of a primarily male-dominated environment. As Peter G. Beidler remarks, "words are powerful and determine reality" (Chaucer, "The Wife of Bath" 283), and Chaucer is prominent in articulating and determining the nature of the "beast". According to Harold Bloom, "Throughout her *Prologue* and *Tale*, the Wife combats the subjection that arises from the definitions of sexual difference generated by antifeminist texts"

(103), but she also “has to battle with glossators and clerks in a complex combat of words and authorities, a medieval battle of the books that seriously study gender and power” (Bloom 107). The Wife gets into a paradoxical situation in which she is both created by words and at the same time defended by them. She fights with words against words—as she asserts about her opponents:

But paid them out as far as I was able.  
I say, so help me God Omnipotent,  
I owe them nothing, paid them word for word  
Putting my wits to use, and they preferred  
To give it up and take it for the best  
For otherwise they would have got no rest. (287–288)

Her most effective weapons are her tongue, her voice, and all that follows from her natural medium: acting. It is important to emphasise that she typically recites memorised clichés which are always already written for her. She never just says something but performs her script.

The artificiality of the Wife, while pointing to her constructedness, can also be interpreted in terms of the strange persistence and cyclic nature of her character. I would like to highlight three typical motifs from the film in connection with this: the first is Beth’s bawdy story about the vicar’s daughter which is told twice, at the beginning and at the end of the film. The second motif is a visual one: when Beth is rolling down the shutters of her caravan, it always implies that she is having sex with somebody at the very moment. Finally, the third one is a verbal reference in the final interview, made by Jessica, Beth’s niece when she comments on Beth’s enduring “man hunting”: “She never stops trying, she never gets put off. She still has this unswerving belief that one day she will find Mister Perfect.” After this there is immediately a straight cut, and in the next scene we are shown how she tells the well-tried story to her new “prey” and how the shutters are lowered.

We saw that all these scenes are referring to Beth’s sexuality, her lustfulness and frivolous behaviour and that, apparently, the director regarded these characteristics to be of central importance. Similarly to Chaucer’s text, the film constrains Beth (the Wife) into already existing (and male-given) categories, which do not seem to have altered much through the centuries: “the carnal”, “the frivolous”, “the lewd”, and so on. In this respect, the twenty-first century articulation of the character does not seem to differ from the way Chaucer depicts her. Moreover, Mulvey’s system also helps in establishing a continuum between Chaucer’s time and the twenty-first century, as it is able to deal with not only the temporal distance but also the medial shift. The ternary structure, the visual and textual equivalences travel through the centuries and point to the permanent features of the Wife.

This permanence is also apparent in such simple gestures as the title of her tale. She is not emancipated in the twenty-first century either: her story is still identified under the title “The Wife of Bath’s Tale” and not “Alisoun’s” or “Beth’s Tale”, for instance. Every pilgrim in *The Canterbury Tales* is identified by an attribute

or a profession; this particular tale, however, indicates that her definition is assigned in relation to her husband and not as a separate individual. The actual identity of the husband is less important—what counts is that she is a professional *Wife*. In *The Canterbury Tales* she says, “I will bestow the flower of life, the honey, / Upon the acts and fruit of matrimony.” (279) Something like this appears in the film as well, even before it begins, at the rather emphatic point where the episode is “announced.” It appears as a kind of motto: “I mean to give the best years of my life to the acts and satisfactions of a wife.” (“The Wife of Bath’s Tale”, Emmony) Beth in the film *adapts* these tags and labels to herself, as she is still in a strongly dependent relationship with male characters that surround her. This, however, is a mutual dependence, because, in turn, the characters around her need the “Wife” to project their fears, anxieties, and distresses onto her.

This peculiar relationship of the male characters to the Wife is apparent in her relationship with her husbands, and also in how they take leave of her.

... frying him in his own grease  
Of jealousy and rage; he got no peace.  
By God on earth I was his purgatory. . . (289)

In the Tale all her husbands die but in the film it seems (except for one literal death), that we rather witness symbolic deaths: as if taking leave of her would destroy the husbands’ existence; as if she had the power “to suck men dry and destroy them” (Pearsall 73). In the film Beth’s first husband, James is destroyed first existentially (by losing his car, an Aston Martin, which is obviously a symbol of his manhood, and by being forced to live in a “semi in Ashford”, which means the destruction of his social status) and finally literally as well. Jerome, after breaking up with her, goes to LA to work in a club (“or bar”) which is a symbolic death for him as an actor. Beth’s husbands are deprived of all their dignity, and sometimes even of their lives.

The “Wife”, therefore, represents male anxieties and, above all, the dreaded castration. Basically, all the fears of the male characters are condensed in her character. This is not only presented in the film but is also, of course, already suggested by Chaucer’s tale. Alisoun’s story of her life and her tale itself is full of references to male castration, either verbally or physically (or both). As the emphasis is on having dominance and control, taking away the authority from the male equals castration. She refers to her dominance when she says, “mine shall be the power all his life / Over his proper body, and not he” (280). Also, tearing the pages from John’s book of the “Wykked Wyves”, or simply having verbal and rhetorical superiority in general (instead of fulfilling the expected subordinate position) suggests the Wife’s dominance and can be recognised as various forms of symbolic castration, as male dominance, including both their biological and social existence, is based upon possessing these symbolic roles or artefacts. In Chaucer’s tale the Wife castrates her first three husbands through her verbal superiority and theatrical skills; she gets the upper hand emotionally with the fourth, but it is even more prominent in the fifth case, because when she attempts to symbolically castrate her fifth husband, by taking

the authority in her hands, the situation, finally, evolves into a physical battle of the sexes for the possession of control. As Bloom remarks: “the prologue recounts a medieval battle of books” (Bloom 111) and this particular book (which John reads and cites with a pathologic pleasure, like a mantra, this way reinforcing his manhood and position in a male-dominated society) has a symbolic importance in male self-generating and self-securing. As an objectified phallus, he relies on the book as a source of masculinity and dominance. Tearing pages from the book, the Wife tramples upon male superiority, she violates the sacred words and laws of male society for which she receives immediate physical punishment. There is a very similar scene between Beth and Jerome in the film. In this, Beth wants to take Jerome’s career into her hands and treats him like a child who needs protection. However, what Jerome nourishes himself with is his own “macho” image, and when Beth attempts to “cut his comb,” also as a form of castration, he immediately attacks physically, exactly as John does in the tale.

As she also represents some of the fears, failures and deficiencies of certain male spectators or readers, the Wife does not only symbolise castration but also becomes a *fetish*. Louis J Kaplan defines the concept of fetishism and also exemplifies male society’s dualistic relationship to the Wife in her work *The Cultures of Fetishism*. In this, she emphasises the defensive aspect of fetishism, claiming that “fetishism is a mental strategy or defence that enables a human being to transform something or someone with its own enigmatic energy and immaterial essence into something or someone that is material and tangibly real, a form of being that makes the something or someone controllable” (L. J. Kaplan 5).

Mulvey connects fetishism to the cinema and to the “male gaze”, declaring that “it is well known that the fetish very often attracts the gaze” (“Fetishism and Curiosity” 6), or more precisely, the “male gaze”, which means that it is a necessity for the male spectator to face her again and again. The male look is, by definition, voyeuristic which is apparent already in the “original” version of Chaucer’s *The Canterbury Tales*, for instance when Alisoun says “All the more fun for me—I only mean / The fun of seeing people and being seen / By cocky lads . . .” (291). The film is, however, the very medium which is able to grasp the voyeuristic look in its complex form. This is obvious already from the first sequence in which we first take a glimpse at Beth. The extreme close-up on her feet in the first scene already suggests a fetishistic, voyeuristic attitude and as we know, “the eroticisation of the foot had been Freud’s favourite example of fetishism” (L. J. Kaplan 24). After this the camera slowly scans her whole body (close-ups of all her body parts), only finally showing her face. This is the first time we encounter her and the audience is already forced to identify with the male gaze. She appears in this scene as “an isolated, glamorous, sexualised ‘exhibit’” (Thornham 64), which she seems to enjoy very much. This is an aspect that Mulvey also mentions in “The Visual Pleasure”, claiming that “looking itself is a source of pleasure, just as, in the reverse formation, there is pleasure in being looked at” (60).

This objectifying visualisation of the Wife is essential, as “the sexualisation and objectification of women is not simply for the purposes of eroticism; from a

psychoanalytic point of view, it is designed to annihilate the threat that woman (as castrated and possessing a sinister genital organ) poses” (E. A. Kaplan 31). So in this way the threat embodied by the Wife is done away with; being represented, written, screened—in one word, articulated—she is alienated and eliminated.

From this line of thought we also get to understand one of her most essential characteristics: her ability to *adapt*. The word “adapt” or “adaptation” means “to undergo modification so as to fit new circumstances,” which is an essential feature of the phenomenon of the Wife. This means, that her character is expressed also through the very genre, not only the medium of the film. She is herself the embodiment of adaptation, therefore, what could be a more perfect channel of appearance, a medium of expression than a contemporary film adaptation? She does not only adapt to a new medium but also to the twenty-first century. She must be transformed in order to be transmitted to this new medium; however, the phenomenon itself has not become anachronistic. In fact, the adaptation would be anachronistic precisely if it did not show the Wife in a contemporary environment, if it represented Alisoun in an “authentic” way, because adaptation is an essential feature of her being. The key is “repetition with variation” (Hutcheon 116): the shift of medium is needed to adapt, to re-write her character, to make her approachable for the twenty-first century audience.

There is one more crucial factor I would like to touch upon here. This is the lack of children, which is certainly a question deserving some attention. Laura Mulvey also stresses the importance of this function in “The Visual Pleasure”, naming the upbringing of a child as one of the not more than two traditional functions of a woman, besides symbolising castration, of course. It is possible that the production of an heir would give her the fulfilment and it would end the cyclic nature of her life, however, this is denied to her. She never had, and will never have any children in the film or in the poem, “her marriages also seem to have been literally sterile, for there is no mention anywhere in her Prologue of the difficulties or rewards of bringing up children” (Saunders 227).

The Wife of Bath is a most bewildering but also a strongly circumscribed character, constructed and re-constructed according to a defining script. She is to be feared and, at the same time, to be masochistically desired. She is constrained among myriads of paradoxical stances; she cannot find her place because she is not allowed to do so. She is needed, so she is doomed to eternal reconstruction and constant jostling between paradoxical interpretations. Her character will never have peace, as keeping her in constant tension and in a dynamic state is the only way to keep her phenomenon alive. As a concluding remark, I would like to point out that it was not in my intention to create an iconic figure of the character of the Wife of Bath or to “interpret the Wife as the embodiment of some eternal (female) truth” (Evans, Johnson 8). Far be it from me to present her as a feminist icon or, the other way round, as an anti-feminist example. It would be senseless to mythicize her character, as no human categories can be attached to the Wife: she is a created character, artificial in every way. The depth of the phenomenon is constituted by the narrative layers placed upon each other; she is not a human *being* but a human *construction*, a piece of textual creation. What I wished to do is simply to describe this peculiarly

“adaptive” literary phenomenon, which is not merely existent but also veyr persistent. She always “copes” in every age, every medium, under all circumstances: “of course I cope, I *always* cope. *I have to*, don’t I?” (“The Wife of Bath’s Tale”, Emmony).

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# The Renaissance and Beyond



## **Mirrors of Fools: The iconography of folly in the sixteenth century**

ZITA TURI

At the beginning of the sixteenth century, Europe faced fundamental changes, and ideas that had previously been taken for granted were being questioned. The late middle ages mark an era in which the Church gradually lost its spiritual prestige, institutions of education and politics were declining, and dominant notions of philosophy and cosmology were being questioned. Uncertainty was the most central experience of this transitory period, which is shown by the vast popularity of pieces of art and literature depicting folly. Although the notion of folly was already present in the Middle Ages, in works such as Nigel Wireker's *Speculum Stultorum* (*A Mirror of Fools*, 1179–1180) or John Lydgate's *Order of Fools* (1475), from the beginning of the sixteenth century its use in visual arts and literature became increasingly widespread in Europe. This “fool boom” owes much to the publication of two influential works: Sebastian Brant's picture book, *The Ship of Fools* (*Das Narrenschiff*, 1494), and Erasmus's mock oration, *The Praise of Folly* (*Moriae Encomium*, 1509). *The Ship of Fools* is an enumeration of fools with 112 chapters in verse depicting types of folly on the analogy of the medieval seven deadly sins. Each verse is accompanied by a woodcut which exhibits a fool or a group of fools relevant to the chapters. Erasmus's *The Praise of Folly* is a quasi-monologue delivered by Mother Folly, in which she characterises the notion of folly and also enumerates types.

Both *The Ship of Fools* and *The Praise of Folly* are continental works translated into English in the sixteenth century, and the numerous references to them in English literature suggest that these pieces explored some fundamental issues which contemporary English readers could relate to. The main concern of this paper is to map the notion of folly on the basis of two visual representations present in these works: a woodcut in *The Ship of Fools*, and an illustration by Hans Holbein the Younger sketched on the margin of the 1515 edition of *The Praise of Folly*. The iconographic significance of these images lies in their depiction of identity by displaying the mirror device and emphasising the act of self-reflection. In order to demonstrate this, I shall discuss the significance of the medieval *speculum* (mirror) literature, the mirror metaphor in Renaissance Europe, and finally I propose a comparative analysis of the two visual representations in question.

### **Mirror Literature in the Middle Ages and Beyond**

Mirror or *speculum* literature, through which authors could compile encyclopaedic knowledge, was widespread all over Europe from the thirteenth century. The mirror

genre was usually centred on one issue, such as alchemy (*Speculum Alchemiae*, *Mirror of Alchemy* by Roger Bacon), or astronomy (*Speculum Astronomiae*, *Mirror of Astronomy* by Albertus Magnus), and it was used like a “survey,” containing the most fundamental contemporaneous findings in a given discipline. Nigel Wireker’s *Speculum Stultorum* (*The Mirror for Fools*, ca. 1179–1180) was an example of mirror literature which provided a lengthy catalogue of human folly in the form of medieval beast narratives in order to mock the Church, social institutions, and eventually human nature. Its protagonist is a donkey called Brunellus who, being dissatisfied with the length of his tail, sets out on a journey to have it lengthened. He goes through various adventures, and in the end the text draws the conclusion that nobody can escape their nature.

Mirror literature remained a popular genre in the early modern period and many literary pieces were published in England with the words “mirror” or “looking-glass” in the title. Such works were the *Mirror for Magistrates*, a collection of stories about the fall of princes and nobilities (based on Boccaccio’s *De Casibus Virorum Illustrium*, “On the Fates of Famous Men”, 1355–1374), which had several editions published in the sixteenth century, such as Anthony Munday’s *Mirroure of Mutabilitie* (1579). Early modern mirror literature was also encyclopaedic and similarly provided catalogues of various subjects. Additionally, the texts were also often concerned with confronting their readers with their own flaws. In the *Mirror for Magistrates*, for instance, the reader faces the unavoidability of the whims of Fortune, and is reminded that even the mighty fall; the text therefore reflects on the mutability of human existence. Herbert Grabes points out that pieces of mirror literature, when combined with satire, also offer the opportunity to face one’s faults and thus to be aware of them. Reflection is possible only while the object faces the mirror and the observer is looking at it (Grabes 111). Mirror images are temporary and hence the mirror is a fitting device to grasp the essence of folly, which in *The Ship of Fools* is applied to depict the fleeting nature of life.

Brant defines his work declaring that “[for] fools a mirror it shall be, / Where each his counterfeit may see” (trans. Zeydel 31). Each chapter of his work might be seen as a mirror in which the folly of the reader may be contemplated, offering an opportunity for gaining wisdom. Although Erasmus does not define his *The Praise of Folly* explicitly as a piece of mirror literature, Holbein’s illustration to the 1515 authorised edition implies that it might also be seen as a piece which is deeply concerned with identity and self-reflection. I elaborate on this in the last section of the paper, but in order to gain a deeper insight into how the mirror device was exploited in the early modern era, I propose a brief theoretical discussion of it beforehand.

### **The Mirror Metaphor in the Renaissance**

The mirror was a frequently employed metaphor in early modern literature. Herbert Grabes points out that this was the period when the ancient art of making glass mirrors became widespread in Europe. By the end of the fifteenth century Venetian

glass-manufacturers made their inexpensive, small-format looking glasses available to the general public. Manufacture of glass mirrors spread swiftly in Germany, Flanders, France, and England. They were first installed in churches, then in secular buildings, and finally, by the seventeenth century, they became the visual centres of halls and palaces (Grabes 4–5). Grabes also suggests that the widespread vogue for mirrors generated a variety of literary/metaphoric conventions (8). He is certainly right in asserting that the emergence of mirror manufacturing coincided with the increasing popularity of the mirror as a literary device, however, the frequent artistic application of the mirror was not merely due to the popularity of the object itself. The mirror image had been present as a metaphor since classical times, centuries before the technique of producing mirrors was perfected so that mass production could begin. Yet, the collision of the epistemological crisis at the turn of the sixteenth century and the mirror manufacturing boom might suggest that there was an increasing interest in self-reflection and search for identity in late-medieval/Renaissance Europe.<sup>1</sup>

The construction of identity was taken to a new artistic level in the Renaissance, as illustrated by Stephen Greenblatt's notion of "self-fashioning," which refers to the creation of a public persona according to the expectations of a given community. Greenblatt argues that the early modern period marks an intellectual, social, psychological, and aesthetic change, which is closely related to the urge to govern identity (Greenblatt 1). Autonomy, he argues, was not a central aspect of art in this era; rather, art was embedded in specific communities, social structures, and structures of power (7). The constructed identity could thus be seen as the reflection of the community it was created in; this community determined the identity of the individual and such individuals may be regarded as the shifting mirror images of each other.

On the basis of Greenblatt's argumentation, it may be assumed that identity was collective in the Renaissance and hence the public personae of individuals may be seen as the reflections of each other and of society at large. And yet, such personae were not fully identical. Debora Shuger suggests that in the Renaissance the image of one's self was not conceived as identical to the self, only like it, a similar other. The early modern mirror functions according to similitude rather than difference; it reflects those whom one resembles (37). The reflection and the observer who looks into the mirror are not conceived as completely identical, and the qualitative difference between them, as Grabes argues, brings the latter to self-knowledge and triggers possible reforms or progress (Grabes 81). Grabes discusses the ontological distinction between the mirror-image and the reflected object and emphasises that a mirror can reflect the mirror-image of anything it is confronted with. The mirror-image, however, is only an image and not the re-creation of the original; hence the reflection lacks fixed identity (109). The reflection has no image of its own, it depends on the material object it mirrors (111). Grabes refers to one of Chaucer's

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<sup>1</sup> Up to the late-fifteenth century there are about three hundred *Speculum* titles in Europe, not taking into account the vernacular titles, and about half of these can be convincingly substantiated for England (Grabes 29).

short poems “Against Women Unconstant,” which emphasises the passivity and the transience of the mirror:

Right as a mirour nothing may enpresse  
But, lightly as it cometh, so mot it pace,  
So fareth your love, your werkes bereth witsesse. (qtd. in Grabes 111)

The reflection exists only while the object faces the mirror and the observer is looking at it. Thus, the mirror metaphor can express the transience of life, of love, of the affection of false friends, and of earthly delights (Grabes 111). The interrelation between folly and transience will be discussed in more detail at the end of this paper; at this point suffice it to say that fools are characters of transgression and they are fluid, which enables them to exhibit transience similarly to mirrors. In the following section let us consider two visual representations of folly in Brant’s *The Ship of Fools* and Erasmus’s *The Praise of Folly*, both of which capture the problematic nature of identity by applying the mirror device.

### “The Mirror up to Nature”

Sebastian Brant’s *Das Narrenschiff* may be considered a “literary symptom” of the epistemological crisis that characterised the turn of the sixteenth century. It was first published in 1494 and had several authorised and pirated editions during Brant’s lifetime (both in High and Low German). The Latin and French editions were used by the English translators: Alexander Barclay, who produced a verse translation (*The Shyp of Folyes*, 1509, 1570), and Henry Watson (*The Shyppe of Fooles*, 1509, 1507), whose prose translation was printed by Wynkyn de Worde’s press. *The Ship of Fools* left its literary hallmark on numerous early modern English texts, and by the end of the sixteenth century the title of the work was commonly used as a metaphor.<sup>2</sup> The massive popularity of *The Ship of Fools* owes much to the accompanying woodcuts produced under the supervision of Albrecht Dürer, placed at the beginning of each chapter depicting a fool or a group of fools. The images and the verses work in dialogue with each other, resulting in a complexity of meaning.

*The Ship of Fools* enumerates various types of fools and suggests that there is a seemingly endless variety of folly in the world. The encyclopaedic format of the medieval *speculum* tradition is satirised in the work, as it attempts to catalogue folly by implying an analogy with the seven deadly sins, emphasising various forms of human weakness. The work proposes such categories for folly as “Of great borrowers & slacke players,” or “Of the superflue curyosyte of men.” These categories mock the

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<sup>2</sup> Its influence can be detected in such Elizabethan/Jacobean dramas as Thomas Nashe’s *Summer’s Last Will and Testament*, Thomas Dekker’s *The Whore of Babylon*, John Marston’s *The Fawn*. Additionally, there are textual references to *The Ship* in such representative Renaissance texts as Thomas Nashe’s preface to Sir Philip Sidney’s first edition of *Astrophil and Stella* (1591), Gabriel Harvey’s *Pierces Supererogation* (1593), Robert Burton’s *The Anatomy of Melancholy* (1621), and Robert Fludd’s *Mosaicall Philosophy* (1659).

aim of medieval *speculum* literature which attempts to set up valid categories in given fields to order and structure various phenomena in the world. It is arguable that the arbitrary categorisation of folly in *The Ship of Fools* reflects deep uncertainties about any attempt to describe the world based on such thematic distinctions.

The first edition of Erasmus's *The Praise of Folly* was as a mock-sermon delivered by Mother Folly, in which she gives an account of the foolishness of human beings.<sup>3</sup> The text appeared in numerous editions during Erasmus' lifetime in France, Germany, Italy, and The Netherlands. The Latin version had already been available in England and enjoyed enormous popularity when the English version was published in 1549, translated by one of Erasmus's students, Thomas Chaloner. Peter Happé argues that Erasmus's work had considerable impact on early modern drama and he regards the relatively sudden appearance and the deepening awareness of the theatricality of the fool on the sixteenth-century English stage as an effect of the success of *The Praise of Folly* (74). The fool appealed so much to Renaissance dramatists probably because its character was fluid and it could represent a number of conflicting perspectives on stage. This fluidity of identity is also central to the visual representations attached to the works of Brant and Erasmus.

In Brant's chapter 'Of newe fashions and disguised garmentes' the woodcut depicts a fool and a courtier holding the same mirror. The mirror is placed in the middle of the image and it is difficult to tell whether it reflects the image of the fool or the courtier. The courtier resembles the fool in his garment too: he is wearing a hood with bells, looking like the donkey's ears hat on the fool's head.<sup>4</sup> The verse to the image reads:

Who that newe garmentes loues or deuyses. Or weryth by his symple wyt,  
and vanyte Gyuyth by his foly and unthryfty gyses Moche yl example to  
yonge Comontye. (*The Shyp of Folys*, xix/v, trans. Barclay)

The woodcut mocks the construction of a fashionable public persona and declares those attempting to adopt artificial identities fools. In this chapter of *The Ship of Fools* the word "counterfeit," a synonym for "imitate," occurs several times, and the text reveals that by imitation courtiers often make fools of themselves. Brant condemns the aping of new fashions as "this disgysing [...] / As I remember it was brought out of France" (*The Shyp of Folys*, xxi/r) and explains the reasons for condemnation in the chapter's opening address:

<sup>3</sup> The text was first published in Paris by Gilles de Gourmont. Michael Andrew Screech points out that the year of the publication is dubious since it bears no date on the title page (Screech, 1). He suggests that the dates of 1509 and 1515 are misleading. These are usually considered as the first publication dates; however, the original Latin text was considerably enlarged shortly after the first publication. This enlarged version became the text we know today, and it was probably published at Scheuer of Strasbourg's publishing house in 1514. Scheuer expanded and republished the text in the same year (Screech, xix).

<sup>4</sup> The image resembles the title page of the 1499 edition of Wireker's *Speculum Stultorum*, in which a fool holds up a mirror to Brunellus, the ass, in which he can confront his own foolish self.

Drawe nere ye Courters and Galants disguised  
Ye counterfayt Caytifs, that ar nat content  
As god hath you made: his warke is despysed  
Ye thynke you more crafty than God onipotent.  
Unstable is your mynde: that shewes by your garment.  
A fole is knowen by his toyes and his Cote.

(*The Shyp of Folyes* xix/v)

The text suggests that imitating others is foolish as it means giving up the assets of God. The fool in the woodcut confronts the courtier with his own reflection; however, the mirror displays not only the folly of the courtier, but that of society too, mirrored in the image of the courtier. This manifold mirroring structure multiplies the layers of meaning, especially when one considers that the woodcut, eventually, was meant to reflect the reader.

In this chapter of *The Ship of Fools* the mirror clearly refers to the act of mindless imitation by which one can easily become a fool. But as a result, it also raises the issue of identity, which is constructed and deconstructed through imitation. Imitation enables the adoption of a desired image of the self, yet imitation also “disguises” and even modifies the already existing identity. Mirrors can show objects from opposite angles, and are therefore fitting devices to unmask folly. In this respect, they are analogous to the character of the fool, whose main aim is to turn the world upside down. The mirror in the woodcut is the visual device by which the identities of the courtier and the fool become blurred and interchangeable. They are linked to each other by their reflections, to the extent that one cannot tell which one of them holds up the mirror to the other.

Erasmus’s *The Praise of Folly* offers an interesting opportunity for comparison. While this was not originally a picture book, the 1515 edition contains marginal illustrations by Hans Holbein the Younger, which depict types of fools inspired by Erasmus’s text. These illustrations became so popular in the sixteenth century that they were included in further reprints, and they were most probably available in England.<sup>5</sup> In one of Holbein’s sketches a young man is looking at a mirror, in which his reflection is poking its tongue out at him. The man in the image is wearing a hood slung around his neck and his garment is decorated with bells. Although by his facial expression, and because his hood is not on his head, one cannot tell if he is a fool or not, his reflection is rather telling and confronts the man with his alternative foolish self. Fritz Saxl remarks that Holbein’s illustration focuses on the faces of both characters, which suggests that the designer did not consider the fool as a type; rather he was interested in folly as depicted in a facial expression. The young man scrutinising his own face is the visual representation of one’s search for identity (Saxl

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<sup>5</sup> Holbein worked in England for years, he was involved in the humanist circle of Sir Thomas More, he enjoyed the patronage of Anne Boleyn, and he was the court painter of Henry VIII. He was introduced to the English humanist elite by Erasmus who was a highly popular and distinguished humanist writer. In 1628 Milton remarks that one would find Erasmus’s *The Praise of Folly* “in everyone’s hands” at Cambridge (qtd. in Kaiser 23, originally quoted in Patterson 220).

276). Saxl adds that Erasmus commented on *The Praise of Folly* saying that “I too have been revealed to myself in the mirror” (qtd. in Saxl 276).<sup>6</sup> Even though it is impossible to prove that Holbein knew of this remark, *The Praise of Folly* could be regarded as a piece of mirror literature in the sense that it shows up a mirror to its reader and displays the ambiguities of human existence.

At first sight, this mirror image in *The Praise of Folly* illustration does not derive from the reflected object; rather, it appears to reveal the true nature of the man confronting the image. This true nature, however, is not so distant from the man himself, since in Holbein’s illustration he is wearing a hood with little bells, resembling the traditional garment of fools, which suggests that the man does in fact have foolish attributes. However, he is not aware of this as his hood is at the back of his neck, where he cannot see it, and the mirror is essential to reveal his real character. This is a shared feature with the woodcut in *The Ship of Fools*, in which the courtier’s hood is also embellished with bells, indicating that he too carries the traits of a fool. William Willeford suggests that Holbein’s illustration was actually borrowed from the woodcut in *The Ship of Fools* (35). Although this suggestion seems plausible, it cannot be fully substantiated; yet, the conceptual similarities between the two images reveal that the question of identity in the early modern period could be regarded as closely related to folly and therefore the character of the fool was a device suitable to depict the process of obtaining self-knowledge.

The fool, whose main attribute is the ability to reflect the self, is a “cultural-touchstone” in the sixteenth century and is often featured in literary and theatrical pieces in the Renaissance. Michel Foucault in his *Madness and Civilization* (1961) discusses the notion of madness from the late middle ages until the end of the eighteenth century. He introduces the idea of “liminality” in relation to *The Ship of Fools*, applying the term to establish the socio-cultural and literary status of the fool. Foucault argues that the madman’s voyage is an “absolute passage” (8). The fool is constantly balancing on the threshold, he is simultaneously seen as an outsider and an insider holding a highly symbolic position and representing the uncertainty and fluidity of the world (9). Foucault notes that in *The Praise of Folly* madness “insinuates itself within man” (23), and makes the general observation that “there is no madness but that which is in every man, since it is man who constitutes madness in the attachment he bears for himself and by the illusions he entertains” (23). The symbol of madness works like a mirror, the device of illusion, in which the mirrored image has no fixed identity. Fools, like madmen, exist on the threshold, they occupy a liminal position and they have no fixed identity either, hence the mirror is the ultimate artistic device to express folly. In the images of *The Ship of Fools* and *The Praise of*

<sup>6</sup> “et sum ipse mihi ostensus in speculo.” in Epist. 337 (Allen II. 97) qtd. in Saxl 276.

<sup>6</sup> This quality of the character contributed considerably to its emergence in early modern drama, in a period in which the whole world was regarded as a stage. The fool could adopt various roles and at the same time his words conveyed wisdom. Stage fools, similarly to their courtly counterparts, could utter lines about the transience, mutability, and vanity of life. These lines, however, were accompanied by jests, puns, and grotesquery, thus lessening the tragedy of their wisdom. They held a “mirror up to nature” (*Hamlet*, 3.2.20–21) as well as to the audience.

*Folly* the borderline between reflection and the subject reflected is blurred, representing the constant transgression and liminal position of the fool.

### Conclusion

In the sixteenth century, the interest in the notion of folly signified an urge to gain self-knowledge and a need to come to terms with one's identity. This need was probably strengthened by the deep uncertainties of the age, and the fool was a central figure in the attempt to tackle this crisis. The discourse of folly was unique because it addressed fundamental existential issues, yet, the light-heartedness and playfulness of the fool's rhetoric functioned as a comic relief by which these issues could be dealt with. By showing up a mirror to the reader, *The Ship of Fools* and *The Praise of Folly* reveal how to face one's foolish/human self and how to consider the flaws enumerated on the pages not as deadly sins, but follies to be laughed at. Mocking and the liberating act of laughter are their key devices in exposing human weakness, and by ridiculing flaws the readers might also be made able to confront their own imperfect mirror images.

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## Symbolic and Real Loci in John Lyly's *Euphues* Books: The significance of Naples, Athens and London

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“There dwelt in Athens a young gentleman . . .”—with these words begins one of the most successful narratives of the Elizabethan era, *Euphues: The Anatomy of Wit* (1578) by John Lyly.<sup>1</sup> The book's witty hero, Euphues is characterized from the first moment with the name of the city of Athens. The enfolding plot introduces another city, Naples, which becomes the scene of the adventures and experiences that educate the young gallant:

. . . a place of more pleasure than profit, and yet more profit than piety, the very walls and windows of whereof showed it rather to be the tabernacle of Venus than the temple of Vesta. There was all things necessary and in readiness that might either allure the mind to lust or entice the heart to folly—a court more meet for an atheist than for one of Athens, for Ovid than for Aristotle, for a graceless lover than a godly liver, more fitter for Paris than Hector, and meeter for Flora than Diana. (33–4)

The two loci of the book, Athens and Naples, thus become emblematic oppositions from the first pages of the book, and their names signify symbolic concepts—one standing for university and study, the other for court and courtliness—rather than real geographical locations on the map of sixteenth-century Europe.

As opposed to this image, the sequel *Euphues and His England* (1580), introduces a real land, England and its capital, London. John Lyly gives a description of them with chorographic precision, quoting and paraphrasing well-known ancient texts as well as contemporary publications. While G. K. Hunter, Lyly's biographer, declares that there is “no need to take the place-names quite literally” (59), the following paper will endeavour to probe how literally one can understand the references to London in Lyly's text, how the image of the real city of London contributes to and balances the symbolic images of Athens and Naples, and what significance these descriptions have in the *Euphues* narratives.

### **Symbolic Spaces: Athens and Naples**

There is a general consensus among literary critics that Athens signifies the place of learning in the opposition with Naples, where the latter stands for life at court. The

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<sup>1</sup> It had three editions in the first year, followed by a sequel *Euphues and His England* (1580), itself having four editions by 1581, and both more than 30 among them by the 1630s.

real city of Athens had been at the time of the writing of the book under the rule of the Ottoman Empire for more than a hundred years, being occupied in 1458 by the Turks. Yet for the educated reader brought up on classical literature, the city of Athens signified the place of philosophy, “the mother of Sapience, and the palaice of musis and all liberrall sciences”—as Thomas Elyot phrased it in his *Book named the Governor* in 1531 (1.11). In the text no description of Athens is included; actually very little mention is made of the city itself, except for using it as an attribute of learning and a reference to a place of study.

Euphues is not only characterized by the place he came from, but also by the name he bears. The name can be derived from the book of the famous educator Roger Ascham, who speaks about the ideal disposition of a student to study and names such a person Euphues:

Euphues. Is he, that is apte by goodnes of witte, and appliable by Witte. // readines of will, to learning, hauing all other Will. // qualities of the minde and partes of the bodie, that must an other day serue learning, not trobled, mangled, and halfed, but sounde, whole, full . . . a tong, not stammering, . . . a voice, not softe, weake, piping, wommanishe, but audible, Face. stronge, and manlike . . . a personage, not wretched and deformed, but taule and goodlie Learnynge. (194)

Thus for the reader Athens, learning, and Euphues should be combined into one image, yet this image is probed by the challenges posed by Naples, the city identified with a metropolitan, urban setting, and with courtliness.

Sixteenth-century Naples was part of the Spanish empire and was one of its largest and best-fortified cities. Its court, pomp, and the art patronage of its viceroy were famous—Naples has been considered one of the centres of Italian Renaissance. Thus it was an ideal metaphor for urban life and courtly existence. Yet in *The Anatomy of Wit* Naples was associated with vice and greed as the reader learned from the old gentleman, Eubulus, at the beginning of the book:

Here mayst thou see . . . drunken sots wallowing in every house, in every chamber, yea, in every channel; . . . not the carved vizard of lewd woman, but the incarnate visage of a lascivious wanton, not the shadow of love, but the substance of lust. (37)

Referring to the ancient trope of contrasting court and country, as places of vice and virtue, Eubulus warns Euphues of the dangers of Naples and courtly life: an advice—as so many others in the book – not heeded by the young man. Euphues deserts his friend Philautus, though friendship is esteemed “the jewel of human joy” (44) by the narrator, just to win the love of a fickle woman, who in turn deserts him. The plot of the *Anatomy* ends with Euphues learning his lesson and making his choice between

the two cities: “I will to Athens there to toss my books, no more Naples to live with fair looks.” (84)

In the several letters attached to the main body of the *Anatomy*, the contrast of Athens and Naples is further adumbrated. For instance, in one of the final letters, written to Euphues by Livia, a virtuous lady living in the emperor’s court, it is summarized as “I have wished oftentimes rather in the country to spin than in the court to dance; and truly a distaff doth better become a maiden than a lute, and fitter it is with the needle to practice how to live than with the pen to learn how to love.” (147) In the answer by Euphues it is interesting to see that Athens becomes part of this virtuous countryside as he urges Livia to “come into the country” where he will have her “first learn to forget all those things which thou hast seen in the court” (149). Instead of the life in an ageless Arcadian setting, the scholarly community is substituted as the scene of learning virtues.<sup>2</sup>

Yet some further material included in the first Euphues book upsets the straightforward image of Athens as the epitome of virtue and humanistic study. In a treatise about the education of youth Euphues offers a severe criticism of Athens:

I cannot but lament Athens, which, having been always the nurse of philosophers, doth now nourish only the name of philosophy. For to speak plainly of the disorders of Athens, who doth not see it and sorrow at it? . . . Such a confusion of degrees, that the scholar knoweth not his dutie to the Bachelor, nor the Bachelor to the Master, nor the Master to the Doctor. Such corruption of manners . . . such open sins, . . . such privy villainy, such quarrelling in the streets, . . . such subtle practices in chambers that it maketh my heart to melt with sorrow. (110)

Athens is shown as a place where students are mistreated, methods of education are old-fashioned and ridiculous, and morals are loose. This passage is often seen as a reference to contemporary Oxford where Lyly studied, and Bevington even states that “vices and virtues at court and university are antithetically equal” in *The Anatomy of Wit* (164). While it cannot be disputed that the description of life in Athens by Euphues is very similar to the image rendered from Naples by Eubulus, one must notice the distancing factor inherent in the multiple narrators involved throughout the work of Lyly, which destabilizes meaning. Let me now turn to this aspect of the Euphues books, the multiple frames through which the reader is expected to read the lines.

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<sup>2</sup> In Lyly’s later court plays there are similar references to Athens as contrasted with the court. In *Campaspe* the ancient trope of condemning courtly vice surfaces as Alexander the Great moves his court to Athens only to be censured by Diogenes who would rather be crooked of body and “endeavour to make [himself] straight, from the court, as to be straight, and learne to be crooked at the court” (1:3:126–28). In *Sappho and Phao* Athens is given as the homeland to characters that are associated with Philosophy and learning.

## The Narrative Frames

Both books contain a main text telling the adventures of Euphues and his friend Philautus, which is narrated by an authorial voice. The narrator links the soliloquies and dialogues of characters and also addresses his audience directly by commenting on the plot or even forecasting coming events. Yet a further narrator's voice is introduced into the second book by tales told by the main plot's characters themselves, who comment and link the dialogues and soliloquies of the characters in their own story. The reader experiences a multiple distancing as the voices of the authorial narrator, the characters, the characters as narrators, and the narrated tale's characters speak. Leah Scragg called this a "series of frames" and a "process of regression" where "competing perspectives . . . create a double-faceted framework for a narrative that itself evolves through the narration of tales within tales" (9). Yet an even further distancing is achieved by Lyly with the web of paratexts placed after the text of the main plot in both books, in the form of letters and treatises on various topics by the fictional characters.

The ambiguity created by this narrative structure is in line with the style of the book, commonly referred to as "euphuism." Lyly uses a style, in which antithesis is one of the major devices. Antithesis is not just used "to intensify the terms under consideration," but also to propose "alternatives" without resolving them, or actually offering a "coexistence of contrary properties in one phenomenon" (Barish 18–19), so that "the more absolute of its kind a thing may appear to be, the more certain it is that somewhere within it lies its own antithesis, its own anti-self" (ibid. 22). The many frames used by Lyly's narrative structure create the same effect as his stylistic use of antithesis, adding a playful multiplicity to his work and strengthening the feeling of equivocation. Such an ambiguity is created by problematizing the reference of the city of Athens. While Athens was referred to as a place of learning and as opposed to the court of Naples throughout the main text, a separate treatise written by Euphues depicts it as the place of vice. The reader is confronted with the alternatives of distrusting this information provided by Euphues, as Euphues proved to be a shaky authority in matters of judgement in the plot or believing him and discrediting the authorial narrator's generalizations about Athens. A further possibility is to believe Euphues's negative image painted about Athens, but to suspect a further narrative layer, where Athens becomes a real geographical locus—not the city in Attica occupied by the Turks—, but a location referred to outside the plot by the real organizer of the text, the author John Lyly.

The condemnation of life in Athens was understood by contemporaries as a criticism of a real town, Oxford, where Lyly attended university. *Euphues: The Anatomy of Wit* was a type of commonplace book, but Lyly took the opportunity to insert not just common wisdom and knowledge into it, but also topical references. The allusions were so well understood that Lyly felt obliged to introduce an apology to the scholars of Oxford in its second edition. This shift would not have been possible without the web of differing lenses Lyly used in the structural layout of the books.

The change from a generalized concept of Athens as representing learning to a concrete city is a decisive moment as it foreshadows the second book's treatment of loci, where London is not an idea any more, but a real living city of Elizabethan England.

## London

*Euphues and His England* challenges the first book's concept of loci used in a metaphorical manner. In the storyline of the adventures of Euphues and Philautus, the two friends go to the court of London to probe its reputation of embodying both courtliness and learning, "to see a court both braver in show and better in substance, more gallant courtiers, more godly consci[ence]s, as fair ladies, and fairer conditions" (150). Thus the abstracted images of Naples and Athens as court and hub of learning are contrasted with London, a real space situated within England. Both London and England will become scenes with geographical identities, with their own histories, landmarks, and people. While the first book explored questions of courtliness in general terms, the sequel adds genuine details about a living city.

Before the friends arrive in England, Lyly dedicates a relatively long interlude to the description of the journey, in which the details are narrated by the authorial voice, but the character of Euphues delivers a long tale and provides some information about England.

Euphues's story is about an old hermit, who himself tells a tale about his years as a young lad. The story forms a parallel to the opening dialogue of Euphues and Eubulus in *The Anatomy of Wit*, as in both old men offer advice to young gallants without their words being heeded. It also underscores the prodigal son motif of the first book (Euphues's education through his experience in Naples),<sup>3</sup> as in the tale of the hermit the original biblical story is paraphrased (the hermit as a young man asks for his share of the inheritance, travels for fourteen years learning "more vices than [he] went forth with pence" (175), and decides to return home seeking pardon for his deeds). But the most striking feature of the tale is that it underlines the uselessness and fickleness of travel, thus it forms an antithesis to the main plot of the book in which Euphues and Philautus travel to England. Both the moral of the hermit's tale and the ancient authority of Homer quoted argue against leaving one's homeland as "he that leaveth his own home is worthy no home" (176).<sup>4</sup> Euphues, who tells the hermit's tale, comments: "either never to travel, or so travel as although the purse be weakened the mind may be strengthened . . . for not he that hath seen most countries is most to be esteemed, but he that learned best conditions; for not so much are the situation of the places to be noted as the virtues of the persons" (180). As opposed to this statement, when Euphues and Philautus arrive in Dover they spend three or four days admiring its castle, buildings, and harbour, and in Canterbury they first visit the

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<sup>3</sup> See Henderson (13) and Scragg (11) about the prodigal narratives.

<sup>4</sup> Pincomb points out the parallel with Plato's travel to Syracuse and its similarly negative associations (8).

cathedral and its monuments, before getting acquainted with an old Englishman. Lyly also introduces chorographic descriptions of both England and London, which in the light of Euphues's and the hermit's pronouncements seems worthless. Furthermore, it is through the speech of Euphues that the reader hears about the particularities of the land, and it is later in a letter of Euphues that an even more detailed account of both the country and its capital is provided. Amid such equivocation about the worthiness of visiting new lands the description of a real locus, England and London, is inserted.

England is first depicted according to an ancient source, Julius Caesar's *The Gallic Wars*. Euphues delivers on board the ship an oration-like speech, which is—as he himself calls the reader's attention to it—a free translation and paraphrase of the classical text. It is through the eyes of a foreigner, and an aggressive conqueror, that England's image is first painted. We are reminded that a similar foreigner—aggressive or not—is uttering the words, who is on his way to prove the good reputation of London's court true or false. A note of national sensitiveness can be detected on the part of Lyly, as in his narrative Euphues breaks off quoting from the well-known paragraphs, just before the barbarous custom of a dozen men sharing the same wives is described (5:14)—thus suppressing unwanted detail and editing its source. Yet harmless but exotic elements, such as the English dyeing their faces blue to look more horrible in battle, are retained for amusement's sake.

The second part of the description of England comes right at the end of the main plot, in the treatise of “Euphues' Glass for Europe” attached to a letter sent by Euphues to Livia after arriving back to Athens. It contains long passages of borrowings from another famous source, William Harrison's *Description of England* published as part of the first edition of Holinshed's *Chronicles* only three years earlier. What is remarkable about this borrowing is the way Lyly handles its source: he sometimes takes over long passages verbatim, at other instances compresses several chapters in one sentence, or even comments or criticizes his source text. He strictly follows the order of the description by Harrison (e.g. geographical description, mention of the twenty-six cities, the bishops, the universities, the navy, and baths etc.). Much humour and a bit of satire appears with the personal reflections that are sometimes added to the source text, and by the twisting and reordering of sentences or phrases. E.g. Harrison's chapter “Of fauage beaftes and vermines” starts with the haughty sentence “It is none of the leaft bleffings wherewith God hath indued thys Ilande, that it is void of noysfome beaftes, as Lions, Beares, Tygers . . .” (1:3.7), but Lyly's paraphrase “Of savage beastes and vermyn they have no great store, nor any that are noisome” (325) ridicules the pretentious sentence by reordering its parts and simplifying it. A similar satirical moment is Euphues's aside about Harrison's chapter “Of the Marueyles of Englande” (1:2.18) which he skips with the remark “many wonders there are to be found in this island, which I will not repeat because I myself never saw them, and you have heard of greater” (324).<sup>5</sup>

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<sup>5</sup> About Harrison's answer to Lyly's satire in the second edition of Holinshed's *Chronicles* see Terry Reilly's article.

These two descriptions of England are further examples of the distancing of information presented to the reader through the multiple narrative frames. The accounts are not delivered by the general narrator of the plot, but appear as part of a speech or as an appendix to a letter by Euphues. A further level in this “regression” is introduced by co-opting ancient or contemporary texts well known to early modern readers, and editing them. This maze of disorientation is a sign of caution about the objectivity of the seemingly dry chorographic details of the source texts and of Lyly’s work, underscoring the possibility of multiple interpretations.

It is in this complex context that the praise of London is inserted. Harrison does not describe London as the capital of England in detail in his text, yet Lyly following Harrison’s dry manner and style manages to get away with the trick of offering his lines on London as a Harrison paraphrase.

The main theme is mercantilism. London is presented as “the Store-house and Mart of all Europe” and the contrast of the nobility of the city and its dependence on money is astonishing: “What can there be in anye place under the heavens, that is not in this *noble* Citie eyther to be *bought* or *borrowed*?” (322, emphasis mine) This sentence is followed after a paragraph-long break with a shocking conformation of the presence of the poor that questions the worth and value of the previous statement: “It hath divers Hospitals for the relieving of the poore.” Together with the poor two further classes of people are mentioned: “It hath divers Hospitals for the relieving of the poore, six-score fayre Churches for divine service, a gloryous Burse which they call the Ryoll Exchaung, for the meeting of Merchants of all countries where any traffique is to be had” (323). These people are further characterized:

This maketh Gentlemen brave, and Merchaunts rich, Citisens to purchase, and sojourners to morgage, so that it is to be thought, that the greatest wealth and substaunce of the whole Realme is couched within the walles of London, where they that be rich keepe it from those that be riotous ...  
(323)

This mercantile spirit echoes an earlier statement of the book that called London “the garden of the world, where among many flowers we shall see some weeds, sweet roses and sharp nettles, pleasant lilies and pricking thorns” (224). Thus the image of the real London is at variance with the idealized city which Euphues sought to discover. Is this the city that was to prove its superior virtues to the entire world?

Lyly’s work definitely makes this statement, yet it equivocates by meaning the royal court of London rather than the real mercantile London. It is the court of Elizabeth I that forms the antithetical balance to the image of Naples. John Lyly here again relies on Harrison’s *Description of England*. Printed in the same year as the *Anatomy of Wit* Harrison’s work contains a description of the English court as if it were a refutation to the statements and general condemnation of courts advocated in *The Anatomy of Wit*:

In some great Princes Courtes, it is a worlde to see what lewde behaiour is vsed among dyuers of those that reforte vnto the same, & what whoredoe, swearing, rybaldry atheisme, dicing, carding, carowling, drun|kennesse, Glotony, quareling, and such lyke inconueniences, doe daily take holde, and sometymes euen among those, in whose estates such behaiour is least conuenient: all which inormities, are eyther vtterly expelled out of the Court of Englande, or else so qualified by the diligent endeuour of the chiefe officers of hir graces houfholde. (1:2.9)

Harrison provides the major themes to Lyly's work so closely (the praise of grave councillors, learned courtiers and virtuous ladies, as well as depicting the court as a place of learning) that the idea of writing a sequel to the *Anatomy* may have been inspired by Harrison's description of the English court:

This farder is not to be omitted to the singular commendation of both sorts & sexes of our Courtyers here in Englande, that there are verye fewe of them, which haue not the vse and skyll of fundry speeches, beside an excellent vaine of wryting, before time not regarded. Truly it is a rare thing with vs now, to here of a courtier which hath but his own language, & to say how many Gentlewomen & Ladies there are that beside sound knowledge of the Greeke & Latin tongues, are therto no lesse skilful in y<sup>e</sup> Spanish Italian & French, or in some one of them, it resteth not in me.

. . . to auoyde ydlenesse, and preuent fundrye transgressions, otherwise like|lye to be commytted and done, such order is taken, that euerye offyce hath eyther a Byble, or the bookes of the Actes and monuments of the Church of Englande, or both, beside some hystories and Chronicles lying therein, for the exercise of such as come into the same: whereby the straunger that entereth into the Court of Englande vpon the sodeine, shall rather imagine himselfe to come into some publicke schoole of y<sup>e</sup> vniuersities, where many giue eare to one that readeth vnto the, then into a Princes Pallace, if you conferre this with those of other nations. (ibid)

A separate paragraph of the praise of ladies foreshadows the concept of Lyly's *Euphues and His England*:

. . . our auncient Ladies of the Court doe shun & auoyde ydlenesse, some of them exercysing their fingers with the needle, other in caule|worke, diuers in spinning of filke, some in continuall reading either of the holye scriptures, or hystories of our owne, or forren nations about vs, whilest the yonger sort in y<sup>e</sup> meane time, applie their Lutes, Citharnes, prickefong, and all kindes of Musick, which they vse only for recreation and solace sake, when they haue leysure, and are free from attendaunce vpon the Quenes maiestye, or such as they belong vnto. (ibid)

Lyly, to enhance his version of praise, needs to elevate the theme to the regions of the supernatural by making the narrator claim that the ladies of “this blessed Island” seemed like “Fayries” in a vision when first beheld, “but comming to my selfe, and seeing . . . that the place where I stooode was no enchaunted castell, but a gallant court, I could scarce restraine my voyce from crying” (329). Yet Lyly’s panegyric is inserted into the book as part of a treatise by Euphues, so when he directly addresses the ladies of his audience to imitate the English example, his words can be understood as criticism as well through the multiple layers of narration: “Ah, good Ladies—good, I say, for that I love you,—I would yee could a little abate that pride of your stomackes, that loosenesse of minde, that lycentious behaviour which I have seene in you” (331).

Through the web of statement and contradiction of the statement, the only unchallenged authority is that of the queen. On all levels of the narration (by the author Lyly, the book’s narrator, and Euphues) the praise of Queen Elizabeth is absolute. The emerging national pride of the English mingles here with the newly introduced language of the cult of Elizabeth. The lengthy paragraphs of praise appropriate old figures of speech derived from the Bible and the contemporary metaphors from classical mythology and allusions to humanistic learning. While the reputation of London, the real city, suffers from Lyly’s euphuistic satire, London as the locus of the ideal court is exempt from criticism and offers a straightforward panegyric of the monarch and its court.

## Conclusion

Looking at the significance of the cities of Athens and Naples within the two Euphues books, one must underscore their emblematic function within the plot of the story. London, on the contrary, is introduced as a real locus, but emerges as a similarly divided image: the real city of London as contrasted to the idealized court of the queen.

Hunter argues that the part of the book where the details of London and the court were described was hastily added to the second Euphues book (66), yet I believe the contrary is more probable. The image of the antithesis of the real London and the idealized city of the court of Elizabeth forms the basis of the narrative plot. Judith Rice Henderson argued that the letters appended to *The Anatomy of Wit* were “composition exercises of the Elizabethan schools” (147) that gave the *raison d’être* of the writing of the book. In a similar manner in the sequel *Euphues and His England* I believe the treatise of “Euphues’ Glass for Europe”—with its description of England and London—gave the *apropos* of writing the book.

*Euphues: The Anatomy of Wit* was always acknowledged as an “enchanted treasure trove of attitudes and traditions” of the age (Hunter 61) and its cultural significance was recognized as a “point of entry to the understanding of the period itself” (Lumney xxxi). One of the *topoi* of the cultural milieu of the sixteenth century was to seek an answer to the possibilities of relating ideals and realities, to connect

idealized loci of virtue and wisdom (nature, ideal city, spaces of study) with the possibilities of their realization as real spaces. The Euphues books managed to connect these regions, although sacrificing credibility through one of the most intriguing aspects of the prose: the constant equivocation created by John Lyly's witty style and narrative structure.

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## The “Artifice of Eternity”: The triumph of mime in *The Winter’s Tale*

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Sailing to Sicily—a chronotopic centre of navigation in the romancer Shakespeare’s tempest-tossed seas—covers a wide gap of time as spacious as the one separating Yeats’ Byzantium from “that country”, the twin isle of the Bard’s native land. The Hermetic round-tours of the romances—Pericles’, Posthumus’, Perdita’s, and Prospero’s voyages of discovery from Nature to Art and back—open new dimensions of stage-representation with man, the ultimate artefact of mimetic creation in the centre. In its all-encompassing metatheatricality, the concluding scene of *The Winter’s Tale*—a dramatized mythopoetic narrative of death-in-life and life-in-death—the live monument of Hermione provides the hermeneutical compass indispensable for the spectator to remap Shakespeare’s designedly timed utopia. Under the retrospective guidance of the last scene we may find our ways in Shakespeare’s nowhere land, a khora-like Neo-Platonic receptacle,<sup>1</sup> where nature and art, fact and fiction, perception and invention, experience and imagination unite in the entirety of time through the “perning gyre” of what is “passed, passing or to come”.<sup>2</sup>

In *The Winter’s Tale* mime takes time to create a space that gives place to mime and vice versa: time takes mime to present itself fully fledged in its spatial entirety. It is the chronotopian interplay of time and space that turns the stage into the place of metatheatrical self-representation. The stage within the stage where Hermione’s statue is placed and displayed is time’s domain where it is acted out in its own terms, presented in its phenomenological and grammatical complexity through aspectual, inflectional and modal variations. The multi-dimensional presence of time and the accumulated stages of its passing create a mimetic space, a khora-like receptacle that contains the whole story in compressed form. In the conclusion the decelerated recognition’s slowly rotating scene recalls the seasonal stages of the whole elongated play: time’s telling tale of two successive generations.

Paulina’s chapel where Hermione’s live statue is displayed is also a scene of emphatic placiality.<sup>3</sup> A staged place of implacement<sup>4</sup> created by the observed of all

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<sup>1</sup> Plato’s “khora” in Derrida’s reading, as it is reviewed in his essay entitled by the very term (1993), is the enigmatic third spatial dimension of being beyond the confines of dialectics, that transcends the limits of the perception–conception, logos–mythos type of binary oppositions and thus provides an ideal sphere (connotatively also space, place, region, location, frame, vessel and receptacle) for implacement and as such may be seen as the spatial metaphor of artistic representation.

<sup>2</sup> The titling analogy between Yeats’ Byzantium poems and *The Winter’s Tale* refers primarily to the striking similarities in their treatment of nature and art and their spatial interplay in terms of time, i.e. in their chronotopian approach to art transcending the conventional boundaries of its spatial and temporal constituents.

<sup>3</sup> Placiality is a relatively recent term introduced by Edward Casey (1993) to the critical discourse of space-phenomenology.

observers, the very body of Hermione, or rather the compound of two bodies in heterotopian relation. The one is the live, natural body of the queen coming to life by perception—sight, touch and voice—, the other is its inverted shadow, the freshly painted stone, the artist’s copy mocking life, itself a mimetic mock-copy staged by Paulina, the master of redemptive stage ceremonies. The focal point of the stage’s self-reflection is the statue itself, the end-product of the play, the mimetic fusion of art, artwork and artist in one.

The location of the last scene seen from inside is the holy of holies, the sacred site of accorded spiritual and physical transfiguration. From outside, however, it is the artful combination of a gallery and a theatre—a place of exhibition whose visitors, Paulina’s invited guests, are turned into spectators by movement: the physical movement of the statue acting out herself, and the spiritual movement of the spectators “stirred” and “transported” by the magic of art.

*Leon.* The fixure of her eye has motion in’t,  
As we are mock’d with art.

*Paul.* I’ll draw the curtain:  
My lord’s almost so far transported that  
He will think anon it lives. (5.3.67–69)<sup>5</sup>

Multiple movement itself—spatial and temporal, physical and spiritual—is the cohesive force that welds time and space into a homogeneous chronotopian medium: the chief agent of the play’s metatheatrical practices.

Paulina’s chapel, the sacred site of temporal transcendence—the synchronic place of religious ritual and mimetic pageantry—is also a heterotopian setting. It is a place of spatial duality where the here and the there, perception and imagination, the actor and his mirror image, the interior and the exterior stages of the play, as well as Bohemia and Sicily, are simultaneously presented. The stage within and without the stage, where actors and audience are jointly implaced by mime, is the chronotopian emblem of theatre itself in its self-glorifying metatheatricity. In terms of space it is a place of hiding and revealing, the cardinal twin-movements of acting itself, instruments of initiation by epiphany. To grant the success of such dubious metatheatrical practices, the credibility of the illusion, Shakespeare endows Paulina, the actor-manager of the play within the play, with multiple authority, sacred and profane, fitting both the occasion and the location. The appointed priestess of the illusory resurrection-rite is employed as judge, instructor, guide, art-collector, stage-director and leading actor in one to have full mimetic control over the conclusion.

To ensure the triumph of mime over time, Shakespeare sacrifices even serious drama when he leaves behind the time-ridden world of Leontes for Bohemia, the promised land of regenerative fiction where pastoral romance can have its day. In

<sup>4</sup> I use the term in the context elaborated by Casey, where implacement signifies modal location, the highest state of spatial being achieved by the accord and creative interplay of body and place—here the actor and his setting.

<sup>5</sup> All parenthesised and textual references to the play are given according to the 2006 Arden Edition.

Sicily time's measurable manifestation i.e. clockwork-time dominates both the scene and the action. Time—the nine-month-long stay of Polixenes and the accorded pregnancy of Hermione—is the primary source of the tragic conflict itself, which can be solved only by the elimination of the cause, i.e. the transcendence of real time by its allegorical double, taking shape on stage as the top authority of the play itself.

Time, after his regenerative gap of 16 years, having restarted the cycle in Bohemia by the successive tale of the next generation, returns to Sicily only to eliminate itself by artistic transcendence in the conclusion. Hiding real time gives way to the revelation of its artistic shape as the metatheatrical equivalent of its medium—theatre itself. By the time Paulina opens her chapel—"time's chest" where "time's best jewel"<sup>6</sup>, Hermione herself is hid—it gathers complex dramatic shape and gains local habitation by implacement.

In the statue-scene, to achieve the desired effect, Shakespeare renounces even psychological realism—his chief force of stage-representation—in order to promote poetic symbolism: the leading instrument of dramatizing fiction on stage. Due to the shift of focus it is not the actual event, the emotional, spiritual and physical experience of the reunion, that counts, but its shadow, the mimetic copy: seeming that overrules being.

Hermione's reported off-stage death-show in the middle of the third act is psychologically no less nonsensical than her carefully rehearsed and staged resurrection. Likewise, her sixteen-year-long displacement off-stage is as absurd as her sculpted reappearance on stage for the redemptive conclusion. This is Shakespeare's way of doing mimetic justice. Once the tragedy of the first part is caused by fiction, the airy nothing of Leontes' "weak-hing'd fancy" (2.3.118), it must be undone likewise by illusion. The dramatized tale of Hermione, Leontes, Florizel and Perdita, like Prospero's vision, is rounded with dreamlike fiction.

Our position, at the same time—depending on the preferences of the director—can also be determined by the placement of the scene, the positional arrangement of the players, whether Hermione faces the audience of the outer or the inner stage. This positional flexibility, the interpretative role of placement is part of the overall spatial design shaped by the applied metatheatrical strategies of Shakespeare in *The Winter's Tale*.

Hermione's concluding performance is a scene of compressed time turned into space—a reflective recollection of all the topographic, placial aspects of the play's reigning temporality. The binary pairs of spatial opposition—here-there, near-far, present-absent, overt-covert, on-stage-off-stage—through recalling different stages of the plot, signify time, and vice versa: the past, the present and the future, memory, perception and imagination—aspects of time and their related mental functions—get embodied by the statue itself and through its staging implaced in the heterotopian scene of dynamic display. Observed more closely, the above listed spatio-temporal

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<sup>6</sup> Sonnet LXV voices the same dialectic view of time as destroyer and preserver to be transcended by artistic representation.

relations, the creative interplay of time and space prove to be the main constituents of the *Tale* itself.

The opening scene, Camillo and Archidamus' dialogue—the former is the voice of Sicily, the latter is of Bohemia—sets the chronotopian stance *in medias res*. Measuring past and future services of entertainment, they compare in covert metatheatrical terms the here and there, the two placial poles of the play's world in terms of time: the time Polixenes and his men spent in Sicily through the nine-month-long sojourn, and the time to be spent over there, in Bohemia by Leontes and his company when they repay the visit. Polixenes, away from his country for such a long time, is still here, in Sicily, though he should be there in Bohemia. Hermione, though covertly present, secluded in Paulina's house off-stage all through the Bohemian scenes, is overtly absent on-stage from her reported death till her resurrection. She is near, still far away for Leontes, who believes her gone forever. Perdita, after her exile, is lost for the Sicilians, absent for sixteen years, while gaining new identity in a far-away country as a shepherdess. In the meantime her father is left behind, off-stage in Sicily by time, the presiding stage authority personified as the chorus of the intermezzo, to perform his "saint-like sorrow to redeem his fault" paying more penitence through the same long sixteen years "than done trespass"(5.1.1–4).

The source of the fatal conflict between the two kings is rooted in their different sense and measure of space and time, the crucial issue being: to stay or to leave, how long and when. Time is the point of the argument and the deal made by mutual compromises, and the common concern of all the characters of the Sicilian scenes up to the tragic turn, the dissolution of Leontes' family.

It is only natural that time by the end of the first part—the strictly time-minded tragic stage of the *Tale*—gains a dramatic body—a shape, a local habitation and a name—to bridge the vast chronotopian gap between the Sicily of the parents and the Bohemia of the children. The role he assumes, that of the Chorus, the arch-player of drama in ancient Greece, is authentic both in placial and temporal terms. In its central spatio-temporal position it poses as the allegorical representative of the play's chief stage-authority in charge of several roles: it struts the scene as expositor and chorus, prologue and epilogue, actor, narrator and director, reflecting upon the play, its natural habitat, domesticated dwelling place and to some extent also his own creation by self-reflection: a staged mirror-image of time in its heterotopian duplicity. "I, that please some, try all: joy and terror / Of good and bad, that makes and unfolds error, / Now take upon me, in the name of Time, / To use my wings." . . . "I turn my glass, and give my scene such growing / As you had slept between..." (4.1.1–17)

Time, looking backward and forward, stages itself in the same chronotopian way in between the two parts of the diptych, as Hermione acts out herself in the closing pageant, the stage's own mirror-image at the conclusion. The missing stage-place, the lacking location, the space gap of the play, however, can be filled in only with matter of its own kind, thus, even time—despite its omnipotent stage-authority—has to present itself in terms of space, the metatheatrical space that is generated by self-reflection: "imagine me, / Gentle spectators, that I now may be in fair Bohemia"

(4.1.19–21). In both scenes of emblematic chronotopian position, self-reflective time and self-reflective stage, through mutual substitution, become synonymous and interchangeable.

The chronotopian correspondence of time and place—the tale and its presentation on stage—is confirmed by the interplay of their main plotting devices: mistiming and displacement. As chief agents of Shakespeare’s chronotopian strategies they are responsible for both “joy and terror”, “good and bad”, and for making and unfolding “error”. They generate the spatio-temporal confusion, and they set it right by the pointedly placed and timed mime in the conclusion. Mistiming accorded with displacement direct the course of action and shape the fate of most characters in Sicily and Bohemia alike. By the strategic time scheme of the plot all the major characters fall victim to displacement: Bohemia by his extended stay in Sicily, Hermione by her imprisonment and the following sixteen-year-long reclusion in Paulina’s house, Perdita by her death sentence and upbringing in Bohemia, Florizel by renouncing his princely identity to escape with Perdita to Sicily, Autolycus by his turn from courtier to country rogue. Displacement dissolves placial identities and increases the spatial sense and state of being exposing the play’s abstracted world to time practices realized through mistimed—hasty or belated—actions: Polixenes’ overstay followed by his stealthy leave, Leontes’ accusations and regret, Florizel’s marriage proposal and escape with Perdita and the reunion of family and friends after sixteen years of absence by separation.

The emblematic statue-scene may also be viewed as a masque—Shakespeare’s favourite metatheatrical device in the romances—more precisely a court masque displaced and mistimed. It is a spectacular, pageant-like piece of stage-entertainment with accorded musical accompaniment, decorative scenery and elaborate choreography. Like the fashionable court masques of the Jacobean stage, it also invites the audience to join in and share the delight of the game. Doubling illusion, it eliminates the placial gap between the stage and the audience, fact and fiction, sensation and imagination. It is displaced by location and mistimed by occasion. Instead of the players going to the court to perform, it is the court—the members of two royal courts—who come to Paulina’s private playhouse to watch and take their assigned part in the show. Thus the place of the performance becomes part of the design, a distinguished location of mimetic implacement and as such, the placial centre of the play’s khoric space: theatre itself. By the inverted logic of metathtatrical self-reflection, implacement is achieved through its reverse—displacement—to prove that the stage is an autonomous place of its own making.

Paulina’s masque is also mistimed by inverted priorities in timing: by the mimed show preceding (if not wholly substituting) the live experience of recognition and reunion and by the tempo of the action—the drastically decelerated process of Hermione’s comeback. The illusion is so perfect, the spatio-temporal transition from fiction to reality so smooth, almost natural, that it either eliminates surprise or stretches the time-span of recognition to such length that it is impossible to identify

the moment of the audience's turn of mind. Again, the masterful manipulation of time paves the way for the ultimate triumph of mime.

The magic of the masque wouldn't work without music either. Music in the romances is as much the voice of nature, enchanting the senses, as of art, elevating the soul. As if Shakespeare wanted to give, literally, polyphonic voice to one of his main themes in his last plays. Whether it is Prospero's island, Pericles's Mytilene or Leontes' Sicily, it is tuned to the occasion—the time—, and the location—the place—of its making. Music is always the aural manifestation of the genius loci, an instrument of implacement accorded both with the spirit of the place and the mental state of those implaced in the plays' world.

In *The Winter's Tale* music is artistically organic to the play. Even the compositional structure echoes musical patterns, recalling in its tripartite structure the ABA-design of the sonata form, which started its glorious career at the same time as Shakespeare's romances.<sup>7</sup>

Hermione's solo dumb-show—another favourite feature of court masques—is called to dramatic life both by sound and movement conducted by music. Shakespeare's music, solemn or gay, ditty or dirge, is always a sensual signifier of time out of joint. When, by memory, sensual delight or the flights of fancy, Kronos' clockwork time, set in the past, present or the future, gets neglected or transcended. Like poetry, its closest kin and nearest kind, it has an oneiric quality that awakens the sense of dreaming consciousness and thus creates another off-stage sphere further widening the spatial scope of the play.<sup>8</sup>

As the pious masque of the resurrection-ritual is, by spacing and timing, the compositional counterpart of the carnivalesque sheep-shearing feast, the accompanied music in its solemnity counterpoints the merry tunes of Autolycus and the gay gambols of the herdsmen. Even the instrumentation of the musical scenes is fitted to the mood of the action and the occasions of their use: tabor and pipe for the Dionysian dances of the satyriized herdsmen and presumably the lyre of Apollo, the presiding deity of Sicily or the lute of Orpheus, the model for Paulina in her orphic rites when reclaiming the dead, Persephone-Perdita and Demeter-Hermione, from the netherworld.

Music, both by the larger artistic design of the play, and its particular applications, is an effective instrument of Shakespeare's chronotopian practices and the *Tale's* syncretic, metatheatrical composition.

Both places of the play's bipartite composition have their appointed stage-authority who plays the leading role of manifold guises—private and public—and directs the action. Paulina of Sicily is wife, widow and bride, attendant, judge and

<sup>7</sup> The compositional analogy is most apparent in the combination of the two major parts—the Sicilian and the Bohemian scenes—contrasted in mode, tone, tempo and character as well as in the recapitulation whose function is to complete the cycle through the retrospective return to the beginning echoing the opening theme(s) at a distance granted by spatio-temporal transcendence.

<sup>8</sup> Dreaming or “imagining consciousness”—one of the key terms of Gaston Bachelard's phenomenological approach to space elaborated in *The Poetics of Space* (1964)—is an attribute of poetic dwelling, the spiritual state of creative implacement. It is a distinctive feature of Shakespeare's romantic plays, most dominant in *The Tempest* and *The Winter's Tale*.

confessor, the self-appointed counsellor and spiritual leader of Leontes, the Vestal of the inverted rite of passage from the world of fiction to reality and the master of the concluding stage ceremonies. She plays these roles now simultaneously, now in succession depending on the stages of the action.

Her counterpart in Bohemia, the comic hemisphere of the *Tale*, is Autolycus, the Jack of all mimetic arts and Hermetic crafts: thief, rogue and losel, swindler, jester and musician, the trader of knick-knacks, rhymes and ballads, poet, singer and dancer, turncoat, go-between and time-server. He is the master of the carnivalesque feasts and mummeries of the sheep-shearers, a mock-bohemian in Bohemia improper. Expelled from the court to the country, he is as displaced professionally as Polixenes' kingdom placially on Shakespeare's distorted map of the Mediterranean.

On the spacious stage of the romances, open to the world of fiction, even narration serves dramatic ends deployed the way to ensure the triumph of mime. By convention a formal framing device, in most of the cases it is dressed up for the stage as prologue, chorus or epilogue. Its set role is twofold: it provides a spatio-temporal frame for the action and bridges the undramatic gaps of the plot, reporting off-stage events far away from the scene of the action in space and/or time. It is a mover of contrary processes, a catalyst of intensity and extension simultaneously. On the one hand it tightens the plot by condensing its time, on the other it extends the space of the play's world by inviting fiction to the stage.

In *The Winter's Tale*, however—like in *The Tempest*—Shakespeare assigns true dramatic role to narration. It fictionalizes action itself when employed as its substitute in representation. What is presented live, close-up, in intimate detail in *Pericles*—the reunion of father and daughter after a half-lifetime-long gap of separation—here gets staged through threefold narration. The three supporting characters—the three Gentlemen—are nameless witnesses, mere spectators of the events, whose sole task is to give lively narrative accounts of Leontes and Perdita's reunion, the most moving event of the story before Hermione's return. They recall a sight, which even by the reporter “was to be seen, cannot be spoken of” (5.2.43–44), an “encounter which lames report to follow it, and undoes description to do it” (5.2.58–59). What they talk about has just happened then and there, in the immediate vicinity a few minutes ago—the best of the plot, crying for the stage, still cruelly displaced, off-staged by Shakespeare to pave the way to the last scene through the confusion of perception and imagination, presentation and representation. Thus narration too, by careful timing and spacing, serves the desired end: the triumph of mime in the grand finale.

In Shakespeare's most moving romance, in the *l'art pour l'art* stage world of *The Winter's Tale*, theatre finds narcissistic joy in its own self-reflection. It leaves serious drama behind, abandons philosophical concerns and pressing ethical and existential issues as much as psychological verity, in order to conquer and domesticate fiction, to turn the stage into the boundless space of *Theatrum Mundi*, the khoric receptacle of all-artistic representation. The stage of mime in *The Winter's*

*Tale* is like Plato's khora with Milton's mind implaced. It is its own place, and in itself can make a hell of heaven, a heaven of hell—bliss lost and found.

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**Prospero's Island as "Bank and Shoal of Time":  
Time, timing and time gaps in Shakespeare's *Macbeth*  
and *The Tempest***

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The paper focuses on the concept of time in Shakespeare's *Macbeth* and *The Tempest* with special reference to time gaps and to what may qualify as the right time to perform the deed—whether magical or murderous. The two plays share some peculiar features concerning time: they are both unusually short, and what Frye writes about *The Tempest* could also be said of *Macbeth*: “the time even seems to shorten as we go on”, and thus both plays are “haunted by the passing of time” (*Northrop Frye on Shakespeare* 172).

As the editor of the New Cambridge *Macbeth*, Braunmuller glosses, the very first word of the play “concerns time”, which “is always more significant than ‘where’” (102). “When” is repeated twice by the second witch and the time reference is completed by the third one who defines the time of their next meeting: “That will be ere the set of sun.”<sup>1</sup> Importantly, they name the trysting place, the heath, only after all this. The symbolism of the heath, however, should not be disregarded, as it is a variation on the archetypal desert or wilderness, which is the earthly representation of empty space, having both sacred and sinister connotations in various mythologies.<sup>2</sup>

A central motif in *King Lear* is the image of the protagonist as scapegoat: expelled into the desert after having been saddled with the society's sins (cf. Leech 53). In *Macbeth*, this motif has only a marginal role to play; we come nearest to it when Macbeth sees himself as a bear tied to the stakes and attacked by dogs: “They have tied me to a stake. I cannot fly, / But, bearlike, I must fight the course” (5.7.1–2). “Course” is an interesting word to express ‘attack by dogs baiting a bear’ (Braunmuller 232), as its other connotation—‘continuous process of time, succession of events’ (OED sb 17a; Braunmuller 232)—is not irrelevant from our perspective. It implies that although Macbeth is not innocent, he is not much more guilty than the rest: sin is everywhere, in everyone. As István Géher observed, one has to kill so as not to be killed: in *Macbeth*, everything is fluid and unstable—even the earth has “bubbles” (i.e. the weird sisters), and in this liquid world one has to liquidate others so as not to be liquidated himself (Géher 236).

Time likewise plays a central role in *The Tempest*, perhaps even more so than in the other late plays. Time is very much under control here and it permeates not only

<sup>1</sup> All quotations from *Macbeth* are from The New Cambridge edition by A. R. Braunmuller. Quotations from *The Tempest* are from The Oxford Shakespeare edition by Stephen Orgel.

<sup>2</sup> The symbolism of the *heath* is discussed in my doctoral dissertation “Metamorphosis in King Lear” (2000).

the structure and the imagery, but is an important organizing factor in the dramaturgy of the romance as well (see the many references to clock time and the repetition of the 12-year cycle, etc.).

The right time for Prospero is made known to him via his magic or natural philosophy: his auspicious star tells him when to enlighten Miranda about their past:

By accident most strange, bountiful Fortune,  
Now my dear lady, hath mine enemies  
Brought to this shore; and by my prescience  
I find my zenith doth depend upon  
A most auspicious star, whose influence  
If now I court not, but omit, my fortunes  
Will ever after droop. (1.2.178–184)

The right evil time is communicated to Macbeth via another channel of the supernatural and is also prompted by his and the Lady's so far pent-up ambition. As Frederick Turner defines it, ambition is "surely an obsession with the future, that will not allow us peace (or spiritual growth) in the present" (134). He adds that for the ambitious person, "the present is important only in relation to the future, present actions only the means to a future end" (134). To this, Frank Kermode's insight could be juxtaposed: "Nothing is / But what is not"—that is, the present is no longer present, the unacted future has occupied its place. . . . More than any other play, *Macbeth* dwells on this moment of crisis, a moment that seems exempt from the usual movement of time, when the future is crammed into the present" (*Shakespeare's Language* 205).

In *The Tempest*, on the other hand, in the moment of crisis, it is Prospero's past that is crammed into his present. But the consequences of his actions at this critical moment should also involve his future: his daughter's future, therefore Milan's and, by implication, Naples' future. And Prospero is fully aware of this.

Kermode continues his reading of *Macbeth*:

St. Augustine wrote about such a moment, the gap between desire and act. Though he was certain of the end desires, he was "at strife" with himself. The choices to be made were "all meeting together in the same juncture of time" he said to himself, "Be it done now, be it done now," but he continued to hesitate between fair and foul, crying, "How long? How long? Tomorrow and tomorrow?" (*Confessions*, VII, xii.) This, for Macbeth, as for the saint, is the moment when the soul distends itself to include the past and future. (Shakespeare's *Language* 205–6)

Interestingly, Turner also quotes from Augustine's *Confessions*, although different passages, in his essay on "The Crime of Macbeth," focusing mainly on the contrast between God's ever-fixed eternity and human time that comes and goes, and

he concludes with the saint that “Neither times past nor times future have any being.” (128)

Frye in his *Fools of Time* investigates the same gap citing Brutus’ famous speech from *Julius Caesar* 2.1: “Between the acting of a dreadful thing / And the first motion, all the interim is / Like a phantasma or a hideous dream” (90). “Everything”, Frye concludes, “is thrown forward to a future moment”, which is “the moment of guilt, and it imposes on one, until it is reached, the intolerable strain of remaining innocent. As Atreus says in Seneca, once he has determined on cooking his brother’s children for his brother’s dinner: ‘Why do I remain innocent so long?’ . . . anyone who is forced to brood on the past and expect the future lives in a world where that which is not present is present, in other words a world of hallucination . . .” (*Fools* 90).

According to Frye,

the moment of guilt is also the moment of opportunity, the catching of the tide in the affairs of men. But the rebel, as a rule, is not the instrument of nature, whose rhythms, if often destructive and terrible, are always leisurely. He himself is the source of decision, and so the sooner he acts on his decision the better . . . Christ himself said to his betrayer: ‘What thou dost, do quickly.’ The resolute or autonomous decision, then, is always hurried: it violates time . . .” (*Fools* 90–1)

And as he defines it elsewhere, “tragic or evil time presents a moment for . . . cutting into the flow of time” (*Northrop Frye on Shakespeare* 179).

Thus, the crucial difference is that the rebel/murderer violates/rapes time whereas the natural philosopher/magus courts it. Therefore, when Macbeth says:

The flighty purpose never is o’ertook  
Unless the deed go with it; from this moment  
The very firstlings of my heart shall be  
The firstlings of my hand (4.1.143–47)

he not so much attempts to make a decision, as Frye assumes, that in the future he “will try to attain the successful ruler’s spontaneous rhythm of action” (*Fools* 91), but in my view, he rather attempts to eliminate the time gap. This is not just an endeavour to bridge the gap (the phrase itself would suggest that the gap remains), rather, he wants to close the gap, to make it disappear, like a surgeon suturing the wound after surgery, or like a mage who can seal wounds by using healing spells.

Maybe Macbeth would need such magic, some supernatural intervention or intercession, indeed, to *succeed*. It is worth noting the multiple meanings of the word “succeed” in the play. The fourth occurrence is the following:

If it were done when ‘tis done, then ‘twere well  
It were done quickly: if th’ assassination

Could trammel up the consequence, and catch  
 With his surcease *success*; that but this blow  
 Might be the be-all and the end-all—here,  
 But here, upon this bank and shoal of time,  
 We'd jump the life to come. (1.7.1–7) (emphasis mine)

In this passage the word means both “prosperous achievement” and “succession of heirs”, and gradually takes on a more ironic sense (c.f. Braunmuller 131).

The interpretation of the phrase “jump the life to come” is not unanimous either; it is usually taken to mean risk or hazard. Kermode reads the passage (1.7.1–28) as follows: “If the murder could of its own power prevent all that follows such a deed, if Duncan’s death could put an end not only to him but to all that would follow it, then at this stationary moment in time he would jump the life to come, risk consequences in another life” (*Shakespeare’s Language* 208). Kermode, however, warns us (and himself) against this sort of paraphrasing, as it “entirely misses the force of ‘surcease success’, a compaction of language into what has been called a ‘seesaw rhythm’ that is the motto rhythm of the great interim” (208). Nevertheless, Kermode falls into the usual paraphrase trap again, when he decodes “be-all and end-all” as “[I]f only time could be made to stop at the desired moment of the future!” But since “to be and to end are antithetical, they can only contradict each other”, he concludes (208).

Braunmuller, notes that “jump” could also mean *pass* or *leap over* (132), which would imply a gap or fissure between the ‘here’ and the ‘next life’, and also probably between the two ‘heres’ of the soliloquy. I find it most intriguing that line 5 ends in “here,” and line 6 starts with “But here,” as if the two were not referring to the same identical place/space.

Although the wedge in the natural flow of time was driven by the emerging desire, it was followed by physical action, and Macbeth committed a “breach in nature” (2.3.106) by desecrating Duncan’s anointed body:

Here lay Duncan,  
 His silver skin laced with his golden blood  
 And his gashed stabs looked like a breach in nature,  
 For ruin’s wasteful entrance. There the murderers,  
 Steeped in the colours of their trade; their daggers  
 Unmannerly breeched with gore . . . (2.3.104–9)<sup>3</sup>

Braunmuller assumes this is a complex image representing “Duncan’s body as a devastated landscape, as Macbeth’s violated castle, and as the violated bonds of loyalty and hospitality” (155). He adds that the “underlying image is of an opening or

<sup>3</sup> Interestingly, Lőrinc Szabó omits this phrase translating “sebei mint kapuk / Hívták a halált” (*Macbeth* 777); Szász Károly, however writes “S a tátogó seb mind megannyi rés / A romboló halálnak”.

break ('breach') in a shore or dike" (to which I must add that *dike*, meaning 'bank, embankment or seawall', recalls 'the bank and shoal of time') "letting in ruinous (sea)water, or of attacking troops" (the troop image recalls shoal/school) "breaking into a castle or walled city: some injurious force overcomes cultivation's or civilisation's boundaries" (155).<sup>4</sup>

A breach, in itself means an opening, a break, a hole, a fissure, rupture, or gap and also violation, infringement, betrayal and defiance of some natural law, and the harmony of the universe. This image fits in perfectly with Frye's concept of tragic or evil time (quoted above) presenting a moment for cutting into the flow of time.

Prospero can, in fact, heal the 12-year gap by the help of his natural philosophy or magic, and by his statecraft and stagecraft acquired in the meantime. It is important to point out that he is at least partly responsible for his own fall: he is to blame for the power vacuum, another gap, to be filled in by his brother, who took his chance and also cut into the flow of time.

This hiatus, I argue, is not so much the typical extratemporal hiatus Bakhtin defines in Greek romances, which exist between two moments of a real time sequence; here we have Time itself in the centre, with nothing around, the island being a perfect image of it. After Bakhtin and Kott, Prospero's island can surely be called a chronotope; but beyond it, the play itself functions as such a chronotope: it has an extremely concentrated temporal and spatial structure where the whole stage is the island and where the island is the whole world; where the unity of time and space is kept, as "the time covered by the action of the play coincides very closely with the time we spend watching it" (*Northrop Frye on Shakespeare* 172), and *where* the *temporal* and *temporary* tempest is working for the audience in the theatre and at least for one character on stage: Prospero.

Prospero's above quoted phrase is telling for another reason, too: "whose influence / If now I *court not*, but omit, my fortunes / Will ever after droop.", i.e. his own action is also needed to make the best out of this lucky coincidence, and such is the case for Macbeth as well. In both plays it is obvious then that we cannot decide whether the protagonist has free will of action or is determined by powers beyond his control. This paradox is fundamental to Shakespearean tragedies and as his romances address the same questions and recapitulate the same subject matters as the tragedies, it is equally impossible to defend one and to oppose the other view.

Henri Bergson in his *Time and Free Will* writes that both defenders and opponents of free will are wrong, because "both parties picture the deliberation under the form of an oscillation in *space*, while it really consists in a dynamic progress in which the self and its motives, like real living beings, are in a constant state of becoming" (183, emphasis mine). Spatialisation of time clearly appears in both plays as well. As Banquo commands:

If you can look into the seeds of time,  
And say which grain will grow and which will not,

<sup>4</sup> C.f. Folio's 'Schoole' (Braunmuller 132).

Speak then to me, who neither beg nor fear  
Your favours nor your hate. (1.3.56–9)

Or see Macbeth's popular sentiment: [Aside] "Come what come may, / Time and the hour runs through the roughest day" (1.3.145–6).<sup>5</sup> The Old Man's commentary is also pertinent:

Threescore and ten I can remember well:  
Within the volume of which time I have seen  
Hours dreadful and things strange; but this sore night  
Hath trifled former knowings. (2.4.1–4)

And also note Prospero's famous image: "Thou hadst, and more, Miranda; but how is it / That this lives in thy mind? What seest thou else / In the dark backward and abyss of time? (1.2.48–50); as well as his somewhat more conventional picture: "Now does my project gather to a head. / My charms crack not, my spirits obey, and Time / Goes upright with his carriage" (5.1.1-3).

Bergson, however, as mentioned above, believes it is wrong to think of time in spatial terms: "time is not a line along which one can pass again. Certainly, once it has elapsed, we are justified in picturing the successive moments as external to one another and in thus thinking of a line traversing space; but it must then be understood that this line does not symbolize the time which is passing but the time which has passed" (*Time and Free Will* 181–2). And he adds that "Duration thus assumes the illusory form of a homogeneous medium, and the connecting link between these two terms, space and duration, is simultaneity, which might be defined as the intersection of time and space" (110).

As probably not only "[C]lassical texts converse among themselves" (c.f. Kott 75) but critical ones too, Bergson's words might be brought in juxtaposition and dialogue with what Bakhtin initially writes about the chronotope: "In the literary artistic chronotope, spatial and temporal indicators are fused into one carefully thought-out, concrete whole. Time, as it were, thickens, takes on flesh, becomes artistically visible; likewise, space becomes charged and responsive to the movements of time, plot and history. This intersection of axes and fusion of indicators characterizes the artistic chronotope" (84).

Forty years later, however, as Holquist writes, probably contrary to Bakhtin's aim to clarify the confusion which many of his readers felt about the limits of his term, he broadened its meaning, and ended up with what Holquist calls an "almost boundaryless" definition: "We . . . endow all phenomena with meaning, that is, we incorporate them not only into the sphere of spatial and temporal existence, but also into the semantic sphere" (257) and concludes, "*every entry into the sphere of meaning is accomplished only through the gates of the chronotope*" (258) (also cited by Holquist 27).

<sup>5</sup> C.f. Doctor Faustus' "Che será, será..." (A-text, I.1.49; B-text, I.1.47)

What Jan Kott writes in “The Two Hells of Doctor Faustus” is perhaps more practical in its theatrical application: “Bakhtin introduces the concept of the chronotope in *Dialogic Imagination*. The joining of time and space in one category, used by Bakhtin in his analyses of the novel, seems to be even more useful for the interpretation of drama. The stage is a perfect image of this blending of time and space. Onstage every time has its particular setting, and within this setting a time is almost a protagonist of the drama (2). And in calling Faustus’ study a new theatre of the world, Kott compares it as such to Prospero’s island.

As for Bakhtin’s first definition of the chronotope, I also see Prospero’s island as such a concrete whole, where time takes on flesh, and where space is, as Frye understands it, rather elastic: it seems to have “a magical quality of its own” and to be “rather elastic spatially—the Court party wanders interminable ‘through forthrights and meanders’, as Gonzalo says” (*Northrop Frye on Shakespeare* 177), and it is “clearly a pleasanter place to Gonzalo than to Antonio and Sebastian. His clothes are dry; theirs wet: he sees lush and green fertility around him; they see barrenness” (185).

Bakhtin formulated the idea of space-time based on Einstein’s *Theory of Relativity*, and in this context it is probably not meaningless to cite the scientist who laid the mathematical foundation of this theory: Hermann Minkowski. His address delivered at the 80<sup>th</sup> meeting of German Scientists and Physicians, in Cologne, September 21, 1908 has since then become proverbial, “. . . space by itself, and time by itself, are doomed to fade away into mere shadows, and only a kind of union of the two will preserve an independent reality” (xv).

The aforementioned distension or swelling/inflation of the self to include the past and the future corresponds to the extension of a given point in space into a 4-dimensional entity acquiring a time aspect (c.f. Minkowski’s “space-time continuum”), which in turn can be analogous to the formation of islands or coral reefs and sandbanks. Let’s take Bermuda as an example, to which there is a brief reference in *The Tempest*,<sup>6</sup> “where sands have collected, been compressed, and turned into rock by a process known as lithification” (*coexploration.org*).

In this paper I argue that such an intersection of time and space or such emblems of space-time can be “the bank and shoal of time” and Prospero’s island, too. Therefore, my little thought experiment is/has been to present Prospero’s island as a “bank and shoal of time”, where one suggested meaning of shoal ‘shallows of life’, contrasts the “limitless depth of eternity” (Pierce 27), or “the ocean of eternity” (Johnson cited by Mahood 24). It is equally possible that Macbeth here is “treating time as a river: Macbeth momentarily halts time’s flow by standing on a shoal or by grasping the bank” (Braunmuller 131).<sup>7</sup> All this modulates the age-old dichotomy

<sup>6</sup> Ariel about the ship: “Safely in harbor / Is the king’s ship. In the deep nook where once /Thou called’st me up at midnight to fetch dew/ From the still-vexed Bermoothes, there she’s hid” (1.2.226–9). C.f. Kermode: “The Bermudas were a byword for tempests and enchantments”; “The name was also given to a brothel district” (*The Tempest* 24).

<sup>7</sup> I suggest that the various amendments of the phrase in *Macbeth* be suspended for now: I am not going to consider what e.g. Braunmuller glosses: “Folio’s “Banke and Schoole” could also be modernised as ‘bench and school’; OED defines ‘bank’ (=bench) as referring to the seat of justice, the mountebank’s stage, or the rower’s bench (OED Bank sb2 1-3), but does not define ‘bank’ as ‘school bench’.

between time and eternity, the secular and the spiritual, the temporal and the eternal and what mediates “between these two worlds: Fate and Providence” (Turner 180).

Mahood in *Shakespeare’s Wordplay* could also be right saying that “The shoal is not, I think, so much, Johnson’s sandbank in the sea of eternity as the momentous instant of choice in the flux of time; and the image adds itself to Duncan’s flood of honours ‘deep and broad’, to the river of blood forced by Macbeth in Act III and to the Lethe of sleep and death, to make up the four infernal streams of the tragedy” (24).

As I see it, there is a further significance or connection revealed here: the intersection of the river of time and the river of blood, not only recalls death, evil time to murder and to destruct, but also the bloodline (another chronotope surely; see the show of eight kings in *Macbeth* 4.1.110) so much treasured by all three monarchs (James included).

In this context, it seems possible to juxtapose Macbeth’s last soliloquy (“Tomorrow, and tomorrow, and tomorrow”; 5.5.18–27) and the prospects for Prospero back in Milan (“Every third thought shall be my grave”; 5.1.311).<sup>8</sup> Shakespeare seems to have been preoccupied with the problem of succession, the source of authority and royal power. And here lies the fundamental difference between Macbeth and Prospero: it is Miranda’s and Milan’s arranged-for future that gives meaning to an otherwise meaningless chain of tomorrows, whereas Macbeth has no son to succeed (sadly, not even a daughter).

Despite this crucial difference, in my view Macbeth’s preoccupation with his future is not so much in contrast with, but rather analogous to, Prospero’s fixation on his past. As Macbeth acquires self-knowledge and grasps the real meaning of the prophecies, more precisely predictions,<sup>9</sup> he understands that the future has no real existence but that past actions have reverberating consequences; whereas Prospero, progressing in the opposite direction, comprehends that after internalizing past experience, the past must be discarded (cast off as his magic robes) to be able to move on. (See his “this thing of darkness I / Acknowledge mine”; 5.1.275–6 and “The rarer action is / In virtue than in vengeance”; 5.1.27–8.)

At the end of their respective careers, although arriving from opposite directions, Macbeth having “tied up all his personality in the future” (Turner 135), Prospero in the past, they seem to be meeting at the same main focal point where they

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‘Schoole’ is a well-attested form of ‘shoal’ in the period. Although Macbeth soon mentions ‘instructions’ and ‘justice’ (which might be anticipated in ‘school’ and ‘bench’), the phrase seems more likely to be a characteristic Shakespearean near-redundancy, treating time as a river: Macbeth momentarily halts time’s flow by standing on a shoal or by grasping the bank. See Mahood, p. 24” (Braunmuller 131).

<sup>8</sup> The possible connection between Macbeth’s and Prospero’s relation to time’s end and the two plays’ perception of life as a tale will be the subject of another paper.

<sup>9</sup> Note Turner’s fine distinction between the two (129–30): “a prophet is a man who is able to stand outside time, and perceive the pattern of time from an eternal viewpoint: the human preoccupation with the sensational and the temporal has transformed the word from its proper sense to the sense of mere prognostication. The Witches are closer to the cheap fortune-teller than to the man who has some knowledge of the mind of God.” Turner then cites T.S.Eliot’s *The Dry Salvages*, II, 184 et seq. (“Man’s curiosity searches past and future / And clings to that dimension. But to apprehend / The point of intersection of the timeless / With time, is an occupation for the saint...”)

can apprehend that “to avoid corruption . . . is to become independent of Time” (Turner 184) and finally they both come to embrace eternity over temporality.

Macbeth has to learn that he indeed can be harmed by a man who “was from his mother’s womb / Untimely ripp’d” (5.8.15–6). In other words, he has to accept that there is a “side of Man that contradicts time, the ‘untimely’ powers of humanity”, the “forces of timelessness embodied in the victorious army of Malcolm”, who frees Time (Turner 145).

Prospero’s “Every third thought shall be my grave” (5.1.311) “may be something more than the simple acknowledgement of advancing age and diminishing power,” says Orgel (55). “The remark is also a forecast of victory: Prospero has now arranged matters so that his death will remove Antonio’s last link with the ducal power. His grave is the ultimate triumph over his brother. If we look at the marriage in this way, giving away Miranda is as much a means of preserving Prospero’s authority as of relinquishing it.” (Orgel 55)

Taken separately their experience may seem only partial, but together Macbeth and Prospero can teach us that “time past and time future have no real existence” (Turner 180), and that “if we wish to apprehend the spiritual and the eternal, we must do it through the . . . present” (Turner 180)—and perhaps this is the only route to secure our posterity as well.<sup>10</sup>

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<sup>10</sup> Dr. Krisztina Szalay (ELTE) called my attention to the importance of the future in Shakespearean drama as well as in the Sonnets at the HUSSE conference (26. Jan. 2013).

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**“How can Sommer stay when Sunne departs?”:  
Shakespeare’s *A Midsummer Night’s Dream* and Purcell’s  
autograph abandoned and restored in *The Fairy Queen***

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Having conducted Purcell’s *Fairy Queen* on the occasion of its first full recording (of the 1693 variant, in 1981, with Baroque instruments), Sir John Eliot Gardiner grew convinced that it was Henry Purcell (and not Mendelssohn or Britten) who came closest to finding a musical equivalent to the poetic and enchanted world of Shakespeare’s *A Midsummer Night’s Dream*. Truly, the list of mere facts that make *A Midsummer Night’s Dream* and *The Fairy Queen* close relatives is a long one: for example, both the comedy and the semi-opera were performed as royal entertainments gracing court weddings and celebrations, both drew inspiration from Elizabethan revels and the long-bearing genre of the masque and therefore contained built-in masque scenes, and last but not least, both were well received but soon abandoned for quite long: there were 200 years of total neglect of *The Fairy Queen*, and for approximately 200 years *Midsummer Night’s Dream* had not been performed in its full form.

This paper aims at displaying the common ground of the above mentioned two works. First it briefly outlines the comparable reception history and generic features of *A Midsummer Night’s Dream* and *The Fairy Queen*, then looks at the Elizabethan masque, generic source for both Shakespeare and Purcell, and points out how the whole of *The Fairy Queen* is built upon the masque as its main structural unit. Last but not least, by examining the contrasts and dualities in both works, the paper argues that Purcell in *The Fairy Queen* did not abandon, but did in fact restore the essence of Shakespeare’s *A Midsummer Night’s Dream*.

**Reception history and generic features**

*The Fairy Queen* had long been considered a bad adaptation for mainly two reasons. First, the *libretto* bears almost no resemblance to *A Midsummer Night’s Dream*, its author having indeed carried out a cruel mutilation on Shakespeare’s text. Thus critics failed to appreciate it and consider that, according to the taste of a Restoration audience, the most un-Shakespearean text set to genuine music functioned as an intricate allegory of the original comedy. However, *The Fairy Queen* contains some of Purcell’s finest theatre music. The orchestra for the opera consists of two recorders, two oboes, two trumpets, kettledrums, string instruments and a harpsichord. Specialists calculated that the complete version should run for not less than four hours. A letter describing the original performance shows that the parts of Titania and

Oberon were played by eight- or nine-year-old children, and it is quite possible that other fairies were also played by children.

Secondly, the complete musical score seemed to have been lost, until its lucky rediscovery early in the twentieth century. When Purcell died suddenly, dozens of his compositions fell into obscurity, like many others from that period. Tastes were changing and the voices employed in *The Fairy Queen* had also become difficult to find. Period lists of singers show the frequent employment of the male alto or countertenor, a voice which, after Purcell, essentially vanished from the stage. Growing interest in Baroque music and the rise of the countertenor helped to resuscitate *The Fairy Queen*, which has thus become immensely popular—numerous recordings have been made, often using period instruments, and much research has been done recently to find clues to the wonders of this semi-opera, which by its title clearly connects and ties itself to a most Elizabethan tradition.

The Restoration semi-opera (also called machine play) was a hybrid product of spectacular sceneries with two groups of performers: actors and musicians, bringing together the spoken play of earlier English public theatres and the court masque with vocal and instrumental music, following the French and the Italian opera style. The masques and also the anti-masques constituted the basic unit of traditional public representation of human life in a form of total art, both text and music. Instrumental music was played before and after curtains. Vocal music aimed at shaping rustic, funny, supernatural, or allegorical characters to prepare the audience for sudden changes from spoken acts to music or vice versa. Such successful semi-operas based on Shakespeare plays, prior to Purcell's works, were, for example, Matthew Locke's *Tempest* and William Davenant's *Tempest* and *Macbeth*.

For his part, Purcell imposed unity on the disintegrating tendencies inherent in mixed genres. Purcell's kinship to Shakespeare is revealed in the power of his music. "In *Fairy Queen*, his longest and most varied theatre scores" that established him as "Orpheus Britannicus", he evoked moods and changed atmospheres as easily and masterfully as Shakespeare did (Gardiner 2002, 14–18). Out of a not yet created operatic genre he made the most (Holman 2002, 12–14). *The Fairy Queen* displays modern tendencies in dealing with harmonies, creating symbols and in expressivity.

Purcell in his Preface to *The Fairy Queen* expresses his intention of creating an English opera, as it existed in Italy and France. *The Fairy Queen* shares and reconciles characteristics of both its progenitors, with wonderfully diverse entertainments (like the masques) that threaten progressively the unity of the coherent play. Coherence is maintained by Titania's figure (traced from *A Midsummer Night's Dream*) and the Drunken Poet's figure (the librettist's own creation, containing allusions to contemporary rival poets, but standing for the confusion of rational mortals facing the supernatural).

As it would take a whole volume to trace all the inherent similarities and differences between *A Midsummer Night's Dream* and *The Fairy Queen*, here only a few essential aspects are to be considered. In the parallel study of the particularities of the comedy and the semi-opera, one should not necessarily try to match item by item

punctiliously. Themes, motives, moods, verbal and musical texture and aesthetic functions may be rightfully compared, but the dramaturgy, the scenes, the characters in each and every episode cannot and should not be forced to suit as proper pairs. If we take, for instance, Puck's final words from *A Midsummer Night's Dream* and compare them to the Prologue following Purcell's Preface to *The Fairy Queen*, and hearing the rhymes of both texts all at once, we may experience a palpable shift from the Elizabethan "wooden O" to the Restoration machine house of spectaculars: unquestioned genuine poetry being overtaken by the entertainer who calculates on audience expectation. This is Puck in *A Midsummer Night's Dream* (5. 5):

If we shadows have offended,  
Think but this, and all is mended:  
That you have only slumbered here,  
While these visions did appear.  
And this week and idle theme,  
No more yielding but a dream,  
Gentles, do not reprehend:  
If you pardon, we will mend.

Compare this to the Prologue to *The Fairy Queen*:

What have we left untry'd to please this Age,  
To bring it more in liking to the Stage?  
We sunk to Farce, and rose to Comedy;  
Gave you high Rants, and well-writ Tragedy.  
Yet Poetry, of the Success afraid,  
Call's in her Sister Musick to her aid.  
And, lest the Gallery should Diversion want,  
We had cane Chairs to dance 'em a Courant.  
...  
Our Business is, to study how to please,  
To Tune the Mind to its expected ease.  
And all that we expect, is but to find,  
Equal to our Expence, the Audience kind.

(Burden 2000, x)

Or, we may look at Shakespeare's delicate word-painting in Act 4, Scene 1, when Demetrius expresses the four youths' shared awe and uncertainty at waking from the magic night: "These things seem small and undistinguishable, / Like far-off mountains turned into clouds"—and we may rightly find the very parallel of these lines in the libretto of *The Fairy Queen*, when in Act 5 Masque 7 Theseus expresses confusion at seeing Phoebus descending on a white horse: "Does my sence inform me right? / Or is my hearing better than my sight?". It sounds like Bottom trying to talk

Titania out of her doting on him. . . Such comparisons evidently point out the textual distance between the two works, while our aim is to see in what sense they are related and, indeed, very close to each other.

Shakespeare's most poetic love comedy presents glimpses into youth and adulthood, infatuation, confusion, strife and reconciliation, strict order and ecstatic revelry. The play represents the transgression from innocence to experience. Moreover, maturation is presented as laying down one's individuality for the sake of a group or a pair. Particularly, the blurring of the sense of individuality coincides with the constant to-and-fro shifts between states of alertness and drowsiness. Shakespeare in his plays is able to embody pairs of contrasts as complementary units belonging strictly together. So the contrasts of day and night, spirituality and earthbound needs, the artistic pretence of court life and the immediacy of feeling, the English countryside, the fairy-haunted earth, the sharp insight and the artistic giggle over "mortal fools" who cannot control or even comprehend their emotions, are all themes and motifs accessible and familiar to Elizabethan audiences. Moreover, the late 16<sup>th</sup> century comedy was saturated with ironies and suggestions of unhappy reality not mirrored in the seemingly all-ends-well play. *A Midsummer Night's Dream* parodies the shortcomings of theatrical productions and acting as well. For those Elizabethan playgoers who viewed a play superficially, without using their imagination, much of the spectacles remained unintelligible. Shakespeare makes fun of narrow-minded playgoers, also showing the limitations of his own theatre, in which the true art of dramatic illusion and magic relies on imagination.

No wonder that the Restoration did not entirely identify with Shakespeare and his plays. *A Midsummer Night's Dream* (1594–1596) was still performed on January 1<sup>st</sup>, 1605, but Samuel Pepys had a damning view of the theatrical performance of the comedy: "The most insipid, ridiculous play that I ever saw", he wrote on September 29<sup>th</sup>, 1664. Afterwards, the comedy was not staged until the 1840's, by which time its readings in public were accompanied by Mendelssohn's music. In the 18<sup>th</sup> century, the craftsmen's plot had been transferred into an Italian opera burlesque. In 1755 David Garrick extracted the comedians and performed the rest as a new play entitled *The Fairies*. In 1840 at Covent Garden Puck and Oberon were played by women, which became a custom for some time. In 1895 *A Midsummer Night's Dream* was transformed into a London circus performance; in 1911 live rabbits appeared in the "cast" (directed by Herbert-Beerbohm Tree). In 1914 Harley-Granville Barker introduced Elizabethan folk music instead of Mendelssohn's. In 1970 Peter Brook's production revitalised the comedy; the empty white box-shaped stage, the masculine fairies, the doubling of the roles with fairies mirroring mortals—these all created strong metaphors for the contrast between the restrained world and the unrestrained (town and woods, innocence and experience, etc).

As for *The Fairy Queen*, the first song in its libretto starts with the move from town to some lonely place where time slides away and the individual may evade community and public strife. Evidently, much had changed from 1595 to 1693. The reign of the Puritans, the Restoration of monarchy, the struggles for more power to the

throne, the parties and the churches, the plots, trials, rebellions, and the Glorious Revolution, all brought about a new taste for lavish but superficial entertainment forms. The masque, still strongly appealing, became an “illegitimate genre”, more allegorical and witty than freshly alive and emotional. Shakespeare was rather freely and vaguely adapted for the Baroque Restoration spectaculars which, criticised mainly as rough and costly, did not want to go deep.

Henry Purcell, the organist of Westminster Abbey and of the Royal Chapel, composer of anthems, airs, coronations and well-praised theatre music, with one single opera, *Dido and Aeneas* (libretto by Nahum Tate), after his successful semi-opera, *King Arthur* (libretto by John Dryden), needed some even more inspiring theme than glorious national history. Shakespeare was at hand. The libretto of *A Midsummer Night's Dream* was written by Thomas Betterton. *The Fairy Queen* was first performed at Dorset Garden on 2 May 1692, to celebrate William of Orange and Mary Stuart on their wedding anniversary. The premiere was revised on 16 February, 1693. As the stage prompter noted: *The Fairy Queen* proved

superior to the other two [semi-operas] (*Dioclesian* and *King Arthur*) especially in Cloaths, for all the Singers and Dancers, Scenes and Machines and Decorations, all most profusely set off, and excellently performed, chiefly the Instrumental and Vocal part. The Court and Town were wonderfully satisfied with it, but the Expenses in setting it out being so great, the Company got very little by it. (Spencer 194)

The performance was indeed spectacular, as a twelve-foot-high working fountain and six dancing real live monkeys figured. There were two *Fairy Queen* word-books: two quartos printed for Jacob Tonson, in 1692 and in 1693, both in anticipation of the performances—the scores had not then been printed. Among the Quartos, there were 5–6 variants within one edition, and several alterations, additions and new songs introduced in Q2. Two early editions of the scores were published: *Select Songs in the Fairy Queen* (1692), and *Ayres for the Theatre* (1697). The master, that is, the score manuscript was missing until 1901 when John Shedlock found it in the Royal Academy of Music Library and edited it (1903). This edition was several times revised (A. Lewis; R. Savage; Curtis A. Price), until Purcell's autograph was found (in Guildhall Library London by A. Pinnock and B. Wood). Since *The Fairy Queen* with its extravagant effects almost bankrupted the theatre, its performance was not revised.

It was Benjamin Britten who in 1920 conducted the semi-opera for the first time after almost 230 years of neglect. In 1981, John Eliot Gardiner conducted the first full recording of the 1693 variant with Baroque instruments. David Pountney's weird production with the English National Opera in 1995 failed to meet any great expectations (Kimberley 1995). Music was too high-pitched for being Baroque, the mixing of period and modern instruments proved a bad compromise, and no spoken play had been added to the music at all. The director invented a new plotline with so

many allusions that it proved inconsistent: a madly revengeful, rather hysterical Oberon, very much like Michael Jackson, performed with an Elizabeth Taylor lookalike Titania; a Chinese Eden was turned into a communist meeting, and Puck figured as a grotesque rake in bras—impertinent, provocative, a mere distraction.

On 20 June 2009, Purcell and Shakespeare could, at last, appear equally genuinely presented, when the Glyndebourne Festival hosted a “truly magical and very funny”, “cunning and sentimental” *Fairy Queen* performance. Director Jonathan Kent, conductor William Christie, choreographer Kim Brandstrup and designer Paul Brown have achieved a dazzling first performance in which both Shakespeare’s and Purcell’s art affect, entertain and engage the audience. Both the music (instrumental and vocal) and the spoken text of the *Midsummer Night’s Dream* in the Glyndebourne production were based on the 2009 *Fairy Queen* edition made by Andrew Pinnock and Bruce Wood. In this “pageant of English eccentricity” 16 actors participated, among them Sally Dexter playing a “voluptuous” Titania, an Joseph Millson playing a “silky sardonic” Oberon. Desmond Barrit was listed twice, because he both played Bottom and sang the stuttering Drunken Poet, “stealing the show as the former. His Bottom is a loud, endearingly naive Welshman” (all quotes in this paragraph from Jones 2009). The curtain opens on an elegant Restoration drawing room, but soon midsummer madness arrives, with the mechanicals as housecleaners and Titania, slinky in black sequins, and her winged “fallen angel” fairies.

Music is superbly played by the Orchestra of the Age of Enlightenment and the Glyndebourne Chorus. In contrast to conventional opera, the singers here do not play characters but perform as costumed concert artists. The costumes are traditional for the Athenian scenes, contemporary for the mechanicals, comically fantastic for the fallen-angel-like fairies and at their most extravagant for the seasons in Act 4’s “Masque of the New Day,” a perfect musical highlight. Among the 21 solo singers some have multiple roles. Soprano Claire Debono sings as the First Fairy, as Mystery and as a warmly sensuous Spring too. Andrew Foster-Williams, who presents three more roles as Sleep, Coridon and Hymen, in the seasons’ masque gives a chillingly vivid description of Winter in a dark, icy bass. In the longest and most affecting aria (The Plaint) Carlyn Simpson (also the Night) “mourns a lover with touching sincerity over the weeping, no-vibrato strings” (Jones). Ed Lyon presents an inspiring Secrecy and also the Chinese Man.

The Glyndebourne performance offers remarkable insights into stage and audience interaction by creating and referring to distances between certain characters amongst themselves, e.g. spiritually active and more idle characters. While Oberon tells Puck of the singing mermaid upon a dolphin’s back or the love flower, Puck gets bored and, uninvolved as he is, asks what this news might mean to him: the humour and irony of the scene touch the audience.

## Elizabethan revels

The splendour and ecstasy of Elizabethan revels appear freshly in both works of art. Although the libretto is not Shakespearean, the whole concept of *The Fairy Queen* with its ten masques was inspired by the same Elizabethan revels that inspired Shakespeare when writing *A Midsummer Night's Dream*. Reading into some of the accounts of Elizabethan revels, we can certainly find motives, imagery, characters and words that have been re-enacted both in *A Midsummer Night's Dream* and in *The Fairy Queen*. As the account on the Elvetham entertainments of September 21–24, 1591 explains:

About nine of the clock, as her Majesty opened a casement of her gallerie window, there were three excellent musicians, who, being disguised in ancient country attire, did greet her with a pleasant song of Coridon and Phyllida . . . it pleased her Highness . . . there began three cornets to play fantasticke dances, at the measure whereof the fairie Queene came into the garden, dancing with her maids about her . . . She spake to her Majesty . . . :

I that abide in places under-ground,  
Salute you with this chaplet,  
. . .  
Bright shining Phoebe, that in humaine shape,  
Hid'st Heaven's perfection, vouchsafe t'accept it:  
And I Aureola, belov'd in heaven,  
(For amorous starres fall nightly in my lap)  
Will cause that Heaven enlarge thy goulden dayes . . .

(Wilson 113; quoted by Davies)

The spectacular poetry of *A Midsummer Night's Dream* and the scenery in *The Fairy Queen* may as well be seen as having derived from another description of the Elizabethan revels. The water pageant at Elvetham in the Earl of Hertford's park contained an artificial lake with three islands in different shapes: one a ship, the other a fort, the third "a Snayl Mount", resembling a monster. From this last mount appeared later "Sylvanus with attendants, hopelessly in love with Naerea", who addressed the Queen, and being so ugly, frightened some countrimen (Wilson 100–110). Sylvanus became most certainly a direct source for Bottom "translated" into an ass and loved by Titania.

The enchantment by music as a major theme also originated from the revels. In Robert Laneham's account on Kenilworth revels we can read about how one night in 1575 Queen Elizabeth was listening to some entrancing music sounding from barges on the river:

The ditty in mitter so aptly endighted to tha matter, and after by voys so deliciously deliver'd . . . every instrument in his kind so excellently tunable, in the evening of the day, resounding from the calm waters . . . the presence of her Majesty, longing to listen . . . imagine as you may, as I cannot express. (Welsford 149)

In *The Fairy Queen* Act III Masque 5, the bizarre scene of the attempted seduction of Mopsa by Coridon derives from a poem written by Nicholas Breton: Mopsa is Phyllida in the poem, who was also a character at the Elvetham entertainments in 1591. The original music to Breton's poem had been composed for Elvetham by John Baldwin, but Purcell could know only the verses and not the music, which was not printed until 1968. Also, the famous *Merry Month of May* madrigal mentions Coridon and Phyllida. Where did Mopsa come from? Indeed, Mopsa's name may derive from *The Winter's Tale*, the sheep-shearing scene of Act 4 Scene 4.

In *The Fairy Queen*, Phoebe, the character representing Queen Elizabeth at Elvetham, recaptures its masculine form: she becomes Phoebus-Apollo, who descends in a chariot drawn by four horses (the horses a possible hint at William of Orange's fondness for horses). Phoebus in Act IV Masque 6 performs a self-defining song, similar to the Elvetham poems, in which Elizabeth was described as the sun, and her beams as life-giving. At her departure a poet, dressed in complete black, carried laurels and huge branches to signify sorrow, as indicated so well in the refrain: "How can Sommer stay when Sunne departs?" In *The Fairy Queen* Phoebus' descent is followed by the allegory of the four seasons. All these elements are closely related to Titania's anxiety over the collapse of order and harmony in nature, due to the quarrel she has with her Oberon (Oberon as a name constitutes a close translation of William).

The poet of the Elvetham revels who recited in Latin as a "vates cothurnatus", diffuses into a poor drunken stammering poet in *The Fairy Queen*. Purcell, inspired by the tradition of Elizabethan revels, also retained Shakespeare's intention to make fun of contemporary fellow actors and theatres. The drunken poet's song in *The Fairy Queen* contained several contemporary send-ups.

### **Dramaturgy based on masque units, contrasts and dualities**

The imaginative form and delicate atmosphere of *A Midsummer Night's Dream* is broken by *The Fairy Queen's* libretto, in which the plot is reduced into one single place of action, the woods, and to one single day. The original power of the verses is rather broken, but genuine music freely extends the rough textual adaptation. There remains only the initial move from town to country, which is very important: the very first song presents the individual's will to escape from the crowded day to magical night. Purcell recreates Shakespeare's play from this main symbolic centre. In moods and atmosphere Purcell is Shakespeare's true partner. Contrasts are as sharp as in Shakespeare. The central plot remains the fairy couple's strife, the Athenian mortals'

plot is almost nowhere in the musical material, but new scenes and characters are introduced. The whole libretto is structured into ten masque units with many allegorical representations of the essential subject matter of Shakespeare's comedy: Titania's infatuation with the Indian boy, her fairy court that entertains the boy and protects her sleep while Oberon takes revenge by making her fall in love with the ass-headed mortal, her recovery and the final celebration of Oberon's birthday. All the other, non-Shakespearean characters that sing and dance are allegorical representations of the subject of the comedy. Oberon and Titania cure Theseus's incredulity with a fresh series of wonders, and new sequences of masques. As for the four mortal lovers, they are represented in various ways but they do not appear as participants.

From the spoken play performed in the intervals of musical masques, the Master of revels, Philostrate is removed, making Oberon more powerful. It is Oberon who imposes on both the mortals and the audience. Time is reduced to one day and one night, instead of four long and "tedious" days before marriage. No death threat exists, no Athens. Egeus almost disappears, Helena speaks less, Quince, not Flute, plays Thisbe, the rehearsal happens in the palace, not in the woods. Much of the humour arising from the artisans' characters is lost (there are no malapropisms for instance). Titania's foul weather speech from Act 2 Scene 2 has been cut; but actually, a whole masque and a quartet of allegorical characters substitute for this famous speech in the music. We have Oberon's self-cuckolding theme in a quite identical form, seconded by Puck as he leads Bottom to Titania. The entanglement of the lovers and also the reunion of Oberon and Titania are kept by Purcell, the latter in the form of the masque of sunrise, associated with the renewal of life.

The first masque, entitled "The Fairy Quarrel" opens with an instrumental overture (first music: Prelude and Hornpipe, second music: Air). Then the spoken part comes, Shakespeare's Act 1 Scene 1, with "Egeus' complaint in front of Theseus", followed by the comedy's Act 1 Scene 2, which in the libretto is entitled "The six craftsmen." Between these two spoken scenes, a Rondeau is sandwiched.

An overture opens the second Masque entitled "The town", and then the first vocal music is sounded. "Come, let us leave the town" is sung both by soprano and bass: a C minor duet. C minor was regarded as a tone for melancholy, seriousness, mystery and feeling of awe. The retreat from the urban to the rustic environment is presented by a hasty rhythm.

The second vocal music introduces three drunken poets and a chorus. Purcell's song here, "Fill up the bowl," is a miniature comic drama with several contemporary references. It is a satire on poets like Thomas Durfey (hence the pun in the libretto text on scurvey-d'Urfey) whose *Wit for Money, or Poet, Stutter* had just been printed in 1691, or like Elkannah Settle—both long-suspected for having been the librettists of *The Fairy Queen*, both hard drinkers, with a stammer, and poor. Thomas d'Urfey was the author of the libretto of Purcell's *Dido and Aeneas*, and he was on good terms with Purcell's closest collaborators on *The Fairy Queen*, the librettist Thomas Betterton and the designer Josiah Priest. Another probable reference may be to *The*

*Goblins* by Sir John Suckling, in which a gang of thieves, disguised in devil's habit, catches a poet. They pinch him until he confesses that he is a poet, a poor rhymers, and that he merely wants money:

PERIDOR:       Drunke as I live. Pinch him, pinch him. What art?  
 POET:            I am a poet, a poor dabbler in Rhyme.  
 PERIDOR:       Come, confesse, confesse.  
 POET:            I confesse, I do want money.  
 PERIDOR:       By the description he's a Poet indeed. Well proceed.  
                   (They pinch him.)  
 POET:            What do you mean? Pox on you. Prithee let me alone.

(*The Goblins* 1.3, quoted by Pinnock and Wood 51)

In this wonderfully original Purcellian scene we can find much that is Shakespearean as well. The three drunken poets are being pinched at the border between the human and the fairy worlds, where human coarseness and fairy sensibilities clash. This musical part (thought by Curtis to be an addition from 1693 to Q1 from 1692, but proven by Pinnock that it had been there already in Q1) constitutes a most significant whimsical entry into the fairy world. Purcell's comic tone equals Shakespeare's. It takes him less than five bars to establish the poor poet's personality, of which the libretto tells us nothing. A stammering poet, ambitious but not accomplished enough, comes to embrace on top notes, finds it difficult to remain upright, while he wants to impress the fairies. Purcell's drunken poet represents mortals' failure to sustain their spirituality for too long. At the tickling of the fairies the poet admits he is a cheating poor fellow, much like Falstaff in the last act of *The Merry Wives of Windsor*. There, Falstaff is assailed by moonshine revellers dressed as the Fairy Queen, fairies and Hobgoblin, and they pinch him and singe his fingertips with burning tapers. Falstaff cries out: "Oh, oh, oh!" (Pinnock and Wood 54).

The musical part of the second masque ends with a Jig, and then come the spoken parts of Shakespeare's comedy Act 2 Scenes 1 and 2. The libretto refers to fairies and "the brawl between Oberon and Titania". The original plot unfolds until Titania, Hermia and Lysander fall asleep. The scenery contains a moonlit world with echoes.

The third and fourth masques delay or suspend the plot of the comedy. Masque 3 leads into Oberon's forest with a Prelude and a song (tenor): "Come all ye Songsters of the Sky" followed by instrumental music (a Symphony) in C major. C major and D major were keys expressing triumph, with monarchs sitting in state. This association was reinforced by the use of trumpets, which usually played in C or D major. Then bittersweet melodies stretch to the limits of Baroque expectations. A Chorus moves to minor keys: "Now joyn your Warbling Voices all". A Trio of two tenors and a bass is sung: "May the God of Wit inspire". Soft chords contrast triumphant major keys, augmented dominants express strong duality. "Nothing offend", text from the original

comedy, is repeated over and over. An invocation to the birds is played by sopranino recorders. Double echoes, mythological and musical, are first sung (Trio), then resounded by loud trumpets and soft oboes.

The fourth masque, entitled “Titania’s forest”, opens with a Dance, which is followed by a song of a soprano and chorus: “Sing while we trip it on the Green”. Then four allegorical characters come. First comes the Night, a soprano: “See, when Night herself is here”, presenting an entirely unusual entry. The accompaniment of basses drop out, the violins are muted, while Night herself emerges above. Night is followed by another soprano, Mystery who playfully sings: “I am come to lock all fast”. The third allegory presents Secrecie by a countertenor with a magical song: “One charming Night”. Finally comes Sleep, a bass accompanied by a chorus. Their song starting with: “Hush no more, be silent all” displays shimmering sonorities, continuous modulations over almost a hundred bars. There are unvoiced empty beats fully alive with expectation, majors and minors in a mixture suggesting struggle and ambivalence. Purcell creates Brahmsian modulations; as Gardiner observes, he proves here capable of inventing and sustaining “a most fascinating fabric of shimmering sonorities over almost a hundred bars” (Gardiner 24). There are stops and starts and dancers, and all glide away in darkness, leaving the stage clear. Modulation signal shifts of mood. The ambivalence of the music is barely hinted at by the lyrics, while so omnipresent in Shakespeare’s text—yet the music comes up to the comedy.

The fifth Masque (Act 3 of *Fairy Queen*), entitled “Oberon’s revenge” opens with a most mysterious Dance for the Followers of Night. Some of the lyrics from the libretto had not been set to music here. An Air is played while Puck and the Indian boy appear and leave offstage. The masque then reconnects to the original comedy, with different scenes bundled together. A most dramatic part from the long Act 2 Scene 2 of *A Midsummer Night’s Dream* is enacted, where Helena chases Demetrius, up till Lysander falls in love with Helena. This is followed by a short moment from Act 3 Scene 2, where Hermia seeking Lysander exchanges cross words with Demetrius. The whole Act 3 Scene 1 is enacted, the craftsmen rehearse, then Titania falls in love with Bottom. Act 4 Scene 1 follows, till Titania and Bottom fall asleep and the fairies exeunt.

While the music is played, the scenery enchants: dragons, bridges, fountains and cascades emerge, two swans become fairies, and four green men frighten away the fairies just appearing. As discussed earlier, all these elements stemmed from the Elizabethan revels. Titania’s passion and tormented state by being enamoured of an ass are precisely conveyed into music. There is a seemingly random succession of instrumental music. Songs and dances reveal a carefully planned alternation of masque and anti-masque elements, emanating from the unnatural union of a fairy queen with a half animal, half human creature. Music projects the two contrasted worlds. The lyrics also speak of the paradoxes of love: “If love’s a Sweet Passion, why does it torment?” The librettist here excels in using as many oxymorons as Shakespeare was ever inclined to use. With a da capo aria in D minor, the soprano song “You Gentle Spirits of the Air, appear” the semi-opera grows from a situational

and atmospheric recreation of the Shakespearean source into a superbly expressive extension of the original. In Baroque music, D minor as well as A minor was largely used to express sexual ardour.

In stark contrast to the elegant air, a parody of parodies follows, an anti-pastoral: Coridon and Mopsa's duet "Now the Maids and the Men Are Making of Hay". A countertenor—originally composed for alto as representing the maid—and a bass, that is, two male singers compete for accomplishing one of the funniest and the most bizarre musical moments of the semi-opera, The G / F major stand for pastoral scenes. However, the tone, the text, and the music by large express irony and anti-pastoral, rather than idealism. Mopsa, the maid from *The Winter's Tale*, does not have illusions concerning men's love, she / he addresses Coridon as Sir Clown—Shakespearean as this is. As for Coridon, the character from the *Elvetham* revels and penned by Nicholas Breton, he simply wants to evade the restraints of work and social responsibility. The racy humour of this duet shows Purcell as having no superior in composing theatre music.

The nymph's soprano "When I have often heard Young Maids complaining", frugal but perfectly full of enamoured mood, is so intense that it can stand no repetition. As a sharp contrast, it is followed by the virile Dance of Haymakers. Tenor and chorus sing: "A thousand, thousand ways we'll find / To entertain the Hours": a strict double canon based on Locke's *Tempest*, octave leaps and spirited sounds. While Oberon steals the juice away from Titania's eyes, fine act tunes disguise the noise of scene changes. Titania awakening commands sweet music. A miniature suite follows, and the energetic dance of savages is contrasted with the grace of swans and the gossamer lightness of fairies. Hornpipe ends the masque.

Act 4, like Act 3 of *Fairy Queen* includes a single masque, the sixth one, entitled "The birthday of Oberon", a celebration on universal scale. There are four scenes from the original comedy that are enacted here: most of Act 3 Scene 2, the four lovers' hot entanglement and fight, parts of Act 4 Scene 1, when Oberon wakes Titania, of Act 4 Scene 2, when Bottom's ass-head is taken off, and another short moment from Act 3 Scene 2, where Robin-Good-Fellow applies the love juice to Lysander's eyes to restore his love for Hermia. The confusions of the lovers cease as soon as the Oberon of *The Fairy Queen* wakes them in a garden of fountains with the sun rising and Phoebus-Apollo descending in a chariot. Harmony is restored by the appearance of the four characters who enact the four seasons, and foul weather ceases. Titania's infatuation is a metaphor for strife in society and life disrupting order and fertility. The reconciliation in this masque becomes more than in the original comedy, it is a glorious celebration of universal renewal.

Musically, the act opens with a Symphony for full orchestra, six short movements. It begins with a kettle drum solo, leads into an impressive fugal canzona for trumpets and strings. Two magnificent adagios, the first solemn and elegiac, the instrumental music almost vocal, "telling" a tragic event, the second only twelve bars, with intensity mounting through chromatic harmonies. The final Gigue illustrates the contrast between seriousness and gravity. The first song "Now the Night is chased

away”, a soprano, over a jaunty bass, salutes the rising sun. Ironic modulations may refer to Oberon’s self-cuckoldry. Two countertenors in a rhythmic and rousing clarion call: “Let the Fifes and the Clarions and the shrill trumpets sound”. A tenor follows in A minor, with imperfect cadences, deceptively simple parts and capturing emotion. His song “When a cruel long Winter has frozen the Earth” expresses barrenness and abandonment. The chorus greeting Phoebus, singing “Hail, great parent of us all” became a musical symbol in the 17<sup>th</sup> century. The four seasons come in turn. Spring is a soprano who sings, accompanied by violins, in B minor, and her melody often abandons the dominant key: “Thus the ever Grateful Spring / Does her yearly Tribute bring”. Summer is represented by a countertenor and oboes, the tune in G minor is cheerful and confident: “Here’s the Summer, Sprightly, Gay, / Smiling, Wanton, Fresh and Fair”. Autumn is a tenor who sings in E minor, a key that, according to the conventions of the age, stood for fate. Violins accompany the song that so impressively talks of fruits as both sacrifice and dying things: “See my many Coulour’d Fields”. “Now Winter comes Slowly, Pale, Meagre and Old” is sung by a bass singe, in A minor, with many chromatic counterpoints and full strings. It is important to note how Purcell approaches Shakespeare: in this masque of cosmic celebration tension is not at all eliminated. To the central conflict of the play and of the semi-opera there is no resolution.

The “Hail, great parent of us all” chorus concludes the act and the masque, in D major triumphantly, in straightforward diatonic formality. As I have already observed, C and D majors expressed in Purcell’s time glorious monarchs sitting in state, and this association was to be reinforced by trumpets, which usually played in these keys. After the final Air a “Dance of the four seasons” should be performed, as the autograph score indicates, but only blank space is left there.

Act five includes two concluding parts from the original comedy: Act 4 Scene 1, where Theseus finds the lovers in the woods, and the whole play-within-the play of Act 5 Scene 1; and finally, a splendid musical treat, the last four masques altogether. At Theseus’ consent to the marriages, Oberon cures him of his incredulity by much more charming scenes and wonders than in the comedy. This final act in the semi-opera explores the depths of human love which encompasses the world and outlives life itself. By Oberon’s command, goddess Juno appears in a heavenly drawn chariot of peacocks, and this is how the seventh Masque entitled “Titania awakes” opens. By this music Purcell has captured and recreated Hyppolita’s words: “Fancy’s images, grows to something of great constancy, but, howsoever, strange and admirable.” In this long masque Juno is contrasted with a plaintive lover.

A Prelude and a wedding song, an Epithalamium sounds, then Juno, naturally a soprano, sings over the continuing bass line of the prelude: “Thrice happy lovers”—nervous leaps remind us of the unresolved conflict between Oberon and Titania. At the words “may you ever be free”, Juno’s tune breaks into arioso arabesques, twice interrupting the attempts of the bass rhythm to re-establish itself. On the continuo a lilting 6/8 tune is played meanwhile.

“A Plaint” is the reply to Juno’s tune, composed in 1693 for an actress who had left the company, yet her song was retained. In this song “O let me weep”, like in Dido’s lament, chromatic ground bass objectifies the mood of personal suffering conveyed by the soprano singer. Over the violin obbligato, the middle section modulates in the relative major, and a da capo repetition of the original ground and air develops into an arioso section: “He’s gone, he’s gone” and an extended coda. There are six lines of text only, but they take 6 to 7 minutes of music: this is the longest single number of the *Fairy Queen*, added for the 1693 revival.

The eighth masque entitled “Chinese wedding” transports the spectators to an Eden of unobtainable purity. An entry dance on a darkened scene precedes the surprising change of design and stage scenery: six pedestals of China vases rise from under the stage, in which there are six orange trees planted. This stage outfit must have been a reference to Queen Mary who collected China vases, and to William of Orange, naturally, her husband. A Symphony is played in the celebratory key of C major. What follows is the piece of resistance of the whole masque: “Thus the gloomy World / At first began to shine”—tune of a Chinese man describing how the world came to light: a brilliant aria for a high tenor with a witty trumpet obbligato. The middle section moves into the related minor; here all extrovert bounce has vanished, the state of Edenic innocence seems secure, where there is no room for empty fame, no cause for pride. Conveyed musically by means of regular silences of the accompanying instruments, one can notice the extreme transparency of musical texture. “As though proud man has seen through his pretences, so when he sings the Glory aria da capo the stiltedness rather than the power of the music is emphasised” (Price 354). What follows builds a double-edged satire: the soprano Air of the Chinese woman “Thus happy and free” based on hemiola crossrhythms is carefree and straightforward. Through the Chinese couple’s music, the contrast between the sophisticated world of court and town and the savage state of nature is represented. The natives—the Chinese—here may appear quaint and curious, yet they represent honesty and integrity that Europeans who sing about it might have lost. Purcell’s mastery of ideals and deceptions clearly parallels Shakespeare’s genuine insight into the golden world of mankind as presented in *The Tempest*. A chorus strengthens the ambivalence, and the tenor sings, appealing for kindness and understanding—a beautiful reply balancing between innocence and the loss of purity: “Yes, Daphne (Xanxi), in your looks I find”. Daphne counterfeits the oriental sounding name with equally nostalgic reminiscences of the ancient Greek culture. And to emphasize the paradoxical nature of things, the following Monkey’s dance bursting into messy rhythms proves to be the cheekiest music in the whole semi-opera. The masque ends with a soprano who sweeps through a series of shakes, fanfares, flourishes, and silences the listener with sudden repeated interjections: “Hark! How all things”.

Masque 9 bears the title “Marriage and reconciliation. The invocation of Hymen”. After a Prelude, two women who believe in the world of the senses and the constancy of its appearances, try to persuade the god of marriage to relight his torch. Hymen has so far not responded, so they sing again, no longer with vocal acrobatics

but in a melting, hypnotic duet with choral refrain: “Sure the Dull God of Marriage”. Hymen reluctantly emerges and sings a genuine arioso in bass, with violin obbligato: “See, see, I obey”. The women “coax him to life” (Gardiner 23) in a vertiginous duet: “Turn, turn then thine eyes”. And Hymen finally agrees to the marriage, relighting his torch: “My torch, indeed”.

The last, tenth masque closes the long range of spectacular visions and sounds, as it happens in the comedy, with a benediction on the reunited lovers. An Epilogue is followed by an Air of sopranos and bass, a blending of mature human voices: “They shall be Happy, as they are Fair”. A final chorus repeats this tune, and the semi-opera ends with a lively dance of all cast. This dance, a Chaconne, has been preserved in two versions; the Q1 (1692) variant is described as “Grand Dance for 24 Chinese men and women”.

Obviously, with so much and so manifold musical entertainment, with Purcell’s optimism pulsing through every beat of his grand stage work, one cannot help but grow convinced that Shakespeare’s *A Midsummer Night’s Dream* with its innate musicality has all its chances to stay perfectly unoffended when overlapped with the *Fairy Queen*. The two works excel in sharing deep lyricism and racy humour, an airy exaltation emerging over the heaviest or cheekiest moments, an ever-young thirst for pleasure and mature integrity, the self-irony of the wise and the powerful.

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# Poetry



## “In the Beginning”: Genesis 1:1 in Milton’s *Paradise Lost*\*

GÁBOR ITTZÉS

In *Paradise Lost*, Book 7, Milton offers a close paraphrase of the opening chapter of the Bible. Correspondences are in fact so close that it is possible to argue that the text of the epic is closer to the King James Version than to The Geneva Bible,<sup>1</sup> although those two translations are quite similar. Jason P. Rosenblatt perceptively calls this passage an “interlinear poetic commentary” on “almost every verse” of Genesis 1. He specifies the qualification: “the Bible’s first verse . . . is conspicuously absent from the creation account of book 7” (194). It is relocated, he adds, to the opening lines of the epic (1.9–10).

Rosenblatt goes on to give his explanation: “The propulsive force of that account [in Book 7] imitates the dynamic, evolving nature that never achieves stasis, while the opening lines of both the Bible and the epic describe a completed act” (194). Much as I agree that Milton’s Eden is a dynamic place<sup>2</sup>—and much as I think that Rosenblatt put his finger on a fine point here—his formulation strikes me as mistaken in significant ways. In fact, it is wrong (or at least imprecise) in practically every possible way it can be—yet it is wrong in very fruitful ways.

I will argue in this paper that Rosenblatt is mistaken in terms of (i) what is missing, (ii) why it is missing, and (iii) where it is relocated. The three mistakes are, of course, interconnected. If one does not know *what* is missing, it is rather difficult to explain *why* it is not there and *where* it is. But Rosenblatt is fruitfully imprecise because answering those questions correctly will help us gain some insight into Milton’s method and his understanding of the beginning.

### What is missing?

This is the easiest question to answer, but it still requires careful comparison of the relevant passages. This is what Milton’s reference text, the Bible says: “<sup>1</sup>In the beginning God created the heaven and the earth. <sup>2</sup>And the earth was without form, and void; and darkness *was* upon the face of the deep. And the Spirit of God moved upon the face of the waters” (Gen 1:1–2, KJV, italics original). Rosenblatt claims that verse 1 is moved to the epic’s first invocation: “In the beginning how the heavens and earth/Rose out of chaos: or if Sion hill . . .” (1.9–10).<sup>3</sup> The echoes are clear but limited. The

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<sup>1</sup> See my forthcoming paper in *The King James Bible (1611–2011): Prehistory and Afterlife* volume.

<sup>2</sup> See my paper “Till by Degrees.”

<sup>3</sup> The text of *Paradise Lost* is quoted from Fowler’s revised second edition throughout.

famous opening phrase is surely there as are “heaven and earth” although with slight modifications: both the number and the articles are changed. More important, however, is the shift which makes them the subject of the sentence whereas in the Bible they are the object of God’s creative act. The latter is evoked by the rising out of chaos, which may well be an allusion to the biblical story, but it is hardly more than that. It certainly does not qualify as a verbal echo, let alone a citation. The rest of the passage, as *Sion hill* signals, leaves Genesis 1 altogether behind.<sup>4</sup>

The corresponding passage in Book 7 reads as follows:

Thus God the heaven created, thus the earth,  
Matter unformed and void: darkness profound  
Covered the abyss: but on the watery calm  
His brooding wings the spirit of God outspread[.] (7.232–35)

Here the parallels are more sustained. “Heaven” and “earth” are separated, but they are in fact the objects of God’s creation. The earth’s qualities—“unformed and void”—are also points of connection between Book 7 and Genesis 1. The deep as well as the spirit of God upon the waters provide further links. Taken together, this passage is closer to its biblical counterpart than the lines from Book 1 are. (*Table 1* sums up the correspondences between the three quotations.) It is in fact here that Milton’s paraphrase of Genesis 1 begins, and the bulk of the first verse is also included: four of the five meaningful words of Genesis 1:1 (*beginning, God, created, heaven, earth*) are cited here while only three in the earlier invocation. What is conspicuously missing, however, is the sentence initial phrase “in the beginning.” Rosenblatt is thus overstating his case. What is left out of Raphael’s narrative is not Genesis 1:1 only its opening phrase—but that recognition only makes the omission even more striking, especially if we bear in mind what exegetical scrutiny those words were subject to both prior to and in Milton’s days.<sup>5</sup>

### Why is it missing?

Rosenblatt’s dynamism explanation hardly works in my estimate. His contrast between the imitation of “the dynamic, evolving nature that never achieves stasis” and the description of “a completed act” is spurious. We have seen above that the difference between the two epic versions is not so much the presence and absence of God’s—completed—creative act as the temporal specification that the act took place “in the beginning”. In fact, *Paradise Lost* 7.232 describes “a completed act” every bit as much as, if not more than, Genesis 1:1 or lines 1.9–10. We need to look elsewhere for an explanation.

<sup>4</sup> Some ten lines later there is another allusion, but it need not concern us here: “thou from the first / Wast present, and with mighty wings outspread / Dovelike sats brooding on the vast abyss / And mad’st it pregnant” (1.19–22), cf. Gen 1:2b and *PL* 7.234–37, quoted below.

<sup>5</sup> On ancient interpretations of the “beginning”, see Kugel 53–55; on Renaissance commentaries, Williams 40–41.

The answer, I propose, is so obvious that it can be easily overlooked. The phrase in question is missing because the creation of heaven and earth is *not* in the beginning for Milton. He has to drop the temporal designation because it could not be maintained truthfully. What he is about to recount does not constitute the beginning of his story in at least three significant ways: (a) structurally, (b) narratologically, and (c) chronologically.

Structurally, “in the beginning” comes at the beginning of Genesis 1:1. It is the first verse of the first chapter, the opening phrase of the whole book and, indeed, of the whole Bible, whether Jewish or Christian. By contrast, when Raphael gets as far as launching his creation narrative, he is already 232 lines into the book, which itself is the seventh of twelve, that is, we are literally in the middle of *Paradise Lost*, not at its beginning. At this point, the phrase would simply not have the same kind of power it has, due to its structural position, in Genesis, to which it gave its Hebrew name (*Bereshit*).

Milton’s theory of narrative accommodation is well known.<sup>6</sup> It is fleshed out most fully in the very section we are now scrutinising. After some prefatory material,<sup>7</sup> Raphael’s creation narrative begins with the Father’s speech in 7.139–73 rather than with a paraphrase of Genesis 1:1. Commenting on that speech, in which the Father declares his intent to create and commands the Son to carry it out, Raphael explains:

So spake the almighty, and to what he spake  
His Word, the filial Godhead, gave effect.  
Immediate are the Acts of God, more swift  
Than time or motion, but to human ears  
Cannot without process of speech be told,  
So told as earthly notion can receive. (7.174–79)

The narrative that follows is creation at two removes. The first level of mediation is between the Father and the Son: the former speaks, the latter executes creation. But the latter is still incomprehensible in its immediacy to human understanding so a second level of mediation is needed. God’s acts are instantaneous, but they must be accommodated to limited (dilated) human capacities through the process of speech. The result of this twofold mediation is a rather complex relationship between narrative and narrated reality. So the question arises, when exactly, in the narrative, does creation take place?

That question itself does not ignore Milton’s complex arrangement and does not imply undue oversimplification. Surely, part of Milton’s point is precisely the irreducible complexity of the twofold mediation, but to insist that a quasi-point-like creative event is altogether beyond our reach is equally to reduce Milton’s structure,

<sup>6</sup> It has also been subject to some critical debate since Patrides’ classic study, cf., e.g., Graves’ “Theory,” but my concern is with Milton’s narrative technique rather than its metaphysical implications as discussed by Graves, esp. in “Whole fulness.” Of its numerous treatments, see esp. Shirley’s, who focuses on Book 7.

<sup>7</sup> For details, see my forthcoming paper in *The King James Bible* volume.

which tries to keep *both* sides, the divine and the human, in play. To raise the problem of where to pinpoint the moment of creation, which the text posits at one level, is to recognise that Milton wants to solve, rather than sidestep, the narratological difficulty.

The second level of mediation, Raphael's account of the hexaemeron, is clearly due to human limitations. The first level between Father and Son, however, is intrinsic to the nature of divine agency. The Father declares his intent to create:

in a moment will create  
 Another world . . .  
 And thou my Word, begotten Son, by thee  
 This I perform, speak thou, and be it done:  
 My overshadowing spirit and might with thee  
 I send along, ride forth, and bid the deep  
 Within appointed bounds be heaven and earth,  
 Boundless the deep, because I am who fill  
 Infinitude, nor vacuous the space. (7.154–69)

The modal auxiliary *will* in 7.154 subtly signals that this, in Searlean terms, is not yet a declaration but a commissive. But a temporal, rather than merely notional or narrative, distinction between the Father's directive to the Son and the perlocutionary effect of those words is far more difficult to maintain. The divine will is effected by the Word, and the subtle interplay between speech and action in divine agency is beautifully captured by line 164. The Father *says* that he *performs* an act—yet the actual performance of what is spoken by him is left to the Son, who is nevertheless commanded to *speak* in order that the deed be *done* (performed). Surely, what the Father says in lines 166–67 and what the Son does in 218–31 are both simultaneous and instantaneous as is retrospectively confirmed by the narrator (174–76). Yet on the level of narration they are separated by some fifty lines because we have no direct access to divine immediacy.

Consequently, the Father's instruction to the Son, later performed and then summed up in our foundational text (7.232) arguably captures the moment of creation in *Paradise Lost*. That conclusion is supported by the fact that the lines in question—"bid the deep / Within appointed bounds be heaven and earth" (7.166–67)—are themselves a loose paraphrase of Genesis 1:1. That, I submit, is the second reason why "in the beginning" had to be removed from the head of "the interlinear commentary" on the creation story, namely, for narratological reasons. The whole narrative that begins there is simply accommodation, and by 7.232 we are some seventy lines into the "beginning".

The creation of heaven and earth as narrated in that line is predated by much epic action, the bulk of Books 5 and 6. It is not simply that the Bible's *ab ovo* structure is replaced with an *in medias res* arrangement by Milton whereby the chronological beginning of the story appears structurally in the middle of the narrative. In *Paradise Lost*, the episode described in Genesis 1 is not the chronologically first event in the overall plotline. Milton's story begins with the

anointing of the Son (5.574–615) and its convoluted aftermath, the three-day war in heaven, followed by a nine-day fall (6.871–77) and the rebels’ nine-day stupor (1.50–53).<sup>8</sup> That is the third, chronological, reason why “in the beginning” had to be removed from Book 7.

In other words, Milton’s story does not begin with a grand event that culminates in the creation of humanity. Rather, his starting point is the elevation of the Son.<sup>9</sup> This distinction is so crucial to Milton that he is willing to sacrifice one of the strongest phrases in Genesis to make the point. It is important to understand that the new arrangement doesn’t *negate* the significance of creation (even that of humanity) but *relativises* it. To see this more fully, we must attend to the third question.

### Where is it relocated?

Where is, then, Milton’s “beginning”? What is the event that he finds worthy to designate as “the beginning”? The very word occurs only half a dozen times in the entire text of the epic. Four of them can be easily dispensed with. First, when Satan, on his way to discover the newly created world, spots Uriel at the sphere of the sun, the narrator comments:

Glad was the spirit impure; as now in hope  
To find who might direct his wandering flight  
To Paradise the happy seat of man,  
His journey’s end and our *beginning* woe. (3.630–33)<sup>10</sup>

The relevant phrase contains the key word in its adjectival sense, and it very specifically refers to the beginning of humanity’s sinfulness and perilous postlapsarian existence. In a similar fashion, the brief synopsis at the head of Book 5, summarising Raphael’s conversation with Adam, uses the participial form. The angel “minds Adam of his state and of his enemy; relates at Adam’s request who that enemy is, and how he came to be so, *beginning* from his first revolt in heaven, and the occasion thereof” (Argument 5). The beginning here spoken of is the beginning of Satan’s enmity. Incidentally, it is very close to the first distinct event of the narrative, the Son’s anointing, but the text here makes a more limited claim. It only traces Satan’s story, not the epic’s grand theme, to its origins.

<sup>8</sup> The critical debate about the precise temporal relationship of the latter details to the six-day creation need not concern us here. For an influential reconstruction, see Fowler’s in Milton 31; for a revisionist reading, see Zivley 119–20.

<sup>9</sup> Cf. Anderson, “Fall of Satan” and *Genesis of Perfection*, ch. 1. Anderson’s readings are relevant for my larger, christological, point as well.

<sup>10</sup> Italics added here and in the following quotations.

Third, in the introduction to his autobiographical account to Raphael, Adam, taking his hint from the angel's reflections on the difficulty of narration,<sup>11</sup> muses: "For man to tell how human life began / Is hard; for who himself *beginning* knew?" (8.250–51). The syntax of the rhetorical question allows for various interpretations, mainly depending on what part of speech *beginning* is taken to be. If it is a participle, it modifies *himself*, which is in turn the object of *knew*. The meaning is either 'who knew himself when his life started?' or 'who knows that his life had a beginning?' It is also possible to consider *beginning* as a noun and *himself* as an emphatic pronoun: 'who knew the origin of things?' This reading, however, is less contextually encouraged, and, at any rate, it does not identify the ultimate beginning only ponders its comprehensibility to created minds.

Finally, in the last invocation of the epic the narrator reveals something of the prehistory of the creative process: "Since first this subject for heroic song / Pleased me long choosing, and beginning late . . ." (9.25–26). Again, this is a participial occurrence modifying *me*. And here the beginning referred to is not even that of the overall authorial undertaking but much more specifically that of the actual writing process when the topic was already chosen and its development commenced.

With the possible punning exception of 8.251, none of these *beginnings* are nouns. And they all refer to specific beginnings (of the sinfulness of humanity, of Satan's enmity, of Adam's life, and of the writing process). None of them qualifies as Milton's alternative to the biblical claim in Genesis 1:1. That leaves us with two passages to consider.

The first we have already seen in the opening invocation:

Sing heavenly Muse, that on the secret top  
Of Oreb, or of Sinai, didst inspire  
That shepherd, who first taught the chosen seed,  
In the beginning how the heavens and earth  
Rose out of chaos . . .

(1.6–10)

This is a paraphrase of Genesis 1:1, the beginning of the Bible—at the beginning of the epic. Further, the key phrase in line 9 is a hapax; it is the only occurrence of the complete phrase "in the beginning" in the entire epic.

The other passage comes from Raphael's dialogue with Adam:

And thy request think now fulfilled, that asked  
How first this world and face of things began,  
And what before thy memory was done  
From the beginning . . .

(7.635–38)

<sup>11</sup> Cf. Lewalski convincingly argues that Adam's spiritual autobiography develops a genre invented by Eve (211), but his protestations of the difficulties involved have no counterparts in her spontaneous drift into the relation (4.440–52).

This is another single occurrence: “from the beginning” is also a hapax in *Paradise Lost*. And this is the only other instance in the epic where *beginning* unequivocally appears as a noun. In significant divergence from its counterpart in Book 1, the word here comes at the *end* of the narrative and has a retrospective reference—with ambiguous anchoring. We are now at the end of Book 7, the Miltonic paraphrase of Genesis 1. With these words Raphael is wrapping up his creation narrative: “How first this world and face of things began[.]” In this context, the beginning mentioned two lines later is obviously the *beginning* of Genesis 1:1. The difference between the two accounts, in the Bible and in Book 7, is that the former declares at the outset that there is nothing that would have preceded the events with which it starts while the latter only reveals at the end of the narrative that the story was told “from the beginning”. At 7.638, however, we are also at the end of Books 5 to 7, which contain the narrative of *all* previous history: “And what before thy memory was done[.]” If the clause initial *and* is understood in an additive sense, this line may reference the war in heaven in a broad sense. In that case the “beginning” from which things have been told is the beginning of the complete action in *Paradise Lost*, that is, the Son’s anointing.

We have, then, two nominal beginnings in the epic (pun intended). The beginning of “in the beginning” in 1.9 and the beginning of “from the beginning” in 7.638. The first is biblical and anthropological. It is the beginning of the created world, which is given to Adam for dominion.<sup>12</sup> The second is Miltonic and christological or, to use an awkward but more precise term, messianological.<sup>13</sup> It is the beginning of all things, which, on Milton’s view as presented in *Paradise Lost*, extend far beyond the relative confines of the cosmos<sup>14</sup> and the story of humankind. Milton is taking pains to distinguish his cosmological vision from that of the Bible structurally: the grand narrative of all things does not begin with an event that culminates in the creation of humans. The implication is christological. The ultimate starting point of Milton’s universal history is the anointing of the Son.

Milton thus offers two potentially rival beginnings—potentially because they are rivals in certain ways, that is, as “ultimate” beginnings. But as the four previous occurrences, which I termed easily dispensable, have taught us, there can be legitimate specific beginnings within the grand story.

So where is the beginning for Milton? The easy answer is, somewhere in the middle. A more accurate answer, however, would be: where we choose it to be. That, I suggest, is Milton’s invitation to us. He gives us a genuine choice—but not a light one. Whatever we choose will have its consequences. And there can be genuinely wrong choices with devastating consequences in the world of *Paradise Lost*.

<sup>12</sup> Cf. 4.429–32, 7.530–34, 8.545–46, 12.67–69, and Gen 1:26.

<sup>13</sup> Throughout the epic, Milton consistently avoids using the Greek word “Christ” in favour of the Hebrew title.

<sup>14</sup> A term Milton never used but which has its justification, see my essay on “The Structure of Milton’s Universe” 34.

An obvious case in point would be Satan's doctrine of uncreatedness, touched upon several times in Books 1 and 2 but spelled out in detail to Abdiel during the night of rebellion in heaven:

That we were formed then sayst thou? And the work  
Of secondary hands, by task transferred  
From Father to his Son? Strange point and new!  
Doctrine which we would know whence learned: who saw  
When this creation was? Rememberst thou  
Thy making, while the maker gave thee being?  
We know no time when we were not as now;  
Know none before us, self-begot, self-raised  
By our own quickening power . . . (5.853–61)

Adam's later contemplation on the difficulty of knowing one's beginnings will, of course, provide a corrective to Satan's faulty argumentation here. It is precisely the denial of the Son's pre-eminence—in other words, the rejection of the “beginning” of 7.638—that constitutes the heavenly hosts' rebellion. Choosing the wrong beginning, which here means the denial of the right origins, is tantamount to the ultimate act of disobedience. The epistemological difficulty by no means justifies a faulty identification of the beginning.

Adam's fate offers another warning. When the Son finally comes to pronounce judgment on him, he sentences him with these words: thou shalt “return unto the ground, for thou / Out of the ground wast taken, know thy birth, / For dust thou art, and shalt to dust return” (10.207–08). “[K]now thy birth”—a conspicuous insertion into the biblical paraphrase<sup>15</sup>—serves several functions. It is an emphatic reminder for Adam to recall his beginning as once he knew it aright. It alludes to his act of disobedience. Had he kept his birth in mind, he would have remembered his duty to God.<sup>16</sup> But more is at stake here. The allusion to the beginning also grounds the final verdict. And that signals the real risk: the choice about the beginning is also a choice about the ultimate destiny. Milton knows it is difficult (cf. 8.250–51), but he invites us to look beyond ourselves, even our collective selves, and find the answer to our beginning, and our ultimate end, in God. It must be added, however, that, as we have seen, such a choice still allows for more proximate beginnings, provided they are not absolutised.

<sup>15</sup> Cf. “till thou return unto the ground; for out of it wast thou taken: for dust thou *art*, and unto dust shalt thou return” (Gen 3:19, KJV, italics original). Further on these lines, see my “Fall and Redemption” 47.

<sup>16</sup> Cf. the earlier rhetorical question, “Was she [Eve] thy God, that her thou didst obey / Before his voice[?]” (10.145–46).

## Conclusion

To sum up, Milton removed the Bible's famous opening phrase "in the beginning" from Raphael's paraphrase of Genesis 1 in Book 7 because it would have been out of place there. His hexaemeral account does not constitute the epic's beginning structurally, narratologically, or chronologically. But the rearrangement also points to a larger shift in perspective, replacing an anthropological with a christological focus. The reader is invited to adjust her own perception to that more encompassing view.

Three interrelated observations follow from the foregoing analysis in conclusion. First, the beginning is relocated for reasons internal to Milton's undertaking and deeply woven into the poem's fabric. The celebrated phrase of Genesis 1:1 would be aesthetically much less powerful if buried in the middle of the epic. Similarly, the six days of creation do not fit at the beginning of Milton's overall plotline. Further, given Milton's theory of accommodation, the text cannot simply capture the moment of divine creativity. By the time the narrative proceeds to the biblical beginning, the paternal speech act, itself narrated to set up and retrospectively illustrate the larger conceptual framework, is already completed. The narratological delay is inescapable and undermines an easy identification of "the beginning". Yet the rearrangement is significant not only for aesthetic reasons in the broad sense but has major theological repercussions as well. The Miltonic beginning does not merely avoid poetically unsatisfactory solutions. It throws new light on humanity and puts it in perspective, specifically, in a christological perspective.

Milton's version is offered not so much as a corrective to the biblical narrative as a right interpretation of it. I noted above that the omission is surprising in the light of the exegetical tradition's interest in those words. Elsewhere I have argued, however, that the reworking of Genesis in *Paradise Lost* exhibits sustained engagement with the interpretive tradition.<sup>17</sup> Milton is aware of the questions posed but often provides his idiosyncratic answers to textual cruces. The fate of the Bible's opening words is a case in point. He does treat of the problem, but instead of providing a "standard", e.g. Johannine–Augustinian, answer, he presents a variety which is informed by that tradition but is fully consistent with the monistic<sup>18</sup> fabric of his epic. Milton does not identify the beginning with Wisdom as Jewish interpreters did or with Christ in the fashion of Christian exegetes. He nevertheless invests the phrase with christological significance and thereby relativises the beginnings of humankind, which is part and parcel of his overall poetical program of "justify[ing] the ways of God to men" (1.26). And that is the third point to note.

Aesthetic and theological aspects of Milton's work are distinguishable but not strictly separable in *Paradise Lost*. He carries out a theologically informed poetical program, in which narrative details have theological significance and theological positions are advanced not only through theological arguments but also through epic, dramatic, poetic means. Exegesis is here a mode of poetic existence, and poetry, a

<sup>17</sup> See my forthcoming paper in *The King James Bible* volume.

<sup>18</sup> On Milton's monism, see, e.g., Fish, and Graves, "Whole fullness."

form of theological reasoning. However minor a detail the relocation of the “beginning” from Raphael’s narrative seems, it is a typical instance of Milton’s working method and as such encapsulates the beauties and complexities of *Paradise Lost*.

**Table 1** *Genesis 1:1 in KJV and Paradise Lost (Books 1 and 7)*

<i>Genesis 1:1–2 (KJV)</i> <sup>1</sup>	Paradise Lost 1.9–10	Paradise Lost 7.232–35
<i>In the beginning</i> GOD CREATED <i>THE HEAVEN and THE EARTH.</i>	<i>In the beginning</i> how <i>the heavens and earth</i> Rose out of chaos:	Thus GOD THE HEAVEN CREATED, thus THE EARTH,
And the earth was <u>without</u> FORM, AND VOID; and DARKNESS was upon the face of the <u>deep</u> .	Rose out of chaos:  _____	Matter <u>un</u> FORMED AND VOID: DARKNESS profound Covered the <u>abyss</u> : but on the WATERY calm
And THE SPIRIT OF GOD moved upon the face of the WATERS.	_____	His brooding wings THE SPIRIT OF GOD outspread . . .
Delight thee more, and Siloa's brook that flowed Fast by the oracle of God . . .	_____ or if Sion hill	

Words in common between KJV and Book 1 are *italicised*.  
Words in common between KJV and Book 7 are in SMALL CAPS.  
Semantic equivalents between KJV and Book 7 are underlined.

<sup>1</sup> Original italics omitted.

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## Paradise Challenged: Ezra Pound's Canto 20

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Although Ezra Pound's modernist epic, *The Cantos*, has never stopped attracting intense scholarly interest, one can find only occasional studies that focus on individual cantos and their internal structure and development, with the exception of the "star cantos," including the *Pisan Cantos*, the "Usura" canto (Canto 45) or the *Ur-Cantos*. The present essay, as part of a joint effort of numerous Poundians to alter the situation,<sup>1</sup> offers a close reading of Canto 20, which is one of the most memorable depictions of Pound's paradise.

More specifically, Canto 20 is a poetic treatise on the nature and attainability of paradise, with special regard to what may inhibit one's quest for paradise. However, instead of carefully crafted arguments, the poem presents its subject through juxtaposed images and stories to invite the reader to engage in this pursuit of knowledge and illumination. Canto 20 offers the reader glimpses of *paradiso terrestre*, but does not place it within easy reach; instead, it challenges our, as well as its own, notions of paradise.

The beginning of the poem has drawn considerable critical attention: its apparent opaqueness and densely woven texture hides outstanding poetic beauty. The very first word underscores a dominant feature of this canto: sound. Even when one does not understand the meaning of the quotations from Latin, Greek, Provençal, and Italian yet, one can appreciate the consonant harmonies: the alliteration of "Sound slender," faintly echoed by the *s* in "quasi," the repeated, tenderly musical *n* and *l* sounds (carried on as far as "The viel held close") smoothen the linguistic differences, and present pure Poetry (analogously to Walter Benjamin's concept of pure Language).

Sound slender, quasi tinnula,  
Ligur' aoide: Si no'us vei, Domna don plus mi cal,  
Negus vezer mon bel pensar no val."  
Between the two almond trees flowering,  
The viel held close to his side;  
And another: s'adora".  
"Possum ego naturae  
Non meminisse tuae!" Qui son Properzio et Ovidio. (20:89)<sup>2</sup>

<sup>1</sup> A book provisionally entitled *Readings in the Cantos*, edited by Richard Parker, will collect analyses of individual cantos by Pound scholars.

<sup>2</sup> All references in this format (two numbers with a colon between them) refer to the following volume: Ezra Pound, *The Cantos*. New York: New Directions, 1996. The first number shows the number of the canto, the second the page number from where the citation is taken.

Musicality is encoded not only in the sound of these lines, but also in their references: “tinnula” originates from Catullus’s LXI, a Sapphic epithalamion or wedding hymn; the word evokes the ringing of bells.<sup>3</sup> “Ligur’ aoide” is a Homeric allusion: Pound glossed it in a letter to his father as “keen or sharp singing. (sirens) song with an edge on it” (Rachewiltz et al. 626). The next two lines (“Si no’us . . . val”) recall the troubadour Bernart de Ventadorn’s adoration of his beloved (“And if I see her not, / no sight is worth the beauty of my thought” 92:639 and 95:665), with the subsequent two lines depicting a troubadour in an idyllic setting, clinging to his musical instrument (and, consequently, poetry).<sup>4</sup> The last two references of this part reinforce the presence of love, which has been the other integral theme of these lines: “s’adora” is from Cavalcanti’s Sonnet 35, meaning “(s)he is adored.” The second quotation is borrowed from a love elegy by Propertius, addressed to Cynthia (II, xx), which attests that Cynthia’s personality makes an ineradicable impression. The Latin addition (“Here are Propertius and Ovid”) includes Ovid in this company of immortal poets of love, even though there appears to be no specific text that could be traced back to his works.

This section, therefore, sets the tone and theme of the first sixty lines, which was the first part Pound published of this canto (according to Richard Sieburth, first in Robert McAlmon’s *Contact Collection of Contemporary Writers* in Paris in 1925, later in the Paris magazine *Exile* in 1927 [xx]). That the rest of these sixty lines is a compact unit is also indicated by a covert frame: as Kevin Oderman pointed out, Pound’s notes for this canto offered a different, and more explicable, beginning.

The bough is not more fresh  
 where the almond shoots  
 take their March green, than she  
 square from the breasts to thighs.                    (Oderman 78)

Oderman aptly observed here “Pound’s suppression of the erotic context in favor of the fragment” (78). By separating the lines, the erotic image is postponed—and more anticipated when it finally emerges. Even though sensuality is one of the key themes of Pound’s paradisaical vision in this canto, it is subtly built up, at least initially.

After having marveled at the flowering almonds and the green shoots of March, the speaker now witnesses the beginning of summer: “the vacation was just beginning” (20:89). This Pound persona recalls his visit to a most renowned

<sup>3</sup> This essay, as any study of *The Cantos*, relies extensively on Carroll F. Terrell’s identification and exegeses of the cultural and literary references in this work.

<sup>4</sup> Pound’s notebook jottings for Canto 20 reveal that, indeed, this setting is based on his wanderings in Southern France, in search of traces and the former surroundings of troubadours. His draft for these lines had “between two trees of almond flowers / like the flowering trees before Aubeterre” (Pound, “Notebook pages,” page ID 1147735). A later mention of almond trees may also be a recollection from Aubeterre: the lines “The ranunculæ, and almond, / Boughs set in espalier” may be a derivation from the view there: “A tree with what after [*sic*] to be pink wisteria blossoms & a defensible wall hung with flowers.” (Pound, *A Walking Tour* 11)

contemporary authority on Provençal language and culture, the German philologist and lexicographer Emil Levy, upon the encouragement of Pound's own professor at the University of Pennsylvania, Hugo Rennert.<sup>5</sup> Pound had been preparing a collection of translations from the poems of the 12<sup>th</sup>-century troubadour Arnaut Daniel, accompanied by essays and musical notations, when he was baffled by a very opaque word (*noigandres*) that can be found in a manuscript at the Biblioteca Ambrosiana in Milan ("settant'uno R. superior (Ambrosiana)" [20:89] refers to the location of the manuscript). Pound thus turned to Levy, the editor of the eight-volume *Provenzalisches Supplement-Wörterbuch*, for advice. Levy's emendation of the word suggested that *noigandres* was not, in fact, a *hapax legomenon*, or a word with strictly one occurrence in the history of a language, but a composite of two words: *enoi* ('ennui') and *gandres* (from *gandir*, 'ward off'), which hence means 'wards off boredom' (Terrell 81). Though Pound's translation of Daniel's 13<sup>th</sup> canzone incorporated this emendation, he did not wish to erase the trace of this cryptic line ending: he rendered it as "It seeds in joy, bears love, and pain ameises" (Pound, *Literary Essays* 139).

The strikingly animated utterances of Rennert and Levy (note the emphatic denial in Rennert's speech and the depiction of Levy's dialect and exclamations) and the respectful tone of the speaker yield a living, expressive language, in sharp contrast to the seemingly dead phrase without a clear referent (*noigandres*).<sup>6</sup> Remarkably, all three voices in this anecdote reflect on how much effort is needed to find knowledge. Rennert starts with rejecting even the possibility that it is worth searching for answers, but when he admits there may be a chance, the speaker sets out on his journey. In his turn, when asked what he wishes to know, he first mumbles a mere "I dunno, sir;" in another scenario ("or"), he asks straight away: "Yes, Doctor, what do they mean by *noigandres*?" (20:89) Lastly, Levy reveals his frustration during his quest for knowledge (thus becoming an epitome of Pound's readers): "Now what the DEFFIL can that mean!" (20:90)—yet, he ultimately finishes his task. Therefore, the lotus-eaters' attitude is foreshadowed already in this episode, even though here it is overcome by Odysseus-like perseverance.

The reward for steadfastness is *paradiso terrestre*. The abundant foliage, the welcoming fields and creeks excite all our senses and capture the mind. Not only is it a perfect landscape, but it is also the home of art. The sound harmonies of "The water runs, and the wind scented with pine" (20:90) may represent only poetry, but the presence of Italian sculptors and painters (all addressed, collegially, by their first names) suggest that all arts belong here. While Levy's scholarship did advance our understanding of troubadour literature, it is ultimately poetry that can turn this knowledge into experience. Therefore, Daniel's line "E jois lo grans, e l'olors d'enoigandres" is transposed into contemporary, living language as "You would be happy for the smell of that place / And never tired of being there" (20:90). There is no more

<sup>5</sup> For details about Rennert and Pound's studies in Romanic Languages, see Paden (181–91).

<sup>6</sup> J. Mark Smith has recently explored this question in detail: according to his analysis of Pound's concept of philology, the historic (diachronic) usage of language was only valuable for Pound if it could be turned into a synchronic, living usage, where words could be "set free" (774).

temporal abyss between Daniel and the speaker or between us and the painters: we are all there, as Pound imagined in “Provincia Deserta:”

I have walked over these roads;  
I have thought of them living. (*Poems and Translations* 299)

The all-encompassing nature and total unity of the scene is reinforced when we find all four elements together: air, fire, earth, and water (Sieburth xx) are at the core of these images:

Air moving under the boughs,  
The cedars there in the sun,  
Hay new cut on hill slope,  
And the water there in the cut (20:90)

However, there is one note that upsets this (silent) symphony: “Sound: as of the nightingale too far off to be heard.” As Sean Pryor noted, “paradise is lost twice over,” not only because the sound of the nightingale is too far off to be heard, but also because it is exactly this taunting silence that is the sound of paradise (77–78). This is not Keats’s urn, a “still unravish’d bride of quietness”, which holds the promise of beauties of the imagination—here, the paradisaical sound is simply elsewhere: “too far off to be heard.”

The unheard song of the nightingale is a subject rhyme with the sirens’ “ligur’ aotide” from the perspective of Odysseus’s shipmates: both represent unattainable beauty, just as *noigandres* stands for unattainable knowledge. Sean Pryor is thus right in stating that “poetry loses the paradise which it delivers as it delivers it” (78). The reason why the *paradiso terrestre* disintegrates may be the speaker’s lack of perseverance or level-headedness, as he succumbs to the temptation of Eros: “And the light falls, *remir*, / from her breast to thighs” (20:90).<sup>7</sup> In the Neoplatonic universe of yearning for the *nous*, this is distraction (c.f. Circe and Kalypso), as Peter Liebrechts notes: “only the gifted, intelligent, and factive personality may attain the fruits of the divine, whereas those who are devoted to the merely sensual and material, misdirect their will, and remain, in the words of Mauberley, ‘drifting hedonists’” (182).

With the next section of the canto starts the counterpoint to the previous idyll: it deals with the mental collapse of the Marquis of Ferrara, Niccolò d’Este (1384–1441). Pound described the episode as his “delirium after [the] execution of Parisina

<sup>7</sup> The Provençal word *remir* is an allusion to Arnaut Daniel’s 12<sup>th</sup> canzone, which he called “perhaps the most beautiful of all the surviving poems of ‘the better craftsman’” (Pound, *The Spirit of Romance* 33). The last line of the fourth stanza reads: “E quel remir contral lums de la lampa,” which Pound glossed in prose as “[she shall disclose to me her fair body,] with the glamor of the lamplight about it” (*ibid.* 34); he rendered this later as “. . . and laugh and strip and stand forth in the lustre / Where the lamp-light with light limb but half engages” (Pound, *Literary Essays* 136). Pound also commented: “the delicacy, the absolute sense of beauty which could beget this line may justify praise even from [Dante]” (*The Spirit of Romance* 34). This is, however, the beauty of Eros, as another context in Canto 7 also indicates: “e quel remir, / . . . For all her naked beauty” (7:26).

and Ugo,” his wife and natural son, after d’Este exposed their adultery (Rachewiltz et al. 625). The background story is merely hinted at: “*E’l Marchese / Stava per divenir pazzo / after it all*” (20:90; ‘The Marquis / was about to go crazy’ [Terrell 82]). Reminiscing first about the historical foundation of the Este family (“condit Atesten” or ‘founded Este’), then Niccolò reminds his son, Borso, to keep the peace (and thus secure the economic and cultural prosperity of Ferrara). Afterwards, various literary and historical stories are racing through d’Este’s deranged mind. The method of presentation is described by Pound as follows:

The whole reminiscence jumbled or “candied” in Nicolo’s delirium. Take that as a sort of bounding surface from which one gives the main subject of the Canto the lotophagoi: lotus eaters, or respectable dope smokers; and general paradise. (Rachewiltz et al. 626)

D’Este first relives the death scene of Roland from the Old French *chanson de geste*, the *Song of Roland*. Betrayed and wounded, Roland gathers his strength to smite a Saracen soldier who wants to take his sword with his ivory horn. Yet the blow also breaks the horn, and Roland’s dying words mourn its lost beauty: “I have split my olifan, / I have spoiled the carbuncles and the gold” (Pound, *The Spirit of Romance* 77).

The theme of betrayal and lust is further developed in d’Este’s hallucinations when he imagines seeing Sancho, the new king from Lope de Vega’s *Las Almenas de Toro*. Sancho attempts to take back the city of Toro from his sister, Elvira, when he sees a woman on the battlements, and his lust immediately overpowers him. However, the woman turns out to be his own sister, whom he could not recognize from a distance.

Elvira’s silhouette evokes the image of Helen of Troy. Pound explained to his father the allusion: “Helen on the wall of Troy with the old men fed up with the whole show and suggesting she be sent back to Greece” (Rachewiltz 625)—this is what “Neestho [‘let her go back’], le’er go back . . . / in the autumn” (20:91) refers to. They are both subject rhymes with Parisina, too: on the one hand, both Niccolò’s and Menelaus’s wife were beautiful, young women with older husbands—and the harbingers of their husband’s downfall; on the other hand, both Parisina and Elvira were the targets of unlawful desires.

D’Este’s ravings end in a reference to a wall painting: “between the walls, arras, / Painted to look like arras” (20:91). That this painting was highly significant for Pound is indicated by its recurrence in Canto 23: “Under the arras, or wall painted below like arras” (23:108). Akiko Miyake identified these paintings as the frescoes of the Palazzo Schifanoia in Ferrara, which were commissioned to celebrate Borso d’Este’s appointment as Duke of Ferrara (109).<sup>8</sup>

<sup>8</sup> Guy Davenport reported in an essay that this fresco cycle was indeed pivotal for Pound, thus providing proof for W. B. Yeats’s description of Pound’s plans in “A Packet for Ezra Pound.” Davenport, while visiting Pound, wrote: “I noticed at my feet the sepia reproduction of the east wall of the Schifanoia *freschi*, the very print that Pound had shown Yeats. Turning it over, I found these words



jungle itself; and its archetypical colors are identified as glazed (wet) green<sup>11</sup> and crimson. While the masculine principle is also hinted at in its aspirations towards the *nous*—“Lozenge of the pavement, clear shapes, / Broken, disrupted, body eternal” (20:91)—it is ultimately overpowered by the feminine life force.

After this grudgingly bestowed hymn to the feminine power of creation, comes a procession of insubstantial beings: “the faceted air: / Floating” (20:92). These are the sensualists, or hedonists, whose concerns in life do not rise above the horizon of physical experience. They lazily follow the current, instead of exercising their will: “Borne over the plain, recumbent, / The right arm cast back, / the right wrist for a pillow” (20:92). They appear to be quite content: “smoke as the olibanum’s, / Swift as if joyous” (20:92). The cold colors (“purple, blue-pale smoke”) of their make-believe pleasures flaunt themselves “As hay in the sun, the olibanum, saffron, / As myrrh without styrax” (20:92), only to divert the drifters’ attention from the danger ahead: the waterfall. At the waterfall, however, a vision of transcendent “bright flames, V shaped” (20:92) appear mid-air, as the promise of *in coitu illuminatio*. The reference to St. Francis of Assisi’s “Cantico Secondo” (“Nel fuoco / D’amore mi mise, nel fuoco d’amore mi mise . . . / ‘Mi mise, il mio sposo novello’” [20:92-93] ‘In the flame / of love he put me, in the flame of love he put me. . . [ . . . ] Put me, my new spouse’ [Terrell 83]) suggests that there is salvation even for the drifters—in divine love that elevates their mind: “Shot from stream into spiral” (20:93). This Neoplatonic kind of illuminating love entails a burst of warmer colors (“Yellow, bright saffron, croceo” [20:93]). This poetic gesture of representing love by colors recalls the rich palette of the first line of Arnaut Daniel’s “noigandres” poem: “Er vei vermeils, vertz, blaus, blancs, gruocs” (“Vermeil, green, blue, peirs, white, cobalt” [Pound, *Literary Essays* 139]). This subtle allusion to the troubadour Daniel indicates that ecstatic love that offers a glimpse of divine beauty and intellect, the *nous*, also has the promise of paradise.

Wendy Flory has suggested the description of floating hedonists may be an ekphrasis of a painting and engraving by William Blake, both entitled “The Circle of the Lustful: Francesca da Rimini”, based on the Second Circle of Dante’s *Hell* (134). These show a crowd of the carnal sinners drifting in a current, first “over the plain” (20:92), then in a sharply turning spiral, up and down, reminiscent of a waterfall. Blake’s engraving even has Paolo and Francesca “in their forked flame—‘nel fuoco d’amore’” (Flory 135). The striking similarity of the two artists’ representations of sensualists makes it likely that Pound may have drawn inspiration from Blake’s works, but there is also a significant amount of differences. Firstly, Blake’s interpretation shows naked, slightly twisted bodies drifting with the current, while Pound depicts them being comfortable, if somewhat orientalized and exoticized: they

<sup>11</sup> Wet foliage has long been an image associated with female sexuality by Pound. “Coitus” in *Lustra* has the most explicit reference: “The gilded phaloi of the crocuses / are thrusting at the spring air. / . . . The dew is upon the leaf. / The night about us is restless” (Pound, *Poems and Translations* 288). Similarly, in his haiku renderings, the feminine image of moist, leaves and petals are regularly juxtaposed by the masculinity of the grass-blade and the fountain. “Fan-Piece” tells about “frost on the grass-blade,” “Alba” depicts the beloved “As cool as the pale wet leaves / of lily-of-the-valley,” and “Ts’ai Chi’h” finds that “The petals fall in the fountain” (*ibid.* 286–7).

are “Wrapped each in burnous”, surrounded by incense (the lotus is eaten, not smoked!). The curious way one of them is holding his hand might even recall a Buddhist gesture: “Thumb held against finger, the third, / The first fingers petal’d up, the hand as a lamp” (20:92). They are not being punished, as in Blake’s engraving; rather, they are leisurely resting (“The right arm cast back, / the right wrist for a pillow” [20:92]). Furthermore, Blake’s people are drifting in a dense crowd, while Pound’s lotus-eaters float “each on invisible raft” (20:92). In spite of the obvious differences in the descriptions and their interpretation of Eros, however, these two works by Blake offer a revealing parallel and critique of the canto.

That the vision of transcendental love has the promise of illumination is indicated most by the subsequent passage. The canto repeats the earlier gesture of depicting alternative scenarios (c.f. Rennert and “I dunno, sir” [20:89]): we can see that not even rapture in love is an option for everyone. Some will “follow the water” (20:93), or else, they will see the transformation in others who set their soul aflame in love and gain divine illumination: “Or looked back to the flowing; / Others approaching that cataract, / As to dawn out of shadow, the swathed cloths / Now purple and orange, / And the blue water dusky beneath them” (20:93). Eventually, those who fall down into the cataract, are smashed by the loud, mighty force of the water (“hah hah ahah thmm, thunb, ah / woh woh araha thumm, bhaaa” [20:93]), as mere pebbles. They are finally identified as the *lotophagoi* or lotus-eaters, Odysseus’s companions who give up their quest and withdraw into the blissful oblivion of hallucinations.

Echoing the tenor of Alfred Tennyson’s “The Lotos-Eaters,” which, significantly, also starts with an elaborate vision of the “downward smoke,” i.e. a waterfall, Odysseus’s former companions voice their weariness in Canto 20 as well. While Tennyson’s lotus-eaters were exhausted and discontent because of their perpetual hardship and obligations (thus commenting on the Victorian ethos of work), they yearn only for pleasures in Pound’s portrayal (their preoccupations being food, fame, excitement<sup>12</sup> and physical love). In Peter Liebrechts’s words, they “misdirect their will, and remain, in the words of *Mauberley*, ‘drifting hedonists’” (182). Their fascination with material and sensual gain will be answered in the last part of the canto: the procession of wealth and power.

The lotus-eaters’ mourning of the drowned crew members reaches its climax when the *lotophagoi* recount how the shipmates were mistreated and tricked by Odysseus as well as the gods. Odysseus stopped them from experiencing the exceptional beauty of the sirens’ song by putting wax into their ears, admittedly to

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<sup>12</sup> For example, seeing the transcendent presence in Athene’s olive trees: “green and then not green / The click of light in their branches” (c.f. “olivi / that which gleams and then does not gleam / as the leaf turns in the air” [74:458]). Peter Liebrechts has quoted Pound’s article from *The New Age*, entitled “Allen Upward Serious,” to show how Pound associated the glittering leaves of olive trees with Athene, in the footsteps of Upward: “they suddenly leave off glaring like lighthouses whose light is shut off. We may see the shutter of the lightning in that mask that overhangs Athene’s brow and hear its click in the word *glaukos*. And the leafage of the olive whose writhen trunk bears, as it were, the lightning’s brand, does not glare but glitters, the pale under face of the leaves alternating with the dark upper face, and so the olive is Athene’s tree and is called *glaukos*” (Liebrechts 183).

protect them: so that they would not wreck the ship on the rocks when the sirens lured them closer. On the other hand, when Odysseus's companions slaughtered and ate some of Helios's<sup>13</sup> sacred cattle on Thrinakia, the "*neson amumona*," or the 'noble island,' in spite of the warning of Odysseus, they were struck down by Zeus's lightning. Walter Baumann also noted that "The continuation of this line is directly borrowed from Homer's account of Zeus' vengeance for the slaughter of [the cattle]: 'their heads like sea crows'" (Baumann 69). They proved as disposable in Odysseus's story as a tin can; they are thus metaphorically transformed into cheap, mass-produced commodities: canned beef. From their perspective, the *ligur' aoide* has more edge than clarity.

The final vision of the canto is a land-based reformulation of the critique of luxury in "The River Song" in *Cathay*. Pound's rendering of Li Po's poem articulated the vanity of art's subservience to wealth:

This boat is of shato-wood, and its gunwales are cut magnolia,  
Musicians with jewelled flutes and with pipes of gold  
Fill full the sides in rows, and our wine  
Is rich for a thousand cups.  
We carry singing girls, drift with the drifting water  
(Pound, *Poems and Translations* 250)

Canto 20 is, similarly, a pageant of treasures and domination, weighing heavily on the subdued:

Ac ferae familiares, and the cars slowly,  
And the panthers, soft-footed.  
Plain, as the plain of Somnus,  
the heavy cars, as a triumph,  
Gilded, heavy on wheel,  
and the panthers chained to the cars (20:94)

Isotta degli Atti (1432/33–1474) and her son, Sallustio Malatesta, reign over this disheartening procession. Canto 9 places the much adored Isotta, the third wife of Sigismondo Pandolfo Malatesta (1417–1468), among the *femme fatales* of Canto 20:

"et amava perdutamente Ixotta degli Atti"  
e "ne fu degna"  
"constans in proposito"  
"Placuit oculis principis"  
"pulchra aspectu"  
"populo grata (Italiaeque decus)

<sup>13</sup> Although the canto names Apollo as the owner of the cattle, they belonged, in fact, to Helios, the sun-god, a titan (as opposed to Apollo, an Olympian god).

“and built a temple so full of pagan works”  
 i. e. Sigismund  
 and in the style “Past ruin’d Latium” (9:41)

Carroll Terrell gives the translation of this medley of Italian and Medieval Latin sources as “And he loved Isotta degli Atti to distraction / and she was worthy of it / constant in purpose / She delighted the eye of the prince / lovely to look at / pleasing to the people (and the ornament of Italy)” (Terrell 48). The last line, however, associates Isotta with Helen: “Past ruin’d Latium” is an allusion to Walter Savage Landor’s (1775–1864) line: “Past ruined Ilion Helen lives” (Terrell 49).

While Isotta appears as the terrifying muse of destruction (“triumph” even suggests that the chained panthers may be spoils of war), she and her son also emerge in the poem as historical versions of the mythical *lotophagoi*, as their garb and posture recall the floating people in burnous: “the form wrapped, / Rose, crimson, deep crimson, / [. . .] Head in arm’s curve, reclining” (20:94–95). To emphasize the inconsequential existence of luxury, the barren landscape contrasts strongly with the idyllic fields of rich vegetation from the beginning of the canto. Not only are the surroundings infertile here, they also aggrieve nature: while there is an astounding lack of active verbs, to stress the inertia of the scene, the past participle form of *cut* appears three times in brief succession, twice as a sort of scar:

The road, back and away, till cut along the face of the rock,  
 And the cliff folds in like a curtain,  
 The road cut in under the rock  
 Square groove in the cliff’s face, as chiostrì,  
 The columns crystal, with peacocks cut in the capitals (20:95)

In more subtle form, *cutting* creates a sharp contrast between the initial paradise presented in the canto and its corrupted version at the end. While the troubadour used to stand “Between the two almond trees flowering” (20:89), clinging to his instrument, the half-naked Vanoka, the symbol of lust and doom (“waste hall there behind her” [20:95]) stands “between gilded barocco, / two columns coiled and fluted” (20:95).

Besides being barren, the scene is also utterly silent. The panthers are “soft-footed,” the plain is “as the plain of Somnus,” the god of sleep, the cars move “without a creak,” and even the sirens are carved “in the pillar heads,” thus losing their charm: the ability to sing (20:94–95). In a canto that is organized around the concept of the *ligur’ aoide*, the treacherous desire to witness beauty, and starts with the very word “sound,” song is of crucial import. If we overview the canto once more, a pattern emerges. In the first part, we see a man trying to achieve or understand beauty (*noigandres*); this is emblemized in the unattainable but promising cry of the nightingale, a sort of *nous*. In the second part, we see the man that fell victim to beauty (d’Este); the sound associated with him is cursing and ranting. In the scene of the *lotophagoi*, we saw men who are not even trying any longer; their symbol was the

thundering sound of the doomsday waterfall. In the last section, we see people corrupted by luxury and lust,<sup>14</sup> who “misdirected their will,” not unlike the *lotophagoi*, but who came to this stance not through suffering but by choice. Their sound is utter, unbreakable silence. No wonder that even Este’s earlier warning (“Peace! keep the peace, Borso.” [20:91]) is truncated, since it cannot penetrate the solid silence. Instead, the ellipsis shows the failed effort to pierce through the crystallized soundlessness: “Peace! Borso . . . , Borso!” (20:95).

Canto 20 thus shows a vision of *paradiso terrestre*, populated, characteristically of Pound, by poets and artists, but also reminds us through stories and myths that unwavering dedication and resistance to temptation are essential to achieve such an idyll. The *femmes fatales* of the canto are depicted in the full glory of their ambivalence: they represent both the ultimate beauty and feminine life force, but are also the source of misery and destruction. Maybe the most appealing aspect of this canto is exactly its ability to present two sides of the same coin with equal zeal. Most notably, its sensual focus (with a strong visual and even stronger aural drive) creates a lasting impression of both paradise and the lack of it. Ultimately, both the beauty and the resentment linger long: *ligur’ aoide*.

### Appendix Ezra Pound: Canto XX

Sound slender, quasi tinnula,  
Ligur’ aoide: Si no’us vei, Domna don plus mi cal,  
Negus vezer mon bel pensar no val.”  
Between the two almond trees flowering,  
The viel held close to his side;  
And another: s’adora”.  
“Possum ego naturae  
Non meminisse tuae!” Qui son Properzio ed Ovidio.

The boughs are not more fresh  
where the almond shoots  
take their March green.  
And that year I went up to Freiburg,  
And Rennert had said: Nobody, no, nobody  
Knows anything about Provençal, or if there is anybody,  
It’s old Lévy.”  
And so I went up to Freiburg,

<sup>14</sup> As Peter Liebrechts has pointed out in his monograph, a draft for Canto 20 shows clearly that Pound envisioned the last scene as a reconfiguration of Circe’s island (184). However, he apparently did not wish to overstretch the Odysseian element of the canto, and abandoned the draft for the sake of a generic depiction of carnal desire (Vanoka) and luxury.

And the vacation was just beginning,  
The students getting off for the summer,  
Freiburg im Breisgau,  
And everything clean, seeming clean, after Italy.

And I went to old Lévy, and it was by then 6.30  
in the evening, and he trailed half way across Freiburg  
before dinner, to see the two strips of copy,  
Arnaut's, settant'uno R. superiore (Ambrosiana)  
Not that I could sing him the music.  
And he said: Now is there anything I can tell you?"  
And I said: I dunno, sir, or  
"Yes, Doctor, what do they mean by *noigandres*?"  
And he said: Noigandres! NOIgandres!  
"You know for seex mon's of my life  
"Effery night when I go to bett, I say to myself:  
"Noigandres, eh, *noigandres*,  
"Now what the DEFFIL can that mean!"  
Wind over the olive trees, ranunculæ ordered,  
By the clear edge of the rocks  
The water runs, and the wind scented with pine  
And with hay-fields under sun-swath.  
Agostino, Jacopo and Boccata.  
You would be happy for the smell of that place  
And never tired of being there, either alone  
Or accompanied.  
Sound: as of the nightingale too far off to be heard.  
Sandro, and Boccata, and Jacopo Sellaio;  
The ranunculæ, and almond,  
Boughs set in espalier,  
Duccio, Agostino; *e l'olors* –  
The smell of that place – *d'enoï ganres*.  
Air moving under the boughs,  
The cedars there in the sun,  
Hay new cut on hill slope,  
And the water there in the cut  
Between the two lower meadows; sound,  
The sound, as I have said, a nightingale  
Too far off to be heard.  
And the light falls, *remir*,  
from her breast to thighs.

He was playing there at the palla.  
Parisina – two doves for an altar – at the window,

*“E’l Marchese*

*Stava per divenir pazzo*

after it all.” And that was when Troy was down  
And they came here and cut holes in rock,  
Down Rome way, and put up the timbers;  
And came here, condit Atesten...

“Peace! keep the peace, Borso.”

And he said: Some bitch has sold us

(that was Ganelon)

“They wont get another such ivory.”

And he lay there on the round hill under the cedar  
A little to the left of the cut (Este speaking)

By the side of the summit, and he said:

“I have broken the horn, bigod, I have

“Broke the best ivory, l’olofans.” And he said:

“Tan mare fustes!”

pulling himself over the gravel,

“Bigod! that buggar is done for,

“They wont get another such ivory.”

And they were there before the wall, Toro, las almenas,  
(Este, Nic Este speaking)

Under the battlement

(Epi purgo) peur de la hasle,

And the King said:

“God what a woman!

My God what a woman” said the King telo rigido.

“Sister!” says Ancures, “’s your sister!”

Alf left that town to Elvira, and Sancho wanted

It from her, Toro and Zamora.

“Bloody spaniard!

Neestho, le’er go back...

in the autumn.”

“Este, go’ damn you.” between the walls, arras,

Painted to look like arras.

Jungle:

Glaze green and red feathers, jungle,

Basis of renewal, renewals;

Rising over the soul, green virid, of the jungle,

Lozenge of the pavement, clear shapes,

Broken, disrupted, body eternal,

Wilderness of renewals, confusion

Basis of renewals, subsistence,

Glazed green of the jungle;

Zoe, Marozia, Zothar,

loud over the banners,  
 Glazed grape, and the crimson,  
 HO BIOS,  
         così Elena vedi,  
 In the sunlight, gate cut by the shadow;  
 And then the faceted air:  
 Floating. Below, sea churning shingle.  
 Floating, each on invisible raft,  
 On the high current, invisible fluid,  
 Borne over the plain, recumbent,  
 The right arm cast back,  
         the right wrist for a pillow,  
 The left hand like a calyx,  
 Thumb held against finger, the third,  
 The first fingers petal'd up, the hand as a lamp,  
 A calyx.  
         From toe to head  
 The purple, blue-pale smoke, as of incense;  
 Wrapped each in burnous, smoke as the olibanum's,  
 Swift, as if joyous.  
 Wrapped, floating; and the blue-pale smoke of the incense  
 Swift to rise, then lazily in the wind  
         as Aeolus over bean-field,  
 As hay in the sun, the olibanum, saffron,  
 As myrrh without styrax;  
 Each man in his cloth, as on raft, on  
         The high invisible current;  
 On toward the fall of water;  
 And then over that cataract,  
 In air, strong, the bright flames, V shaped;  
         Nel fuoco  
 D'amore mi mise, nel fuoco d'amore mi mise...  
 Yellow, bright saffron, croceo;  
 And as the olibanum bursts into flame,  
 The bodies so flamed in the air, took flame,  
         "...Mi mise, il mio sposo novello."  
 Shot from stream into spiral,  
  
 Or followed the water. Or looked back to the flowing;  
 Others approaching that cataract,  
 As to dawn out of shadow, the swathed cloths  
 Now purple and orange,  
 And the blue water dusky beneath them,  
         pouring there into the cataract,

With noise of sea over shingle,  
     striking with:  
         hah hah ahah thmm, thunb, ah  
         woh woh araha thumm, bhaaa.

And from the floating bodies, the incense  
     blue-pale, purple above them.

Shelf of the lotophagoi,  
 Aerial, cut in the aether.

    Reclining,

With the silver spilla,  
 The ball as of melted amber, coiled, caught up, and turned.  
 Lotophagoi of the suave nails, quiet, scornful,  
 Voce-profondo:

    “Feared neither death nor pain for this beauty;  
 If harm, harm to ourselves.”

And beneath: the clear bones, far down,  
 Thousand on thousand.

    “What gain with Odysseus,  
 “They that died in the whirlpool  
 “And after many vain labours,  
 “Living by stolen meat, chained to the rowingbench,  
 “That he should have a great fame  
     “And lie by night with the goddess?  
 “Their names are not written in bronze  
     “Nor their rowing sticks set with Elpenor’s;  
 “Nor have they mound by sea-bord.

    “That saw never the olives under Spartha  
 “With the leaves green and then not green,  
     “The click of light in their branches;  
 “That saw not the bronze hall nor the ingle  
 “Nor lay there with the queen’s waiting maids,  
 “Nor had they Circe to couch-mate, Circe Titania,  
 “Nor had they meats of Kalüpsö  
 “Or her silk skirts brushing their thighs.  
 “Give! What were they given?

    Ear-wax.

“Poison and ear-wax,  
     and a salt grave by the bull-field,  
 “*neson amumona*, their heads like sea crows in the foam,  
 “Black splotches, sea-weed under lightning;  
 “Canned beef of Apollo, ten cans for a boat load.”  
 Ligur’ aoide.

And from the plain whence the water-shoot,

Across, back, to the right, the roads, a way in the grass,  
The Khan's hunting leopard, and young Salustio  
And Ixotta; the suave turf  
Ac ferae familiares, and the cars slowly,  
And the panthers, soft-footed.  
Plain, as the plain of Somnus,  
    the heavy cars, as a triumph,  
Gilded, heavy on wheel,  
    and the panthers chained to the cars,  
Over suave turf, the form wrapped,  
Rose, crimson, deep crimson,  
And, in the blue dusk, a colour as of rust in the sunlight,  
Out of white cloud, moving over the plain,  
Head in arm's curve, reclining;  
The road, back and away, till cut along the face of the rock,  
And the cliff folds in like a curtain,  
The road cut in under the rock  
Square groove in the cliff's face, as chiostri,  
The columns crystal, with peacocks cut in the capitals,  
The soft pad of beasts dragging the cars;  
Cars, slow, without creak,  
And at windows in inner roadside:  
    le donne e i cavalieri  
    smooth face under hennin,  
The sleeves embroidered with flowers,  
Great thistle of gold, or an amaranth,  
Acorns of gold, or of scarlet,  
Cramoisi and diaspre  
slashed white into velvet;  
Crystal columns, acanthus, sirens in the pillar heads;  
And at last, between gilded barocco,  
Two columns coiled and fluted,  
Vanoka, leaning half naked,  
    waste hall there behind her.  
"Peace!  
    Borso..., Borso!"

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Fiction/1:  
Rereading the Classics



## The Key to Universal Quixotism: Cervantes' Influence on Sterne's *Tristram Shandy*<sup>1</sup>

OANA-ROXANA IVAN

For centuries, Cervantes's *Don Quixote* and Sterne's *Tristram Shandy* have lost neither their eminence in literature nor their influence upon it. Both books were successful shortly after their first publication, being translated into major European languages. The influence that both works exerted upon writers of various periods has been discussed extensively in critical studies (Allison Peers 227; Ardila 23; Bannet 563). Apart from critics' emphasis on the influence that Cervantes's masterpiece had upon *Tristram Shandy*, Sterne himself calls the reader's attention to this matter. In *Tristram Shandy*, the entire text provides evidence of Cervantes's influence in terms of style, narrative method, humour, and characters.

Similarities between the quixotic and the shandean characters are more than striking; in fact, Sterne's great novel portrays a complete cast of quixotic characters. Yorick is literally a Quixote, portrayed riding his old horse—similarly to Don Quixote and the crippled Rosinante—, while the Shandies are Quixotes due to their “hobby-horses”, that is, their particular hobbies or customs converted into obsessions that determine their entire way of being and acting. For this reason, Susan Staves refuses to pinpoint any of the main characters of *Tristram Shandy* to be the most “Cervantic”, arguing that “*Tristram Shandy* shows us not just one eccentric Quixote isolated from sane humanity by his eccentricities but rather a vision of all men as equally eccentric quixotes isolated from each other” (Staves 202).

One of Sterne's most significant contributions to Quixotism is a result of this proliferation and diversification of quixotic figures: the idea that Quixotism is universal. According to this view, each and every one of us can be proved to carry within himself or herself a quixotic figure to a smaller or greater extent. The same idea had also been formulated by Samuel Johnson who, after referring to the chivalric fantasies and dreams of Cervantes's knight, declares that few readers could deny having similar visions and concludes: “When we pity him, we reflect on our own disappointments; and when we laugh, our hearts inform us that he is not more ridiculous than ourselves, except that he tells what we have only thought. (Johnson qtd. in Knowles 281)

Thus, Quixotism acquires a new interpretation and understanding, which moves away from seeing it as simple madness or enthusiasm and goes beyond its humour and eccentricity: it no longer stands for deviation from the norm, but it is the norm itself. Apart from this proliferation of domestic quixotic figures, which

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universalizes the concept of Quixotism, Sterne brought forth another important contribution to the Cervantine field, by inserting a third Shandy into his novel: the narrator. His quixotic aspiration to describe his life in an exhaustive way, together with the particular method he is using to do so, result in a mere parody of the genre, emphasising the impossibility of fulfilling such a task. Thus, Sterne displays the impossibility of the mimetic aspiration which defines the early English novel and at the same time utilizes a new Cervantine mimesis.

Since the hobby-horse is introduced by Tristram for the purposes of characterization, it seems appropriate to begin an analysis of the structural distribution of this motif by looking at the different characters to which it is applied, directly or indirectly. We should also bear in mind that the only action these characters actually perform in the novel is “riding” their “hobby-horses”: this can be clearly related to the knight’s obsession with knight-errantry. Even some of the least important of Sterne’s characters are engaged in this activity. No matter whether we take the major or the minor figures, we soon realize that the hobby-horse is no innate trait that dominates the entire personality or the entire life of a character. Therefore, it does not threaten to reduce the character to a psychological type, nor does the author develop him entirely out of a specific trait. In other words, Sterne’s characters are very different from the characters created by Ben Jonson, as they are much closer to the characters of Cervantes. Moreover, the relationship between Don Quixote and Sancho Panza was also—crucially—adopted by Sterne, so Cervantes’s influence cannot only be seen in single characters but, particularly, in character pairings, such as Walter and Toby, or Toby and Trim.

Tristram focuses his concept of the hobby-horse, however universal, on three chief characters. Parson Yorick is a first Quixote. Sterne’s indebtedness to Cervantes can be recognised in a tribute that Tristram pays the cleric in the form of a comparison, since he thinks the parson’s character “comes up to any of the honest refinements of the peerless knight of *La Mancha*” (*TS*. I. 10:16). The parson has always been compared to Don Quixote. His hobby-horse is literally his horse, which he lends to everybody and refuses to replace with the good horses he used in the beginning of his parsonic career. Both characters have to be admired riding their run-down jades. Like Quixote, Yorick has the “spare” figure of his crippled horse, and has to fear constantly that, on account of his unconventional behaviour, the public mistakes his good intentions:

The parson we have to do with, had made himself a country-talk by a breach of all decorum, which he had committed against himself, his station, and his office;—and that was, in never appearing better, or otherwise mounted, than upon a lean, sorry, jack-ass of a horse, value about one pound fifteen shillings; who, to shorten all description of him, was full brother to *Rosinante*, as far as similitude congenial could make him . . .  
(*TS*. I. 10: 13)

As the comparison with Don Quixote's Rosinante shows, Yorick's horse is even worse off than its famous Spanish ancestor, which is at least "a horse at all points" (*DQ*. I.X. 18–21). The sexual allusion seems quite relevant here, for we must remember that this lean horse is just a replacement for the good ones Yorick rode earlier. Nonetheless, the reader is never told what the good horses looked like, just as later he is never told what the Widow Wadman looks like. But the literary allusion changes the meaning and function of the "real" horse and its rider: it qualifies their relationship as a role or a mask, which does nothing but cover up the real (and much more intense) relationship that Yorick once had with his good horses.

Yorick is, in a sense, a "living" character, who coincides with Sterne himself in various ways: in the writing and publishing of a sermon on Conscience, in the hobby-horse of satiric jesting, and in the sad consequences of riding such a hobby-horse. That the death in the novel is Yorick's, and that Yorick is in a way a representation of Sterne, and that the page therefore represents self-pity for an event which has not happened, is comically ironic: here is grief without any external cause, grief at one's own eventual death that is most comically and pitifully felt by all human beings. Even at death's door, Yorick is inspired by the Spanish hero: his last words are reported with an allusion to Sancho Panza's suffering, when he utters them "with something of a *Cervantick* tone" (*TS*. I. 12:22). Here, Sterne associates Yorick with Sancho because he is a truth-teller, not a deluded Quixote like all other characters in the novel. Nonetheless, Sterne's Yorick is at all times the Fool, and was purposely and appropriately named after him. As a Fool, both laughable and lovable, he lets himself get involved in such hopeless situations as the one concerning his horse. Yorick loved a fine horse; his neighbours loved riding his horse; Yorick loved his neighbours and therefore hardly ever rode his own horse. Yorick's solution to this problem is none other than the comic solution to life as a whole: rather than worrying about a new horse all the time, or tormenting himself about the worsening condition of the old one, he was "content to ride the last poor devil, such as they had made him, with all his aches and infirmities, to the very end of the chapter" (*TS*. I.10: 16). Therefore, if things are so bad that they cannot get worse, one may as well laugh at them and enjoy them. That Tristram accepts the value of his philosophy is apparent not only in his approval of Yorick's behavior, but in the very act of writing his own history, which is at once a hopeless task, and still very entertaining.

Toby Shandy is a second Quixote. Uncle Toby's hobby-horse is war—but war reduced from the War of the Spanish Succession miniaturized and displayed on a peaceful bowling green. Toby's chivalric romances are books of military science, an eighteenth-century Quixotism in which real events (the siege of Namur) are appropriated into the "romance" world of fortification. Similarly to Don Quixote, Toby is neither interested in money nor does he have to earn his livelihood. After retiring from the army he devotes himself completely to his hobby-horse: the fortifications. He is engaged in his military hobby as fixatedly as Don Quixote was engaged in knight-errantry:

In the second year my uncle Toby purchased Ramelli, and Cataneo, translated from the Italian;—likewise Stevinus, Marolis, the Chevalier de Ville, Lorini, Cochorn, Sheeter, the Count de Pagan, the Marshal Vauban, Mons. Blondel, with almost as many more books of military architecture, as *Don Quixote* was found to have on chivalry, when the curate and barber invaded his library. (TS. II. 3: 60)

Recuperating only slowly from the wound he suffered at Namur, he can hardly wait to put his plans into action and create a miniature fortification which he can reorganize again and again in his garden. Toby's move from Walter's house in London back to Shandy-Hall is a reminder of Don Quixote's setting out for adventure, although the event of returning home seems to preclude the general idea of adventure, and is therefore similar to all other Shandean counter-movements. Karl H. Löschen (78) has pointed out that Toby's miniature world is not equivalent to Don Quixote's high ideals, even though Toby puts all his money into his hobby and is, similarly to the Spanish knight, all wrapped up in his martial world of ideas. But his hobby-horse never loses the character of a child-like miniature world. The bowling green is essentially a giant playground, and Uncle Toby, guilty by association, is no more than an overgrown child. Toby and Don Quixote both share the heroic image of a soldiery, but Toby puts his military hobby into action in a more minor way than Don Quixote does. In order to help the oppressed, the Spanish knight goes out and takes action in the real world. Uncle Toby does not venture out, but reigns over a miniature world and instead of fighting he whistles *Lillabullero*. Both Uncle Toby's and Don Quixote's attacks are comic, but Toby's are even absurd.

Toby's "Hobby-Horsical" Sancho Panza is Corporal Trim, who goes along with his humour, adopts it himself, and, like Sancho, is "voluble" in reverse. The relation between Toby and Trim has been regarded again and again as one of the most striking parallels between *Don Quixote* and *Tristram Shandy*. Like his Spanish counterpart, Trim is also talkative, and he takes pleasure in cheering up his master by telling him stories. The frustration and anguish that Toby felt as a result of his complete puzzlement with words, accompanied by his inability to express the exact nature of his wound to other people and to himself, is relieved to a greater extent by Trim's happy suggestion of a visible replacement for mere-wounds: the bowling green. Not only do the models remove ambiguity from his military vocabulary, but they also reduce the events which gave rise to his original confusion down to a comfortable dimension. It is this combination of visibility and smallness that makes the fortifications comic, or rather they make Uncle Toby comic, and similar to any gentleman who confines himself to riding trains by playing with electric models.

Furthermore, Trim's constant address "Your Honour" is reminiscent of Sancho's "Your Worship", "Your Highness" or "Your Grace". No matter how absurd his master's plans are, the faithful servant always accompanies Toby, even in his wooing of Widow Wadman. Trim himself is very much devoted to his master's hobby-horse. He therefore never talks Toby out of his plans—on the contrary, he supports his master and puts ideas into his head. In this respect, Trim is not such a

realist as Sancho. In fact, Corporal Trim has traits of both Cervantic characters: Sancho Panza *and* Don Quixote. For this reason, the relationship between Trim and Uncle Toby is original in its own right. The reader of *Tristram Shandy* is not confronted with a disciple who is characterized by a realistic perspective, but a servant who shares his master's obsession and who carries his master's hobby-horse to the extremes.

Walter Shandy is a third Quixote. Walter's hobby-horse is system-building, and we can only suppose it was a result of too much reading. Susan Staves regards Walter Shandy with his scholasticism as an "ideological Quixote" (Staves 202), who is trapped in his peculiar ideas. His interest in scientific treatises of any kind, particularly in those concerning the most far-fetched themes, joins the excessive reading of chivalry or fortifications. Walter, "the philosopher in grain, speculative, systematical" (*TS*. I. 21: 46), "saw all things in lights different from the rest of the world" (*TS*. VI. 24: 311). Similarly to Don Quixote, he disguises the absurdity of his theories with his refined oratory and "the most *Cervantick* gravity" (*TS*. III. 10: 113).

One consequence of his hobby-horse is the naming of his son. Both Don Quixote's and Cervantes's "seriousness" is explicitly evoked as we are introduced to Walter's theory of names. On the point of presenting a few of his father's hypotheses about the preconceptions regarding the influence of good or bad names on characters, Tristram draws a comparison between his father and Don Quixote:

The Hero of *Cervantes* argued not the point with more seriousness,—nor has he more faith,—or more to say on the powers of Necromancy in dishonouring his deeds,—or on Dulcinea's name, in shedding lustre upon them, than my father had on those of Trismegistus, or Archimedes, on the one hand—or of Nyky and Smikin on the other. (*TS*. I. 19: 35)

Walter Shandy and Don Quixote are equally convinced of the importance and necessity of their actions and they both act with appropriate seriousness. Walter is comic rather than satiric only because of the inevitable failure of each of his attempts to control his family and surroundings. According to Löschen (57), Walter's ideals, similarly to those of his brother, are not as impressive as Don Quixote's were. He does nothing to modify the things he laments over, and therefore the comedy is again reduced to absurdity. Don Quixote's combats are humorous, but the tragedy of the defeats remains, whereas the tragedy of the injury which Tristram suffers at birth is not expressed by the father's grief. Instead, the situation becomes absurd.

Walter is not really different from his brother Toby. While the one uses models to understand the facts of reality, the other uses words and uses them indeed as if they were models, to make the facts of reality fit a neat and pleasant pattern, which they do not normally do. The relationship between the two brothers is also very much similar to the relationship between Don Quixote and Sancho Panza. Numerous highly amusing conversations result from their divergent dispositions. However, the distribution of roles is not as clear as in the case of Uncle Toby and Trim. On the one hand, Toby is Walter's Sancho Panza. Toby's pragmatic and Walter's philosophical

attitude can be compared to Sancho's realism and Quixote's idealism. Just as Sancho points out accurate facts to his master, Toby's pragmatic attitude forms a contrast to Walter's philosophical affectation, which gives Walter's speculations an even more comic appearance. At the same time, Walter's attempt to introduce Toby into his system of speculations and theories is condemned to fail just as Don Quixote's efforts to convince Sancho of the accuracy of his visual perceptions were doomed to be unsuccessful. Walter has no choice but—similarly to the Spanish knight—to shake his head in disenchantment. Walter uses his theories to sustain his view of the order of reality and the nobility of man, and rejects as blatant nonsense any expressions that do not concord with his assumptions. His rejection is as ridiculous and magnificent as Uncle Toby's bowling green activities are. His narrow-mindedness is absurd, especially if we think of him as a philosopher. He seems determined to protect his dignity from unworthy explanations, from disgraceful hypotheses. The character's determination to make the best of himself and of life takes the comical form of a hobby-horse, and Sterne in his dramatized dissertation on hobby-horses demonstrates both the comedy and the nobility of man, who is no more than “a homunculus with props”, but who eventually manages to survive, to exist.

Tristram Shandy himself is a member of the Cervantic cast. As the Shandy family did nothing in the way any other family would, it is fitting that Tristram, its descendant and historian, should be unlike any other family chroniclers. His father had predicted this singularity, in words which Sterne appropriates to himself:

My uncle Toby well remembered, upon his observing a most unaccountable obliquity (as he called it) in my manner of setting up my top; and justifying the principles upon which I had done it,—the old gentleman shook his head, and in a tone more expressive by half of sorrow than reproach, he said his heart all along foreboded, and he saw it verified in this, and from a thousand other observations he had made upon me, that I should neither think nor act like any other man's child.

(TS. I.3: 5)

Thus, Toby's hobby-horse, a positive, harmless version of Walter's, serves as a parallel to the central hobby-horse of the novel: that is, Tristram's writing of *The Life and Opinions of Tristram Shandy*, which is a quixotic quest in its own right. It is characterized by reconstructing, along the lines of Toby's recreation of the Siege of Namur, the early traumas that have definitely shaped his life, which is at the same time the therapy for dealing with them. His constant struggle with linearity and chronology can be compared to the recurrent combats Don Quixote is involved in. Thus, Tristram's writing project, his hobby-horse, works according to the same pattern as Toby's, progressing from words to signs to gestures and spatial re-creations of the experience.

With more than one Quixote in the novel, the hobby-horse not only collides with the whole “world”, but with other hobby-horses as well. The hobby-horse itself serves both to defend its owner from others and to trigger empathy from them—it first

produces laughter, followed by empathy and attachment. Of all characters, the hobby-horse is perhaps most valuable to Tristram, for it enables him to laugh straightforwardly. This means that in his case, the need for a mount with which to overcome hurdles is replaced by a readiness to laugh, which is derived from his rides on his hobby-horse. His sitting down to write represents a conscious search for an explanation, or at least a justification, for his life, and it is illustrated by mounting his hobby-horse: by attempting to order his life into the neat and logical pattern of “My Life and Opinions”. He even succeeds in overcoming the need for justification and logic by laughing at it all, by stumbling on the road and enjoying it. Thus, Tristram does not chase away his hobby-horse, but he continues writing his book even after the first few exhilaratingly muddled pages. He chooses to continue, for the little young horse turns out to be amusing (in) itself.

All in all, we can trace Sterne’s admiration for Cervantes throughout the whole of the nine volumes of his novel. He paraphrases and echoes Cervantes time and again. It is worth noting that all the allusions in the book are uttered in an admiring tone. As there are also evident traces of Sterne’s admiration for Cervantes in *A Sentimental Journey* as well as in his *Letters*, one can assume that not only the fictional character/narrator Tristram Shandy, but also the author himself admires Cervantes. The many allusions to Cervantes, Don Quixote and Sancho Panza that occur throughout *Tristram Shandy*, the recurring topic of the hobby-horse, and the humour of the juxtaposition between certain characters, show clearly that Cervantes was one of Sterne’s models.

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## Lady Susan as the Great Exemplar of Dysfunctional Parenthood in Jane Austen's Fiction

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In this paper, I will examine the ideals of parenthood, the home and family life in Jane Austen's fiction. Although it might seem that her stories abound in ideal families and perfect parents, this is in fact not the case. What is more, even happy couples are hard to find. That is why I intend to investigate these issues and highlight what backgrounds the heroines (and heroes) of Austen's stories come from and what 'baggage' they carry into their own marriages and family lives. As Tony Tanner claims, "[i]t was in that transitional period between the parental home and marriage that Jane Austen found her subject" (56): in the "mysteries, . . . possible problems and terrors in the transition from virginity to marriage" (49).

To complicate matters, the parents of the heroines (and heroes) are mostly dysfunctional or dead. Juliet McMaster even states that although marriage is the desired ideal within the stories, the actual couples are usually rather discouraging exemplars of familial bliss: "however marriage may be presented as the consummation most devoutly to be wished for the young people, the examples of couples around them are often far from encouraging" (295). This paper does not cover all cases of bad parenting or family crises; I will focus only on the most significant parental figures, and finally I intend to argue that Lady Susan is the culmination of dysfunctional parenthood in Austen.

As it is well known, Austen herself did not come from a perfect family or an ideal home (and did not acquire such either), nor did her family have an inherited estate or property (Austen-Leigh 20). Experiencing many financial difficulties (Duckworth 3–19, Fergus 5–8), the family belonged to the "pseudo gentry", which signals "small landowners, . . . professional and rentier families" with modest means (Spring 59 quoted in Duckworth 4). Alistair M. Duckworth adds that Austen's father "came from an impoverished generation [of the family line] and his claim to gentry status rested on his connections to rich kinsmen", while her mother was not in a better situation either, since although "[t]he Austens' claim to gentry status was, in fact, stronger on her mother's side . . . , again, adequate financial provision was lacking" (5). In spite of all this, they managed to live relatively pleasantly and comfortably, yet, when, her father died, the women's situation became harder and they reached relative security only toward the end of Austen's lifetime, thanks to other family members (mostly the brothers), but also greatly to her writing (Duckworth 4–14, Fergus 4–11). As it is stated in a recent biopic *Miss Austen Regrets* (2008) by the protagonist herself: "My clever words are [what] put a roof over my head, or over my mother's or over my sister's. I am to be my own husband, it seems, and theirs." (Lovering)

Jane Austen's relationship with her parents was not entirely unclouded, especially considering her mother, with whom she had several conflicts. Although, Austen loved her family and was also beloved, had good relationships with closer and more distant family members, adored her brothers and Cassandra (her sister), with whom they dearly loved each other (Austen-Leigh 27–28, Grey 279), and she also truly loved her father (Austen Leigh 24–129), her family and home were not ideal. Jan Fergus even goes as far as stating (based on various biographers) that “Austen was an embittered, disappointed woman trapped in a thoroughly unpleasant family” (4). Even her surroundings were “[f]ar from being a haven of domestic peace”; in fact, “the rural society in which Jane Austen grew up was . . . seen to be fluid, uncertain, and riven by economic pressures. Moreover, it was a world in which . . . the plight of single women without financial resources could be bleak indeed.” (Duckworth 4) And it is also to be noted that, as it is well-known, Austen never got married or started a family of her own in spite of the fact that she had at least four chances to do so (Bush 26–27, Gray 280–281, McMaster 286–287).

It is hard to define what a good parent or good parenting is, but what seems to be essential is to love one's child/children and to try to do one's best in improving the child/children's character, abilities, and talents in every possible way to bring out the most in them. Good parents should also help their children to become morally good and responsible adults, dutiful citizens, and possibly successful future parents, while in the meantime they should keep in mind what is unique about their child/children. I have provided this list exactly because Austen's fictional parents usually fail to comply with it. Although these characters tend to be rather dysfunctional and mostly make mistakes concerning their children and their upbringing, I also agree with Karen Stohr who states that “[a] good upbringing is not foolproof; even good parents can make mistakes with respect to their children, as Darcy's example shows.” (381) And it is also true that no matter how bad parenting s/he received, a person can turn out quite well in spite of all: “[n]or, apparently, is it [good parenting] required, since Elizabeth and Jane Bennet somehow managed to escape the bad habits that their parents permitted in their younger sisters” (Stohr 381). However, the result of good parenting should be a person with good principles and proper behaviour, as Stohr also suggests: “[i]n general, however, a properly brought up man or woman will not only develop inwardly good principles but will also present himself or herself to the world in a way that exemplifies that inner worth” (381).

The families in Austen's novels are not at all perfect; the homes are quite often in upheaval, struggling with family crises, hardly avoiding disasters. Yet, Austen's mastery of humour and irony as well as her elaborate comic expertise present all this in a way that can delude and deceive the reader at first sight. Here, I would like to begin with a brief survey of major familial problems in the novels. Mr and Mrs Bennet's neglectful and irresponsible parenting attitude culminates in Lydia's elopement in *Pride and Prejudice*—David Gallop calls Mr Bennet “ineffectual,” adding that “[h]e would have made a better father had he cared enough to put his foot down at the right time, or made adequate financial provisions for his daughters” (100). In *Sense and Sensibility*, a striking example is Marianne's inappropriate

behaviour that risks her reputation and results in a major family crisis. In the same novel, John Dashwood's wife is a great antagonist within the Austen oeuvre, and Sir John Middleton's family is also unusual, to say the least, while Mr Dashwood had failed to provide for his wife and daughters in his lifetime. According to Claudia L. Johnson, *Sense and Sensibility* in particular focuses on the lot of women without male protector(s) (52). *Mansfield Park* is a culmination of family wrecks and more than dysfunctional parents, with Fanny's own miserable parents happily giving away children to get rid of them. Certainly, there are the Bertrams with a 'comatose' mother and autocratic-blindfolded father, while the Bertram offspring are wicked and vacuous. But there are also the Crawfords without real parents and an amoral parent-surrogate, who teaches them only vice. Yet, above all, in this novel we find Mrs. Norris—one of the most obnoxious characters ever created, a most terrible non- and anti-mother, an infertile and dysfunctional mother-surrogate, who only causes trouble. Ian Littlewood calls Mrs. Norris "the nastiest of Jane Austen's creations" (vii), while Gilbert and Gubar describe her as "obnoxious . . . , nasty . . . , embittered, manipulative [and] pushy" (170). In addition, this is one of Austen's two novels in which actual adultery occurs (the other one is *Lady Susan*). Johnson argues that "the conservative description of paternal authority" invoked throughout *Mansfield Park* "remarkably fails" (97).

In *Northanger Abbey*, General Tilney is an almost Gothic tyrant who ruthlessly uses and discards people if proved to be non-beneficial and who disregards his children's feelings and needs. As Bush comically observes, "[i]n reality as well as in Catherine's mind he becomes almost a fairy-tale ogre" (67). Tanner also states that the imagined evilness of the Abbey turns out to be real evil in the owner and that the General transforms into "an incomprehensible monster" (43). Mr Woodhouse, in *Emma*, is a whimpering "old woman" (Johnson 123) or a helpless child to be taken care of by his own daughter, who is thereby relegated to the mother's status (Tanner 200). And, finally, in *Persuasion* Sir Walter entirely disregards anything or anybody who is not to his taste, mismanaging his estate (almost ruining the family even financially) as well as his children (being especially unkind to Anne). Nicola Humble states that he is just like a silly society woman or a Mrs Bennett in a male body, being "foolish and worldly, unfit to exercise the parental and social authority fate has bestowed on him" (vii). In addition, Johnson declares that it is actually Lady Russell, an elderly female friend, who stands in the place not simply of a (dead) mother but also a 'parent' "to replace a living but morally dysfunctional father" (155).

Considering "the diminished authority, responsibility, and effectuality" of Austen's failing father figures, Tony Tanner concludes that "[i]n general, this means that the heroine lacks the guidance and support—the directive and constructive authority—which she, as a child needs" (45–46). Thus, the heroines all seem to be either literally or figuratively fatherless. Gail Cunningham agrees by stating (about Mr Bennet, but alluding to all parental figures) that "his general failings as a father are those commonly displayed by Austen's parental figures—lack of firmness and control, indolence, neglect of duty . . ." (ix). Sandra Gilbert and Susan Gubar are also of the opinion that the heroines' fathers are generally "inadequate" and these girls set

out to find “better, more sensitive men” to marry, who are usually “older and wiser” and who “amorously master” them (154). However, Gilbert and Gubar also state that not only the father but also the mother is inadequate and that it is “the [found] man’s house . . . where the heroine can retreat from both her parents’ inadequacies and the perils of the outside world” (ibid). They argue that since these girls/daughters within the stories are either “literally or figuratively motherless”, they search for security through men. Despite their mothers’ evident examples of “how debilitating marriage can be, [still] they seek husbands in order to escape from home” (125), mostly generating and reproducing the same problems and mistakes. They even go so far as stating that it is matrophobia that motivates most of the young girls’ marriages (125–126).

Another unique feature of Austen’s ‘family politics’ is that her stories abound in dead parents, consequently, in widows and widowers. What is more, the mothers are the ones who are more frequently dead within the stories thus disrupting the family unity and generating a lack. Without going into a psychosexual analysis it may be suggested that Austen was perhaps trying to resolve a (belated) Electra complex or just her conflictual relationship with her mother in a symbolic way by often ‘killing off’ the mothers in her stories. Laura Fairchild Brodie discusses the abundance of widowhood in detail and ponders: “[o]n a personal level, Austen lived each day after 1805 with the economic consequences of her own mother’s widowhood” (699). In addition to the social and historical realities of Austen’s time, Brodie also comments on financial aspects highlighting how important money was concerning the power and possibilities of (widowed) women: “Austen’s widows serve as her primary agents for exploring feminine energies not channelled toward marriage. As her wealthy dowagers . . . spar with young brides-to-be, they remind us that money, not sexuality, often proves to be the more permanent source of women’s power.” (699)

Nevertheless, even if a mother is still alive in Austen’s novels, she is almost never a ‘good’ one. Of course, Mrs Bennet is a prime example of the failed, yet very active, mother, whom Bush describes through her daughter Lydia as being “only a pleasure-loving animal devoid of mind and principle” (104). But Mrs Dashwood is not more effective in managing her daughters either (yet, she is mostly passive) and it is also true about her that her daughter, Marianne, is almost her replica (Bush 78). However, Lady Bertram is the most extreme case of passivity since she is hardly even conscious throughout the story—Gilbert and Gubar label this type of behaviour as “suicidal somnambulism” (183) and Bush calls her “bovine” (111). Only the mother of Catherine Morland is depicted as more or less caring: she tries and seemingly manages to do something for her children. At the same time, both Anne Elliot and Emma Woodhouse are motherless, ‘blessed with’ quite ineffective, dysfunctional, although well-meaning and caring, mother-surrogates. However, the outcome of their actions are often more harmful than what could have happened if the girls would have been left alone or been raised by their fathers only. Lady Russell, at least, develops to some extent and tries to make amends, and therefore she is much more of a round character than Austen’s mothers in general. But the Miss Taylor/Mrs Weston character is entirely flat: she does not do much harm, ‘just’ mismanages Emma,

failing to improve a talented child and to turn her into the excellent woman she could become.

All these women fail in their maternal duties but are capable of development or correcting mistakes, except for Mrs Norris (a ruthless, mean, arrogant, aggressive troublemaker and a static character), who is not only a non-mother but who also fails as a mother-surrogate, while being absolutely certain that she is the best at her job. Gilbert and Gubar even go as far as to suggest that most of the mothers and surrogate mothers “seek to destroy their docile children” while being “pushy and dangerous . . . destructive and disagreeable” (170). They also add that the “‘good’ mothers in Austen’s fiction . . . are passive because dead, dying, or dumb” (171), yet these ‘good mothers’ are the ones who are able to ‘teach’ the young girls that growing up as a lady and becoming a good wife and mother means “a fall from freedom, autonomy, and strength into debilitating, degrading, ladylike dependency” (177)—something they have to reproduce in their daughters for the sake of survival (154, 156, 160).

Having considered numerous bad parents in Austen’s works, now I would like to discuss one character in particular as the most outstanding example of a failed mother and a dysfunctional parent, as well as a merry widow: Lady Susan. Brodie suggests that “[i]n Lady Susan, Austen began her career as a novelist by complicating the stereotype of the Merry Widow” (699). Margaret Drabble calls her an “astonishing anti-heroine . . . , an alarming creation” (Drabble xiv quoted in Brodie 700). Brodie agrees that Lady Susan is rather “uncharacteristic” and “alarming” as “Austen’s first heroine” since she relentlessly assaults “matrimonial norms” by attempting

to block the marriage of her brother; she plans a miserable match for her daughter and an inappropriate union of herself to a younger man; she causes the breakup of one acquaintance’s marriage and looks forward to another friend’s widowhood. In her final act in the novel, Lady Susan thwarts the marital ambitions of a younger woman by marrying that woman’s prospective lover. (700–701)

Douglas Bush opines that *Lady Susan* is unique within the Austen canon due to its “relentless hardness” and calls Lady Susan Vernon “unprincipled” in her endeavours “to maintain and enhance her social position and her power over others” (53). He also adds that the pain and injury this “female monster” causes to a great number of people through manipulation and deception are so lasting and real that this “breaks the expected mould and tone of social comedy” (53–54).

Juliet McMaster also calls Lady Susan “the most abandoned and unscrupulous character in Jane Austen’s fiction . . . , who specializes in a show of virtue while carrying on an affair with a married man and several separate courtships,” and she adds that Lady Susan resembles Fielding’s hypocrites (294–295). What is more, Austen is the most explicit about sexual immorality in this novel, and goes into detail about “the lady’s wiles and machinations” (295). Ruth apRoberts also emphasizes that *Lady Susan* is the only one among Austen’s works that entirely focuses on an

“immoral character”; she calls her a “female rake” (256) and comments that “this little novel . . . explores the psychology of evil—attractive, witty, intelligent evil” (259). Margaret Drabble also emphasizes how unusual it is what Austen does with this character: “Here, Jane Austen is showing us the mind of a ‘wicked woman’ in action, from within, an exercise which she was not to attempt again. She was to attempt folly and frivolity and immorality, but never again so directly did she attempt to portray vice.” (12) She also adds that Lady Susan’s cruelty, “flippant remarks” and ruthlessness are unique in Austen’s work (12), even regretting that Austen never returned to a character like Lady Susan in her mature work (Drabble 15).

Geneviève Brassard is also of the opinion that Austen actually likes Lady Susan and does not punish her; what is more, she almost celebrates her cold-hearted motherhood: “[u]ltimately, Lady Susan can be read as a transgressive heroine, and the novel as a subversive text, because Austen applauds her heroine’s pursuit of freedom and rewards her maternal indifference” (28). As a terrible mother Lady Susan stands out because she commits almost everything (except murder) that a mother can do against her child: “Austen’s heroine gleefully transgresses a new concept of maternal devotion by ignoring, abusing, and eventually abandoning her daughter Frederica to her prig in-laws, the Vernons.” (Brassard 27) Brassard highlights Lady Susan’s independence that is incompatible with motherhood: “Lady Susan is an independent spirit who resists the self-sacrifice domesticity and motherhood demand, as well as a ventriloquist who successfully manipulates the new discourse of maternal devotion when it serves her self-interest” (27–28). In accordance with Brodie, Brassard suggests that Lady Susan rejects matrimony and motherhood because of her excessive sexuality and her love of freedom as she embodies a “subversive challenge to patriarchal authority [through her] rejection of affectionate motherhood [that] stems from her irrepressible sexuality, her desire for independence, and her resistance to domesticity and marriage throughout the novel” (28). Brassard adds that “Lady Susan literally and figuratively writes her own life script, using letters to distort the facts and create elaborate fictions in order to remain as long as possible a free agent” (31), which is significant since no other Austen heroine manages to write her own story—or even attempt to do so.

It is also a proof of Lady Susan’s independence and managerial as well as authorial skills that she “consistently and systematically disobeys the men around her: she playfully seduces Reginald for the pure pleasure of changing his poor opinion of her, thus infuriating the jealous Manwaring who has a prior claim on her affections” (Brassard 32). No male figure of authority has power over her since men “cannot control or contain Lady Susan’s tremendous desire to play against the rules” (ibid) as she manages to outwit them all. Brassard again points out that almost all the maneuvering she does is due to her “desire for freedom and agency” which would be required to be given up in the name of female/feminine propriety and she considers propriety only insofar as it provides “liberty of movement” (33). Brassard also states that, in fact, it is not only “her parental neglect” that is her “most dangerous transgression” but her refusal of the “performative roles such as faithful wife, inconsolable widow, and loving mother” that patriarchy requires, what is more, as a

widow she is carrying out “simultaneous flirtations with three suitors within 4 months of her husband’s death [which] is far more threatening to the domestic ideal” than simply being a bad mother (Brassard 43–44). Nonetheless, no matter what battles she has to fight and whether she succeeds, “she remains untamed” and marries Sir James only because she can make him “a mere puppet,” who “will provide her with the financial means to pursue a life of pleasure” while her “flirtatious behavior will probably continue unabated, as it did during her first husband’s life” (Brassard 44–45). Brassard goes even as far as to suggest that “Austen admires Lady Susan’s formidable drive and seemingly forgives her heroine’s maternal defection, as she grants her one of the only choices left to her: the rejection of motherhood” (Brassard 46).

Duckworth names Lady Susan an “evil but superbly articulate widow,” but points out that “[i]n the mimetic representation of hypocrisy, Austen vies with Molière; and the best response to a Lady Susan or a Mary Crawford may be to admire the brilliance of the characterization rather than deplore the immorality of the character.” (18) Gilbert and Gubar discuss the “wicked wilfulness” and the “Machiavellian evil” of Lady Susan through her cruelty to her daughter and her obsessive hatred towards her, but claim that “[s]he is the first of a series of heroines, of varying degrees of attractiveness, whose lively wit and energetic imagination make them both fascinating and frightening to their creator” (155–156). Margaret Drabble also calls her Machiavellian and emphasizes that even her enemies acknowledge Lady Susan’s wit, intelligence, charm and vitality, and that she cannot be called entirely a villain while having “more head than heart” (13). Hence, the complexity and magnificence of her character must be highlighted; however, Brodie also elaborates on the importance of money and power that Lady Susan is actually after:

[h]er relation to the Merry Widow stereotype is in itself subversive; Austen employs the caricature in order to challenge it. Whereas the Merry Widow is often driven by sexual appetite, Lady Susan expresses no physical desire for men. She directs her desire toward psychological dominion over both men and women, dominion achieved through eloquence, not passion. . . . Moreover, Austen complicates the stereotype of the Merry Widow by foregrounding economic and social motivations that inspire Lady Susan’s lust for power. (701)

Nonetheless, she is a “self-declared and unashamed adulteress,” who is “sexually confident” (Drabble 12–13), which eventually helps her on her way of achieving the power, money and agency she strives for.

In my opinion, she is an unusual *femme fatale* figure who happens to have a daughter who is also the *ingénue* of the story. It is quite a witty (although not a new) idea of Austen’s to recreate the traditional *femme fatale*–*ingénue* duality in the context of a mother–daughter relationship. Gilbert and Gubar’s opinion also points in this direction: “the mother’s talkative liveliness and sexuality” as well as “her pursuit of pleasure” is in contrast with her “daughter’s silence and chastity” (Litz 43, Drabble

13–14 cited in Gilbert and Gubar 156). It also has to be added that Austen did not create another *femme fatale* heroine—she is the only one within her oeuvre. Of course, there is Mary Crawford, a perfect *femme fatale* character, yet she is not the heroine of her novel; Lady Susan, however, is. We have already seen that older, tyrannical women are not rare in Austen’s stories, who ‘torture’ a young female, an *ingénue*. Yet, it is Lady Susan who goes the furthest in every sense. For example, this is how she talks about her own daughter: “She is a *stupid girl*, and has *nothing to recommend her*. . . . I do not *mean* therefore that Frederica’s *acquirements* should be more than *superficial*, and I flatter myself that she will *not* remain *long enough at school to understand anything thoroughly*. I hope to see her the wife of Sir James within a twelvemonth.” (*Lady Susan* 51)

Mrs Vernon however sees clearly that Lady Susan is a failed mother when she writes that Frederica “has been *sadly neglected* however, and her mother ought to remember it” (63). When the afflicted Frederica tries to escape upon hearing that she will be forced to marry Sir James, she is taken to the Vernon household where her mother is also a guest and Lady Susan says to Mrs Vernon that “[i]t will be absolutely *necessary* . . . to *treat my daughter with some severity* while she is here;—a most painful necessity” (63)—acting as if it was difficult for her to be harsh with Frederica. Meanwhile her hypocrisy is revealed when she writes to her friend Mrs Alicia Johnson about the same incident:

[t]hat *horrid girl of mine* has been trying to run away.—I had not a notion of her being such a *little devil* before; . . . *she shall be punished*, she *shall* have him. . . . Frederica is too shy I think, and too much *in awe of me*, to tell tales; but if the mildness of her uncle *should* get anything from her, I am not afraid. I trust I shall be able to make my story as good as hers. (64)

Soon after Frederica’s arrival Mrs Vernon realises how Lady Susan tried to mislead them concerning her daughter’s character and that she is a cruel, non-affectionate mother:

[h]er mother has *insinuated* that her temper is *untractable*, but I never saw a face less indicative of any evil disposition than hers; and from what I now see of the behaviour of each to the other, the *invariable severity of Lady Susan*, and the *silent dejection* of Frederica, I am led to believe as heretofore that *the former has no real love for her daughter and has never done her justice, or treated her affectionately*. (66)

After having spent some time with the neglected girl Mrs Vernon adds: “[h]er mother leaves her more to herself now than she did, and I have her with me as much as possible, . . . and though she *never opens her lips before her mother*, she talks enough when alone with me, to make it clear that *if properly treated by Lady Susan* she would always appear to much greater advantage.” (68) Mrs Vernon understands that

Frederica is entirely different from what her mother tried to insinuate. Lady Susan is greatly displeased with her daughter whom she considers a burden and whom she obviously does not love, that is why she silences her and tries to get rid of her. She later writes to her friend when Frederica appeals to the Vernons to save her from marrying Sir James: “I have not yet tranquillized myself enough to see Frederica. *She* shall not soon forget the occurrences of this day. She shall find that . . . [she] exposed herself forever to the contempt of the whole world, and the *severest resentment of her injured mother.*” (76) Yet, Mrs Vernon writes about the same incident while trying to save the girl from the miserable fate her mother intended for her: “[d]o not let Frederica Vernon be made unhappy by that Martin. . . . I *know* that Frederica is made wretched by Sir James’ continuing there. She is a sweet girl, and deserves a better fate.” (77)

Despite Mrs Vernon’s efforts Lady Susan still tries to enforce the marriage disregarding her daughter’s personality and wishes, while being absolutely enraged and blind with hatred: “Frederica shall be Sir James’s wife before she quits my house. *She* may whimper, and the Vernons may storm; I regard them not.” (98) Eventually, Frederica is saved by the Vernons and placed into their home away from her mother who actually forgets about her, marrying her daughter’s intended husband: “Frederica’s visit was nominally for six weeks; but her mother . . . was very ready to oblige the whole party by consenting to a prolongation of her stay, and in the course of two months ceased to write of her absence, and in the course of two more, to write her at all.” (102) [emphases all mine]

Interestingly, those are usually the ideal or perfect couples in Austen’s fiction who are childless. The potentially ‘good’ parents do not have children, although some of them become surrogate parents temporarily, like the Gardiners in *Pride and Prejudice* or the Allens in *Northanger Abbey*. However, the most perfect couple ever created in Austen’s stories are the Crofts in *Persuasion*: “Admiral and Mrs Croft, who seemed particularly attached and happy (Ann could allow no other exception even among the married couples), there could have been no two hearts so open, no tastes so similar, no feelings so in unison, no countenances so beloved” (45). Yet, this couple—in spite of the fact that they are a perfect match, lead a happy life and are an excellent example of marital bliss (without irony this time)—is also childless and elderly or, at least, middle aged.

In spite of all this, Austen seems to remain an optimist who thrusts her heroes and heroines on the thorny path towards familial bliss—or is it just her irony once again? She seems to leave the door open for familial and matrimonial success in her writing, and yet, several critics have pointed out the duplicity of Austen’s happy endings because they arrive so suddenly and almost unexpectedly (Gilbert and Gubar 169). What is more, we must never forget that “[a]lthough Jane Austen writes romantic comedies, she is also a sharp satirist” (McMaster 295). Still, on the basis of the logic of the bildungsroman, the heroes and the heroines have a chance to achieve happiness in marriage and success as parents because they know exactly the problems with/within their (old) families and the mistakes that can be made, but through their

development and the improvement of their characters they have the potential to become better husbands/wives as well as fathers/mothers.

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# Fiction/2: Approaching the Contemporary



## Nekyia or The (Under)World of the Unconscious

BIANCA FOGHEL

*“I have often found psychoanalytic and psychiatric investigations of books a great deal more fertile than purely literary (or classifying) ones.”*

John Fowles (Vipond 110)

John Fowles has repeatedly acknowledged that he was influenced by Jung at the time *The Magus* was being written. As he stated in an interview: “Jung is infinitely more valuable for an artist. One of the Eranos yearbooks (Pantheon Books, 1955) was important for *The Magus*.” (Vipond 203) Elsewhere, he talks about the influence of Jungian psychoanalysis over his fiction in general. “For me,” he writes, “Jung has always been the most fruitful psychologist, that is, most fertile in his effects on any subsequent fiction.” (Vipond 185) The fictional manifestations of this early influence are hard to overlook when discussing the writings of John Fowles, and especially *The Magus*. Indeed, Fowles’s representation of Nicholas Urfe’s search for self-awareness suggests that the novel, now widely read as an existentialist Bildungsroman, could be better grasped in the light of a Jungian reading. The goal of this paper is to reveal the psychological mechanisms illustrated in the novel at character level, by exploring the underlying Jungian background.

From the process of individuation, around which Jung crystallized several of his findings, to the stages implied by such a process and to their corresponding alchemical stages, and from the individual and archetypal structures that build up the self to archaic components that accompany the development of the self, such as the *ego*, the *persona*, the *shadow*, and the *anima/animus*, all important features of Jung’s system can be traced in the Fowlesian oeuvre. However, the overarching Jungian concept traceable in Fowles’s fiction seems to be that of individuation.

### **Individuation in *The Magus***

*“Being an artist is first discovering the self and then stating the self in self-chosen terms”*

(Fowles, *Aristos* 148)

Borrowed from Schopenhauer, the Jungian concept of individuation should not be confused with individualism. The former is a gradual process that seeks to unite the self with an unconscious collective, as opposed to the latter, which means setting oneself in conflict with the collective. Individuation refers to asserting one’s own understanding of the truth, in tandem with a deeper archetypal vision of the same truth and, in doing so, fulfilling one’s potentiality as a human being: “Individuation is an

at-one-ment with oneself and at the same time with humanity” (Jung, *CW* vol. 16: par. 227). John Fowles’s novels are permeated by the same ideal of self-realization; their thematic nucleus focuses on the nature of personal freedom and self-knowledge, as the goal of individual experience, in other words, on “the emergence of the archetypal image of the self” (Dry 96), to use Jungian terms.

The labyrinth of individuation, i.e. of “becoming whole” (Jung, *CW* vol. 11: par. 906) is none other than that of self-discovery, which has been asserted and reasserted since the beginnings of human thought, starting with the Apollonian *nosce te ipsum*. At the centre of this labyrinth lie the unknown facets of the self, those facets that have not yet emerged in a conscious state. Discovering and integrating one’s unconscious side is the key to the labyrinth and one has to delve deep, losing oneself, in order to encounter the unconscious. The intricate path of self-discovery has been symbolically embodied by the ancient and occult depictions of initiation such as Tarot, alchemy, and astrology, which asserted the necessity of self-discovery as a fundamental principle of earthly life. In consonance with the idea of symbolic initiation, Fowles points out that “The primary function of all the great human activities—art, science, philosophy, religion—is to bring man nearer the truth.” (Fowles, *Aristos* 152) However, this is no easy task; it involves a cognitive reconfiguration of the self, which invariably implies self-sacrifice and loss, in the same way as totality can only be formed by uniting fragments.

Similarly, Nicholas has to face and overcome his own illusions that revolve around central concepts such as love, freedom and responsibility, and can only do so by undergoing an excruciating process of disillusionment wielded by the embodiment of a God-image, Conchis. Nicholas’s quest is indeed heroic and tragic at the same time: “the empirical man” undergoes archetypal stages of the quest, whose goal is materialized in “losing oneself”. Individuation is understood as a teleological process, whose completion is equal to the sacred marriage, the *hieros gamos* of the contraries that one is inevitably made of. The hero would have acknowledged and integrated his “darker” side, just as the alchemist would have managed to transmute “impure” metals. Since the self is made up of contraries and all the archetypes it consists of feature a positive and celestial as well as a negative and chthonic side, one of the specific characteristics of individuation is the tendency to erase these contraries within the self, by harmonizing them. But before one is able to harmonize the unconscious, one must acknowledge it, and this is when the concept of *nekyia* comes to the foreground, conveying the Jungian encounter with the unconscious in terms of an archetypal, mythical descent into the underworld; this time, the underworld of ourselves.

### **Nekyia—The Journey into the Unconscious**

Fowles shared Jung’s lifelong interest in the dynamics of individual transformation and development, both of which imply a direct confrontation with the unconscious. This process has been metaphorically described since times immemorial as a journey into the underworld of collective archetypal symbols. “The motif of the Nekyia is

found everywhere in antiquity and practically all over the world. It expressed the psychological mechanism of introversion of the conscious mind into the deep layers of the unconscious psyche.” (Jung, *Analytical Psychology* 41) The universality of the theme of the descent into the underworld (together with the subsequent return) is proven by its central place in such major works as the *Epic of Gilgamesh*, Homer’s *Odyssey*, Virgil’s *Aeneid* and Dante’s *Divine Comedy*.

The ancient Greek cultic practice of *nekyia* has been regarded by Jung as a “night sea journey”, which he described as “a kind of *descensus ad inferos*—a descent into Hades and a journey to the land of ghosts somewhere beyond this world, beyond consciousness, hence an immersion in the unconscious” (Jung, *CW* vol. 16: par. 455).

Both Jung and Fowles experienced *nekyia* in the shape of an epistemological crisis. It is well known that for several years Jung had been ailing with what has come to be called his “creative illness”, which manifested itself as a period of social isolation and profound inner investigation verging on madness. However, it is during this phase of his life that he developed his major theories of the self, of the archetypes and of individuation. He recorded conversations with Salome, embodying the anima or the feminine, and with Philemon, the archetype of the wise man. Fowles underwent a similar period of alienation after returning from the island of Spetsai, the journey which he fictionalized in *The Magus*. In his Foreword to the revised edition Fowles comments: “loss is essential for the novelist, immensely fertile for his books, however painful to his private being” (*Magus* 9). Both experiences can be seen as forms of self-imposed exile, culminating in a revealing journey into the underworld of the self.

Similarly, Nicholas needs to gain “the awareness of something different, the awareness of a contrast between past and present, between present and future” (Jankélévitch 252; my translation) in order to become able to acknowledge his own authenticity and achieve freedom within the self. Therefore, the topography of Nicholas’s inner development is defined by the constant need to escape, to flee from the self he does not yet know or command. This is why he unknowingly needs to travel into the self, or Jung’s central nucleus of the personality, which is represented by the “fenced” island of Phraxos. *The Magus* has been characterized as the “plastic image . . . of a great Dionysian game of the world as system of systems, the surprising plurality of universes Nicholas has to pass through” (Stoian 80).

Nicholas longs to be exiled into a new mystery that would enrich him spiritually, representing “the pursuit of inner wisdom and inner knowledge” (Fowles, *Aristos* 204). He notes just before leaving for Greece:

I was filled with excitement, a strange exuberant sense of taking wing. I didn’t know where I was going, but I knew what I needed, I needed a new land, a new race, a new language; and, although I couldn’t have put it into words then, I needed a new mystery. (Fowles, *Magus* 18)

Thus Greece becomes the paragon of the mystery and is the ultimate embodiment of his inexplicable nostalgia for the unknown, for a place where presence and absence coexist, a place that will teach him precious lessons of life, freeing him from prejudicial conventions. Salami observes here that “this desire to know the unknown is what relates the act of reading to the thematic structure of the novel as a whole” (95); it seems that the reader embarks with Nicholas on this journey of self-discovery, just as the writer had done, and Greece is described as a paradoxical locus that entails both distance and nearness, but is essentially indefinable. This characteristic of being indefinable echoes the intricate construction of the self, while the quest for the self is represented by the prototypical journey described in symbolic terms in all existing cultures, as rites of initiation.

The journey through the underworld of the representational maze is foreshadowed in one of the poems by Ezra Pound, *Canto XLVII*, which is left underlined for Nicholas to read at the beginning of the adventure:

*First must thou go the road to hell  
And to the bower of Ceres' daughter Proserpine,  
Through overhanging dark, to see Tiresias,  
Eyeless that was, a shade, that is in hell  
[...] Knowledge the shade of a shade,  
Yet must thou sail after knowledge.* (Fowles, *Magus* 69)

Imposing exile on himself, Nicholas, just like any other exiled nostalgic, will be the subject of a “diminished life, a delusive life, a spectral life” (Jankélévitch 254; my translation), where the feeble boundaries between reality and imagination become even more diffuse. The ideal site for the archetypal journey towards the mysterious unknown perfectly matches “this sinister-fascinating, this Circe-like quality of Greece; the quality that makes it unique” (Fowles, *Magus* 49), where he is to meet yet another embodiment of Circe: Lily, the *princess lointaine* as witch.

In opposition to Freud’s theory, according to which the consciousness encloses the unconscious, Jung put forth the idea that it is actually the unconscious that is the primordial mental structure, which, in turn, contains the consciousness. He defined the consciousness as a unilateral, intermittent structure, since much of our lives unfold in an unconscious state. Therefore, Phraxos the “fenced” island stands for the consciousness (limited, unilateral) surrounded by the unknown (water). The representations of Hades (Conchis) and Persephone (July-June), allow us to identify Bourani as a fictional underworld, in which “flames, devils, hell” (Fowles, *Magus* 489) are being conjured at the right moment, in order to strengthen the credibility of the experience. Conchis explains to Nicholas that “Bourani” was a name given to the cape by Albanian pirates, meaning ‘gourd’ or ‘skull’, symbolizing “death and water” (Fowles, *Magus* 83). Water, as a symbol of the protean and the unknown, may be equated with the unconscious, lying at the centre of the labyrinthine “skull”. The tomb-like underground cell in which Nicholas is locked up might stand for the climax of the symbolic descent into the self. It is not perchance that July and June call the

hiding place “the Earth”. Nicholas Urfe descends into “the Earth”, since by stepping into the “hellish tomb”, he is actually delving into his unconscious, which provides the key to life once it is encountered and heeded.

The figure of Conchis, constantly shifting between that of a prophetic Teiresias and of a fiendish Hades has eyes “with a simian penetration emphasized by the remarkably clear whites; eyes that seemed not quite human” (Fowles, *Magus* 79). This description echoes Teiresias’s blindness, the blindness that confers clairvoyance and the gift of prophecy. Conchis is the God-like character and since “all our concepts of God are concepts of our own potentialities” (Fowles, *Aristos* 78), Conchis may be read as another facet of Nicholas. In Jungian terms, the self, or the potentialities of which it is made, are revealed in a deeply religious state similar to discovering “God within us”, a realization that is echoed in the novel through Conchis’s narrative about Henrik Nygaard, who has come to discover his own “pillar of fire” (Fowles, *Magus* 308). The *domaine perdu* of Greece is also Circe’s island and a Circe in disguise inhabits it as “the pure and unattainable symbol of feminine perfection” (Relf, 212). Lily, the *princess lointaine* and the witch that enmeshes the souls, exercises her function with great sophistication. She subtly reveals Nicholas’s falsity and the dissonance between mind and heart: “You are stronger in mind than in heart. Your mind betrays your heart. . . . I see many treacheries in your life. Sometimes you betray your true self” and, what is worse, “sometimes you betray those who love you” (Fowles, *Magus* 195). The magical *moly* that can help Nicholas counteract the power of Circe’s magic is none other than self-knowledge.

Both mythical figures that inhabit the domain, Conchis and Lily, uncannily insist upon their absence from the living world. Conchis had allegedly died four years ago and had a real grave, with two symbolic flowers on it, the Lily and the Rose, while Lily Montgomery had supposedly died during the war. Another character whose death is faked in the imposed narrative is Alison, Cora-Persephone, who inhabits both the underworld and the world above, her name stemming from the Greek *alyssa*, meaning ‘without madness’. She is therefore depicted as the only character that does not forsake her true nature. Nicholas becomes aware of her unique qualities only after having been treated with the opposite, that is, with Lily’s shallow aura of mystery. He is given the chance to save Alison and himself from the tantalizing experience of the underworld by being offered a glimpse at the world above, the world of the Muses, Mount Parnassus, where they should become “too close to need each other’s names” (Fowles, *Magus* 254). Fowles himself had at some point undertaken this journey to the poets’ mountain, like Nicholas, with the aim of having conquered it “physically and thus symbolically” (Drazin 196). However, Nicholas fails to acknowledge the depth of all the signs he is left with and rejects his last opportunity of “becoming”. Therefore, “the equilibrium must be restored: Parnassus presumes a Tartarus” and Nicholas is recast into the underworld, where he is to purge “his cavernous heart” (Wolfe 103). Here he feels indeed the presence of Circe: “I was like one of Ulysses’s sailors—turned into a swine, and able now only to be my new self” (Fowles, *Magus* 279). This transformation into “a new self” is what Jung referred to as discovering one’s unique identity, integrating the unconsciousness into the psyche.

Entities of the anthropomorphic myths that populate an archetypal infernal world appear in the trial scene, where “Nothing is true; everything is permitted” (Fowles, *Magus* 428) and during which Nicholas is the “voyeur in hell” (428) in the shape of the thirteen dark figures that preside over the mystical trial. Nicholas will then move on to another stage of his purgatory experience, that of disintoxication from illusions and falsehood. This is when the *nostos* begins, the return towards the homeland of “independence of judgment” (Fowles, *Aristos* 204), of the real self and of Alison, who becomes Penelope and Eurydice at the same time: “Penelope is like a nostalgic memory superimposed on the events and the wonders that occur in this great journey” (Jankélévitch 272; my translation). Nicholas realizes that

Something was expected of me, some Orphean performance that would gain me access to the underworld where she was hidden . . . or hiding herself. I was on probation. . . . I had apparently found the entrance to Tartarus. But that brought me no nearer Eurydice. (Fowles, *Magus* 606)

Nicholas has to follow the intricate paths of the underworld towards the surface and in this “return to the self, the spirit has suppressed the disorder of the ontological quest” (Liiceanu 165, my translation): he has found the long-lost harmony. The gradual re-establishing of the inner order through the cathartic experience of the meta-theatre is finally revealed in an encoded way through the quotation at the end of the novel from the *Pervigilium Veneris*, which reads in English translation, “Tomorrow let him love who has never loved; and he who has loved, let him tomorrow love” (Conradi 53–54).

The protagonist of *The Magus* has to visit certain spiritual coordinates in the topography of the self. He has to go through the agonizing descent into the underworld of the masque and the final return to unity, in order to become the subject of his own life, governed by *eleuthera*, that is, by freedom. The ultimate lesson for Nicholas is not to allow the freedom of the self to give way to any sort of confinement, be it moral, aesthetic, social, or religious.

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## **“Temptation to Believe” in Julian Barnes’s *A History of the World in 10 ½ Chapters***

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“I don't believe in God, but I miss Him” (*Nothing* 1) is a line by Julian Barnes that gave inspiration for this paper. Although Barnes is notorious for using biblical references and religious motifs in his fiction, the spiritual undercurrent of his writings is a dimension less examined by literary scholars. One of his most widely acclaimed novels, *A History of the World in 10 1/2 Chapters* (1989) engages with several religious themes, the most influential of which is that of Noah's ark. The presence of this motif has been discussed by several critics, who justly concluded that it serves as a means of intertextuality and cohesion, and can be placed into various ethical and political contexts. However, scholars have rather directed their attention towards others matters, such as genre, or the narrative and the historiographic nature of the book. In addition, Barnes's tendency to subject religious issues to ironic presentation in *A History of the World* and in his other writings reinforces the image of the writer as an irreligious artist, in accordance with the postmodern tradition. Nevertheless, I propose that many of his writings do have a spiritual dimension, which has been excluded from the main scope of literary research up to this day.

The primary aim of this paper is to shed light on the significant role that spiritual temptation plays in the development of Barnes's characters in *A History of the World*. First, the generic hybridity of the book will be examined to define the relationship between the individual chapters. Second, I will focus on how Barnes questions the reliability of historical facts and how the theme of uncertainty remains constant as we proceed in the novel. Third, I will discuss the narrative mode of the novel, particularly that of “The Survivor” chapter, which reinforces the indeterminacy of meaning. Then I propose a biblical reading of “The Survivor” chapter, looking at the analogy between the Temptation of Christ and Katherine's trials, which leads to the analysis of the double use of the word “temptation”: I am going to differentiate between spiritual temptation and ‘temptation to believe’ and examine their crucial role in the character construction of the protagonist. I will compare Barnes's proposition of love in the “Parenthesis” chapter with Katherine's “temptation to believe”, both of which are offered as remedies against the oppressive nature of history. Finally, I will discuss the importance of faith and dreams, as elaborated in the chapters “Parenthesis” and “Dream”, and reach the conclusion that faith is the most essential need of man (or at least of the characters) in *A History of the World*.

At the time of publication, reviewers were mainly concerned with the generic hybridity of Barnes's book, as it combines documented historical events with fictitious elements. There were several scholars who were unable to regard *A History*

of *the World* as a novel, and considered it rather as a collection of short stories. Nevertheless, “the writer . . . rejects the appellation of ‘short stories’ as the book consists of various strands which are carefully woven into all the chapters through echoes, repeated phases, details and themes” (Guignery 62). Although the individual chapters could function on their own as short stories, in agreement with Guignery, “the recurrence of motifs, sea voyages, catastrophes, woodworms, analogies between characters, echoes, plot links, verbal repetitions and thematic coherence” (Guignery 63) connect the chapters and contribute to a larger narrative. Therefore, I consider *A History of the World* as a novel, but as a narrative which consciously stretches, and in certain cases even violates, the limits of the conventional novel.

“How do we grasp the past?” is a recurring postmodern question in Barnes’s oeuvre. The primary goal of *A History of the World*, according to Frederic Holmes, is to demolish any confidence of the readers in the possibility of obtaining the objective truth about the past and the history of the world. The author uses textual fragmentation to hinder the totalizing representation of the past. The chapters are written from numerous different perspectives in a variety of stylistic registers and genres, varying from fables to legal transcripts. According to Claudia Kotte, “the novel’s mixture of the factual and the fabulous violates the standard expectations that historiography must treat actual rather than fictional events” (Kotte 108). Several critics have analysed the book through the postmodern concept of historiographic metafiction, a phrase which was coined by Linda Hutcheon referring to such works that “are both intensely self-reflexive and yet paradoxically also lay claim to historical events and personages” (*Poetics* 5). According to Barnes, historians also need to mix the factual with the fictional: “if history attempts to be more than a description of documents, a description of artefacts, (it) has to be a sort of literary genre” (Guignery 67). However, with the mixture of the fictional and the factual, the authority of historical texts is strongly undermined.

The title of *A History of the World in 10 1/2 Chapters* clearly parodies the idea of an authoritative, comprehensive history of mankind. Richard Locke finds that the “self-advertising title is a boast that mocks itself by calling attention to its literary and cognitive form” (Locke 42). Whereas the noun phrase “history of the world” implies a totalizing representation of human history, the indefinite article emphasizes the subjectivity of the chapters to come, undermining their validity. In the discussion of the title Claudia Kotte also calls attention to the indefinite article which “subverts the implied assumption of totality and subjectivity” (qtd. in Guignery 70). Thus, no single discourse achieves ultimate authority in the novel.

Another essential tool to undermine authority is the use of parody. Hutcheon argues that postmodern works “use and abuse, install and then subvert convention in parodic ways, self-consciously pointing both to their own inherent paradoxes and provisionality” (*Politics* 3). Postmodern parody uses and abuses the form, in this particular case, of such narratives as the canonized versions of history and the Bible. Barnes’s novel strongly builds upon these authoritative texts and simultaneously shatters their trustworthiness by the instruments of parody, along with its very own

authority. Therefore, while the chapters give a different account of the history of the world, they also implicitly deconstruct their own credibility.

Although the title of the book promises a work focused on history, not on the lives of individuals, Barnes's eccentric and highly selective history of the world centres around individual characters. Barnes utilizes a variety of styles and the novel juxtaposes several narrators, whose viewpoints seldom concur. In parallel with the postmodern epistemological doubt regarding the past, the fragmented narrative of the novel strengthens the uncertainty of reaching absolute knowledge. The chapters' diversity, their clearly subjective rewriting of history, as well as their self-reflexivity, all call attention to their factitious constructions and reduce their level of credibility.

The metafictional character of the book foregrounds the writing process and the authorial problems that arise, including the act of selection by the author. In the "Shipwreck" chapter, Barnes inserts the reproduction of a painting by Théodore Géricault, *The Raft of the Medusa* (1819). He first presents a historical account of two survivors. Then we see the reproduction and after the visual, we return back to the textual, as Barnes supplements the painting with the artist's note that illuminates why certain elements of the story were chosen, while others were disregarded. This subjective selection inherently involves omission. Guignery finds that hybridity is fortified by the representation of a representation,

which testifies to a double transfer: from the actual catastrophe to the painting, and from the visual representation to the textual analysis. In both cases, the issue is hermeneutic, i.e. pertaining to interpretation: Gericault interpreted the historical facts, introducing many anomalies . . . , while the narrator and the reader of the "Shipwreck" interpret the pictorial signs.

(Guignery 65)

Both cases lead to multiple and unstable interpretations, with constant indeterminacy, and the tension between the two readings does not dissipate. Barnes therefore raises a question at the end of the chapter: "do we end up believing both versions?" (*History* 133). Barnes juxtaposes the pictorial and the textual narratives of history to underline the fact that the past can only be retrieved through mediation or representation, both of which inherently contain forms of selection, reduction or expansion as well as addition, due to the unavoidable act of interpretation. Despite the belief that interpretation rests on mutual or communal understanding, it basically relies on subjective perception. Similarly, writers of history consciously or unconsciously commit the same act of subjective interpretation. Barnes's primary goal is to show that the "historical facts", which, we are told, can be taken for granted, share the fictitious nature of art, therefore we should not accept the authority of history blindly.

Even though several motifs and plot-lines resonate throughout the novel, each chapter goes against the other chapters' narrative so as to defy the notion of a master narrative. But in addition to this, "The Survivor" chapter starts deconstructing itself due to the presence of two contrasting narratives within this single chapter. One level of the narrative features Katherine on the island in the company of two cats, while on

the other level Katherine is in a hospital bed. The first few pages are written in third-person narrative and give a glimpse into her life and daily acts of defiance, for instance raising her voice against feeding radioactive reindeers to minks. The change to first-person narration takes place when Katherine reports how she set out on her voyage. There is no consistency in the shifts of the narrative modes, rather the two narrative voices start fighting with each other for dominance. The reader would expect Katherine's assumed reality on the island to be narrated in the first-person, and her nightly trials with the men in white coats narrated in the third-person, signalling that the latter, the dream-world is reality. However, each narrative level exploits both narrative modes, therefore, the unreliable narrative adds to the indeterminacy of the real and the unreal, fact and fiction.

By utilizing the simultaneous reinforcement and deconstruction of the factual and the fictional, an unexpected semantic dimension appears in "The Survivor": that of the spiritual. Andrew Tate is one of the few scholars who have examined Barnes's works in a religious context. Tate quotes Dominic Head who had observed that "the fact of a predominantly secular society is really a given for novelists in the entire post-war period" and identifies the decline of Christianity as "one of the central social narratives of the late 20<sup>th</sup> century" (Tate 51). It would be adequate to place Barnes into the irreligious, soundly materialist tradition in postmodern thought due to the secular, ethical, humanist and liberal qualities of his writings. However, I strongly agree with Andrew Tate, according to whom although Barnes "writes out of the secular sensibilities of the present, his work is frequently energized by a sensation of wonder and mystery such that the loss of the 'beautiful lie' or 'supreme fiction' of religion is for him a cause for grief" (Tate 51). Similarly, I have also identified suppressed hope/desire beneath Barnes's idiosyncratic use and re-interpretation of religious ideas and motifs. According to Tate, whereas *Staring at the Sun* touches upon issues of faith, justice, and redemption, *A History of the World* examines questions regarding the existence of God and specific aspects of the Judeo-Christian grand narrative (58). "The Stowaway" and "Dream" chapters are clearly rewritings of the first and the last books of the Bible, namely "Genesis" and the "Book of Revelations". However, there is another biblical reference: in "The Survivor" the protagonist's, Katherine's aquatic peril and hallucinations evoke the motif of the Temptation of Christ in the desert (Matthew 4: 1–11).

Katherine Ferris co-narrates her voyage in "The Survivor", which is the most suitable chapter to demonstrate the motif of "temptation to believe". "The Survivor" chapter is set in a world reported to be on the brink of nuclear war, so Katherine decides to escape by boat to avoid a nuclear holocaust. She sets out to sea with her cats and soon starts having nightmares of strange men. Slowly the nightmares become more vivid and gain more dominance in the text, so readers get an insight into what seemingly is Katherine's unconscious. In her dreams Kath is tied to a hospital bed and is visited by men in white coats, who at first try to gain her trust, then later try to persuade her that her voyage is a paranoid delusion due to the trauma of a violent relationship. The men give a seemingly psychological explanation; she is said to be projecting her inner confusion and anxiety on to the world. In a later chapter "Project

Ararat”, in which an astronaut hears a voice telling him to find Noah’s Ark, he is similarly diagnosed with mental disorder.

Before the analysis of the biblical references of the chapter and the discussion of the term “temptation to believe”, it is essential to underscore the most fundamental characteristics of Katherine. She believes in supernatural things: “if only you could believe that the reindeer can fly, then you’d realize anything is possible” (*History* 84). Her seemingly childish beliefs are neglected by her surroundings. However, her perception of history, conveyed in lines such as “we’ve been punishing animals from the beginning, haven’t we? Killing them and torturing them and throwing our guilt on them?” (*History* 87), is strikingly in line with the woodworm’s recollection from the first chapter: “What a brazen attempt to shift responsibility on to the animals; and all, sadly, part of a pattern” (*History* 29). Therefore, Katherine’s perceptions of worldly matters gain more credibility.

“Everything is connected” (*History* 84) is a sentence of hers which occurs repeatedly, on the one hand referring to Barnes’s meticulously intertwined strands that connect the chapters on the level of motifs, themes, characters, and plot, and on the other hand raising the issue of organic unity between man and nature. Tate also considers Katherine’s statement and points out that her “intuition that all parts of life are associated resonates with a religious (but not necessarily Christian) worldview” (Tate 61). Nature in the eyes of Katherine is superior to the binding forces of man’s rationality. Katherine states that women are more in touch with the world as they are more closely connected to all cycles than men. She contrasts natural cycles with the violent history of humanity and concludes that what is wrong with the world is that “we’ve given up having lookouts. We don’t think about saving other people, we just sail on . . . Everyone below deck.” (*History* 96) She articulates the loss of our humanity and our concern for non-materialistic things, which manifests itself in the patriarchal history of the world. However, having given up lookouts also underscores humanity’s lack of belief in the ordinary and extraordinary miracles, a phenomenon which fundamentally permeates the modern world as perceived by Barnes. Katherine’s spiritual struggle is against the binding forces of this modern world. Her goal is similar to that of the woodworm: to survive, even though “her expectations were not high. She just thought you had to try it, whatever the result. It was your duty. You weren’t allowed to get out of it.” (*History* 92)

Katherine’s resistance to the modern world also echoes that of the narrator in the “Parenthesis” chapter. According to Guignery, “Parenthesis” has drawn more attention from critics than other chapters due to its exceptional narrator, which also adds to the generic impression of hybridity created by the novel. The chapter is a non-fictional essay, in which Barnes no longer hides behind the mask of a character, but takes responsibility for his assumptions on love and history. Merritt Moseley deemed this love prose to be “vulnerable to charges of sentimentality or of old-fashioned liberal humanism” (123), along with others who failed to see the connection between Barnes and Katherine as narrators.

Both narrators criticize the oppressive nature of history. Katherine states: “I hate dates. Dates are bullies, dates are know-alls.” (*History* 99) She revolts against the

authoritative and confining nature of history. Similarly to her, Barnes argues: “we get scared by history, we allow ourselves to be bullied by dates . . . Dates don’t tell the truth . . . They want to make us think we’re always progressing, always going forward” (*History* 241). Guignery states that “the narrator [of “Parenthesis”] rages against the illusion of coherent and constant progress created by historical dates” (Guignery 71). Both narrators turn against dates which sustain the progress fallacy within history, a fallacy that has been upheld for centuries. Katherine states that “they say I’m not making the right connections . . . listen to them and their connections. This happened, they say, and as a consequence that happened.” (*History* 97) She disputes the authority of the seemingly logical chains of cause and effect historians have drawn up, and questions whether we are making the right connections between the events. In parallel with this, Barnes writes: “History isn’t what happened. History is just what historians tell us. There was a pattern, a plan, a movement, expansion, the march of democracy . . . And we, the, readers of history, the sufferers from history, we scan the pattern for hopeful conclusions, for the way ahead.” (*History* 242) Barnes complements Katherine’s idea by saying that the fallacy of progress is designed to cover the often chaotic, repetitive, violent, destructive history of man. Both chapters reflect on fabulation, a term which refers to the act of inventing or relating false or fantastic tales. Barnes applies the term to define the factitiousness of history: “We make up a story to cover the facts and spin a new story round them.” (*History* 242) In Barnes’s view, fabulation is not only deployed by historians but it is a fundamental tool of all artists. The above quotation is a metafictional device that calls attention to the fictitious nature of Barnes’s own history elaborated in the novel. Moreover, fabulation is presented by Barnes as an integral part of human existence, since Barnes states: “our panic and our pain are only eased by soothing fabulation; we call it history” (*History* 242). Fabulation has been universally deployed by mankind for centuries to cover the hopelessness and despair of our own existence, and soothe the pain of uncertainty regarding our past, present and future.

Andrew Tate states that although the possibility of Katherine’s suffering from paranoid delusions is undeniable, however, it does not unequivocally undermine the credibility of her view of the world. Tate rather sees her character as an emblem of the lost, the dispossessed and the outcast. Barnes’s commitment to those that have been discarded “resonates with the weight that Jesus Christ of the gospels gives to the poor, dispossessed and unloved” (Tate 61). This element of Christian theology is one of several references that call for a biblical reading of the novel, in which Katherine’s spiritual temptation evokes the biblical question of Evil and the Temptation of Christ in Matthew 4: 1–11.

As I mentioned earlier, Katherine has recurring dreams of men in white coats trying to persuade her of her mental disorder. Katherine calls the men in her dreams “tempters” (*History* 100), as they question everything she believes in. In the Bible, yielding to temptation means committing some kind of act that goes against the will of God, and, therefore, it is considered a sin, which if not repented will surely lead to the damnation of the soul.

In the “Gospel of Matthew” Jesus Christ is taken to the wilderness by the Spirit. There are other translations in which wilderness is changed to desert; however, both locations are similar with regard to being spatial manifestations of isolation and solitude. Katherine’s voyage shares these two necessary factors of spiritual trials. Christ fasted for forty days and forty nights, a time period that continuously returns in Barnes’s novel, as in the chapter of “Three Simple Stories” in which the Jewish refugees spend exactly this amount of time at sea. Surprisingly, the doctors do not mention how many days Katherine had spent on the boat before she was found, although time periods and dates are omnipresent throughout the book, with only a few exceptional chapters such as “Parenthesis”. The lack of time markers might be another link between the two chapters, or it may be simply due to the fact that time is considered inessential to what Katherine experiences, as it takes place exclusively in her delusional mind. I believe that Barnes may have (consciously) omitted the time factor also to eschew direct reference to Christ’s trials. Nevertheless, Barnes’s meticulous attention to balancing the fantastic (Katherine’s voyage) and the supposedly real (men in the hospital) hinders the reader from gaining access to any form of truth. This line of thought, however, will be discussed later; at this point we shall continue with the parallels between biblical and Barnesian concepts of temptation.

The greatest enemies of the faithful, according to the Holy Scripture, are the world, the Flesh, and the Devil, which are all present in the ordeals of Katherine. John elaborates on the four conditions which constitute the basis of fellowship with Christ: “Love not the world, neither the things in the world. If any man love the world, the love of the Father is not in him./ For all that in the world, the lust of the eyes, and pride of life, is not of the Father, but of the world.” (John I 2: 15, 16) Detachment from the world and its materialistic values is necessary if one wishes to follow the path of Jesus in order to gain redemption. Beside lust, John ascribes greed and selfishness to the world, which are clearly present in the world Katherine so strongly rejects. The returning phrase “sort something out” (*History* 89) refers to the selfish, egocentric world created by man, in which people oppress others without any sign of remorse. Katherine realizes that the cyclical appearance of abused animals is a manifestation of this human phenomenon: “we’ve been punishing animals from the beginning, haven’t we? Killing them and torturing them and throwing our guilt on to them?” (*History* 87).

The Flesh has a significant role in spiritual trials. After having fasted for forty days, Christ is tempted by the Devil to make bread out of stones to relieve his hunger. All previous prophets, like Elijah and Moses, eventually failed to overcome their temptations, whereas Jesus does not yield to any of his human desires. Katherine faces a similar situation when she is running out of supplies and decides to feed the animals rather than eat. Her strong empathy towards animals makes the reader sympathise with her even more. The battle of the spirit and the flesh, an age-old literary and philosophical theme, found its most influential expression in Paul’s lines: “For the flesh lusteth against the Spirit, and the Spirit against the flesh: and these are contrary the one to the other: so that ye cannot do the things that ye would” (Galatians

5:17). As Katherine spends more time talking with the men in her dreams, she realizes that “something terrible was happening with her skin” (*History* 99). In her dreams, the suspicious doctors explain to her that she is tied down onto a hospital bed and her arms are fully bandaged, because she was hurting herself. Her mind is apparently attacking her body, an action about which she believes that “her mind could be protesting, asking to be let out” (*History* 99). Katherine identifies her tempters as her rational self, striving to destroy her spiritual self: her “mind was producing its own arguments against reality, against itself, what it knew” (*History* 100). Her battle against herself signals how her soul is trying to break away from her body and her mind of reason.

Whereas the world is set against the Father, and the Flesh against the Spirit, the Devil opposes the Son: “He that committeth sin is of the devil; for the devil sinneth from the beginning. For this purpose the Son of God was manifested, that he might destroy the works of the devil.” (I John, 3:8) The tempters of Katherine wish to seduce her with reason and offer her a way back to their world, which is depicted by Katherine to be the evil, selfish, oppressive world of reason, where all things are eventually “sorted out” (*History* 89) to suit the needs of man. This evokes the third offer of the Devil, that is, to worship him in return for all the kingdoms of the world. Katherine’s tempters do not offer her power, but a chance to return to the world of man, by giving her a rational explanation of why she had escaped. Katherine finally rejects the certainty offered by reason and overcomes her spiritual temptation. Katherine’s temptation is similar to that of a reader who is looking for some kind of certainty. Therefore, Katherine’s success of overcoming this temptation exemplifies how the readers should question false certainties, both the ones proposed by the world they live in and what they encounter in works of fiction.

Barnes’s double use of the word temptation opens up a new discourse. The interpretation of temptation is challenged in the following passage:

She didn’t believe in God, but now she was tempted. Not because she was afraid of dying. It wasn’t that. No, she was tempted to believe in someone watching what was going on, watching the bear dig its own pit and then fall into it. It wouldn’t be such a good story if there was no-one around to tell it. Look what they went and did—they blew themselves up. Silly cows.  
(*History* 103)

Katherine’s willingness to believe in a God who is possibly just a passive observer of the world, is also a form of temptation, but not in a traditional sense. Barnes’s ingenuity lies in the fact that by adopting the motif of the temptation of Christ earlier in the chapter, the reader’s mind is fixed on the biblical meaning of “temptation”, which, nevertheless, is now linked to spiritual faith. Yielding to this kind of temptation would mean defying the predominantly secularized world and rational thinking. In this light, a wish to have faith in God and the spiritual appears as something that has to be overcome. Theological scepticism is a fundamental postmodern trait of Barnes’s oeuvre, yet scepticism is not equal to disbelief.

At the end of the chapter Katherine “made a decision not to speak with the men again. She couldn’t stop them coming—and she was sure they would visit her for many nights—but she wouldn’t speak to them . . . she wouldn’t be tempted. She wouldn’t.” (*History* 110) Katherine overcomes temptation and rejects her evil tempters, the world of reason represented by the men in white coats. Therefore, by defying their rationale, she yields to the other form of temptation, which is a “temptation to believe” in something that goes beyond man and his history of the world.

The much-debated chapter “Parenthesis” disenchants the readers as much as it later re-enchants the world for them. Barnes’s essay, in which the author directly claims responsibility for what is written, breaks the pattern of the novel, as it turns into a personal creed about history and love. Introducing the topic of love at such a late stage upsets the novel’s finely tuned mechanism of themes for a brief period. Love is said to be essential as it is “unnecessary” (*History* 236), and it “makes us see the truth, makes it our duty to tell the truth” (*History* 240). Whereas history covers and distorts the truth by means of fabulation, love unveils the truth and is able to turn against the oppressive forces of history: “Love won’t change the history of the world ... but it will do something much more important: teach us to stand up to history, to ignore its chin-out strut” (*History* 240). History dismisses the importance of the individuals and makes them feel daunted and insignificant; while love enables people to see the absurdity and the trivial nature of history. The narrator states that to defy history we have to put aside our scepticism about truth and continues: “we must still believe that objective truth is obtainable; or we must believe that it is 99 per cent obtainable; or if we can’t believe this we must believe that 43 per cent objective truth is better than 41 per cent” (*History* 246). This sudden endorsement of the concept of truth is seen by Vanessa Guignery as “the postmodernist strategy of inscribing and subverting, installing and deconstructing” (Guignery 68). Barnes’s ingenuity lies in the fact that he reverses the postmodern process: he first deconstructs the notion of objective truth and then re-inscribes it. The narrator’s proposition of obtainable certainty is similar to Katherine’s “temptation to believe”, in that both rely on an act of faith.

With regard to “Parenthesis”, Tate states that love takes on a quasi-religious force in the following passage:

Religion has become either whimperishly workaday, or terminally crazy, or merely businesslike—confusing spirituality with charitable donations. Art picking up confidence from the decline of religion, announces its transcendence of the world . . . but this announcement isn’t accessible to all, or where accessible isn’t always inspiring or welcome. So religion and art should yield to love. It gives us our humanity, and also our mysticism. There is more to us than us. (*History* 245–246)

Tate regards Barnes’s defence of love “lyrical, persuasive and moving but . . . no more rational than an apologia for Christian faith” (62). Indeed, Barnes’s reasoning

does fall short of fulfilling, for instance, the requirements of an argumentative essay; however, the proposition that “religion and art should yield to love” epitomises the stations of Barnes’s search for meaning. Wojciech Drag identifies three novels by Barnes as major milestones in this pursuit. He concludes that *Flaubert’s Parrot* implies that the meaning of life is actually the search for meaning itself, *Staring at the Sun* offers no consolation in religion, while *A History of the World* supplies the most solid foundation for a meaningful existence, which is love “even if it fails us, although it fails us, because it fails us” (*History* 245). I agree with Drag’s major claims; however, I believe it is not wise to interpret the other chapters simply as a prelude to love.

I do not wish to deny the importance of love in Barnes’s later fiction and of the empowering experience of love in “Parenthesis”. Furthermore, from the viewpoint of ethical criticism, love can be considered as the novel’s most significant proposition, as it could be the foundation of an “anti-materialist” (*History* 244) system of moral values that would fill the space left by Christianity in Western culture. Nevertheless, apart from “Parenthesis”, all the other chapters strikingly lack any reference to love, or scarcely mention it. Barnes excels in presenting an unreliable set of narratives about the history of the world, in which humanity is seemingly always heading towards entropy. Yet, simultaneously, the cyclical structure of a greater narrative is also enforced, since the fragmented narratives of the world are actually woven together by the reoccurrence of major themes, motifs, and characters throughout the novel. But there is only one set of phenomena which permeates all the chapters of the novel, and that is hope and despair: “we are lost at sea, washed between hope and despair, hailing something that may never come to rescue us” (*History* 137). In an existentialist reading of the text, hope is present to counteract the violent and ruthless acts of man, for instance in the face of extinction (“Shipwreck”), massacre (“The Visitors”), violent death (“Three Simple Stories”), and unexplainable tragedy (“Upstream”). The oppressors support their claims with varying religious or cultural ideologies, thus legitimizing their private interests. However, the motif of hope and some form of belief is omnipresent, and goes against, or in certain cases even negates, the power of these aggressors, even though the resistance shown by the victims does not prevent their inevitable downfall. Hope in “The Survivor” chapter is Katherine’s “temptation to believe”, which defies both the inhuman acts of man and the secularized world of reason. Finally, hope is synonymous with faith in “The Mountain” and “Project Ararat” chapters, which convey the clash between belief in the spiritual and the rational. In the former, the sentence “where Amanda discovered in the world divine intent, benevolent order and rigorous justice, her father had seen only chaos, hazard and malice” (*History* 148) epitomizes the irreconcilable nature of the scientific mind and the strongly religious one. Nonetheless, Miss Logan realizes that “there were two explanations of everything, that each required the exercise of faith, and that we had been given free will in order that we might choose between them” (*History* 168). The ambiguity of the world cannot be resolved; and, therefore, neither the spiritual nor the rational domain should be excluded.

The last chapter underscores another understanding of hope which is repeated in the title, “Dream”. The chapter unfolds “an iteration of eternity free from judgement” (Tate 62), which is designed to be so democratic that all individuals get acceptance and are provided with their own personalized version of eternity. Ironically, Barnes deprives the characters of final certainty even after death; God appears to be absent. This picture of heaven uses and abuses modern consumerism as its frame, resulting in a mockery of both sacred and profane ideas of the current age. Tate also notes that the chapter “rewrites St. John’s vision in Revelation from the perspective of disenchanting, late twentieth-century consumer culture” (Tate 62). Although all the wishes of the protagonist are met to the utmost detail, he starts yearning for some form of certainty, longing to be judged: “I’d always had this dream . . . dream of being judged. It’s what we all want, isn’t it? I wanted, oh, some kind of summing-up, I wanted my life looked at.” (*History* 293) Dreams gain a great importance by the end of the chapter, which will complement the motif of “temptation to believe”. The protagonist’s evaluation of his life is disappointing as he receives a simple “You’re OK” (*History* 294) pat on the shoulder. His discomfort remains and in his line of enquiries he reaches Margaret’s answer that sooner or later everyone takes the option to die off. Margaret states, “we often get people asking for bad weather, for instance, or for something to go wrong. They miss things going wrong. Some of them ask for pain.” (*History* 305) This underlines the “contradictory nature of human desires, needs, and hopes” (Tate 62), which most conspicuously manifests itself in this chapter.

The first-person narrator is unable to express what is actually wrong with his individualized eternity. He can only complain about Hitler being in heaven, and not having dreams ever since he supposedly died. However, if we choose to interpret his narrative in the light of the first and the last lines of the chapter—“I dreamt that I woke up. It’s the oldest dream of all, and I’ve just had it” (*History* 283, 309)—then his lack of dreams ascertains that what he is narrating is simply a recollection of a dream. Finally he says “Heaven’s a very good idea, it’s a perfect idea . . . but not for us. Not given the way we are.” (*History* 309) Again, he is not explicit, but what he might be referring to is most likely another element of human nature that is once more symbolised by our dreams, because at the end he asks, “Why do we have Heaven? Why do we have these dreams of Heaven?” to which Margaret replies “Perhaps you need them . . . you can’t get by without the dream.” (*History* 309) The “Dream” chapter foregrounds the idea that dreams are manifestations of the very essence of man, his hopes and desires. While “Parenthesis” claims love to “give us our humanity, and also our mysticism” (*History* 245), all the other chapters propose that belief in either ordinary miracles or in the extraordinary constitutes our very essence and our mysticism.

I agree with Tate that Barnes’s entire novel “presents a fair case against monotheism as violent, vengeful and obsolete” (Tate 60), therefore in this paper I did not wish to argue for a suppressed desire on Barnes’s part for the return of Christianity. What is more, Barnes’s writings rather resemble Feuerbach’s stance on this issue: “wherever morality is based on theology, whenever right is made

dependent on divine authority, the most immoral, unjust, infamous things can be justified and established” (Feuerbach 271). Rather, the aim of this essay was to introduce “temptation to believe” into the criticism of Julian Barnes’s writings. The double use of the word temptation reflects Barnes’s sceptical attitude towards both postmodern spiritualism and rationalism, but also gives room for hope, for a suppressed belief in the extraordinary to surface. “The Survivor” chapter ends with Katherine being back on the island and closes with the lines “She felt such happiness! Such hope!” (*History* 111) The factual and the fabulous undermine each other’s authority and, therefore, undecidability permeates the reading of the entire story. The text allows the reader to decide whether (s)he has just received insight into a delusional mind or witnessed a spiritual redemption, if not both side by side, without neutralizing each other’s meaning.

The spiritual dimension of Barnes’s writings is also discernible in other characters who face the “temptation to believe” in something which is unordinary, magical, mystical, or sacred, something that opposes postmodern materialistic thinking. Although the desire to believe is mostly presented as irrational or, in some cases, lethal, this desire also serves as some kind of hope, just as in Katherine’s case. This hope is just as multi-faceted and indeterminable as the chapters of history presented in the novel. One possible meaning of it is to break the cycle of human history, a desperate voyage on which people are vainly seeking deliverance from various kinds of disasters. Another possible meaning is to believe in a spiritual realm that will once nurture a truly humane mode of existence both on the physical and the spiritual level.

I chose “temptation to believe” for the title of this paper because the phrase is connected to several concepts of the novel. Even though Barnes persistently presents how unobtainable objective truth is, he concludes that we must believe in gaining at least a small proportion of the truth. “Temptation to believe” also refers to Barnes’s claim that the violent cycles of history can be opposed if we choose to believe in love. The idea that we can reach epistemological certainty and defy the cyclical patterns of history goes against the voice of reason. The world of the reader is as embedded in rationality as that of the characters; therefore believing in something that goes against the world of reason is a form of temptation. This is the reason why I differentiated between two forms of temptation: temptation of the rational and temptation of the spiritual. Finally, although the motif of “temptation to believe” in a world of the unordinary miracles is permeated by Barnes’s religious scepticism, Barnes always offers his characters and his readers an interpretation that validates the spiritual, a chance to choose faith over reason. The fact that Julian Barnes, who regards himself an atheist, proposes this chance in a dominantly secularized postmodern tradition suggests that he himself is occasionally tempted to believe.

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## **In the Vortex of the Mind: Interpreting *The Unconsoled* by Kazuo Ishiguro**

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Memory preserves our experiences, feelings and images of past events. However, without the ability to remember, one's existence may be reduced to a disturbed wandering through places and among people forever unknown. Memory and memories play a significant role in our lives, our changing and developing understanding of life and people around us, even our own personality. Yet memory, as an integral part of the human mind, can play its own tricks. The images of past events one retains may be altered by various processes: decontextualization; omission or change of location, time, or details; and through conscious or unconscious manipulation. Even a slight shift in the characteristics of a single memory may result in a completely different assessment of events or people. The motivations and possibilities for such alterations are endless.

Kazuo Ishiguro often uses the elusive nature of memory as a main theme in his novels in stories about people who, in recalling significant moments of their lives, fall into traps of memory in an attempt to seek consolation or justification for their past actions or, more frequently, for the lack of them. The first-person narrators live in their own time while they re-live the past, analyze it and seek to interpret it. At the same time, all Ishiguro's protagonists reshape their histories despite their explicit or implicit intentions of understanding it: Etsuko in *A Pale View of Hills* doubles the figure of the daughter who committed suicide, Ono in *An Artist of the Floating World* downplays his own role and significance in Japan's inglorious past, Stevens in *The Remains of the Day* boasts about dignity and duty while explaining his wasted life, Christopher Banks in *When We Were Orphans* creates a story behind his parents' disappearance, and Kathy in *Never Let Me Go* confines her reminiscences to an extremely limited world. These works all exhibit relatively clear patterns and motivations on behalf of the narrators.

*The Unconsoled* stands out from this tradition in various ways. This novel does not follow any of the previously mentioned patterns; instead, the reader feels lost in a vortex of images. The plot is almost impossible to summarize. As Steiner observed, "Ryder's disconnection from people and places is 'unendurable to reason'." (qtd. in Wong 67) Moreover, no clear storyline can be described, since characters and places appear to float with no textual hints or only delayed ones as to who they are and what they do. The protagonist, again a first-person narrator, walks the streets, rooms and corridors of an unnamed Central European city. Ryder is apparently a world-famous pianist, long expected to lead the city and its community to a new revival through music. Additionally, people ask him both serious and ridiculous personal favours and requests. Gustav, the hotel porter, persuades him to talk to his

daughter in his stead for petty reasons. Hoffman, the hotel manager, asks the pianist to look at his wife's newspaper clippings about Ryder. Stephan, the manager's only son, persuades him to listen to his piano recital; just to name a few from a long list. Meanwhile, Ryder seems to be at a loss about the identity of people around him. Though old memories come up at certain points quite unexpectedly, it takes some time to identify the porter's daughter Sophie as his partner, for instance. Later on he turns up at a party wearing a dressing gown without causing a scandal to deliver a speech; yet, he leaves after the first dramatic opening sentence because he is distracted by something else. On one occasion, Ryder is led to a place where he can practice, but the hall turns out to be a garden shed. An elevator ride provides sufficient time for lengthy conversations. Moreover, Ryder, though not recognizing familiar characters, is able to give an account of dialogues happening elsewhere, apparently due to some hypersensitivity.

Critics and reviewers have compared the work to a Kafkaesque nightmare. The main features of the story are its dreamlike texture, a sense of restlessness as the protagonist staggers through places and events without any idea of their significance. However, as Amit Chaudhuri rightly observes, *The Unconsoled* lacks the "allegorical social critique" (in Lewis 125) of Kafka's *Der Prozess*. Barry Lewis suggests that the town Ryder wanders around has "the impossible geography of a print by M. C. Escher" (108). Indeed, one cannot escape the feeling of constant disorientation, as well as spatial and temporal paradoxes. The Dutch artist's pictures provide an excellent, even if unexpected starting point to interpret Ishiguro's novel. In order to analyze the patterns of images, events and memories in *The Unconsoled*, I rely on the concept of the American academic Douglas R. Hofstadter. Even though he approaches the subject from a different point of view by utilizing methods from the field of mathematics and programming, his ideas are also applicable to human perception of visual arts and music. In his work *Gödel, Escher, Bach: An Eternal Golden Braid*, first published in 1979, Hofstadter describes a phenomenon in connection with M. C. Escher's prints that he calls the strange loop. He states that "the *Strange Loop* phenomenon occurs whenever—by moving upwards (or downwards) through the levels of some hierarchical system—we unexpectedly find ourselves right back where we started" (10). He illustrates the theory with Escher's *Waterfall*, where the system is a paradox, since the water seems to flow upwards in a loop, defying the rules of gravity. Another Escher print may help to grasp certain patterns in Ishiguro's works, namely, the *Print Gallery* (Ernst 35). The man in the gallery is looking at a picture of a harbour and a town where a woman is looking out of the window which is directly above a gallery where a man is looking at a picture of a harbour and a town and so on. The sequence could continue endlessly. After producing a set of steps, the process returns to the starting point, but descends one level deeper in the world of the picture. Like a spiral, it moves in the same course but rising (or descending), never returning to exactly the same spot.

Ishiguro's protagonists, as all human beings, do not recall events in a linear order with clear knowledge of all circumstances. On the contrary, they attribute phrases and actions to figures in the past only to realize they are not at all certain

about those events. The threads of memories become tangled, hiding personal fears or qualms of conscience behind memories about other people and events. Simply consider Etsuko's recollection of an old friend's daughter and the connection with her own daughter's suicide; or Stevens's suppressed accounts of his father's deterioration and eventual death at a period when his own condition and abilities are weakening. In this manner, the narrators create a strange loop of memory where memory serves both to hide and reveal the problems of the present. Previously I called this phenomenon the "vortex of memory". Now I will take a step further and claim that not only Ryder's memories form a *strange loop* in *The Unconsoled*, but also time and space deceive both protagonist and reader. Instead of being linear, they shift and turn into loops, opening new horizons for interpretation.

*The Unconsoled* is loaded with spatial and temporal loops. At the very beginning of the novel, Ryder arrives at an old hotel in the afternoon and is escorted to his room where he suddenly realizes that it is the very same room which he inhabited in England decades before.

I was just starting to doze off when something suddenly made me open my eyes again and stare up at the ceiling. I went on scrutinizing the ceiling for some time, then sat up on the bed and looked around, the sense of recognition growing stronger by the second. The room I was now in, I realized, was the very room that had served as my bedroom during the two years my parents and I had lived at my aunt's house on the borders of England and Wales. . . . It had been recently re-plastered and re-painted, its dimensions had been enlarged, the cornices had been removed, the decorations around the light fitting had been entirely altered. But it was unmistakably the same ceiling I had so often stared up at from my narrow creaking bed of those days. (Ishiguro 16)

Lewis calls this episode an act of displacement, which it certainly is, if we wish to assign a concrete location to this event (108–109). However, the fact that the room is not even similar to the one from his childhood is a clue that it is Ryder's mind that makes the connection. The similarity exists only in Ryder's fantasy, so in this sense one cannot really speak of displacement.

An example of a temporal, but also spatial loop is when Ryder meets Sophie and her son Boris in the Old Town. She persuades him to go home and have a relaxed evening with dinner. Ryder and Boris start to follow her in the twilight, but the walk develops into a longish journey including encounters with the most unexpected people, an old school mate of Ryder's who delivers a lengthy speech about his present circumstances, or the hotel manager's insecure son who then introduces the complicated relationships in his own family. Their walk takes Ryder and Boris through various scenes: the alleys of the Old Town and other parts of the city, an empty field on the outskirts, then a long drive back to the hotel, interrupted by a longish visit. Contrary to expectations, however, all of this proves to be not long enough to take up the entire evening and much of the night, and this is clearly

impossible. It is an early example in the novel of the numerous “excursions that collapse back in on themselves” (Lewis 108). Individually they would not disturb our perception and knowledge of reality, but woven together the result is definitely surreal.

To illustrate the “character-loops”, I would like to highlight the musicians in the novel: Stephan, Ryder (the protagonist), Christoff and Brodsky. Stephan is a young man in his twenties, striving to become an excellent pianist. He believes this could close the gap between him and his parents caused by their severe disappointment in his childhood and also make his mother forgive the father, her husband, for not being a gifted artist. The intense feelings of guilt and wish-fulfillment call for a Freudian excursion, which, however, I shall not undertake due to the limits of this paper. Instead, I would like to point out the protagonist’s own anxieties concerning his parents, who are invited to the performance, but then leave in distress without listening to their son’s recital. Christoff is another musician who arrived in the town years before, eagerly awaited by the inhabitants to bring about a new renaissance in the community. Then, for some reason, he failed to fulfill these expectations, and now he lives in disdain, shunned by all. This is exactly what Ryder fears and does everything in his power to avoid, even by frequently abandoning his partner Sophie. Finally, to close the character loop, there is Brodsky, a great musician with high ideals, a bold and modern vision of music, who lost the respect of the community long ago and spent years in a haze of alcohol and self-pity for a mysterious wound.

This triangle of Stephan-Christoff-Brodsky can be merged into a single character: Ryder, the narrator protagonist. The young Stephan is, to borrow Barry Lewis’s expression, a “Ghost-of-Ryder-Past” (120). The narrator repeatedly mentions his parents’ tense relationship, the ongoing arguments when he was a small child and his intense wish to have his parents fascinated by his performance. Christoff stands for a possible outcome of Ryder’s visit in town. During the short period he spends there, he talks or rather listens to everyone, promises to help in minor and major issues alike—certainly a “mission impossible”. Obviously, he wants to live up to the expectations of the inhabitants; the repeated outbreaks of impatience and rage against Sophie clearly show the anxiety and the stress building up in him. However, should Ryder follow the present course in his private and professional life, he may become the very same burnt-out alcoholic, represented by Brodsky, abandoned by family and audience. The three musicians are in fact projections of the narrator’s memories and fears. Once they take on independent lives as characters in the novel, they become much stronger and explicit.

Finally I shall return to Escher’s prints to illustrate the structure of *The Unconsoled*. The print *Relativity* creates a sense of disturbing insecurity, a perplexed search for a fixed point or planes upon which the mind can build an acceptable system, similar to Ishiguro’s novel. Hofstadter (97) points to the staircases as “islands of certainty” which are essential for our mind, since “we base our interpretation of the overall picture” on them. The paradox becomes obvious only when observing the system on a higher level. If Ryder’s unconsoled wanderings and their loose structure

are examined, one could find the same paradox. Not only are some elements misplaced, but the entire system is more or less a chain of spatial, temporal and mental paradoxes. Therefore, suggesting the world of a dream as a key to understanding and interpreting the novel is certainly adequate. However, establishing an unwanted frame around the work somewhat limits the possibilities of interpretation. I would dispose of or rather expand this frame by proposing that what one sees is in fact the depiction of a single mind and its workings. In this respect, it becomes unimportant if this mind dreams, daydreams or hallucinates. The characters, though seemingly numerous and different, are not individuals but composites of “real” images, memories and possibilities. Hence, not only certain events in the story are strange loops but the entire work describes a strange loop: a human mind.

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**“From Past Tense to Future Perfect”:  
Grand Narratives and Omniscient Narration in  
Zadie Smith’s *White Teeth***

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On the first pages of the novel the omniscient narrator of *White Teeth* (2000) wonders about the “stuff that Makes Shit Happen” (4): an entity that is in an analogously authoritative position with the narrator. According to Paul Dawson, this “person” is “either a divine entity about which the narrator can only speculate (she knows what happened, but not why) or simply the narrator herself, the story-telling author’s proxy, who playfully acknowledges her analogous relation to God” (“Return” 153). Paradoxically, the novel presents several authoritative narratives, which all turn out to be impossible to relate to—and features an omniscient narrator. Even if her omniscience is problematic and cannot be fully accepted, her potentially authoritative position allows us an interesting insight into the novel, especially because this superior position appears in a postmodern context that is characterized by the difficulty to relate to authority and by questioning the relevance of grand narratives.

With Hayden White, history becomes a “writable story”, and Francis Fukuyama even reached the conclusion that history has come to an end in Western cultures, a condition which manifests itself in immobility and the impossibility of progress. These thoughts are reflected in *White Teeth*, a novel dealing with hybrid identities, a disappearing sense of connectedness, and a problematic relationship between historical events and the personal histories of the characters. In view of this context, the fact that the novel appears to feature an omniscient narrator is particularly worth consideration. Even though the text has been written in an era disrespectful of authority and grand narratives, Smith’s narrator is in a “God-like” position, which would enable her to produce a “grand narrative”—something universal and coherent—even if only on the level of the novel. This contradiction may be significant with regard to the movement from “past tense” to “future perfect”, which becomes endowed with a special significance in Smith’s text in which “past tense, future perfect” is a recurrent phrase. Paying close attention to this movement could help us define the relations between the past and the prospects of a possible future—to find out whether they are determined by authority or it is a world of the random. In the present paper I will be first looking at how the novel represents history and grand narratives through repetition and irony, and then I will consider the characteristics of the narrator and her significance with respect to the postmodern features of the text. Because of the postmodern disrespect towards authority, the narrator’s authority is relativized. What ensues is the absolute instability, insecurity and rootlessness which *White Teeth* exquisitely represents.

As the reader learns, all characters find it difficult to relate to past events, one reason for which might be that the relevance of concepts that had played an important part in their lives is abolished. Postmodernist thinking questions grand narratives, which aim to order or unify a group of stories and represent overarching belief systems, making totalizing and universal claims about reality, knowledge and experience (Cuddon 432). Such an overarching structure would provide a stable and secure ground and it would make it easier for people to relate to local narratives or experiences. Jean-François Lyotard defines postmodernism as “incredulity towards metanarratives” (xxiv) and claims that postmodernist thinking “puts forward the unrepresentable in presentation” (81). The universal becomes something impossible to relate to. However, if we cannot see things as a whole, if everything becomes fragmented, one can only attempt to represent the “unrepresentable” by showing how the parts of the whole work. The problem is that we cannot get closer to the universal, only circulate around the same spot, which seems to preclude progress.

The impossibility of progress appears in the arguments of Francis Fukuyama as well. He defines the end of history as the “end point of mankind’s ideological evolution” and the universalization of Western liberal democracy as “the final form of government” (xi). He bases his arguments on Hegel’s dialectics and states that due to the lack of a suitable alternative it has become impossible to achieve a synthesis (xii), which therefore results in a halt in progress. *White Teeth* seems to problematize such claims by showing how its characters relate to the West and to certain grand narratives. The reader learns that all families in the novel are immigrants: the Bangladeshi Iqbals, the half-Jamaican Joneses and Bowdens and the German-Polish Chalfens. They come from different backgrounds, but certain grand narratives and historical events can be linked to each one of them, for example Islam, Christianity, or World War II.

Irrelevance and discontinuity appear early on in Smith’s novel, when the narrator comments on the war experiences of Samad and Archie: “the skills you learnt were, in the modern parlance, not relevant, not transferable” (14). This highlights a gap that cannot be overcome, which might suggest the impossibility of a synthesis—revealingly, Linda Hutcheon has stated that “[t]here is no dialectic in the postmodern: the self-reflexive remains distinct from its traditionally accepted contrary” (x). In connection with the “end of history”, Fukuyama also emphasizes that the dialectic processes have been brought to a standstill, which has resulted in the end of mankind’s ideological evolution, suggesting immobility and inability to move on. In Smith’s narrative, this situation is reflected in the recurrence of repetition as a motif and a structural principle. For example, the reader learns that Archie used to be a track cyclist and “[w]hat Archie liked about track cycling was the way you went round and round” (15). This “round and round” movement seems to repeat, and reflect upon, the characters’ states. It does not lead them to their goals, but they return to the same place again and again: since the dialectic processes have stopped, oppositions cannot be resolved. This is why it is interesting to note that Archie used to be a talented cyclist, but at one point he ceases to improve: he gets precisely the same result for years.

Another example of the “round and round” movement appears in the following passage:

Because immigrants have always been particularly prone to repetition—it’s something to do with that experience of moving from West to East or East to West or from island to island. Even when you arrive, you’re still going back and forth; your children are going round and round. There’s no proper term for it—original sin seems too harsh; maybe original trauma would be better. A trauma is something one repeats and repeats, after all, and this is the tragedy of the Iqbals. (161)

As this passage suggests, the impossibility of making progress seems to be a problem not only for Archie, but also for the Iqbals and the novel’s immigrants in general. Moreover, it appears as the repetition of an “original trauma”.

The following quotation may clarify the nature of this “trauma” a bit further: “if you can divide reality inexhaustibly into parts”, the narrator writes, “the result is insupportable paradox. You are always still, you move nowhere, there is no progress.” (466) Lyotard’s thoughts seem to be echoed here about the fragmentation of the universal and the impossibility of attaining it. Samad Iqbal tries to stick to his roots and to his religion very eagerly, but he cannot do so, and he cannot relate to the present either. At one point he sends one of his sons back to Bangladesh to provide a proper Muslim education for at least one of them, thus tearing up the closest relationship one could imagine: that of identical twins. Tearing up a unity into parts suggests that even if he has his concerns about the past and history, he himself is inadvertently supporting the postmodern fragmentation he is trying to fight.

The pattern of repetition appears as part of the Bowden heritage as well. The narrator ponders their choices: “Can’t sit next to Jesus with the 144,000? Join the Great Crowd. Can’t stand the Great Crowd? Marry Archie. Irie wasn’t so upset. She thought, right: dentistry. I’ll be a dentist. Dentistry. Right.” (368) In this passage the narrator refers to Clara, Irie’s mother, who was driven away from home by her mother’s fanatical attitude to religion. Then the speaker notes that Irie—like her parents—had started off in one direction and when she realized that it was not the right choice, she found a new goal to pursue, which meant going back to the beginning and starting the process again. None of them is able to develop their talents and thereby “clos[e] the circle” of repetition.

The only exception seems to be the Chalfen family. We do not learn anything about their past—except that they are third generation immigrants—but the reader is informed that Marcus is a scientist and that they are perceived as very British by the others. Conveying Irie’s opinion, the narrator even states that “there existed fathers who dealt in the present” (326). It is then opportune to ask whether the Chalfens are post-historical.

As the reader learns, the mother, Joyce Chalfen is nostalgic about the age when she was the linchpin of the family and wishes for challenges that have already disappeared. “Sometimes there seemed nothing to improve, nothing to cultivate;

recently she found herself . . . wishing she could find some fault of Joshua worthy of attention, some secret trauma of Jack's or Benjamin's, a perversion in Oscar. But they were all perfect. Sometimes . . . the boredom was palpable." (314–315) Fukuyama states: "I can feel in myself . . . a powerful nostalgia for the time when history existed. . . . Perhaps this prospect of centuries of boredom at the end of history will serve to get history started once again" (no pag.). This is the same boredom as the one experienced by the Chalfens: they seem to have completed the process, for them history has ended, they are immobile because of the lack of possible challenges and missing alternatives.

It is interesting to note that all families in the novel are experiencing essentially the same symptoms—the inability to improve—but their diagnoses are different. I would say that the Joneses and Iqbals are trapped because they do not find the way out of their past and they are going round the same circles again and again. However, the Chalfens are different: for them the inability to improve is caused by the lack of challenges.

These problems are called forth by the conflict between the past and the present, and they can be linked to the absence of a "grand narrative" in postmodern culture. As Lyotard puts it: "This incredulity is undoubtedly a product of progress in the sciences. . . . The narrative function is losing its functors, . . . its great goal. It is being dispersed in clouds of narrative language elements . . . There are many different language games—a heterogeneity of elements. They only give rise to institutions in patches—local determinism." (xxiv) Thus he claims that there is a plurality of language elements and small or fragmentary narratives without an overarching structure. The structure that would connect the elements cannot be attained or represented, and therefore we can only try to make sense of the world with the help of pluralized accounts.

*White Teeth* represents various grand narratives that play a role in the families' lives: the most obvious examples are Christianity—that appears in connection with the Bowdens—and Islam—which is the religion of the Iqbals. The Chalfens' grand narrative is science, and I would suggest that even Archie Jones is involved in one: that of history. All of these are represented with a kind of "incredulity" and they also indicate the impossibility of communication between the parts of the whole—the whole being the unity of a hybrid community consisting of many nationalities, religions, and beliefs.

To begin with, the novel deals with a particular kind of Christianity: Jehova's Witnesses. Its most important representatives are Clara's mother and ex-boyfriend, who believe that they are superior and have the "right to be right" since God had so ordained. The narrator has a tendency to ridicule this belief. At one point she describes the importance, for Hortense, of the Biblical verses "I know your deeds, that you are neither cold nor hot. . . . So, because you are lukewarm—neither hot nor cold—I am about to spit you out of my mouth." (Rev. 15–16) Hortense seems to have interpreted this in a peculiar way: "She understood lukewarm to be an evil property in and of itself" (396), this is why she kept a microwave at hand all the time and heated every meal "to an impossible temperature; she kept whole buckets of ice to chill every

glass of water ‘colder than cold’” (396–397). The novel is framed by two apocalypses (32,487–8), both of which prove to have been predicted unsuccessfully.

The second grand narrative is Islam, appearing, on the one hand, as powerful fundamentalism and, on the other, as shaken faith. Both versions seem to be destructive, as exemplified by the fact that Millat Iqbal refuses to get in touch with his twin brother, being so opposed to Magid’s way of thinking. At the same time, their father, Samad represents a controversial state of caring and not caring about religious law. At one point he states: “We are split people. For myself, half of me wishes to sit quietly with my legs crossed, letting the things that are beyond my control wash over me. But the other half wants to fight the holy war. . . . I think, in the end, your past is not my past and your truth is not my truth and your solution—is not my solution.” (179) It seems that worldviews are not transferable, they are incompatible with each other and what is more, they are incapable of guiding one’s life in the direction the “grand narrative”—their religion—would require.

But what is the Jones heritage in terms of grand narratives? The only one Archie could be linked to is that of history. According to Hayden White, history is a “writable story”, as historians emphasize and repeat things and follow patterns. Writing history is an interpretative process, hence its being connected to literature (White 281). History can be compared to narratives and myth (292) since “while we read, we are aware of a sequence of metaphorical identifications; when we have finished, we are aware of an organizing structural pattern or conceptualized myth” (qtd. in White 292). In case history is guided by an underlying principle that connects the parts, it becomes conceivable that it could serve as a grand narrative in someone’s life.

At the same time, the dialectics of history may be considered to have stopped: there is no underlying principle to relate to, and there are only the parts of the universal that can be attempted to be shown. The reader is informed of Archie’s war experiences in a chapter that is very telling about the role of history as a grand narrative in his life. The narrator reports the beginnings of a friendship between Archie Jones and Samad Iqbal during World War II as they were driving in a tank towards Thessaloniki. Interestingly, in a way they seem to be outside the events. Hardly anything happens throughout their journey: they are driving in a tank which—as it turns out after a few pages—breaks down and stops. Furthermore, Archie hardly speaks, and it is Samad who does the talking: it is he who reflects on history, and even narrates the yarn of his great-grandfather as a hero of the Indian Mutiny. Towards the end of the chapter they find a Nazi doctor, who was supposed to be delivered to Poland by Russian soldiers, but Samad is determined to kill him and he forces Archie to shoot, but Archie fails to do so. This way the chapter ends with Archie not doing anything at all.

History seems to be represented here as a narrative because of the stories and reflections Samad offers. The novel presents a local or personal representation of history that appears to be in contrast with the overwhelming impact of the war in general, because of the immobility and inactivity that the characters experience. Moreover, it is only Samad who displays some insight into history while talking;

Archie hardly ever speaks, thus there appears to be a gap between his experiences and the “whole”. In case we look at history as a possible grand narrative in Archie’s life, he does not seem to be able to relate to it.

The grand narrative of the Chalfen family is scientific progress. The expressions “Chalfenism” and “Chalfenist” that the characters use suggest that the Chalfenist world-view is in fact an independent trend of thinking that is concerned exclusively with science. Chalfenism tries to constitute its respective “postmodernist grand narrative” with the help of the FutureMouse© project, which is an experiment with transgenic animals. Of all the characters, it is only Marcus and Magid who try to find an alternative for the future. The question is, whether it is suitable—whether science could serve as a “grand narrative” for postmodern man.

Having discussed how the past is represented, we can now turn to the future and look at what alternatives are offered by the novel. According to Lyotard, postmodern artists work without pre-established principles in order to formulate the rules of what “will have been done”: the “future perfect” (Lyotard 81). The reader learns that it is not coherence that characterizes the present of the novel: the characters perceive their lives as random and accidental. At one point Magid formulates his wish to surmount this arbitrariness. After witnessing several stages of Marcus’s work with the mouse, Magid thinks: “no mysteries lying in wait. . . . No doubtful omnipotence. No shaky fate. . . . Just certainty in its purest form. And what more . . . is God than that?” (489–490) Their intention is to eliminate “doubtful omnipotence” and “shaky faith” with the help of science and replace it with certainty. This is the only alternative for the future the novel presents: it is only Marcus and Magid who try to set rules that are going to colligate the parts of the present and set the future in a different direction.

As opposed to their hopes to become the arbitrators of their own fate, the novel presents us with a “succession of biological accidents and historical contingencies, dysfunctional families and thrown-together characters” as Graham Huggan puts it (761–762). This way Marcus and Magid’s efforts are undermined by the novel itself, which culminates in the chaos of the last pages. This is when that tiny FutureMouse©—which embodies their hope of “eliminating the random”—escapes. Ironically, these events occur on the day when the supposed apocalypse should have taken place. However, the world does not end: life goes on without the firm prospects of science that could have provided humans with the role of the author, or with the authority of God, which would have enabled them to offer a new certainty to mankind. Man sought to become the author of the narrative of his own life—without success. While Frankenstein’s attempt to “play God” and create life resulted in disaster, *White Teeth* presents us with a similar project, which—even if not disastrous—is absolutely inefficient.

These facts can contribute to the interpretation of the novel’s recurring phrase “past tense future perfect”. One can take past tense to be an attribute of future perfect, which would mean that future perfect (what will have been done) suggests something completed in the future that is in a way still in the past, still refers to the past. If

science had fulfilled the hopes of Marcus and Magid it would have given man the authority of God, which is defined as the ability to “eliminate the random”. This image of the future is similar to the past in the sense that it looks for authority—that is criticized and despised by the present—, but according to the novel, man cannot be that authority: he cannot be the author of his own fate, at least not now.

Science was the last attempt in the novel to relate to an authority, and it proved to be unsuccessful. In such circumstances, one may ask, why present the events with the help of an omniscient narrator, whose presence evokes a superior, “God-like” position? As Paul Dawson points out, “the ‘universal’ moral authority of the classic omniscient narrator is no longer available to contemporary writers” (“Return” 149), this is why alternative terminology has been suggested. Jonathan Culler, for instance, offers Nicholas Royle’s term “telepathy” instead of omniscience, arguing that “it opens possibilities of a humbler, more precise, less religiously freighted conceptuality” (qtd. in Culler 29) as it does not presuppose the authoritativeness of the narrator. Richard Walsh even reaches the conclusion that it is not necessary to postulate a narrator when dealing with fiction, because “[t]he function of the narrator is to allow the narrative to be read as something known rather than something imagined, something reported as fact rather than something told as fiction” (499).

However, there are strong reasons to postulate a narrator in third-person fiction, even if it cannot be conceived of in the traditional way. John Morreall states that “since every story picks out certain characters and events, and certain features of those characters and events, every story has a point of view; and in order for a story to have a point of view, there must be a person, real or fictional, telling the story from that point of view” (430). He also claims that the narrator’s presence is felt in passages the way we are aware that in a friend’s letter it is our friend addressing us. Furthermore, Dawson argues that omniscient narration establishes a difference between narratorial and characterial perspectives, referring to the strategy of intrusive commentary and the irony resulting from free indirect discourse (“Real Authors” 93).

Based on Gérard Genette’s ideas, Shlomith Rimmon-Kenan defines the omniscient narrator as being superior to the story it narrates and familiar with the character’s innermost feelings, as well as present and past happenings (94–95). In Genette’s terms we could define the narrator of *White Teeth* as extradiegetic and heterodiegetic. Even if certain critics find her position debatable or unnecessary, there seems to be a detectable presence manifest in the narrator’s comments and expressed opinions in *White Teeth*. For instance, elaborating on Clara’s conditions just after marrying Archie, the narrator asks: “What kind of place was this?”—and we are aware of Clara being the focalizer, as she is the person who would like to get an answer. Then the narrator adds: “That was the thing, you see, you couldn’t be sure.” (47) This sentence creates the impression that the narrator is trying to establish a relation between the reader and herself, although what she is talking about is uncertainty. Occasionally, her comments reveal her associations or opinions about the ongoing events. In the first paragraph Archie is described in the following words: “He

lay forward in a prostrate cross, jaw slack, arms splayed either side like some fallen angel” (3). If the narrator wanted to objectively describe his position, it would have been perfectly sufficient without adding “like some fallen angel”. This comparison reflects the narrator’s impression about him. Later, when introducing us to Archie’s track-cyclist “career”, the narrator states that “[t]hat kind of inability to improve is really very rare. That kind of consistency is miraculous, in a way.” (15) At this point her pointed observation creates a sense of irony.

According to Paul Dawson, the narrator of *White Teeth* can be characterized as “pyrotechnic”: it is typically humorous or satirical and relies on “a flourishing and expansive narrative voice” but does not flaunt her ontological superiority (“Return” 153). Later Dawson argues that even if the narrator could be considered in “an analogous relation to God”, her authority is relativized by the satirical references to various “theories of universal cause and effect”. However, because of the presence of an omniscient narrator and the characters’ efforts to relate to a grand narrative, the novel seems to represent a pursuit: it seems to be looking for a guiding force or an overarching structure. As I have demonstrated, *White Teeth* represents certain “principles” that appear universal in the sense that they can be detected in connection with all of the main characters, the first of which is the inability to communicate. There is a split between nations, between families, between the old and the young and even inside individuals that is impossible to be bridged. A symptom of this is the inability to give and accept love. Philip Tew states that “[t]he novel’s method suggests . . . a communality that although fragmented relies on certain underlying principles, with a sense of trauma and ineptitude underpinning this world” (51). If it is uncertainty, trauma and inability to communicate that is underpinning the world of the novel, the vision it conveys is rather embittering.

However, this vision can also serve as a criticism of postmodern thought. Characters are lost in the unfamiliar world of postmodernism, the universal story of which is presented as insecure, volatile, rootless and loveless. It also reflects ubiquitous fragmentation: the “original trauma”. Interestingly, the “universal” message of the novel articulates the paradoxes of postmodernism, this way “closing the circle” which can refer to the round and round movement and repetition that the characters experience. These characteristics of postmodernism appear in contrast to the energy of the “pyrotechnic narrator” and to what James Wood calls “hysterical realism” (qtd. in Dawson, “Return” 154): the pursuit of vitality, the springing up of stories and sub-stories on every page. Why is it reasonable, then, to invest so much energy in the narration of a story that emphasizes the incoherence and instability of the postmodern world? Where does this intensity guide us?

I would suggest that it is this vitality and energy that critics refer to as the novel’s optimism. The narration’s catching vigor suggests that something new can be inspired by, and can spring from, this energy. Interestingly, *White Teeth*’s “motion machine” of hysterical realism ends with a suggestion of movement: “Go on my son” (542), as Archie watches the mouse running away.

In conclusion, *White Teeth* is a subtle representation of crucial problems of the postmodern era, since the difficulty to relate local experiences to the events on a

global scale and the impossibility to rely on authority are equally apparent in the text. There is no grand narrative that would be accepted by the novel. The postmodern paradox of trying to represent the unrepresentable is reflected in the contradiction between the narrator's "pyrotechnic" comic style and the unifying message she delivers concerning the characters. Omniscient narration opens up the possibility of criticizing postmodern thinking, because it encourages us to look for a unified message that is relevant for every character. This unified message is quite embittering, since it entails instability and people's inability to love each other, yet it is opposed to the energy and optimism of the novel's "hysterical realism". Since the novel ends with a suggested movement, one may suspect that the apparent creative energy is going to inspire something new.

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**“The Wilderness of Solitude”:  
Diasporic spaces and subjectivity in Nadeem Aslam’s  
*Maps for Lost Lovers* and Meera Syal’s *Anita and Me*<sup>1</sup>**

ÉVA PATAKI

As several philosophical and sociological theories assert, space and subjectivity are interrelated and interactive concepts: each take an active part in the production and reproduction of the other. This mutually constitutive relationship is a recurring motif in contemporary literary criticism and a highly useful aspect for the analysis of diaspora fiction. In my view, a thorough exploration of the literary representations of diasporic identity is possible only through the combination of various approaches to spatiality: in general terms, what we might call the phenomenological situatedness or facticity of the subject is inseparable from the subject’s position and movement in cultural spaces—in the case of British Asian diaspora literature “white” English spaces, diasporic/diaspora spaces and the intersections of the two.

According to Avtar Brah, diaspora space “is the intersectionality of diaspora, border, and dis/location . . . where multiple subject positions are juxtaposed, contested, proclaimed, and disavowed . . . and where the accepted and the transgressive imperceptibly mingle even while these syncretic forms may be disclaimed in the name of purity and tradition” (208). Proceeding from Brah’s concept and Michel de Certeau’s notion of lived space I am chiefly interested in how diaspora spaces function as lived spaces, and how they are produced by reterritorialization, and the social and cultural practices of diasporic subjects, which influence the (re-)creation of identity in return. Through the reading of Nadeem Aslam’s *Maps for Lost Lovers* and Meera Syal’s *Anita and Me* (both published in 2004) I examine the production of diaspora space as a lived space outside/away from London and the transformation of traditional English cultural space into a hybrid bi-cultural space from the perspectives of cultural, communal and individual identity. I argue that by the different levels and modes of interaction within the diaspora and with “white” English space, diaspora spaces may generate a sense of belonging and, quite contradictorily, also what Simone Weil calls rootlessness, a lack of collective identity, and may also catalyse movement and the formation of hybrid subjectivities.

*Maps for Lost Lovers* and *Anita and Me* represent contradictory yet complementary points of view on the British Asian immigrant experience and the production of diaspora space. Aslam’s multifocal narration creates the “open perspective structure” (Weingarten 4) of *Maps*, where the characters’ different views

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on the events of the narrative reveal their individual attitudes to identity, culture, religion, diaspora and space, yet they also give away the underlying patterns of a universal diaspora experience. Through the story of the honour killing of Jugnu and Chanda, the novel portrays a closely-knit Pakistani Muslim community, physically and culturally isolated from the cultural space of the unnamed and imaginary northern town. The community creates a diaspora space by renaming places and spaces of the English cultural and geographical landscape:

Because it was difficult to pronounce the English names, the men who arrived in this town in the 1950s had re-christened everything they saw before them . . . over the decades, as more and more people came, the various nationalities of the subcontinent have changed the names according to the specific country they themselves are from . . . Only one name has been accepted by every group, remaining unchanged. It's the name of the town itself. Dasht-e-Tanhaii. The Wilderness of Solitude. The Desert of Loneliness. (Aslam 29)

Aslam's description of the anonymous English town invites multiple interpretations. First, it may be viewed as a reversed process of colonisation and "the reverse appropriation of social space" (Weingarten 5), which familiarises the place for the immigrant with its subcontinental references and at the same time makes it the universal, timeless, neutral locus of the immigrant experience, a "nameless and shapeless place" where the community is "at once in England and not yet there" (Connor). Furthermore, the allegorical Arabic name of the town stands for a barren, unhomely, meaningless land, where the sense of belonging is hoped to be achieved through renaming. On the other hand, Dasht-e-Tanhaii is also a *defamiliarised*, alienating place for the (English) readers: the renamed places and streets trigger the previously unlikely association of the nameless English town with named towns in the subcontinent and constantly reminds the English of how the presence of immigrants disrupts the image of the idyllic, pure countryside,<sup>2</sup> thus confronting them with the reality of an all encompassing Britishness and the irreversibility of spatial and social change.

As the name of the town suggests, the immigrant experience involves dislocation, and the unavoidable feeling of unbelonging and loneliness in an alien land. These notions are recurring motifs in diaspora literature and central tropes in Syal's novel as well. Nevertheless, *Anita and Me* presents a somewhat divergent take on diaspora experience and diaspora space. First of all, it focuses on one particular Indian family, the Kumars, isolated and lonely in an almost exclusively white village in the Midlands. Furthermore, although Syal also uses an imaginary setting in the north of England, Tollington is a possible (in fact, existing) English place-name, and, by naming the neighbouring towns (Wolverhampton and Birmingham), Syal gives the

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<sup>2</sup> For elaborate studies of the English countryside, see works by Clive Aslet, Ian Baucom, and Krishan Kumar.

fictional village a concrete location on the map as part of the Black Country, thus making the immigrant experience of her characters more palpable.

As opposed to Aslam's *Maps*, which primarily deals with the immigrant experience and marginalisation of the first generation, Syal's semi-autobiographical novel focuses on the everyday life and identity formation of the second: on what it was like to grow up in the Midlands in the 1960s, and how the protagonist-narrator Meena deals with the feeling of otherness, inbetweenness and dislocation before she "comes to terms with her complex cultural positioning" (Upstone 122) and hybrid identity. According to Devon Campbell-Hall, Meena is represented as "not only straddling the fence between British and Asian cultures, but also as fluctuating between childhood innocence and adult knowledge" (291). Meena's unique perspective and narration offers an alternative vision of diasporic consciousness, of how performativity and identity performance form an indispensable part of identity construction, and how, contrarily to *Maps*, the creation of the diasporic community, and their social and cultural practices signify the possibility of achieving a sense of belonging.

In Aslam's novel the diasporic community attempts to belong by renaming places, "to give the map of this English town a semblance of belonging—amassing a claim on the place bit by bit" (Aslam 156). What Aslam describes here suggests a sense of immigration and the creation of diaspora as a result of what Gilles Deleuze and Félix Guattari call *detritorialization* and, as a compensation for the lost homeland, the *reterritorialization* of the place. In *A Thousand Plateaus: Capitalism and Schizophrenia*, Deleuze and Guattari coined the two terms to theorise the constitution of territory through movement—employed in diaspora studies, *detritorialization* and *reterritorialization* denote the loss of an old territory (in the homeland) and taking possession of a new one (in the host country). Virinder Kalra, Raminder Kaur and John Hutnyk view this process the following way: "Deterritorialization implies staking identity outside ordinary claims to the land . . . Many diasporic groups can be called deterritorialized because their collective claims to an identity do not depend on residence on a particular plot of land." (32) Furthermore, in Caren Kaplan's words "[d]eterritorialization is always reterritorialization, an increase of territory, an imperialization" (89). As the "whites were already moving out of here by the end of the 1970s, and within the decade the Hindus became the first immigrant group to move out to the suburbs, followed slowly . . . by a handful of Pakistanis" (Aslam 46), the majority of the community are Pakistani Muslims, who carve their own diaspora space from within the town, thus reterritorializing "white space" with their own place names, religious shrines; shops selling South Asian fruit and vegetables such as mangoes and sugarcane; gardens with fireflies, rose-ringed parakeets, peacocks and tamarind trees, and with a breeze "dense with rosehips and ripening limes" (Aslam 11).

Just as the community reterritorializes the unnamed town and creates Dasht-e-Tanhaii, so does Aslam reterritorialize English cultural space with his description. He depicts a northern town with its centre on top of a hill, while the immigrant neighbourhood lies in the valley connected to the centre by a forest, a lake and a

river—a piece of countryside both surrounding and within the town. It is this rural space where most of the novel takes place, a natural environment which Aslam inhabits with various trees and plants, footpaths and lawns, lights and shades, colours and fragrances. As the first step of reterritorialization, Aslam defamiliarises urban space by focusing on the natural environment and the landscape itself, representing the immigrant neighbourhood within the town as the countryside or “a pastoral scene” (Chambers 180). Then he empties this pastoral rural space of its traditional cultural (and nostalgic) meaning by depicting the everyday life and practices of the diaspora community and fills this empty space with South Asian imagery. With this imagery and its cultural connotations, Aslam achieves a double effect: he both emphasizes the community’s attachment to their lost homeland with its flora and fauna, and turns the image of the pure English countryside into a hybrid bi-cultural British space represented by a liminal diaspora space, where a parish church, a mosque and a Hindu temple may stand side by side, and where the poorer immigrant neighbourhoods are like “pockets of the Third World within the First” (Aslam 161–2).

In contrast, for 10-year-old Meena, her home, Tollington, is a typical English village: a peaceful rural space with “posh, po-faced mansions” (Syal 11) running up to a hill from which the silhouette of Wolverhampton can be glimpsed, and with rows of terraced houses in the valley, “merging into miles of flat green fields” (Syal 11). The former mining village has long lost its wealth; it is inhabited by “tough, broad-armed women and fragile old men” (Syal 14), as well as their loiterer children facing “apparent dead ends” (Syal 59). Nevertheless, it is the natural environment that draws Mrs Kumar to the village in the first place: “When she stepped off the bus in Tollington, she did not see the outside lavvy or the apology for a garden or the medieval kitchen, she saw fields and trees, light and space, and a horizon that welcomed the sky which, on a warm night and through squinted eyes, could almost look like home.” (Syal 35) This perception of the countryside both contradicts and corresponds to that of the characters in *Maps*. On the one hand, to the Muslim community the landscape is initially more alien than familiar, or, at least, they tend to emphasise the differences, whereas the Kumars project their memories of home onto the landscape and thus notice the similarities. On the other hand, the renaming of places and the exotic imagery in *Maps* achieve the same effect as Mama’s biased, “sugar-coating” vision—to some degree they generate a sense of belonging by being vested with certain qualities of the homeland, and thus evoke nostalgia in the immigrant. Meena’s narration (or more precisely the adult Meena’s recollection) serves as a kind of sifter which the reality of rural space filters through, revealing Tollington’s “Englishness” and literal scantiness.

Meena’s perspective presents Tollington both as a god-forsaken place she strives to leave and a site of adventure, discovery and, owing much to the seemingly deserted Big House, also as an enigma. In fact, the narrative is itself a riddle or conundrum to the reader right from the beginning, where Meena admits being “a sucker for a good double entendre” and that in her case there is always a “gap between what is said and what is thought, what is stated and what is implied” (Syal 10). The village and its inhabitants are only seen from the unreliable narrator’s

perspective, i.e., the reader's perception becomes necessarily guided and also somewhat biased, since, in Roger Bromley's words, "the controlling gaze is British Asian" (145). Meena's double perspective as the experiencing child and the reminiscent adult reveals a "reverse stereotyping or caricaturing" (Bromley 145) of English cultural space and the white British, whose voices are "filtered through the mimicry and simulation of the narrator" (Bromley 145).

Through Meena's eyes, the novel's depiction of diaspora space is reduced to the Kumar household, a seemingly common house with a visibly different front garden: "the odd one out in the village, a boring rectangle of lumpy grass bordered with various herbs that mama grew to garnish our Indian meals" (Syal 15–16). As fellow members of the diaspora living in the nearby Wolverhampton become Meena's extended family, they form an immigrant group which dwells in different locations but frequently gathers at the Kumars' to keep their culture alive by singing, cooking, celebrating religious festivals like Diwali, holding mehfil<sup>3</sup> and remembering life back in India:

Papa's *mehfils* were legendary, evenings where our usual crowd plus a few dozen extra families would squeeze themselves into our house to hear papa and selected Uncles sing their favourite Urdu *ghazals* and Punjabi folk songs . . . During these *ghazals*, my elders became strangers to me . . . tragedy and memory illuminating their features . . . when I looked at my elders, in these moments, they were all far, far away. (Syal 71–2)

It is through such cultural practices and performances of cultural identity that the group of immigrants—heterogeneous in terms of ethnicity and religion—become a diaspora community; domestic space transforms into diaspora space, where "tradition is itself continually invented even as it may be hailed as originating from the mists of time" (Brah 208); and the English cultural space of Tollington metamorphoses into a hybrid bi-cultural space, a "third space" (cf. Bhabha). Anne-Marie Fortier refers to these cultural practices as "collective performances of identity and belonging," which involve a Butlerian performativity and "the reification of family values" (*Migrant Belongings* 6); they are cultural practices performed in domestic, community and diaspora space to emphasise and preserve unity, belonging and cultural roots.

What makes the depiction of mehfil in *Anita and Me* particularly worthy of examination is that although the extended family is made up of Hindus, Sikhs and Muslims, longing for the subcontinent as an "imaginary homeland" (Rushdie) and sharing the "unfolding adventure" (Syal 31) of immigration unites the community; thus the mehfil denote performances of a unified and convergent cultural identity, as well as of a lenient collective memory (cf. Assmann). The mehfil as cultural practices may not only be expressions of ethnic and cultural identity, which by their

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<sup>3</sup> A mehfil is an Urdu word for an intimate yet festive social gathering for the sake of entertainment; it always involves the performance of classical Indian poetry, music and dance.

very nature “mark out spatial and cultural boundaries for the immigrant population” (Fortier, “Re-membering Places” 42), but also performative acts that create a “space of belonging” (Fortier, “Re-membering Places” 47) by rituals and commemorations, i.e. tradition and collective memory. The extended family’s identity performances may also be read in terms of a Bhabhaian performativity,<sup>4</sup> according to which “the repetitious, recursive strategy of the performative” (145) creates “community out of difference” (McLeod 117).

The community’s unity also suggests that the memories of religious wars are overruled by nostalgia and by what Brah calls “homing desire.” According to Brah, the concept of diaspora always already embodies a subtext of home and this home is “a mythic place in the diasporic imagination,” “a place of no return,” but also “the lived experience of locality” (192). She also asserts that the notion of home is always linked with the binary of inclusion/exclusion, and the way members of the diaspora experience their subjectivity. This means that the notion of diaspora “places the discourse of ‘home’ and ‘dispersion’ in creative tension, *inscribing a homing desire while simultaneously critiquing discourses of fixed origins*” (Brah 192–3) [original emphasis]. According to Brah, homing desire is not necessarily a longing to return to one’s “origin” (193), not a desire for *the* homeland, but for *a* place to belong to (197). Consequently, as Susheila Nasta suggests, homing desire implies the reconstruction of home in other places and spaces, and so may be defined as “a desire to reinvent and rewrite home as much as a desire to come to terms with an exile from it. Diaspora is therefore as much settlement as displacement” (7–8)—that is, homing desire facilitates a need to belong to a place, which then may be achieved by collective performances of belonging.

In *Maps*, however, homing desire and cultural practices do not prove to be adequate to hold the community together. The immigrant neighbourhood of Dasht-e-Tanhaii is fragmented by differentiation, and, in Nadia Butt’s view, its Pakistani Muslim inhabitants represent “those isolated Pakistani communities who are still trapped in their orthodox religious cocoon and are struggling to reconcile themselves with everyday transnational challenges” (153). Apparently, most members of the community keep themselves to themselves and try to avoid contact with representatives of any different religion, ethnicity or race. One of the main characters of the novel, the fundamentally religious Kaukab, is a typical representative of this self-imposed and thorough self-differentiation and isolation: “. . . Ustad Allah Bux Street. I don’t go there often—white people’s houses start soon after that, and even the Pakistanis there are not from our part of Pakistan.” (Aslam 42) What we can witness here is not only a certain ‘black racism,’ but also “internal forms of cultural racism” (Butt 161), diverted to fellow South Asians who are othered on the basis of

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<sup>4</sup> Bhabha theorises performativity in the context of the nation and nationalist discourse, and argues for “the people constructed in the performance of the narrative” (147); i.e., for the importance of performative acts in order to create unity. Applying his theory to diaspora communities implies that it is through the repetition of cultural practices as performative acts that the sense of community, unity and belonging is created.

religion, ethnicity and kinship, and of Pakistan's ongoing feuds with India and Bangladesh.

The unity of the community is further disrupted by inhuman social practices such as honour killing, exorcism, forced marriages and domestic violence. Apparently, the diaspora space may be called an absolute space,<sup>5</sup> where crimes like rape and paedophilia are tolerated, even overlooked in the name of Allah. On the other hand, diaspora space may also be interpreted as the lived space of a diaspora community formed from *within*. Living in a space of isolation that might be referred to as an ethnic or "immigrant ghetto" (Lemke 166), the immigrant neighbourhood of Dasht-e-Tanhaii is appropriated and dominated by the daily practices of its inhabitants: the above mentioned social practices, cultural/religious practices (e.g. going to the mosque and the Hindu temple, celebrating religious festivals like Eid and Ramadan, and visiting cultural events such as Nusrat Fateh Ali Khan's<sup>6</sup> performance in the local bookshop) and spatial practices.

According to David Morris, lived space is "the *sens* we make of our movement in place, lived space is the *sens* of place reanimated in our movement" (180).<sup>7</sup> Morris draws on Maurice Merleau-Ponty's theory of the body's movement in the world, and his work also points to De Certeau's concept of lived space, which is characterised by movement and is constantly reappropriated by spatial practices, i.e. people's "ways of operating" (walking, naming, narrating, and remembering) in space (xiv). Based on these theories, I argue that in *Maps* the immigrant neighbourhood becomes a lived diaspora space through the operations of its inhabitants and that these operations take various forms: the focalisation of the main characters, renaming as part of the process of reterritorialization, and physical movement in space, which, in many cases, is portrayed as a mapping of the topography and cultural space of the town.

In its alleged isolation, the only bridge between the community and the outside world is provided by Kaukab's husband, Shamas, the director of the local Community Relations Council, "the person the neighbourhood turns to when unable to negotiate the white world on its own" (Aslam 15). As the community member who makes the most journeys between the two "worlds" and within the neighbourhood, this figure embodies the act of mapping, as well as the borderland of the two spaces, while his movement in space allows for the interpretation of diaspora space as a lived space. What makes the border-zone a lived space is the movement in and through it; by its transitory, inbetween and permeable nature, it becomes both a third space as well as a lived space *par excellence*, that is "what appears to us when we move in place, the sense we take away from place in moving through it" (Morris 181). Inasmuch as the

<sup>5</sup> In the postcolonial situation, the concept of Euclidian absolute space as fixed, unchanging and homogeneous may be applied to such closely-knit, isolated immigrant communities like those of the British Muslims, which, as portrayed in Aslam's novel, are ghettoised both from the outside and from within: bounded and dominated by orthodox Islam, which exercises a totalitarian authority over its inhabitants.

<sup>6</sup> Nusrat Fateh Ali Khan is a "world-renowned Pakistani singer of Sufi devotional lyrics" (Aslam 162).

<sup>7</sup> In *The Sense of Space* Morris uses the French word *sens*, which not only "connotes meaning and the senses, but direction" and by doing so, it is "a meaning within a movement that crosses body and world" (24).

border-zone is a liminal, hybrid space, by moving through it, the trespasser takes its liminality and hybridity and carries them into both directions, to “white space” and the immigrant neighbourhood alike. Thus, the town itself becomes a diaspora space in its broadest sense and the prototypical site of a universal diaspora experience “in this Dasht-e-Tanhaii called the planet Earth” (Aslam 367).

Since the exclusiveness and desired purity of diaspora space cannot be maintained (on the one hand due to the heterogeneity of the community and on the other hand because of the unavoidable interaction with the “white world”), most social practices are directed against hybridisation and take their toll on the members of the community, who “live with *quotidian* forms of terror”<sup>8</sup> (Moore 3) [original emphasis]. Individual emotions and opinions must remain unexpressed and unnoticed; as Kaukab reveals, the neighbourhood “hoards its secrets, unwilling to let on the pain in its breast. Shame, guilt, honour and fear are like padlocks hanging from mouths. No one makes a sound in case it draws attention. No one speaks. No one breathes. The place is bumpy with buried secrets and problems swept under the carpets.” (Aslam 45) In fact, any transgressive act or the slightest sign of Westernisation is severely punished by the family and the community; thence, “impure” deeds and the hybridity of individuals must be disguised or suppressed. Secrets both keep the community together and disrupt its unity; they create a sense of belonging on the surface, but a Weilian rootlessness buried deeply below it; they result in a discrepancy between what is projected and what is experienced—in a constant feeling of inbetweenness in liminal diaspora space.

The inbetweenness of diaspora space is also manifested in the first generation’s inability to belong to their current location or to return to their country of origin, and the second generation’s unwillingness to accept their parents’ roots as their home. One of the neighborhood women, for example, wonders “why her children refer to Bangladesh as ‘abroad’ because Bangladesh isn’t abroad, *England* is abroad; Bangladesh is *home*.” (Aslam 46) [original emphasis] The creation of diaspora space through westernisation and hybridisation thus point to a reverse direction of the production of space—diaspora space formed from the *outside*. Shamas indicates the hybridization of his children the following way: “Each time they went out they returned with a new layer of stranger-ness on them until finally I didn’t recognize them anymore” (Aslam 146). In the eyes of the immigrant community, the “white world” hybridizes and corrupts their children, who refuse to follow the rules of Islam and repeatedly break it by drinking, wearing “inappropriate” western clothes, and having extra-marital sexual affairs. From the point of view of the second generation, hybridisation and alienation are both the catalyst and result of a desire to break free from the confines of the community. The braver youth engage in movement and various spatial practices, thereby asserting their hybrid diasporic subjectivity and appropriating diaspora space: they transgress the borders both

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<sup>8</sup> Although terror here does not refer to Islamic terrorism but to the torments and humiliation the members of the community experience daily, in an interview Aslam also draws a parallel between the two aspects of the word by saying that his novel depicts “the small-scale Sept. 11s that go on every day” (qtd. in Kapur).

physically and metaphorically, either leaving Dasht-e-Tanhaii for good (such as Kaukab's children) or creating their own map of diaspora space by finding new routes and hidden places<sup>9</sup> where they may escape being accused of and punished for "promiscuity on display" (Aslam 144), disobedience or impurity. Just as advocates of the nostalgic, idyllic countryside long to preserve its Englishness, so does the diasporic community of Dasht-e-Tanhaii struggle to remain pure. Nevertheless, the presence of immigrants in English cultural space inevitably creates a bi- (or multi-) cultural British space, which, in return, produces a hybrid diaspora space and hybrid diasporic subjects.

For the characters in *Maps*, hybridisation is unavoidable, but rendered as unacceptable, since it would imply "mongrelization" (Rushdie 394) and abjection,<sup>10</sup> endangering the purity of the community's religious and cultural identity. In contrast, Meena's character represents the naturalisation of hybridity, which, although mocked both by the white villagers and the diaspora community, indicates the hybridity of Britishness itself. On the other hand, similarly to the second generation's experiences in *Maps*, in Meena's case it is also the discrepancy and conflict between the village space and the diaspora space of the home, Englishness and Indianness, the identity she desires and the identity imposed on her, which generates the feeling of loneliness, otherness and in-betweenness: "I knew I was a freak of some kind, too mouthy, clumsy and scabby to be a real Indian girl, too Indian to be a real Tollington wench, but living in the grey area between all categories felt increasingly like home" (Syal 149–50).

To resolve her crisis of dual identity, Meena longs to change her appearance and perception in the village, that is, to create a different identity for herself: to "shed [her] body like a snake slithering out of its skin and emerge reborn, pink and unrecognisable" (Syal 146). Meena not only longs for the loss of colour, it being a racial signifier, but also fears the loss of it, because it is also a cultural marker; in other words, if she was reborn pink she would not only be unrecognizable to white people as a racial Other but also to herself, thus losing a part of her identity. Eventually, Meena's desire to be accepted overrules her fears of dissolving; instead of rerooting, she chooses uprooting. The only possible way to do so, Meena believes, is to become friends with the local bad girl, Anita Rutter, the embodiment of everything Meena wants to be but is not. To gain an insider status, Meena applies Bhabhaian mimicry: she tries to look, behave and talk like a real "wench;" she imitates other children and thus performs her identity as one of them, even if it involves deceit or violence: "I knew this was the expected Tollington stance, attack being the best form of defence, and never ever show that you might be in pain. That would only invite more violence." (Syal 52)

<sup>9</sup> One of these hidden places can be found by the lake "where the many hearts carved on the poles of the xylophone jetty enclose initials in Urdu and Hindi and Bengali as well as English" (Aslam 17).

<sup>10</sup> In Julia Kristeva's theory, abjection is "a danger to identity that comes from within" (69), while the hybridity of the abject, i.e. its in-between nature, which "does not respect borders, position, rules," disturbs "identity, system, order" (49) both in the individual and society.

Meena also uses mimicry to emphasise her locality to people outside the village; on one occasion when she drives to town with her mother and they get in an awkward traffic situation, she performs a “deliberately exaggerated Tollington accent, thus proving I was very much one of them” (Syal 97). Meena’s linguistic performance of “that broad Midland sing-song” (Syal 19) implies that she prioritises her locality over her cultural identity, i.e. she loses “her cultural and linguistic ‘idiom’ in order to belong” (Neti 105). Nevertheless, Meena’s performance in this particular case is overwritten by her visible difference and so it does not save her from being perceived as a “bloody stupid wog” (Syal 97). The reason for this failure lies not only in cultural, ethnic or racial markers such as her complexion, but also in the fact that Meena imitates the locals without truly understanding them, thus her mimicry is a repetition with a difference—as Bhabha claims, the “desire to emerge as ‘authentic’ through mimicry” necessarily leads to a “partial representation” (Bhabha 88), a flawed mirror of what Meena thinks Englishness really is or should be.

Furthermore, the use of language for identity performance may both imply sameness and difference; as Leila Neti notes, “speech marked with a nonlocal accent or inflection can demarcate otherness; but locally accented speech can also articulate belonging” (99). When Meena sings a Punjabi song with a Birmingham accent, she reveals her otherness to the rest of the community. On the other hand, when she exaggerates her local accent in front of white people, she “performs a sort of ‘passing’ . . . for strategic purposes” (Neti 99): she emphasises the local identity she continuously performs and desires, a “made-up” identity which she hopes to get a sense of belonging from and which she believes could grant her acceptance in the village. Meena’s “Englishness”, as manifested in her language, is a Butlerian performativity—her performance constructs “the identity it is purported to be” (Butler 25).

Despite the relative success of her identity performance, the increasing racist prejudice in the village forces Meena to question the price of her Englishness and the value of belonging to Anita and the white community. Consequently, she gradually builds up a sense of belonging to the diasporic community, and eventually lets go of identity performance to embrace her racialized, hybrid and fluid identity: “I was content . . . I now knew I was not a bad girl, a mixed-up girl, a girl with no name or place. The place in which I belonged was wherever I stood and there was nothing stopping me simply moving forward and claiming each resting place as home” (Syal 303). Meena’s identity formation parallels the changes Tollington goes through as the peaceful rural space transforms into a tense bi-cultural space and finally into a hybrid suburban space with the building of a new motorway. The transformation of village space affects the inhabitants’ attitude to and perception of strangers and themselves alike, while “all these metamorphoses” (Syal 302) become significant factors in Meena’s identity formation and detachment from space and place.

In my view, one of the keywords in *Maps* and *Anita and Me* is metamorphosis: both novels portray the interaction between space and self and their mutual impact on each other. The impressions and influences, then, result in multiple ways of transformation and interchange, the construction and continuous reconstruction of self

and space: the formation of diaspora communities; the revelation and revolution of diasporic identity as hybrid, transgressive and fluid; and the hybridisation of traditional British cultural space into bicultural and diaspora spaces.

In their respective ways, *Maps for Lost Lovers* and *Anita and Me* show that diaspora is characterised by a collective memory of an imaginary homeland and a homing desire for a place to belong to. This need for a sense of belonging may be a primary factor in the creation of diaspora spaces as lived spaces: a place may be produced as a diaspora space by the specific cultural, spatial and social practices of a diasporic community, that is, by their collective expressions of identity and belonging. Nonetheless, such practices—as seen in Aslam’s novel—may achieve a reverse effect, disrupting the unity of the community and resulting in internal racism, isolation and rootlessness. The portrayal of the countryside in these two contemporary British Asian novels suggests that these practices also foster the creation of bi-cultural space, diaspora spaces and hybrid subjectivities. As diaspora spaces are constantly in formation and do not have fixed boundaries, they may take up various shapes, sizes and locations within bi- or multi-cultural spaces and may also intersect with them. In the cultural context of Great Britain, the presence of different diasporas rewrite the topography of English cultural landscapes and social spaces, and thus directly challenge the monolithic notions of national identity, calling for what Hanif Kureishi has termed “a new way of being British” (18).

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Fiction/3:  
Popular Modes



**Dream and Reality:  
“Absurdity” in Lewis Carroll’s *Alice in  
Wonderland and Through the Looking-Glass***

BALÁZS SÁNTA

**Introduction**

With Martin Esslin’s conceptualization of the Theatre of the Absurd, “the absurd”—an expression that had been an important philosophical term especially since Camus’s *The Myth of Sisyphus*—found its way to drama and (in a broader sense) to literary criticism. Relying on Camus’s ideas for the framework of his investigation, Esslin sees the “absurd” as an organizing principle for a group of playwrights in the first half of the twentieth century (Esslin 1). He invokes the philosopher’s words to illustrate their shared notion of the absurd:

A world that can be explained by reasoning, however faulty, is a familiar world. But in a universe that is suddenly deprived of illusions and of light, man feels a stranger. His is an irremediable exile, because he is deprived of memories of a lost homeland as much as he lacks the hope of a promised land to come. This divorce between man and his life, the actor and his setting, is truly the feeling of Absurdity. (qtd. in Esslin 1)

A sense of disillusionment and alienation from the world are the guiding traits for Esslin when he strings dramas by Ionesco, Beckett, Pinter, and others onto a presumably common thread.

The present paper aims to embark on a project in some ways similar to Esslin’s, although it also differs from it in two major premises. Primarily, the notion of *absurdity* will be used in a slightly different sense here. The thematic meaning of “the human being’s alienation from their temporal-physical-cultural context”—adequately broad for the interests of the philosopher, but perceived as too general for my present purposes—is narrowed down to “a character’s recognition of the fictional setting as radically alien,” thus moving to the domain of structure.

Secondly, the focus is shifted away from dramatic works. The paper will attempt a small-scale interpretation—centered on a limited number of internal aspects of meaning—of two prose works of fiction, *Alice’s Adventures in Wonderland* (1865) and *Through the Looking-Glass* (1871) by Lewis Carroll, arguing that in these texts the reader encounters a version of “absurdity”—an experience of inexplicable strangeness in which the dichotomies of reason no longer seem to apply—although it is framed by attempts at re-establishing their validity.

However, before setting out to investigate the two narratives proper, it seems useful to first analyze a poem by Carroll which fronts several editions of the tales (including the popular Wordsworth Edition), beginning “All in the golden afternoon.” Although the author’s serious poetry is often dismissed as “conventional exercises lacking originality and inspiration” (Hudson 15), it is arguable that important points may be salvaged from this text. The paper will then proceed to the tales themselves, already with a set of principles “our wanderings to guide” (Carroll 9; “All in the golden afternoon,” l. 4). The analysis will focus on the theme of the protagonist’s transitions between dream and reality and her attitude towards such transitions, as opposed to that of the narrator or her sister. It is hoped that the present investigation might serve as a starting point for further work along the lines laid down here.

### Proleptic verses

One of the several subjects that Carroll seems to address in the *Alice* stories is the problem of time. The introductory poem, beginning “All in the golden afternoon . . .” (10–11), already shows a preoccupation with the temporality of creating a tale: that of Alice in Wonderland.<sup>1</sup> The bulk of the poem—from the first stanza to the penultimate one—can be seen as an account of how the story has been made, a process with very definite time boundaries. It is “[i]n the golden afternoon” that the “merry crew” is seen gliding in a boat in the first stanza when, as described in the next one, the “cruel Three” start begging for a tale. The stanza which ends the account designates the end-point of story-making: “And now the tale is done, / And home we steer, a merry crew, / *Beneath the setting sun*” (italics mine). The time frame of narrative invention thus becomes exposed; the reader learns that the “growing” of the tale of Wonderland took a full afternoon and lasted until sunset.

In addition to informing the reader about the temporal boundaries of creating the “original” narrative, the opening poem also draws attention to the internal aspect of the process of creation in an indirect manner. In stanza 5, the speaker sketches an image of the storyteller as “that weary one” goaded by the “cruel Three” into inventing the tale. Striving “To put the subject by,” he pleads to have “The rest [of it] next time,” to which “the happy voices” cry: “It *is* next time!” This exchange, apart from representing the listeners’ witty way of begging for continuation, can also be taken as a shorthand dialogic depiction of the meaning of *continuity* as such. While the reference to “time” in the storyteller’s expression “next time” is clearly to *another* occasion at which to come back to the tale, implying the temporary suspension of the telling of it, the happy voices take advantage of the ambiguity of the word’s meaning. This ambiguity arises from “(next) time” having an alternative sense apart from *another occasion*. This other potential sense, activated by the speakers, comes from the supposition that an action can be divided into successive parts or moments—thus, *times* (of its performing). The only difference between these two senses lies in leaving

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<sup>1</sup> The text of the poem is reprinted in the Appendix with line numbering for further reference.

out, in the latter case, the temporary stoppage of performing the action, yet at the same time retaining the sense of division—if only in abstraction—into a sequence of constituent parts. Hence, the concept of *continuity* is depicted as the succession of moments or “times.” This way the entire act of storytelling appears to be portrayed synecdochically. A facet of the whole process, the progression of one *time* (or *moment*—some kind of *unit*) upon another, is represented here, which may be seen as conveying an impression of the creation of the whole narrative.

Thus, in order to have the storyteller go on with the tale, the rest of the company teases him by playing a trick on meaning (which will be a habit of most creatures of Wonderland). In this case, the trick also serves to offer a glimpse into an underlying conception of time and, eventually, *being*, whose idiosyncrasy, an immersed continuity (resembling that of the river on which the story-making takes place), will be seen to be in contrast with some crucial traits of the speaker of the poem as well as the narrator of the ensuing tales.

An indication of one such trait comes with the last stanza. Here the speaker is addressing the reader directly, and he seems to be talking about the story from a distance. This change is introduced already in stanzas 5 and 6, where most of the main verbs appear in the past tense (“drained,” “strove,” “grew,” “were”), whereas the first four stanzas are spoken entirely in the present (“glide,” “make,” “flashes forth,” “pursue,” “believe,” etc.). The first line of stanza 6 adds a sense of closure to the tale’s creation: “Thus grew the tale of Wonderland,” which is sharpened three lines later by the statement, “And now the tale is done.” The last stanza completes this closure by an act of labeling, calling the tale “a childish story,” which also conceptualizes it as a finished, finite object to be “taken” or accepted by its recipient-reader (cf. “Alice! a childish story take . . .”).

In short, the act of telling the tale of Wonderland itself is being smoothly detached from the act of talking to the reader, bracketed, as it were, as a mere object of the primary speech act. The motivation for this is that the speaker himself is at a distance from his own creation. For example, the only references to the subject inventing the tale are “one poor voice” (stanza 2) and “that weary one,” albeit it is evident from the use of the first person plural (“we,” “our,” in stanzas 1 and 2) that the speaker and the storyteller are the same person. Although this might not induce us to suppose a straightforward split of the psychological self, the disjunction between the two events of speaking seems to argue for a dissociation of temporal experience, a likely indicator of detachment between attitudes toward *being*.

However, it is not only through a separation of speech acts that the dissociation is discernible. “Alice! a childish story take,” says the speaker, and asks that it be laid “where Childhood’s dreams are twined / In Memory’s mystic band.” The concept brought into focus here is again time, now serving as the instrument of marking (or, alternatively, creating) the distance between the speaker of the poem and the tale about Alice—and, consequently, the teller of that tale. The story is “childish” because it pertains to the past, to childhood. Therefore, the poem’s speaker is to be identified as an “adult” self. Now this does not necessarily mean that the storyteller should be thought of as the *child* alter ego of the poetic persona. However, it is still

clearly the case that the tale—and the act of inventing it—is recognized by the speaker as a thing of the past, which divorces it from the present of speaking. This temporal distance between past and present is reinforced with the simile in the closing lines, evoking the concept of physical distance (but also retaining a hint of the temporal). Here “Childhood’s dreams” are likened to “*pilgrim’s withered wreath of flowers / Pluck’d in a far-off land*” (my italics). By conjuring up a pilgrim’s journey to “a far-off land,” the speaker emphasizes distance. The image of a “*withered wreath of flowers*” (italics mine) also contributes to that effect, hinting at temporality again through associations of decay and passing away. All this leads us to see the speaker as thinking in terms of temporal finitude, which is opposed to the continuity of the act of storytelling, depicted in stanza 5 as the constant succession of *times*.

The poem, in conclusion, seems to foster two basic ideas, which serve as an introduction to *Alice’s Adventures in Wonderland*. First, the reader is presented with two distinct ways of experiencing time. On the one hand, the storyteller’s invention of the tale looms large as a chain of moments progressing in the continuous present, while, on the other hand, the primary speech act of the poetic persona imposes a temporally finite scheme on this invention, fixing it in a frame of times of day (afternoon and sunset) and, eventually, relegating it into the past. Second, by putting forth the idea of dissociation between perceptions of continuity and finitude, the poem also hints at two respective attitudes toward experience. The one appears to consist in immersion or “being in”—inside action, in progress, implying a kind of careless, self-forgetful involvement<sup>2</sup>—while the other might be expressed conceptually as “being out”—on the edge, as it were, of *being*, which gives way to narratorial reflection. In what follows, I will attempt to string both tales by Carroll—*Alice’s Adventures in Wonderland* and *Through the Looking-Glass*—onto the thread of these ideas.

### **Dream and reality in *Alice in Wonderland* and *Through the Looking-Glass***

Lewis Carroll’s best-known works are very often discussed in the context of the author’s life. Although the events of that life—as in the case of any writer—obviously did shape the works that we now know as *Alice’s Adventures in Wonderland* and *Through the Looking-Glass and What Alice Found There* (henceforth abbreviated as *Wonderland* and *Looking-Glass*, respectively), my aim here is to study structures of meaning inherent to the text and, above all, to tease out complications of the dichotomy dream/reality which informs both narratives.

With regard to the story or, in the terminology of Russian Formalism, the *fabula* (Eichenbaum 12) of the *Alice* tales, both relate (at least on the face of it) a child’s experiences in dreaming. The texts make this the most evident at the end of each tale, when Alice is shown waking up from a dream in the same place where she

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<sup>2</sup> The Hungarian term *önfeledt* might be a more expressive word here, whose literal sense of “self-forgotten” is colored by associations of pleasure, e.g. in the phrase *önfeledt játék* (‘playing in a careless/self-forgetful manner’).

was discovered at the beginning (on a riverbank with her sister in *Wonderland* and in her room in *Looking-Glass*).

However, the narrator hints at this fact in a parenthetical remark already in the very first chapter of *Wonderland*:

So she was considering in her own mind (as well as she could, *for the hot day made her feel very sleepy and stupid*), whether the pleasure of making a daisy-chain would be worth the trouble of getting up and picking the daisies, when suddenly a White Rabbit with pink eyes had ran close by her.

(11, italics mine)

It does not seem difficult to make the connection between the statement italicized above and the sudden appearance of the White Rabbit—unexpected as well as out of the ordinary, as the creature will turn out to carry a watch in its waistcoat pocket—and draw the appropriate conclusion. However, this only becomes apparent with hindsight, since it is never stated explicitly that Alice is dreaming while wandering in Wonderland. This is clarified only in the last chapter. After Alice’s exclamation to the Queen of Hearts and her court, “You’re nothing but a pack of cards!” (115), she is, so to speak, narrated out of her dream:

At this the whole pack rose up into the air, and came flying down upon her: she gave a little scream, half of fright and half of anger, and tried to beat them off, and found herself lying on the bank, with her head in the lap of her sister, who was gently brushing away some dead leaves that had fluttered down from the trees upon her face. (115)

The metamorphosis of the cards into leaves happens in a manner similar to the way a sneezing baby turns into a pig in Chapter six, after Alice takes it with her from the Duchess’s place. She has been carrying the baby for some time, taking glances at its rather curious face and listening to its grunt-like sobs, when it becomes more and more dubious for her whether the little creature is in fact a baby or a pig.

The baby grunted again, and Alice looked very anxiously into its face to see what was the matter with it. There could be no doubt that it had a *very* turn-up nose, much more like a snout than a real nose; also its eyes were getting extremely small for a baby. . . . The poor little thing sobbed again (or grunted, it was impossible to say which), and they went on for some while in silence.

Alice was just beginning to think to herself, “Now, what am I to do with this creature when I get it home?” when it grunted again, so violently, that she looked down into its face in some alarm. This time there could be *no* mistake about it: it was neither more nor less than a pig, and she felt that it would be quite absurd for her to carry it further. (59–60)

The transformation of the creature is presented through a focalized perspective as a smooth transition from one state to another, which reinforces the reader's sense of constant flux around all the characters and events in *Wonderland*. By implication, this raises the question of whether any rigid category ("baby" or "pig," in this case) could be observed in such a state. Alice's stepping into and out of her dream-worlds in the first and last chapters of *Wonderland*, seems to explain this unusual state of affairs.

The transition from "reality" to "dream" is perhaps even less apparent at the beginning of *Looking-Glass* than in its prequel. We only hear Alice talking to her kitten about how one might go through the mirror to enter Looking-glass World when we see her already "up on the chimney-piece . . . , though she hardly knew how she had got there" (134). Nevertheless, the last two chapter titles ("Waking," "Who Dreamed It?") and Alice herself in the last chapter, talking to her kitten, clarify that all the strange events she went through were a dream: "You woke me out of oh! such a nice dream!" (250).

It still seems problematic, though, how Alice gets into her dream world, despite the apparently clear-cut distinction between reality and dream. The sense of flux already described above underlies the *fabula* and has to do with the *sjuzet*. The significance of the way that the transition from reality to dream is narrated, somewhat paradoxically, is that it is *not* narrated—not explicitly, at least. Although it has been noted at which points of the texts it may be suspected to happen, certainty about the separation between dream and reality comes only with the end of each story. Thus, the instance in the narrative which construes Alice's adventures as dreams is a reinterpetive gesture, an act of labeling and rigid distinction similar to that identified at the end of the poem introducing *Wonderland* and attributed to the poetic persona. In the tales proper, this gesture can be ascribed to the narrator and Alice's sister.

While it is true that she does acknowledge her memories of the events as pertaining to a dream ("“Oh, I've had such a curious dream!” said Alice” [115]), the difference between Alice and her sister with regard to their respective attitudes towards the dream brings out a quality in the little girl's disposition that shows her to be beyond the rational imperative to attribute much *significance* to a distinction between fantasy and reality. Alice feels an urge to do two things: to tell about her dream to her sister and to delight in its wonders.

‘Oh, I've had such a curious dream!’ said Alice, and she told her sister, as well as she could remember them, all these strange Adventures of hers that you have just been reading about; and when she had finished, her sister kissed her, and said, ‘It *was* a curious dream, dear, certainly: but now run in to your tea; it's getting late.’ So Alice got up and ran off, thinking while she ran, as well she might, what a wonderful dream it had been. (115)

With this scene the little protagonist hurries off from the narrative, but the space she leaves behind is occupied in the next instant by her sister. Having listened to Alice's excited account of her adventures, she sends her off to tea with what sounds but a

paltry remark. Not that she would be left untouched by the story; she keeps the images and characters whirling in her mind and clings to them for her own fantasy: “But her sister sat still just as she left her, leaning her head on her hand, watching the setting sun, and thinking of little Alice and all her wonderful Adventures, till she too began dreaming after a fashion . . .” (116). First she dreams of her little sister, and then the characters from Alice’s tale seem to come alive in her imagination. However, she appears to lack some of her sister’s imagination, for one by one the curious creatures and events start dissolving into sounds and images familiar from her immediate surroundings.

The long grass rustled at her feet as the White Rabbit hurried by—the frightened Mouse splashed his way through the neighbouring pool—she could hear the rattle of the teacups as the March Hare and his friends shared their never-ending meal, and the shrill voice of the Queen ordering off her unfortunate guests to execution—once more the pig-baby was sneezing on the Duchess’s knee, while plates and dishes crashed around it—once more the shriek of the Gryphon, the squeaking of the Lizard’s slate-pencil, and the choking of the suppressed guinea-pigs, filled the air, mixed up with the distant sobs of the miserable Mock Turtle.

So she sat on, with closed eyes, and half believed herself in Wonderland, though she knew she had but to open them again, and all would change to dull reality—the grass would be only rustling in the wind, and the pool rippling to the waving of the reeds—the rattling teacups would change to tinkling sheep-bells, and the Queen’s shrill cries to the voice of the shepherd boy—and the sneeze of the baby, the shriek of the Gryphon, and all thy other queer noises, would change (she knew) to the confused clamour of the busy farm-yard—while the lowing of the cattle in the distance would take the place of the Mock Turtle’s heavy sobs. (117)

Wonderland’s marvels melt away into facets of “dull reality” (117) in a surprisingly consistent manner, which may even be summarized as below:

<b>Wonderland</b>	<b>reality</b>
“The long grass rustled at her feet as the White Rabbit hurried by –”	“the grass would only be rustling in the wind”
“the frightened Mouse splashed his way through the neighbouring pool”	“the pool rippling to the waving of the reeds”
“the rattling teacups”	“the tinkling sheep-bells”
“the Queen’s shrill cries”	“the voice of the shepherd boy”
“the sneeze of the baby, the shriek of the Gryphon, and all the other queer voices”	“the confused clamour of the busy farmyard”
“the Mock Turtle’s heavy sobs”	“the lowing of the cattle in the distance”

The excitement of the adventures progressing dynamically is taken over by the plainness of quotidian country life; the uniqueness springing from subjective experience fades into shared reality. There is evident tension, induced by disappointment in the real, in the sister, who explicitly recognizes the boundaries between reality and fantasy. Therefore, it is this unnamed—obviously elder—sister, rather than Alice, to whom the act of retrospective labeling, in the sense developed earlier, is to be attributed.

It is not only the sister in *Wonderland*, though, who may be said to display signs of such a disposition. The narrator takes a similar role when he addresses the reader in a metafictional gesture in the passage quoted above: “[Alice] told her sister, as well as she could remember them, all these strange Adventures of hers *that you have just been reading about . . .*” (115, italics mine). This instance, if indirectly, points at the fact that the whole story has been part of a book, and thus, it is fictional. The remark supposes—or, in the very act of reading, rather creates—a second person singular reader to be distinguished as the subject of the reading act, while at the same time it also casts the characters as well as the events of *Wonderland* into the position of objects of the same act. This gesture on the narrator’s part demonstrates the same frame of mind as that of Alice’s sister, and both resemble the inclination of the poetic persona in the opening poem.

Although in *Looking-Glass* Alice again calls her experiences a dream after waking from them, there she seems to cancel the statement’s ontological power by raising the question of *whose* dream it has been:

Now, Kitty, let’s consider who it was that dreamed it all. This is a serious question, my dear, and you should not go on licking your paw like that—as if Dinah hadn’t washed you this morning! You see, Kitty, it must have been either me or the Red King. He was part of my dream, of course—but then I was part of his dream, too! Was it the Red King, Kitty? (252)

Perhaps the most ancient elaboration of the same puzzle appears in the Chinese philosopher Chuang Tzu’s account of his dream in which he was a butterfly, pondering awake if he is Chuang Tzu having dreamed to be a butterfly or a butterfly dreaming to be Chuang Tzu (Chuang Tzu 49). The puzzle can be understood—especially in a European context, where Descartes’s dream paradox (cf. *A Discourse on Method*, Part IV) comes to mind—as problematizing the status of reality as perceived by the subject. Although Alice does not doubt her being identical with herself in the passage quoted above (unlike Chuang Tzu in the case of himself and the butterfly), she *is* questioning her position as a subject—whether she was dreaming or being dreamed of. Therefore, her own question possesses a destabilizing force parallel to Chuang Tzu’s, insofar as it undermines the very certainty of her being *real* in the event that *she* was part of *the Red King’s* dream. It should be noted that although some readers might opt to refuse taking the latter case seriously, it remains nevertheless an open choice *for Alice* in the text, as she does not seem to be putting the question ironically but asking it in earnest. Therefore, by subverting confidence in

the status of reality in this way, Alice—despite her own recognition of her experiences as a dream—continues to dwell in a state of inspiring flux as far as firm convictions are concerned.

The narrator, however, intrudes at the end of *Looking-Glass* in the same vein as he did in *Wonderland*. After Alice's doubts about whose dream she has been dreaming, hers or the Red King's, the narrator asks in the last sentence of the text, "Who do you think it was?" (252). As in the first tale, here too the reader is written, as it were, into the discourse of the novel. The effect is similar: mentioning a *you* emphasizes metafictionality—i.e., that we, the readers, are reading a story, in which one of *the characters* had a dream. This narratorial gesture is again reminiscent of the attitude of the introductory poem's speaker, who set up rigid boundaries between reader/text, real/fictitious, past/present.

So far, the discussion of the transitions between reality and dream in Carroll's tales has shown that, although it seems hardly debatable that Alice goes through her adventures in a dream, there is a significant difference between the way Alice, on the one hand, and her sister and the narrator, on the other, think of the dream. It is important to see that Alice's attitude toward her experiences entails an inclination to relate them and delight in them; she may be seen as continuing to dwell in the world of fantasy. At the same time, her sister's lack of imaginative power and recognition of correspondence between phenomena of quotidian country life and those of Wonderland, as well as the narrator's metafictional interventions, project a sense of finitude over the infinite wonders of fantasy.

In sum, Carroll's tales appear to host opposing attitudes to their own story or *fabula*. Already in the poem attached to *Wonderland*, we can hear two different voices with different approaches to story-telling, one submerged in never-ending presentation, the other wistfully acknowledging the pastness of a finite time never to be brought back again. In the narratives proper, the same difference of viewpoints seems to appear through Alice the protagonist and her sister, who can be taken as a character-level manifestation of the narrator's disposition. The instances of transition examined above show how these opposing perspectives inform both of Carroll's narratives.

The analysis of different attitudes towards dream and reality presented above may prove useful for the interpretation of other works as well. Possible candidates include Beckett's *Waiting for Godot*, where the two protagonists, Vladimir and Estragon, seem to be concerned with the problem of space, as opposed to the temporal interest of the *Alice* tales. The two attendants' physical transition from the barren scene of their pathetic self-amusements comes to the fore precisely because it is only longed for, never attained. Another possible subject for study along these lines would be Tom Stoppard's *Rosencrantz and Guildenstern Are Dead*, a play in which the metatheatrical locus of Shakespeare's *Hamlet* serves one pole of a possible transition, while its negative—being out of the frame-play—may be seen as providing the other. Such an investigation may also help to clarify the key differences between these versions of "absurdity".

**Appendix**

“All in the golden afternoon” (Caroll 9–10)

All in the golden afternoon	1
Full leisurely we glide;	2
For both our oars, with little skill,	3
By little arms are plied,	4
While little hands make vain pretence	5
Our wanderings to guide.	6
Ah, cruel Three! In such an hour,	7
Beneath such dreamy weather,	8
To beg a tale of breath too weak	9
To stir the tiniest feather!	10
Yet what can one poor voice avail	11
Against three tongues together?	12
Imperious Prima flashes forth	13
Her edict ‘to begin it’—	14
In gentler tone Secunda hopes	15
‘There will be nonsense in it!’ —	16
While Tertia interrupts the tale	17
Not more than once a minute.	18
Anon, to sudden silence won,	19
In fancy they pursue	20
The dream-child moving through a land	21
Of wonders wild and new,	22
In friendly chat with bird or beast—	23
And half believe it true.	24
And ever, as the story drained	25
The wells of fancy dry,	26
And faintly strove that weary one	27
To put the subject by,	28
‘The rest next time—’ ‘It is next time!’	29
The happy voices cry.	30
Thus grew the tale of Wonderland:	31
Thus slowly, one by one,	32
Its quaint events were hammered out	33
–And now the tale is done,	34
And home we steer, a merry crew,	35
Beneath the setting sun.	36

Alice! a childish story take,	37
And with gentle hand	38
Lay it where Childhood's dreams are twined	39
In Memory's mystic band,	40
Like pilgrim's wither'd wreath of flowers	41
Pluck'd in a far-off land.	42

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## Tea, Scones, and Kidney Pies: Food, the British, and the Others in the Novels of Agatha Christie

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“Give me,” said Mr Aarons, “a good Porterhouse steak and a tankard of something worth drinking, and anyone can have your French fallals and whatnots, your ordoovres and your omelettes and your little bits of quail. Give me,” he reiterated, “a Porterhouse steak.” (*The Mystery of the Blue Train* 339)

Thus Mr Joseph Aarons, an English gentleman, summarised the attitudes of the majority of Christie’s characters towards food and foreign cuisines. In no uncertain terms Mr Aarons stated the composition of a proper meal. It should consist of a piece of meat, preferably beef, accompanied by a nice amount of ale, or alternatively a steak and kidney pudding followed by an apple tart, a jug of cream and a slice of cheese (*The Mystery of the Blue Train* 339). In sharp contrast stands the French cuisine, which is ridiculed. French servings are diminutive and the dishes, the names of which Mr Aarons so disdainfully mispronounced, unsatisfactory.

Contemporary British cuisine can easily be characterised as fusion. Traditional English food-ways are subject to influences from all over the world, from the pseudo-Indian Chicken Tikka Masala, through Italian pizza, to American Coke and McDonalds (Ashley 79–80, 91–92). To eat foreign food has become a marker of social status, and experimenting with foods now equals mastering the art of living (67–69). More and more Britons are becoming food-adventurers by Lisa M. Heldke’s definition: they compete in who conquers more unheard-of cuisines, endures the taste of the hottest chilli pepper or dares stomach the meat of the most unusual animal (xiv–xv, xxiii).

But this is certainly not the case of the Englishwomen and Englishmen populating Christie’s detective stories. Although Christie’s characters travel and encounter people of various origins, they never express any desire to taste the local cuisines. Either they strictly adhere to traditional English fare, or, if they accept an offer of a local dish, such as in the case of Hilary, the protagonist of *The Mystery of the Blue Train*, who agreed to try sweet mint tea in a local household in Morocco (106), they do so reluctantly and with distrust.

This paper presents possible reasons for Christie’s characters’ obvious reluctance to food adventuring and their strict observance of the rituals of proper English meals. Five novels were selected for analysis on the basis of the close contact between various nations present in them, namely *The Mystery of the Blue Train* (1928), *Murder on the Orient Express* (1934), *A Murder is Announced* (1950), *Destination Unknown* (1954), and *A Caribbean Mystery* (1964).

## **The Setting of a Classical Detective Novel: The Local and the Universal**

The lack of interest in local cuisine and the strict adherence to traditional British food rituals could be explained as stemming from the genre of the detective novel. John G. Cawelti noted that a classical detective story is generally set in an isolated spot, in order to enclose a small group of those involved in the crime and create the tension of the situation where everyone is suspected (96), as well as to help examine the “local color”—describe the given set of characters, their typical behaviour and personality traits (97). Thus the introduction of numerous minor characters or descriptions of culture, including food habits, is not typical of a classical detective novel. As the characters of Christie’s novels are for the most part Englishwomen and Englishmen, to concentrate on the local people of a country in which the novel is set would represent a non-constructive digression. Instead, it is preferable that the attention be turned to the limited space in which the characters meet and act.

Such an explanation indicates that there is no mention of the rituals and foodways of host nations whatsoever, or even that the characters are confined to the enclosed space of the hotel or train without any contact with the outside reality. However, this is not the case. In all of the novels, even if they are set in a train carriage or a single village, the characters frequently come into contact with the cuisines of other nations. In *The Mystery of the Blue Train* all of the characters travel extensively between Britain and France. Moreover, in the case of *Destination Unknown* the requirements of the detective genre do not bear weight, as this novel is a thriller.

It is therefore necessary to find an alternative explanation for the rejection of foreign foods not relying on formal characteristics of the detective genre. The following analysis attempts an explanation focusing on how identity is constructed and reinforced in the novels by means of food and eating rituals.

### **Food and the Construction of Identity**

Identity can be defined using the structuralist notion of binary oppositions, adopted for example by anthropologist Claude Lévi-Strauss. Lévi-Strauss maintained that human society, like language, is composed of meaningful elements which stand in oppositions to one another. Each of the elements gains its meaning only when contrasted with other elements of the same category (46). As the nature of the sound [s] can be observed only in comparison with other sounds, e.g. [z], the nature of social phenomena can be discovered only after comparing them to other phenomena. As an example, Lévi-Strauss presented the “structure of dining.” This structure demonstrates the relationship between a typical English and a typical French dining ritual. Lévi-Strauss claimed that the individual characteristics of these two dining rituals form pairs of binary oppositions: whilst one of the rituals is characterised by its traditionalism, the other incorporates numerous exotic elements; one focuses on the main dish, the other emphasises side dishes; one is based on spicy tastes, the other on bland ones; etc. (98–99).

Similarly, an identity trait is only decipherable when placed in opposition to a different identity trait. A group is aware of their features because they are different from the features of another (Elliott 180). However, these oppositions are by no means inherent, despite the common belief that a nation's traits are "as old as history." National identity is constructed by cultural institutions: print, education, mass media, or pubs serving national dishes (Ashley 76, 81–85). Thus when restaurants owned by the British National Trust offer a menu of full English breakfast, roast beef, afternoon tea, and a supper of fish and chips, they engage in constructing a British national identity linked to the values of tradition, conservativeness, monarchy, and the nostalgia for "what granny used to cook" (Ashley 76–77). However, this embracing of traditional Britishness goes hand in hand with a certain amount of nationalist xenophobia. Foreign foods are not served in the National Trust restaurants (76) and the British often describe foreigners as eaters of "foreign muck" (83).

The positioning of the other as different helps establish a sense of identity. However, the rejection of the other as worse than us—unhealthy, not nutritious, not tasty—promotes a sense of superiority. Indeed, the relationship between Britain and other nations is depicted in the novels as one in which Britain is thought to be superior by the British characters. This is evident for example in the case of detective Hercule Poirot, who is frequently ridiculed and deprecated for his perceived Frenchness by his British colleagues and co-operators.

While nationalism and a sense of superiority is often expressed by refusing the food of the other, the practice of eating foreign food, especially in the form of "food adventuring" (Heldke xiv–xv), can be permeated with (post-)colonial sentiments and can reveal relationships of power, as well. Food adventuring is defined by Heldke as the practice of sampling more and more foreign foodstuffs or ethnic cuisines in order to escape the perceived blandness and boredom of one's own culture. She classifies this practice as a form of colonialism: food colonialism (xv–xvi). Heldke's definition of food colonialism is similar to bell hooks's<sup>1</sup> claim that contemporary Westerners find pleasure in their encounters with the other, be it black music, foreign women, or ethnic cuisines. These serve as "spice and seasoning" to make more interesting the mainstream Western culture that has started to bore its representatives (Hooks 21). Charlene Elliott observes a similar tendency of "bottling" a cuisine, or a culture, for "mass consumption" (185). What she views as problematic is the one-sidedness of this activity. The other has no say in how parts of their culture are utilised. This is what hooks labels "commodifying the other" (23): food adventurers regard other nations and their cuisines as objects they can use unrestrictedly (27–29). By engaging in food adventuring, the Westerner demonstrates their power over the other. Thus these practices, rather than open-mindedly challenging the existing power structures, as they are believed to do, reinforce them (Ashley 69–70).

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<sup>1</sup> bell hooks is the pen name of American feminist author Gloria Jean Watkins.

## The British and the Others: Patterns of Superiority

As demonstrated above, eating, as well as not eating, is a sign of taking power in a relationship. But although instances of food adventuring do occur in some of Christie's novels, e.g. in *Destination Unknown* or in *A Caribbean Mystery*, direct refusals to even try out foreign dishes are much more prevalent. As Lynne Fallwell observes, refusing a meal is a sign of refusing the other (131). Moreover, the refusal of foreign dishes in Christie's novels is often accompanied by a comparison of the exotic food item to a British equivalent, which is always depicted as the better alternative. In *A Caribbean Mystery* Miss Marple breakfasts in her hotel room on a nameless Caribbean island, where she is provided with "[t]ea, a boiled egg and a slice of paw-paw," to which she reacts: "The fruit on the island . . . was rather disappointing. It seemed always to be paw-paw. If she could have a nice apple now—but apples seemed to be unknown" (7).

The British characters' feeling of superiority is manifested in three different ways: firstly, in their perception of other nations of the West, especially of the French and the Americans; secondly, in their perception of the people coming from Central Europe; and finally in their perception of non-European nations, specifically the nations of the Empire, i.e. the Orient and the Caribbean.

When observing the first of these patterns of superiority, what prevails is the consciousness of the political and military ties and antagonisms between the Britons and other nations of the West. In her essay "Typisch Deutsch: Culinary Tourism and the Presentation of German Food in English-Language Travel Guides" Fallwell analyses how the English-speaking world's perceptions of Germans, originating in twentieth-century history, especially in the world wars and the holocaust, shaped the attitude of English-speakers towards German cuisine. Criticism of German cooking began after World War One and has not ceased since (Fallwell 131–37). Germans are depicted as indulging in heavy dishes of pork, consuming even the internal parts of the animal. Although this practice exists in many cuisines, including the British itself, it is abhorred in German cuisine and connoted with excessive aggressiveness and violence (140–41).

It is assumed that the depiction of French food habits in Christie's novels is based on the same presupposition that values, morality, and food are linked together. Thus by dismissing the French eating habits as snobbish, overly ornamental, artificial (*The Mystery of the Blue Train* 138, 339, etc.) or as immoral, even decadent, as in the case of Miss Hetherington who does not approve of the French letting their children sit at the table late in the evening and drink wine (*Destination Unknown* 103), the Britons voice their hostility towards the French and justify their feeling of moral superiority. Through their eating habits, the French, even French men, are depicted as effeminate and weak. Moreover, it is indicated that the intricate nature of the dishes reflects the need to mask the true substance behind them. Such is the case of swindler Comte de la Roche, who masks his true (criminal) character by posing as a French aristocrat and faking a preference for dainty omelettes, white sauces, and "very fine old brandy" (*The Mystery of the Blue Train* 199–200).

The opinion about American eating habits is similarly shaped by competitiveness or antagonism. Britons are depicted as preferring red meat, huge portions, butter, lots of fat, cream, etc.: in general they are interested in eating heartily, not in eating healthily. On the other hand, Americans are portrayed as obsessed with healthy food. In *Murder on the Orient Express*, Mr Hubbard will take only cereals for breakfast (60), while his wife will not drink alcohol and describes herself as a “lifelong teetotaller” (223). Americans represent typical “modern eaters” who are stuck between their “outrageous gluttony and equally excessive guilt” caused by their awareness of their own excess (Belasco 11). The behaviour of the Hubbards is depicted as unnatural, and finally their pretence is revealed when Mrs Hubbard is shown drinking cognac plentifully for “medical purposes” (*Murder on the Orient Express* 223).

The opinions of Christie’s characters about Central Europeans are made visible in Mitzi, one of the characters in *A Murder Is Announced*. Mitzi is a “Mittel-European” household help, a World War Two refugee (59) whose country of origin is never specified, as it is probably unknown to the other characters. Mitzi is portrayed as ridiculous, a person not to be trusted, and all her opinions are downplayed. She has experience of the holocaust and concentration camps, but these are considered exaggerated or made up.

Mitzi is the family cook, but her cooking skills are not praised. In fact, Miss Blacklog, her employer, admits keeping Mitzi in her house only from pity (74). Mitzi is depicted as dirty and her kitchen routine is not proper (317). The meals she prepares tend to be cheap, e.g. she cooks nettle (135), and she refuses to accept British foodways and to learn (213). In sum, Central Europeans and their food are looked upon with mockery and deprecation. However, as they do not pose a real threat to British superiority, they are pitied and tolerated, rather than despised.

The final pattern of perception in Christie’s novels is that of non-European nations. These are represented through stereotypes. Elliott refers to this (following Edward Said) as the European construction of the Orient, which she classifies as a type of domination. By simplifying a nation into a set of symbols, Westerners make it possible to define themselves as opposite to the Orientals, to the other (Elliott 179–80). The paw-paw, coconuts, sweet mint tea, and Turkish delights become icons of the Caribbean and the Orient. When the characters are forced to try these local specialties they do so only reluctantly. In *A Caribbean Mystery*, the hotel manager, seeing Miss Marple dining on traditional local fare offers to cook something more English for her (4–5). Miss Marple politely declines, but the reader is left with an impression that she eats the presented sundae in order not to offend her host, rather than to enjoy it. Such reactions represent a heritage of what hooks calls “a white supremacist past,” in which the other was inferior and insignificant, and therefore desiring the other was “articulated only as taboo, as secret, as shame” (24). For the British traveller, the locals of the Caribbean are unimportant and not worth noticing, embodied in the image of a native who breakfasts a coconut and then sleeps “for the rest of the day” (*A Caribbean Mystery* 45).

In this paper I attempted to demonstrate that food plays an important role in characterisation and in the construction of identities in Christie's novels. Christie's stories, in spite of the classical detective rule that a crime story should be set in an isolated spot and the number of characters strictly limited, often take place during international journeys, on trains, tours or planes, and consequently are populated by numerous minor characters of various origins. When concentrating on the way how the food of these others is depicted in the novels, one uncovers a discourse of superiority. Indeed, Christie used food references to demonstrate that British cuisine, and consequently the British nation, regards itself, for various reasons, as more sophisticated and of higher worth than any of the others, be it the French, the Americans, the "Central Europeans," or the natives of the Caribbean.

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## **“How are you getting on with your forgetting?”: The Past and the Present in Margery Allingham’s and Josephine Tey’s crime fiction**

RENÁTA ZSÁMBA

*“The gentleness, the hypocrisy, the thoughtlessness, the reverence for law and the hatred of uniforms will remain, along with the suet puddings and the misty skies. It needs some very great disaster, such as a prolonged subjugation by a foreign enemy, to destroy a national culture.”*

(George Orwell, *The Lion and the Unicorn* 19)

### **Introduction**

In the aftermath of modernisation and the Great War, which in many senses was the embodiment of the negative, threatening aspects of modernisation, classical detective fiction played a key role in constructing a nostalgic image of England, English identity and the English countryside.

The genre was also in a very advantageous position due to growing literacy and the paperback revolution. Crime fiction was booming in the 30s and 40s, as Ernest Mandel points out in *Delightful Murder*, which he attributes to the fact that many found pleasure in reading detective stories to escape from the increased monotony, uniformity and standardization of work and life (71). In thinking about the causes of the genre’s increasing popularity, however, one also has to take into consideration the fact that classical crime fiction, besides being ‘escapist literature’, also had the English middle-class in its focus.

A novel approach to mid-century crime fiction allows us to interpret the genre as a *lieu de mémoire* of the English middle-class, rather than as simply the source of pure enjoyment. Classical crime fiction was one of those discursive sites where the reinvention and relocation of the English middle class was taking place after the Great War. Both the trauma of the Great War and the weakening and later the loss of the Empire forced the English to reinterpret their own identity. Members of the middle-class chose what and what not to remember. The creation of an allegorical England from pieces of their recollections led to a memory crisis and sometimes to pathological forms of nostalgia<sup>1</sup>. Susan Stewart points out in *On Longing* that this

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<sup>1</sup>In his *Az ártatlan ország*, Tamás Béneyi explains that the consequences of the weakening and loss of the Empire could be seen in the form of nostalgic reactions as well as in the search of a new Englishness and English tradition. He also refers to Terry Eagleton claiming that the English-myth was reproduced by the English middle-class who sought their identity more in the country lifestyle rather

nostalgic attitude of the middle-class gives “the false promise of restoration” (150), adding that “restoration can be seen as a response to an unsatisfactory set of present conditions” (ibid.). To reinforce their existence in modernity, they will only give way to ‘particularity’, meaning that the reproduced middle-class values will be reflected in a system of customs related to the everyday environment, as Patrick Wright says in *On Living in an Old Country*, referring to Agnes Heller’s *Everyday Life* (9). Borrowing the features of everyday routine and the home allows for the supposition that classical crime fiction, despite the rigid form, is able to incorporate elements of the novel of manners and the domestic novel, bringing back the atmosphere of the Victorian period when ‘real’ Englishness was defined primarily in terms of manners and class structure, which strongly prevailed even after WWII.

Classical detective fiction, by meticulously describing the characters’ immediate environment, the interiors, the everyday routine, their idiom and secrets, constructs a code that will not be readily understood by those who are not part of this circle. All the socially constructed customs and practices in which they are to recognize themselves are immortalised in an attempt to assure continuity for the middle class. Maurice Halbwachs says in *The Collective Memory* that memory is a social construct and that “the elements of these remembrances” are “preserved in groups” (141). By safeguarding and passing on the tradition, “[e]very group immobilizes time in its own way and imposes on its own members the illusion that . . . nothing essential is altered” (149). In my interpretation, this is close to what Assmann calls the absolute past, “the other time from which the progressive present always maintains the same distance and therefore constitutes a kind of eternity (the Australians call it dream time)” (61). This might explain why there is hardly any change in the representation of the English middle class over the decades. By achieving all this, the detective story becomes self-referential on a double level. It is self-referential in terms of the surface structure, as it continuously reflects its own generic features, and it is self-referential in its deep structure as a *lieu de mémoire* of the English middle class. Pierre Nora points out that “. . . lieux de mémoire have no referent in reality; or rather they are their own referent; pure, exclusively self-referential signs.” (23). These signs are constantly reproduced in the genre to ensure an escape from history and to safeguard middle-class recollections, confirming Nora’s claim that “there is no spontaneous memory” (11). At this point we recognise that form and content become inseparable, better understanding the ‘function’ of symbolic figures and their environment in the novels.

Margery Allingham’s and Josephine Tey’s<sup>2</sup> novels can be read as typical examples of this cultural function. They were not only each other’s contemporaries but also shared views on the effects of modernity and war traumas in their society. It is the presupposition behind the present essay that reading their novels will result in a better understanding not only of Golden Age detective fiction but also of mid-century British attitudes, mainly those of the middle class.

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than in the premises of the big cities. Also, the English novels produced characters whose lifestyle was mostly characterized by suppression and utter self-restraint (143).

<sup>2</sup> Her original name was Elizabeth Mackintosh.

In this present essay I will analyse two novels by Margery Allingham, *Police at the Funeral* (1931) and *Ten Were Missing* (original title: *Hide My Eyes*) (1958) and one by Josephine Tey, *The Franchise Affair* (1948). The books I have chosen have much in common in terms of setting, character types and narrative techniques despite being influenced by their respective historical contexts.

In *Police at the Funeral*, one can witness post-war traumas in the disintegration of the families, the exposure of middle-class family secrets, and the ceaseless insistence on “refusing to notice the changes that were going on round them,” as George Orwell writes in *The Lion and the Unicorn* (13).

In *The Franchise Affair*, published after the Second World War, Tey critically approaches small town society and the unconscious flow of everyday practices. It is also a wonderful example of the recurrence of the pastoral tradition, reinforcing Bényei Tamás’s claim in *Az ártatlan ország*, according to which the loss of the Empire after the Second World War resulted in an inward-looking, nostalgic reaction: English identity was increasingly attached to the small town, the countryside, triggering off a fetishization of tradition and provincial attitudes (145).

In *Ten Were Missing*, Allingham presents middle-class practices by bringing allegedly heritage pieces into the city of London where the heroine lives in a home converted into a museum. Although the novel was written well after the Second World War, in 1958, the fact that the main character insists on the possession of objects evoking life in the Great Empire may be interpreted as a sign that large portions of English society were unable to get over the trauma of the loss of the Empire (Bényei 146).

### **Symbolic Figures**

To identify the role of symbolic figures in classic detective fiction, we must recall Pierre Nora’s analysis of what a *lieu de mémoire* is and how memory fills it with content. He says that “memory takes root in the concrete, in spaces, gestures, images and objects;” (9). They come into being only if one recognizes himself in them. By creating its own symbolic figures, classical crime fiction is trying to embalm and perpetuate middle-class values. They must be holders of past values and be ‘products’ of either a great family or the church and, most importantly, they need to be the carriers of tradition. This phenomenon is not new in English literary tradition if we consider the genre of the novel of manners. Nora’s analysis of the *lieu de mémoire* may shed new light on what Bényei writes, referring to D.J. Taylor’s *After the War*, about the implications of manners in the English novel. He says that the refinement and subtlety of the language code found in the novel of manners reflect the elaborate system of the social stratification in England (63). As the *lieu de mémoire* can be constructed with features, such as gestures, secrets and images, one may suggest that manners – as well as the novel of manners itself – may be seen as *lieux de mémoire* for the middle classes in mid-century Britain.

In Tey’s and Allingham’s novels the two chief symbolic types are the old lady and the figure of the detective. However, while the old lady type stands for what is

static and traditional, the detective recognises dynamism in and through his criminal investigation and reflects in his figure the tension brought about by modernity. In Tey's and Allingham's fiction the detective is a bridge between the old and the new. Although in crime fiction tradition his main 'battlefield' had been the city, in golden-age detective fiction his main field of operations is the emotionally and symbolically highly charged countryside.

What Allingham's and Tey's old ladies have in common is their experience of the past and a refusal to experience the present. In *Police at the Funeral*, Mrs Caroline Faraday is said to live "too much in the past" (113), in *Ten Were Missing*, Polly Tassie is a bit formal, old-fashioned, careful, and her conduct is "ingrained" (114) and in *The Franchise Affair*, Mrs Sharpe calls herself a "dull old woman" (25) "reduced to pouring weedkiller on weeds" (26).

Their age is emphasized throughout the novels, either by the way they look or their gestures which show strength and demand respect. We learn that Mrs Faraday in *Police at the Funeral* understands "the art of growing old" (59) and is "an old woman" whose appearance commands "complete silence" (53) in the room, or that Mrs Sharpe being distrustful of her environment fixes everyone with a "seagull's eye" (53). All the three of them are widows, but only Mrs Faraday and Mrs Sharpe try to maintain total control over the events and the others.

They are all owners of houses and valuables, material as well as aesthetic, and can only trust their own kind. In two of the three novels, the elderly ladies hire gentlemen to represent their case, Mr Campion in *Police at the Funeral* and Robert Blair in *The Franchise Affair*, demonstrating that they are only willing to contact their own class. In the third novel, *Ten Were Missing*, it is the question of the home which is of greater significance, rather than the figure of the detective.

The old ladies' distrust of public authority and experience clearly shows their refusal of modernity. In *Police at the Funeral*, Mrs Faraday says to Campion: "I am not insulting you by suggesting that you behave like a policeman . . . I need the presence of an intelligent person in the house . . ." (58). Robert Blair in *The Franchise Affair* is considered to be a friend having 'gentle veins'. Mrs Sharpe's attitude to the presence of the Scotland Yard is utterly 'unorthodox'. The old figures need these 'detectives' to contact the 'real world', not only because they sustain an unsustainable image but also because their secret world is not understood by those who arrive from outside. In *Police at the Funeral* Inspector Oates admits that Mrs Faraday is beyond him. "She speaks another new language I've got to learn" (68), he says to Campion. As for his remark, I would suggest that Assmann's theory on cultural memory might reinforce what has been said before about the importance of manners and linguistic code in middle-class recollections and also why someone coming from outside cannot break them. He argues that ". . . cultural memory . . . does not spread itself around spontaneously . . . Its distribution is controlled, and whereas on the one hand it makes participation obligatory, on the other it withholds the right to participate in it" (40). Oates represents modern authority, a position which itself provokes distaste that traditional middle class members demonstrate.

Gestures, images and objects all contribute to the construction of collective memory which is reinforced by their constant recurrence in everyday practices. This may be the reason why elderly figures are endowed with symbolic meanings in golden age detective fiction. It is the historicity of everyday life that is first and foremost and which is placed in the focus in *Police at the Funeral* and *The Franchise Affair*. Wright says that this is “above all the organising of people’s individual lives into every day: the replicability of their life functions is fixed in the replicability of everyday in the time schedule for every day” (6). It is everyday practices that best mirror middle-class memory after the war. In the novels, the characters are highly inactive, as any initiative for individual movement would destroy the carefully constructed milieu. They drink tea, eat dinner, play chess, withdraw into their rooms or go to church, always at the same time. This half-conscious existence provides the continuity from one generation to the next, also implying that heredity plays a very important part in those social circles. In the presence of Mr Campion, the Faraday family always say ‘we’ and in Blair’s case we know that his father secured for him a ready-made life. Letting in no outer authority, no individuality, no aspect or representative of contemporary modernity enables them to maintain the image of their imagined past. Although these features are often ridiculed by the authors, the genre, with all its allusions to a better past, nevertheless indirectly influences the reader to assume that middle-class routines, types and places form the very essence of Englishness.

This idyllic lifestyle is exposed to deterioration after the First World War. Allingham’s *Police at the Funeral* describes the fears about the disappearance of the traditional middle-class. It seems that from now on, it is not so much the solution of the puzzle itself that arouses interest but the encounter between the ‘real’ and the ‘dream’ world, the agony and the unforeseeable future of the families. By bringing murder into the country home, into the immediate family, the texts reveal an anxiety about society’s future. Family members murdering each other for money allows for Christie’s idea of the ‘one of us’, although Allingham always distinguished between the bad and the good, so the reader can easily guess who the culprit is from the very beginning. What is at stake in her novel is the uncertain fate of the family. To avoid any contact with the outer world, they go on performing their everyday activities, which does not only keep them unconscious but also provides them with security. Joyce, a young lady from the Faradays, confirms this: “The mode of living of the house hasn’t altered since she first set it down about eighteen-seventy. The house is run like clockwork. Everything is just on time. Everyone has to go to church on Sunday mornings. Most of us go by car...” (14). The old lady watches over the tradition, minimising the space they move within. The less they do and move, the less they will be aware of their surroundings, even when there is real danger. One of the most shocking scenes of the novel takes place when Mrs Faraday sits down to play chess not soon after her daughter has been murdered. “I think we will play chess as usual, my dear” (84), she says. She never gives up her past and tradition, she is sure that, with Campion on her side, everything will be settled, and she is right. Campion solves the puzzle and gets the Faradays “out of the devil of a mess” (232).

In *Police at the Funeral*, Allingham disturbs middle-class heritage with modern problems to demonstrate how the First World War affected English society. The survival of the family, however, signals the author's belief in the perseverance of middle-class values. It is very interesting to see how these values are transformed twenty years later in her *Ten Were Missing*.

### **The Detective**

In the novels, the detective as a symbolic figure is also part of English middle-class heritage but, unlike his people, he realizes that he cannot escape from the outer world. This is what accounts for the paradoxical air of stability and dynamism that they exude. Mr Campion and Robert Blair, who come from a similar social background, mediate between the 'real', modern, and the 'dream', pre-war world, but, as Alison Light claims, without the old-fashioned heroic features. In Golden Age detection, these amateurs were rather "men who resort to physical violence only in extremis" (75). We read in *Police at the Funeral* that "Mr Campion was not a man who enjoyed horrors" (43), and we also learn that in *The Franchise Affair*, Robert Blair's only involvement with the Scotland Yard is to "play golf with local Inspector"(7). Although they have quite a lot in common, such as their backgrounds, gentle manners or anti-heroic approach to violence, their presence in the investigation has rather different cultural functions.

Unlike Robert Blair, Albert Campion, the genuine English gentleman, does not have to experience traumas of stepping out of everyday consciousness. We know that Allingham's sleuth has an obscure past, he is probably an aristocrat, seemingly unemotional, and most of all is a man of common sense, though even some of the most basic facts, such as his real first name, are hidden from us. In *Police at the Funeral*, sometimes he is called 'Albert', while, on other occasions, 'Rudolph'. This might suggest that only the members of his own class are to know his real identity, and the others will not have access to his origins. He may be regarded as a *lieu de mémoire* figure, embodying qualities of the turn of the century and of Victorian England by his appearance and manners. He is presented as a likeable figure, as his figure makes us recall life before the wars, his presence awakens nostalgia towards the era when social classes were easily recognised and a man of impeccable manners was respected.<sup>3</sup> Interestingly enough, for Campion it is quite natural to move between the two worlds, not only because he has a long-standing contact with the police but also because he employs Mr Lugg, his manservant, an ex-prisoner. Campion's presence is crucial for two reasons. He is the gentleman type who will constantly reinforce the images of middle-class recollections, while, on the other hand, through

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<sup>3</sup> George Orwell claims in *The Lion and the Unicorn* that until WWI every "human being in these islands could be placed in an instant by his clothes, manners and accents" (18). What happened after the war was "something that had never existed in England before: people of indeterminate social class" (ibid.). In *Police at the Funeral* and *The Franchise Affair*, there are signs of this phenomenon with special regard to the press and journalists. They are also viewed as alien to the traditional English social structure as well as representatives of mass culture and an egalitarian society.

his contacts he allows the real world into the dream world, but always in a controlled manner. He can move between different dimensions without having to give up his identity. In *The Franchise Affair*, however, we will see that such movement in space and time is not natural for middle-class figures.

After Allingham's *Police at the Funeral*, Tey's *The Franchise Affair* again mirrors the everyday life of the middle-class but from a different perspective. When we first meet Robert Blair, we find that he can only recognize and secure himself in the unconscious flow of middle-class everyday routine. "At 3:50 exactly on every working day Miss Tuff bore into his office a lacquer tray covered with a fair white cloth and... two biscuits; petit-beurre Mondays, Wednesdays and Fridays, digestive Tuesdays, Thursdays and Saturdays. Looking at it now, idly, he thought how much it represented the continuity of Blair, Hayward and Bennet." (1)

Josephine Tey exposes her gentleman sleuth, Robert Blair, to fundamental changes. One may suggest that in *The Franchise Affair* she intends, first, to portray how middle-class society remembers itself after the WWII by giving a minute description of Robert Blair's everyday routine, and, second, to relate how their heritage is transformed in modernity without the routine of everyday life.

This unconscious, ready-made life is intensified by a description of Milford, the small town serving as the setting of the story, which "could be duplicated a hundred times" and which "typified the goodness of life in England for the last three hundred years" (8). The shrinkage of space and lifestyle is explained in Bényei's *Az ártatlan ország*. The trauma of losing the Empire and the horrors of the war led many people to look back on the past and find pleasure in the 'innocent countryside' instead of facing the monstrosity of the war and acknowledge modernity. As a result, they escaped into domestic affairs, bureaucracy and the pettiness of everyday life mingling with the suppression of their lived experience during the war.

If Blair's "static preindustrial world with its traditional and external hierarchy of values ever existed in a pure state, modernity has certainly seen its disruption" (Wright 17). Tey wants his sleuth to be competent in the institutionalised forms of modernity, just like *Campion*, a skill which "becomes a prerequisite for survival" (18). Blair cannot evade leaving his life behind and coming out of his 'mouse-hole'. Like *Campion*, he will have to establish contacts with the real world, which he does by defending two female suspects as a legal advisor. The investigation requires him to give up his everyday routine. It seems that there is a parallel linearity between the unfolding of the mystery and Blair's developing sensation of his new life. The more he knows about the circumstances of the case, the bigger the space he moves within. He embarks upon activities he has never pursued before, such as travelling, visiting friends or meeting women who go shopping or loathe domesticity. At the same time, he is portrayed as a genuine English gentleman struggling between the present and the past. He does not like to be emotionally stirred up or to meddle in others' private lives. The new world waiting for him is threatening now that he has become aware of his own life, echoing Wright's remark that "In modernity the forms of life are open to interpretation and Man's life is no longer written in the stars" (16).

The passage below describes a stage of this progress:

And he had been given tea by Miss Tuff out of the blue-patterned china on the lacquer tray covered by the fair white cloth and accompanied by two digestive biscuits on a plate. . . . He had sat . . . feeling uneasy about his comfortable life and conscious of time slipping past him. But today the digestive biscuits held no reproach for him, because he had stepped outside the routine they typified . . . (131).

Robert's reconciliation with himself arrives in the final phase of this process, when space and movement exceed his former dimensions. By travelling to Canada, to visit his sister, he gives his life a new beginning.

It is fairly obvious that in both novels, *Police at the Funeral* and *The Franchise Affair*, the historicity of everyday life stands for the unconscious, forgetful and incompetent life of the middle-class. Though in Allingham we do not get a sharp criticism of 'living too much in the past', Tey's explicit mockery of this phenomenon shows that such a lifestyle is practically unsustainable after the Second World War. For her recognizing, reinterpreting our position in modernity is inescapable, and this realization makes for a conscious, efficient dynamism in space and time for the individual.

## Homes

Everyday rituals are closely connected to the home not only because the middle-class identifies itself with its own milieu and objects but also because in that way middle-class values and customs are made tangible and visible. Agnes Heller's remark on modernity in which she claims that "the transformations are widely experienced in terms of loss rather than gain" (Wright 19) supports the idea that, in the deep structure of classical crime fiction, Mary Butts' 'Deep England' returns and creates a *lieu de mémoire*. The memory crisis after the Great War intensified the need for the fetishization, memorialisation of the glorious past, an impulse which resulted in an objectified reality for the middle-class. Objects start to "take on the aspect of heritage as they are endangered and the basic terms of their existence come into question" (Wright 95). The homes in the three novels all suggest such features, but the symbolic implications of the middle-class home reflect the particular ideological, social transformations of the respective periods.

In Allingham's *Police at the Funeral*, the Faraday family owns a Victorian house, which bears the name *Socrates Close*, in Cambridge. The medieval atmosphere of Cambridge and the house itself already create a sense of timelessness, let alone its style. Having a distinguished name and an individuality, it is "one of the sights" (17), as Campion puts it. He knows the place, he has memories of it, which is surprising for the younger characters. Adopting Campion's perspective, we come to understand the in-between condition of the middle-class. They surround themselves with objects which have no significance in modernity, and which need to be explained for those who have not been part of the past. "To be a subject of Deep England is above all to have been there" (Wright 85). This is why Campion recognizes places and objects. He

is part of the collective memory; “that’s all fairly clear in my mind” (18), he says, but, being competent in the new world too, he describes the house as having a “sightless expression” (26). This is a striking recognition of his position in time. He remembers the places and objects, but he realizes that they are invisible to those who do not have any knowledge of the ‘good old days’. According to Lowenthal, “no physical object or trace is an autonomous guide to bygone times; they light up the past only when we already know they belong to it” (238).

*Police at the Funeral* posits a strong link between middle-class customs and the milieu these people live in. Insisting on the continuing relevance of their past, they preserve everything which they consider as part of their heritage. First of all, *Socrates Close* was “built some time in the beginning of the last century it was spacious, L-shaped and gabled” (26). The features of the building, however, return in the new world with gothic features, as suggested by words like ‘gloomy’, ‘grim dignity and aloofness’. As for the objects inside the house, the sentence that follows is telling: “Nevertheless, the house exuded a solid Victorian welcome, a welcome of Turkey carpets and mediocre oil paintings in ample gilt frames of red damask wallpapers and the sober magnificence of heavy brass ornaments.” (49). Susan Stewart’s study on the souvenir and nostalgia is an excellent explanation to what happened in mid-century English society. She says that:

The double function of the souvenir is to authenticate a past experience and, at the same time, to discredit the present. The present is either too impersonal, too looming, or too alienating compared to the intimate and direct experience of contact which the souvenir has as its referent. (139)

The middle-class milieu seems natural to all who share the history and memory of its period, though their incompetence in the new world exposes them to unexpected dangers and the ‘high wall’ around the house will not protect them any longer. Evil is brought within the walls of the family home, and it has various manifestations. Murder, hatred, jealousy, alcoholism or oppression all poison the present. Campion’s feelings about the place are ambiguous. For him such a “great comfortable dwelling was a place of unknown horrors”, (49) but he reveals his disbelief in the sustainability of such a lifestyle by referring to scientific research, pointing out that evil forces are “the natural outcome of repressions and inhibitions” (ibid.)<sup>4</sup>. He is quick to predict the outcome of too much past in modernity: “...the old house was undergoing an upheaval, a volcano of long fermented trouble...” (ibid.). Yet he is there to help the family and protect them from further danger, which he does, although the question still persists as to how long it is possible to carry on with invisibility in modernity.

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<sup>4</sup> Bényei Tamás explains in *Az ártatlan ország* that, for many critics, the traditions of the novel of manners had a negative effect on the development of the English novel as well as on the society. Focusing on only what is ‘right’ and what is ‘wrong’ prevented one from recognizing the presence of evil. After WWI, this attitude culminated in the inhibitions of everyday life. In classical crime fiction such inhibitions and suppressions were presented in various forms of crime within the family (60).

Tey's *The Franchise Affair* provides us with an answer. In her novel, the home is not a glorious place in a historical town. Milford is just like any other English town, and *The Franchise* itself is not worthy of becoming part of the heritage. Robert Blair's first visit at *The Franchise* turns out to be an unexpected experience.

His first feeling was disappointment. It was not the fallen-on-evil-times look of the house – although that was evident; it was the sheer ugliness of it...Everything was just a little wrong: the windows the wrong size by half a foot, wrongly placed by not much more; the doorway the wrong width, and the flight of steps the wrong height. The total result was that instead of the bland contentment of its period that house had a hard stare. (13)

The house reflects Wright's remark that the loss and decline which "came initially with the disintegration of the families" (104) after the Great War, as we have seen in *Police at the Funeral*, was later portrayed in the "subaristocratic home". In *The Franchise Affair* the Sharpes inherit the house from a distant relative, but their heritage is neither the "embodiment of the true and essential past" (Wright 112), nor part of the modern housing styles described as "rows of semi-detached houses" (72) in the countrified suburb. While in new urban districts the houses can only be distinguished by numbers as they look alike, old houses are supposed to possess unique features. In classical detective fiction, the family home is undoubtedly the embodiment of the very essence of middle-class values, although the intrusion of modernity threatens to transform its aesthetic pleasures once and for all. Tey breaks with the tendency of protecting anything old which started after the First World War but continued with a great intensity after the Second. In Tey's novel deception does not only work on the surface level to prevent the detective from solving the puzzle but it has cultural references in its deep structure. One can easily be deceived if one has no memory of middle-class symbols. *The Franchise* may remind one of the Victorian past with its high walls, isolation and privacy, but Blair easily recognizes that it is fake because he has been 'there' to judge. Fake images allow for Christie's approach to deceptive surfaces in modernity, as in *At Bertram's Hotel*, when you cannot be sure of anything. For classical crime authors, the experience of the old, traditional wisdom and heredity are crucial for the individual in overcoming, or at least coming to terms with, the uncertainties in modernity.

The Sharpes' heritage has no counterpart in the region, "the place was as irrelevant, as isolated, as a child's toy dropped by the wayside" (11). Tey does not only mock those who want to keep all kinds of junk, but also points out that huge country houses are no fit dwellings for elderly people, either financially or physically. Although the house can still provide shelter, and Mrs Sharpe insists on staying despite all the terrors she has to face, it has no future. Finally, it fulfils its destiny as it is burnt to the ground. Having nothing left, the Sharpes have new prospects to explore and, similarly to Blair, they leave it all behind and set out for Canada.

Allingham's *Ten Were Missing* portrays an elderly widow, Polly Tassie, living in a house, *Garden Green*, part of which has been converted into a museum in tribute

to her deceased husband. In the two other novels, the 'Deep England' idea is limited to the countryside, whereas now it is transferred to the city of London. In the novel, Allingham surprises us by paying very little attention to Campion and the police in favour of the representation of the home as a museum, which is a new feature in her fiction, but an understandable development, given the year of publication, 1958. It seems that Polly's museum does not only fulfil the aesthetic pleasures of the past but it is also a petrified place of memory in the present. Pierre Nora says that the museum feeds the "illusions of eternity" (12), and, according to Lowenthal, people can only be certain that "there was a past" if they see "at least some of its traces" (247). The fact that the museum is brought into the home leads to the supposition that this constructed world is not just aesthetically viewed but also as a separate world and under threat. Polly Tassie is afraid of the passing of time and of fading away. Realizing that nothing can last forever, by creating her museum, she also blocks herself in time, transforming herself into a museum item, "The things are here to be looked at," she says and continues, "My husband loved showing his old toys to people. That's what gave me the idea. It's much better than a grave, isn't it? ... It can't last, of course, but then, what does?" (41). Her remark might refer to modernity sweeping away the past, but her memorial place also serves to constantly reinforce her belief that the past must be remembered, that her home is also a place to remember because it belongs to the old. The twist in the story begins with the description of the collection which reveals a great contrast between the intended sublimity of the glorious past and its reception on the part of the visitors. Polly Tassie's collection is beyond all imagination. We first come to see it through the eyes of Annabelle, a young relative.

As she stood hesitating, she saw that... the whole of the room... was crammed with unexpected objects whose only common denominator appeared to be the staggering human folly which had perpetrated them... the centre of the hall was... a sort of big-game exhibit... On a carpet-covered dais two monstrous chairs... One had been constructed... inside the carcass of a small elephant who knelt... to permit the sitter to rest within its quilted stomach, whilst the other had been made in the same unlikely way out of a giraffe whose sad head rose disconsolate... Beside them a moth-eaten grizzly... and a moulting ostrich ... (36).

For Pollie, the place is intended to be a "museum of superior culture" (Wright 71), let alone the fact that the objects remind us of the colonial period. For the visitor, however, it is only a heap of rubbish. In the novel she is mocked by everyone who has no insight into her past present. For the policeman Charlie Luke, the whole thing is just "dead ordinary" (*Ten Were Missing* 93) and Mrs Tassie is just an old duck. Campion is of a different opinion. Though he finds the old lady's collection miserable, he thinks about the reasons for keeping so many odd things. He understands that her collection is the narrative of her life and the manifestation of an alleged past at the same time, echoing Susan Stewart's claim in *On Longing*: "...we

need and desire souvenirs of events that are reportable, events whose materiality has escaped us, events that thereby exist only through the invention of narrative... The souvenir... is not an object arising out of need or use value; it is an object arising out of the necessarily insatiable demands of nostalgia” (135).

Again, we see *Campion* as a mediator between the dream and the real world, so to Charlie Luke he gives the following response: “I was thinking of her museum”, he said. To keep up a nuisance of a place like that, which she doesn’t think is funny, as a memorial to a man who was delighted with it, argues that she loved him in a particular way. She identified herself with him. (93).

Unlike Robert Blair, Polly Tassie does not realize that living too much in the past is harmful and prevents you from realizing how ridiculous you might seem among the ‘precious junk’. She does not only identify herself with the museum but with the objects and furnishings of her apartment, too. Her life is also characterized by everyday routine, “She was pouring tea from the silver pot and looked as if she had been doing it for ever” (82), her things in the home create an atmosphere that make it “still a realm of charmed and irreplaceable particularity, to be understood in terms of style and priceless authenticity, not financial value” (Wright 112).

In *Ten Were Missing*, *Garden Green* is nothing very fashionable, “although it was apparent that it had been the subject of a great deal of thought” (81). Polly is conscious of her space and time, although these two are not legitimate in the present. She has a sense of home, she likes homes, she knows how to fix things up and where the furniture “would have to go” (82). She lives in Victorian times with the precious china from her granddad and finds pleasure in domesticity. Her sitting-room overlooks her small garden, implying the atmosphere of Mary Butts’ green England in a modern city.

*Garden Green* has no future in modernity, so with all its useless lumber it cannot become part of the national heritage. Allingham’s mockery is also a painful recognition of the dissolution of middle-class life. The final scene in which the house burns down marks the end of a period in history: “The museum was ripe for burning, like a bonfire saved for a celebration” (221).

## **Conclusion**

Tey’s and Allingham’s works show that classical detective fiction could and did reflect the social and political changes in mid-century English society. The fact that many were not prepared to face and recognize modernity, the experience of the world wars and the loss of the Empire urged members of the middle class to prolong and live in the past.

Due to the appearance of a more extended middle class after WWI, the fear of mass culture and egalitarianism led the members of the traditional class structure to continue their lifestyle and maintain their existence in the old world. Their ignorance of the present as well as clinging to the past was part of a more widespread memory crisis in mid-century Britain, sometimes assuming pathological forms of nostalgia. In

their recollections middle-class practices, manners, the Victorian home and the unspoilt English countryside manifested real Englishness.

Allingham and Tey set such agonies of the middle-class in the focus of their novels. Those features that have been investigated in this essay enable one to assume that mid-century classical crime fiction can also be read as a *lieu de mémoire* of the English middle-class. Halbwach's and Assmann's theories on cultural and collective memory help us see the cultural functions of the timeless sustenance of middle-class gestures, practices. In the novels symbolic figures, such as the old lady plays a crucial role in the construction of a timeless milieu due to her static position. The amateur detective, however, is not static despite reproducing middle-class heritage in his manners and social background. He is able to recognize his position in a new context. In their figures, we understand that competence in the old and the new can endow the individual with uniqueness.

The Victorian home, as a symbolic place of the glorious past, comes to be the place of evil forces, witnessing the disintegration of the families after the First World War. In Tey's *The Franchise* is doomed to be destroyed because it nourishes fake images of the past and has no place in the English heritage. Allingham's *Garden Green* as a museum is an utter mockery of mass preservation and also, a sorrowful recognition of the end of a period in English history.

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## Symbols of Difference and Haunting in the works of Stephen King

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Although Stephen King has made various forays into the realm of mainstream literature, he is mostly associated with supernatural horror fiction. His immense popularity can be traced back to various factors, like his accessible prose style and his ability to create believable characters who are easy to identify with, but it is his continued interest in esoteric phenomena which seems to play a major role in assuring him a huge readership. In the following, I am going to concentrate on two paranormal motifs: that of the haunted house and children endowed with special abilities.

According to Tamás Bényei, the literary canon marginalizes popular novels like those penned by King, whose bestseller status is frowned upon by academics (42). However, these genres, perhaps due to their eccentric position, are often more successful in highlighting the phobias, latent fears and collective desires of a society than works belonging to the mainstream. These books demarcate the borders surrounding a society: they show what can and cannot be done within a certain community. Forbidden territories are explored and often there is a strong didactic element embedded in the text. King claims that “the horror story . . . is really . . . conservative . . . its main purpose is to reaffirm the virtues of the norm by showing us what awful things happen to people who venture into taboo lands” (*Danse* 395). Within the safe confines of a literary work, we are given a glimpse at the horrible consequences of crossing the boundaries which maintain society’s peace and order.

Several King novels feature protagonists with uncanny abilities that fall within the domain of parapsychology: telekinesis, pyrokinesis and telepathy. In each instance, the main character is treated as the different one, the Other, a pariah, not an integral part of the social fabric. Judith Halberstam states that Gothic fiction abounds in such “deviant subjectivities opposite which the normal, the healthy, and the pure can be known” (2). When society is confronted with such people, its exclusionary tactics awaken and a process of “monsterization” takes place. According to Edward Ingebretsen, this signals a given “social order’s need to repudiate . . . that which it can neither understand nor manage” (“Cotton” 23). With the help of these strategies (demonization, demarcation), community is constructed and cohesion is attained (Holland-Toll 25). In the following, the reasons behind this mechanism and the fates of the accursed heroes will be examined in *Carrie* and *Firestarter*, where this process is quite transparent. Though both novels feature a girl-hero, we will see that they cope very differently with society’s pressures: Carrie slowly succumbs to the evil role assigned to her, while *Firestarter*’s protagonist fiercely resists “monsterdom”.

## Monster-Heroes

### 1 Telekinesis, witch-hunting and surrendering to the role of monster

King's first book, *Carrie* (1974), was an immediate success, and this might have played a part in perpetuating the formula King is famous for: a realistic, contemporary setting, often small-town communities, and the intrusion of some supernatural phenomena. This is the story of Carrie White, a much put-upon sixteen-year-old girl, whose latent telekinetic powers bloom once she reaches biological maturity. Her life has been plagued by the crazed religious fanaticism of her mother and the scorn and hatred of peer groups who make a sport of humiliating her. Her desperate attempts to find her place in the social hierarchy—as represented by the high school—are doomed, since society needs outsiders to be able to construct its own sense of identity in relation to them. High school is presented as a microcosm that reflects society at large, a “place of almost bottomless conservatism and bigotry, a place where the adolescents who attend are no more allowed to rise ‘above their station’ than a Hindu would be allowed to rise above his or her caste” (King, *Danse* 171).

From the outset, Carrie is presented as different: she is unappealing, clumsy and naïve in the ways of the world. Her mad, overprotective mother has not prepared her for real life. She is soon relegated to the status of victim, the butt of every practical joke (“the pinches, the legs outstretched in school aisles to trip her up, the books knocked from her desk” [King, *Carrie* 14]): her peers vent their cruelty by “torturing” her.

In the opening scene of the novel, Carrie has her first period, in the girls' shower, at school. Since her mother has kept her in the dark about the menstrual cycle (which she considers a sin), Carrie is frightened out of her mind, thinking she is bleeding to death. Her classmates react in a nasty way, bombarding her with tampons, showing no sympathy for the poor girl cowering with fear. This communal attack on Carrie seems to be fuelled by resentment, anger and disgust. Carrie is guilty of bleeding in public: something which should stay hidden inside the body comes to the surface. Joseph Campbell points out that menstruation is considered a taboo subject by most societies, and girls having their first period in primitive tribes are often physically separated from the rest of the community to emphasize “the privacy of the act” (Alexander). Carrie's rite of passage is witnessed by various girls who, upon seeing the abject sight of blood, show no mercy. In a sense, they are forcibly reminded of their own carnal nature and their body's vulnerabilities. The girls are conditioned by society, which has taught them to feel “revulsion” and “disgust” (King, *Carrie* 12) at the “sight of their female natures” (Keeseey 32). This aspect of female nature is considered unfeminine and they are encouraged to keep their bodies under control at all times and to hide from the world the unattractive aspects of female existence.

With the onset of her period, Carrie's telekinetic power flourishes. King read an article which speculated that some poltergeist activity is, in reality, a telekinetic phenomenon, and, in most cases, it occurs in adolescent girls on the threshold of

puberty (*On Writing* 75). He took this pseudoscientific theory as the premise of his novel. All through the narrative, he aims at establishing a degree of verisimilitude, quoting from journals, articles, eyewitness testimonies and investigative reports to lend his fantastic tale a scientific basis. The seemingly occult power is reduced to a “genetic recessive occurrence” (King, *Carrie* 95), which is dominant only in females. When couched in such terms of scientific jargon, her power is made to seem less threatening and imminent. Such wording reflects society’s efforts towards rebalancing itself after having been upset and the techniques of victimization are laid bare.

The plethora of documents also serves the purpose of alienating the reader from the heroine. As pointed out by Douglas Keeseey, “most print derealizes people” (38), so when reading the dry words of a death certificate, or the succinct wording of a wire report, a distance is created between the reader and the hero. These documents only offer a “refraction of reality” (Keeseey 37), and to counterbalance this alienation technique, King inserts long passages where we are offered glimpses into Carrie’s thoughts and feelings via her stream of consciousness.

The event which sets off an investigation of Carrie’s case is a revenge plot orchestrated by Chris Hargensen, a girl who participated in the shower-room cruelty, but refused to atone for what she did and was thus barred from attending the Prom. Carrie, an unlikely candidate for Prom Queen, is awarded the title—thanks to Chris’ manipulation of the votes. At the moment of her triumph, during her coronation, Chris dumps two buckets of blood on her, eerily replaying the shower scene: Carrie, once more drenched in blood, is horribly exposed in front of spectators watching her humiliation. The night, which appeared to have started out as a passage towards her integration back into society, turns into utter horror. Carrie’s concealed and repressed rage erupts with frightening force and with her telekinetic powers she sets the school on fire, killing almost everyone.

Further destruction follows her path as she goes home, but her home, instead of being a shelter, represents only further menace: her crazed mother is waiting for her with a butcher’s knife. Carrie successfully wills her mother’s heart to stop beating, but not before she herself is mortally wounded. Her subsequent death is witnessed by Sue Snell, a classmate, who had honestly repented her part in the year-long hazing of Carrie and had voluntarily given up the Prom and “lent” her boyfriend to be Carrie’s date for the night. However, Sue’s generous gesture, which lends her a Cinderella’s fairy-godmother aura (providing the poor heroine with a Prince Charming), did not set everything right. Carrie was forcefully pushed back into the box from which she had striven to emerge. In a sense, everyone gave a sigh of relief when things went wrong with Carrie, because this was the way of their world: with Carrie White, nothing was supposed to work out. As one survivor later recalled her reaction upon seeing the blood-soaked Prom Queen: “It was either laugh or cry, and who could bring himself to cry over Carrie after all those years?” (King, *Carrie* 155).

Sue’s account of the fateful events is one of the documents with which the novel’s main narrative is interspersed. The aim of these documents is to establish the veracity of the story, but they have an altogether different function from the point of view of the society. The need to understand what happened, to clear itself of any

blame and be able to categorize Carrie are some of the motives of her community. According to Dani Cavallaro, societies strive to “classify and explain the abnormal so as to reassert by implication their notions of normality and stability” (173), so Carrie’s case is analyzed ad infinitum. However, what is lost in this fury of interpretation is her essence as “a human being . . . with hopes and dreams” (King, *Carrie* 123). By the end of the narrative, she has approached an almost mythical status, and her name even enters a slang dictionary: “to rip off a Carrie” is “to commit arson” (King, *Carrie* 220). The dictionary entry denotes an act, not a person, so she is remembered for what she did in her final desperation, not for who she really was.

An official government body, the White Commission, is set up to investigate the tragedy and find culprits. They even question Sue’s selfless motives and ridicule her altruism. Scapegoating is a necessary tactic of the community, and Sue is suspected of having played a role in the dark scheme. The experts characterize adolescents as monsters, apt to dispatch “quickly and without mercy” (King, *Carrie* 84) the low bird in the pecking order, so the novel does not offer a very reassuring view of human nature.

Carrie is variously referred to as “Typhoid Mary” (96), “witch” (88), or “devilspawn” (88) during the course of the novel. Her witch-like status, her ungovernability, her obvious difference, all present a threat to the purity and stability of the community. What the girls did—forcefully distancing themselves from Carrie and what she represented, in order to construe their identity in relation to the abhorred Other—is repeated, on a major scale, by society. The monster, along with the threat it represents, needs to be eliminated.

In her book on disaffirmative horror fiction, Linda Holland-Toll argues that a so-called “human monster” like Carrie is the product of her community, which is responsible for forcing “monsterhood” upon her (77). This process of demonization has ill-fated consequences. By Prom Night, society’s demarcation lines are so entrenched that it is impossible for Carrie to cross them. Her attempts to conform, to be accepted by her peers, result in tragedy. However, since her status is imposed upon her from the outside, readers also feel pity, along with the horror. When she lashes out to punish the people who made her life miserable, she acquiesces into her assigned role and actively chooses to act as a monster.

Her community has subjected her to the same “strategies of exclusion” (Holland-Toll 80) which were employed during the Salem witch trials. Ingebretsen claims these trials served as “a socialized rhythm by which a community defined the parameters of the acceptable by repudiating the unacceptable” (“Cotton” 28) and describes witchcraft as being “functional rather than personal” (*Maps* 62). He also points out that the names of Martha Corey and Martha Carrier, both executed in Salem, resonate in Carrie’s name (“Cotton” 20).

The White Commission’s final report interprets Carrie’s case as an isolated phenomenon and refuses to entertain the possibility of its recurrence. Though the autopsy did reveal strange malformations in her brain, this is not accepted as a final proof of the existence of telekinesis. In the multiplicity of voices, which threaten to submerge the main narrative, there are two contrasting viewpoints: one is represented

by the skeptical White Commission (intent upon finding human culprits and rejecting the reality of the telekinetic phenomena), and the other is that of the scientific community—bent upon warning the world of the possibility of other people having telekinetic powers. The Commission’s verdict is subverted by the last document in the book, which is a letter detailing the telekinetic abilities of a two-year-old girl whose mother has no conception of the significance of this “gift”.

## 2 Pyrokinesis and resisting the role of monster

*Firestarter* (1980), published a few years on the heels of *Carrie*, shares thematic similarities with its predecessor. Its protagonist is an eight-year-old girl, Charlie McGee, whose parents participated in a secret government experiment while still in college. A new drug, Lot Six, was tested on the volunteers, whose dormant psychic abilities were awakened as a result. It further caused a genetic mutation in their chromosomes, leading to unforeseen consequences when two of them married and had a child. The little girl was pyrokinetic, capable of starting fires with the power of her mind.

The novel details her being on the run, along with her father, from a sinister government agency called “The Shop”, which murders her mother and then captures them to use the little girl’s strange abilities for military purposes. The Shop blackmails Charlie into cooperation, urging her to use her terrible power in a secret government facility, where she is treated as a guinea pig. In fact, the man behind the operation considers her “a useful monster” (King, *Firestarter* 253). Eventually, Charlie manages to escape, but her father dies in the conflagration. She engulfs the entire compound in flames, annihilating the majority of those who taught her how to refine her power. Following this destruction, an elderly couple takes the girl in and the story ends with her walking into a newspaper office to reveal her story.

The main focus of the novel is its distrust of government agencies which endanger civilians, but it also has a strong flavor of antitechnology: it is an attack upon scientific experiments, the nature and ultimate consequences of which are not properly understood by the researchers conducting them. Human irresponsibility in tampering with nature, leading to unleashing dangerous powers, has been the focus of other King works, too, e.g. “The Mist” or *The Stand*.

What is interesting for us, however, is Charlie’s similarity to *Carrie*: a young female, endowed with a special power, which can be seen both as a gift and a curse. They have no responsibility for their talents which, in both cases, are hereditary, one of them being the result of a scientific experiment. Both girls end up becoming murderers, but their revenge is presented as justified or at least understandable. King explicitly sides with *Carrie* when explaining his perception of the character: “I never viewed *Carrie* as evil . . . I saw her as good. When she pulls down the house at the end, she is not responsible” (Winter 37). Readers are reluctant to condemn Charlie and *Carrie* the way their society does. Charlie is also seen as belonging to the “human monster” category. At one point, she is explicitly described this way by a character

who witnesses her strange talent and then turns to her father with the following words: “Take your monster and get away” (King, *Firestarter* 156).

However, Charlie, when accusations are leveled against her, is keen to point out her innocence: “None of it was my fault [...] and I won’t take the blame” (King, *Firestarter* 484). In spite of her youth, she realizes that, through no fault of her own, she has to suffer the consequences of an unethical experiment for the rest of her life. It is already difficult for her to lead a normal life with such abilities, but she is not willing to make society’s conscience easier by assuming the monster role. She refuses to be categorized as such, and in her decision to turn to the media her aim is to clear herself of the blame and to seek out the real culprits behind the monolithic power represented by “The Shop”. Individual responsibility seems to dissolve when working under the aegis of such a powerful organization; e.g. at the beginning of the novel, the researchers had no hesitation in administering potentially dangerous substances to the volunteers. Charlie’s story might be seen in a more optimistic light than Carrie’s. Charlie survives the ordeal: tested by fire, she emerges more powerful and the ending is hopeful. Yet, there is no definite closure, and a lingering unease remains with the reader, contemplating whether one newspaper can uncover and bring down a whole corrupt system.

## **The Haunted House Formula**

### **1 Historical overview**

The other esoteric phenomenon I would like to highlight—by examining some representative texts—is that of the haunted house. This image is inextricably bound up with horror fiction, and it was already present in horror’s predecessor, the Gothic genre, in a slightly different form, as the haunted castle. Starting with Walpole’s foundational work, *The Castle of Otranto* (1764), castles served as a vital element of Gothic fiction, as remarked by Eino Railo: “The haunted castle plays an exceeding important part in these romances; so important, indeed that were it eliminated the whole fabric of romance would be bereft of its foundation and would lose its predominant atmosphere” (Mariconda 271). When the Gothic was adapted to American soil, in the absence of ruins and feudal castles, writers employed a domesticated, smaller-scale version of the castle: the house. Haunted house stories may be divided into two types according to the source of haunting itself: on the one hand, we have houses haunted by ghosts; on the other, we have stories where the origin of the haunting is the house itself, with malice embedded in its structure. Cavallaro calls these houses “haunting settings”, and claims that these are places “wherein the Beyond’s tantalizing powers may be apprehended” (85).

Houses are traditionally considered secure places or refuges where we escape from the dangers lurking outside: they provide “warmth, protection from the elements, a sense of intimacy and nurture” (Mariconda 268). In gothic tales, as pointed out by Jack Morgan, there is a feeling of intimacy connecting the house and its owners (183). Added to this is our ingrained belief that “spaces are emotionally

charged” (Smuts 162), since our homes are suffused with our feelings, memories and desires. Houses symbolize a “safe, familiar space” (Morgan 183), which Morgan describes as *heimlich*, i.e., homely, belonging to the house. In his 1919 essay entitled “The Uncanny”, Freud uses the term, *unheimlich*, to denote phenomena which are unhomely, unfamiliar, disturbing or somehow wrong.

If the house symbolizes what is right and normal, it is natural that we respond strongly to its “violation and defilement” (Morgan 183), as if a so-called “phobic pressure point” (King, *Danse* 4) was activated. If the borders of the place where we are at our most vulnerable, where we put our armor down and go to sleep, can be transgressed, then nothing is safe: it is almost as if our skin, which is our basic “defensive line” (Morgan 184), had been penetrated. To quote novelist Anne River Siddons: the house “is an extension of ourselves . . . my shelter . . . my second skin . . . So basic is it that the desecration of it, the corruption, as it were, by something alien takes on a peculiar and bone-deep horror and disgust. It is both frightening and . . . violating.” (King, *Danse* 272)

The visual symbol of the haunted house is a flexible one, with different meanings assigned to it. The concept of the sentient house originates in Edgar Allan Poe’s “The Fall of the House of Usher” (1839), where the house is presented as a live organism, exerting a malign influence upon its occupants. Roderick Usher even traces the origin of his peculiar illness to the house itself, lamenting that his body and soul are being pervaded by its atmosphere. The Usher mansion is presented to the reader in an anthropomorphized form, with “vacant eye-like windows” (245), bearing an eerie resemblance to Roderick himself, whose “web-like” (250) hair recalls the “fine tangled web-work” (248) of fungi covering the walls of his house. The impossibility of separating the lives of the inhabitants from the dwelling is vividly illustrated by the inserted poem entitled “The Haunted Palace”, which builds upon the house/mind analogy. Cavallaro claims that the mansion and Roderick’s mind are indeed reflections of each other: the house mirrors its owner’s “haunted psyche” (87), which is on the verge of collapsing. The “mind’s inner world and the outer reality of buildings” (Cavallaro 87) can be connected to such a degree that a change occurring in the internal dimension of the psyche is closely mirrored by a similar change in the external dimension of architecture. The doomed Usher siblings’ fates are completely bound up with the house that bears the name of the family, and it uncannily mirrors their fate when, at the end of the tale, it disintegrates.

In *The House of Seven Gables* (1851), Nathaniel Hawthorne also relies on the potent symbol of the house. He connects the dwelling to an ancestral curse and to how the sins of the founding father are passed on to future generations. In a sense, the building is haunted by its “House”, by its lineage. In critic Tony Magistrale’s words, “a legacy of human guilt and sin infests the . . . mansion and continues to manifest itself in generations of inhabitants within the house” (43). The weight of the past burdens the descendants and it is the past which is represented as a ghost haunting the present.

In one of the best 20<sup>th</sup>-century exemplars of the subgenre, *The Haunting of Hill House* (1959), Shirley Jackson focuses upon the psyche of the protagonist and the

eerie, almost symbiotic bond she develops with the house. This book tells the story of a doctor of anthropology, also a psychic researcher, who takes three volunteers to the infamous Hill House in order to investigate it. The two women on the team both evinced paranormal abilities in the past and the doctor hopes they will somehow trigger the house, inducing it to manifest its supernatural qualities. The novel nicely illustrates Irving Malin's idea presented in the *New American Gothic*, where he claims that these stories tend to focus upon the narcissism and the inward turning of characters (50). The house functions as a giant mirror that reflects the protagonist's anxieties and preoccupations. Jackson's protagonist is Eleanor, a troubled, insecure, young woman, who has devoted most of her life to taking care of her domineering, invalid mother. She is immensely happy to join the team and to feel like belonging somewhere, since she feels "[i]t's the only time anything's ever happened to me" (Jackson 242).

Usually, it is a family which encounters paranormal activities in haunted or haunting settings, and the typical outcome of such stories is the disintegration of the family unit. The symbolic family residing in Hill House is, likewise, riven by jealousy and distrust, leading, finally, to the doctor's decision to send Eleanor away because he feels her life might be endangered there. In the end, possessed by the spirit of the house, which is unwilling to let her go, Eleanor drives her car into a tree. In this story psychic influences travel in two directions: the house has an unwholesome influence upon its inhabitants, but the people inside are also projecting their frustrations onto its surface, triggering paranormal activities in the process. In fact, critic Dale Bailey interprets the fearful knockings and the messages scrawled on the walls as the result of Eleanor's "subconsciously activated" (40) telekinetic powers. However, Jackson also suggests that the house is alive, "a place of contained ill will" (82), a living organism intent upon absorbing the spirit of Eleanor. Indeed, the film version (1963, directed by Robert Wise) makes explicit such a suggestion in the concluding scene, where in a voice-over Eleanor says "we, who walk here, walk alone", implying that her soul was subsumed by a larger entity governing Hill House.

## **2      *The Shining*: King's new twist on an old formula**

I would like to conclude my brief overview of the genre with a reading of Stephen King's *The Shining* (1977), where the familiar topos of the haunted house is enlarged and turned into a haunted hotel. At the same time, King also uses the formula of the child endowed with supernatural abilities in a way that resembles *Carrie* and *Firestarter*, but employs it for different ends. Jack Torrance, accompanied by his wife and his five-year-old son, becomes the caretaker of the Overlook Hotel, which closes down for the winter season. Danny is endowed with a strange gift: he has the so-called "shining", which grants him visions of the past and the future, and the ability to communicate using telepathy. King exploits various esoteric phenomena: mind-to-mind and environment-to-mind influences are both featured in the novel. The setting is such an integral plot element that the Overlook itself can be considered a major character. King interpreted the haunted house as a kind of "psychic battery" (*Danse*

265), which soaks up all the feelings spent inside. Since the hotel boasts an unsavory history involving mafia killings, familial murders and suicides, an inordinate amount of negative energy has accrued there, the traces of which still linger, rendering the Hotel an inhuman place. The Overlook detects Danny's shining and strives to absorb it. It mounts a full supernatural attack on the Torrance family, in the form of animated hedge animals, a little ghost boy crying for a playmate, and a horrible female ghost trying to strangle Danny, but it finally realizes the easiest way to acquire the boy's talent is through his father.

Ex-alcoholic Jack is the weakest link in the chain of the family, a man haunted by his own tortuous past. As I have already observed in connection with Hawthorne, "the past is a ghost" (King, *Danse* 265), a ghost which haunts the present, and Jack is crippled by the burden of his memories. He grew up with an abusive father who is significantly likened to "some soft . . . oversized ghost in his hospital whites" (King, *The Shining* 222), and whose image he cannot entirely leave behind. He struggles to detach himself from his unsavory past, but his violent temper—probably part of his genetic inheritance—repeatedly erupts, slowly eroding his self-respect. He loses his job as a teacher after a fight with a student, and his value as a father is severely undermined when, in a fit of rage, he breaks three-year-old Danny's arm.

Interestingly enough, some of the ghostly manifestations of the Overlook, an archaic meaning of which is "to cast a spell" (Ciment), are not intended to frighten, but to seduce people. Even sexual temptation materializes in the form of a beautiful ghost woman, who preys on Jack's basest impulses. Predisposed because of his weaknesses, Jack cannot resist the siren-song of the Hotel when it offers him what he is lacking: success, glamour, self-respect, a good job, and drink. When he accepts the bargain, which stipulates his sacrificing of Danny, he is selling his soul and his humanity is irrevocably corrupted. His body becomes possessed by the Hotel, and a deadly hunt for Danny commences.

We can detect a faint similarity between Jackson's Eleanor and King's Danny: in fact, Danny perceives himself as a key, which set the clockwork mechanism of the Hotel in motion. Eleanor's paranormal abilities might have been the reason why Hill House singled her out as a future occupant, while Jack is explicitly told that the hotel hierarchy is interested in the talent of his son. Relying on telepathy, Danny calls Hallorann, the hotel cook (who also "shines"), to rescue them from the clutches of the Hotel and his father—who has descended into pure madness by this time. Hallorann arrives in the nick of time and a reformulated nuclear family—with a surrogate father replacing the biological one—escapes from the evil force. The hotel's old boiler explodes and we last glimpse the Overlook engulfed in flames. Destruction by fire, symbolically a cleansing element, quite often figures at the end of haunted house narratives.

Tragedy is tempered by hope as our final image of Danny is of him fishing with Hallorann and recovering from his awful experiences. The shining, which has been a terrible burden for the boy, now functions as a positive, regenerative force, helping him to understand and overcome what happened. In King's fiction, a character's encounter with evil often strengthens him, as if he had passed through a

trial by fire. Thus, *The Shining* closes on a note of hope, counterpointing the previous horrors.

Although this novel was primarily chosen because of its modern, updated version of the haunted house, we must not overlook the importance of the figure of the gifted/accursed child, so familiar from King's fiction. Though no demonization or social exclusion takes place, Danny's telepathic abilities clearly set him apart from the rest of mankind. The "shining" is a symbol of difference, but in his case (as opposed to Carrie's or Charlie's), its positive aspects seem to outweigh its negative ones. Admittedly, it gives the boy nightmares and frightens him with ominous images and words, but it also makes him precocious and wise, prompting him to acquire knowledge about the world, especially when frustrated by his failure to decipher the messages conveyed to him (he cannot read the words seen in his visions since he is just about to start to learn to read, and the desires and motivations of adults prove to be incomprehensible and too complex for a child of his age). This weird ability also sends him warnings and it has a crucial role in saving his life, since he summons help via the shining.

Previously, I claimed that Danny is different; however, as opposed to Carrie or Charlie, who could share with no one their "cursed gift", Danny is not alone in being different. He meets "fellow shiner" Dick Hallorann, with whom a special bond is forged. The shining thus proves to be a kind of glue, a strong link connecting these special people. Danny is anxious to know whether there are others with similar abilities, and he is relieved to discover he is not alone. "Get you kinda lonely, thinking you were the only one?" (King, *The Shining* 81) —Hallorann asks the boy. "The relief in being able to talk about these things—to someone who *knew*—was indescribable." (King, *Doctor Sleep* 15) Thus, Danny acquires a new friend, a kind of mentor and also takes a crash-course in the nature of shining, during which he receives answers to the questions he could not ask from anyone else so far. In a sense, his social network is extended owing to the shining, beginning with the benign Hallorann, who acts as a father figure for the little boy.

In *Doctor Sleep* (2013), the highly anticipated sequel to *The Shining*, it is revealed that Danny, now in his forties, never started a family of his own. However, once again, his uncanny ability helps him establish a very strong bond with a "shining" twelve-year-old girl, Abra, towards whom he acts as a kind of tutor, following in Hallorann's footsteps, guiding the child in her discovery of her immense powers.<sup>1</sup> "For the first time in her life Abra felt unconditional pleasure—joy, even—in the talent that had always puzzled and sometimes terrified her. Thanks to this man, she even had a name for it: the shining. It was a good name, a comforting name, because she had always thought of it as a dark thing." (King, *Doctor Sleep* 211) For both Danny and Abra, the shining ultimately proves to be more of a blessing than a burden.

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<sup>1</sup> Later it turns out that Danny is Abra's uncle for real, but if it was not for the shining, the two of them would never have met each other in the first place.

## Conclusion

In his depiction of children with paranormal abilities, King seems to suggest that the possession of such qualities per se is neither good nor bad. If the child is deprived of a loving home, family members or friends to rely upon, then s/he might be tempted to use the double-edged powers to cause suffering, to take revenge, especially if s/he was made to suffer unjustly beforehand. The talent might also trigger society's exclusionary tactics, because being different has always made a person easily ostracized. As I have previously pointed it out, demarcation strategies have a vital role in establishing the cohesion of a community.

However, if the child feels love and acceptance in spite of her/his difference, this usually proves to be enough to "rein in" the secret talent, to resist the urge to use it in a destructive way. Carrie never experienced unconditional love, not even from her mother, so it is no wonder that after her repeated efforts towards acceptance all fail, she succumbs to the role society assigns to her.

While the use of supernatural elements and esoteric phenomena might seem just a magician's trick in the repertoire of a horror writer, in King's fiction they are always tools employed with an ultimate goal. Horror is a genre with a diagnostic function, because under the guise of fictional horrors, and relying upon such symbols as haunted houses or children with uncanny abilities, King is able to metaphorically discuss everyday horrors, exposing problem areas and contradictions in the social, familial or political fabric of our lives.

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**Eve Discovering Adam or the Bloom of Romance:  
Northrop Frye's *Anatomy of Criticism* and  
Philip Pullman's *His Dark Materials* Trilogy**

ZSUZSANNA TÓTH

Sexuality and reproduction have been at the centre of interest in most ancient and traditional societies' religions. Christianity, however, has never been comfortable with either the emphasis on life here and now, or sexuality as "a potentially noble part of [man's] being" (Davies 578). As Robertson Davies points out, there have always been literary works protesting against that attitude, embodying "a demand that religion should include sexuality and the distinctively feminine element in the human spirit as it shows itself in both sexes" (578). In line with the English literary tradition of John Milton (1608–1674) and William Blake (1757–1827), Philip Pullman's (1946–) fantasy book trilogy, *His Dark Materials*, consisting of *Northern Lights* (published in the U.S.A. with the alternative title *The Golden Compass*) (1995), *The Subtle Knife* (1997) and *The Amber Spyglass* (2000) (hereafter abbreviated as GC, SK, and AS), belongs to this group of books. The reason is that the mythopoesis (i.e. fictional mythology) of Pullman's trilogy is embedded in the Western tradition of *memento vivere* (a Latin phrase meaning 'remember to live'), instead of the tradition of *memento mori* ('remember that you will die') widely propagated by Christianity. Accordingly, in the trilogy special emphasis is given to the body itself, to multitudes of sensory impressions and sensual pleasures, and sophisticated representations of erotic desire from the low-key to the almost bestial.

Any analysis of the representation of religious myths in literary fiction invites the method of 'archetypal criticism' or 'myth criticism,' which regards literary works as an expression or embodiment of recurrent mythic patterns and structures. This theoretical view is primarily connected to the name and work of Northrop Frye. Fascinated by the transtextual connection between the Bible and William Blake's visionary prophecies, Frye expounded holistic thinking about literature first in *Fearful Symmetry: A Study on William Blake* (1947), then ten years later in *Anatomy of Criticism: Four Essays* (1957), the theoretical basis of my paper, with the aim of giving "a rational account of some of the structural principles of Western literature in the context of its Classical and Christian heritage" (Frye, *Anatomy* 133). Being convinced of the unity of all literature in a natural cycle, Frye defined four "narrative pregeneric elements of literature," called *mythoi*, that are broader than or logically prior to ordinary literary genres: the romantic, the tragic, the comic, and the ironic or satiric (*Anatomy* 162).

With regards to Pullman's adventure story, I wish to argue that in terms of Northrop Frye's genre typology, *His Dark Materials* is nothing else but a quest-

romance. The skeletal structure of romance shows that it is basically a love story rooted in the medieval ideal of chivalry: a knight with heroic qualities goes on a quest through marvel-filled adventures, triumphs against a supernatural enemy, and is rewarded with love and marriage to a princess, which brings prosperity to the kingdom. For Frye, it is exactly the major adventure, the heroic quest that gives literary form to the romance (*Anatomy* 187).

### **A Tale as Old as Time Is Retold: The Myth of the Fall**

In the Judeo-Christian tradition, the myth of the Fall of Man recounts the transition of Adam and Eve from a state of innocent obedience to God to a state of guilty disobedience, and it is also the main story of Northrop Frye's myth-criticism and Philip Pullman's juvenile fiction. According to Augustine of Hippo, the Fall from God's grace resulted from either pride or the disobedience of the first human couple; it was an accident providing an explanation to "a new situation in the world that is recognized as a decline or degradation when contrasted to the original[ly pure] state of man and the cosmos" (Ries 256).

Northrop Frye shares this canonical view of the Fall. He distinguishes myth from romance by the former's canonical position: certain stories, such as that of Adam and Eve in the Garden of Eden, are regarded with more reverence than others in Western Judeo-Christian cultures because they bear "a heavier weight of conceptual meaning," regardless of whether poets believed in the historicity of these stories or not (*Anatomy* 188). He attributes importance to the quest-myths of the Bible<sup>1</sup> because myth in literary criticism is identified with "the metaphorical key to the displacement of romance" (*Anatomy* 188). The antagonist of Frye's Biblical scenario is a sea-monster called Leviathan who in the Book of Revelation turns out to be identical with Satan as well as the Edenic serpent; it is "associated with the natural sterility of the fallen world, with the blasted world of struggle and poverty and disease" (*Anatomy* 189). The protagonist is of course the Messiah, Jesus Christ. In the so-called "dragon-killing metaphor in Christian symbolism" Frye confers on Christ the role of the hero, and on Satan that of the dragon, while Adam is described as the impotent old king whose son, Christ rescues the bride, the Church (*Anatomy* 189). Frye concludes that "if the leviathan is the whole fallen world of sin and death and tyranny into which Adam fell, it follows that Adam's children are born, live, and die inside his belly. Hence if the Messiah is to deliver us by killing the leviathan, he releases us" (*Anatomy* 190).

Philip Pullman, however, turns Augustine's, as well as Frye's, interpretation of the Fall upside down. The mythopoesis of his trilogy revolves around self-awareness, as the target of man's spiritual quest, and also the culmination of man's development. Accordingly, for the English author this myth—still named 'fall' but meaning 'ascent'—symbolises the necessary road toward maturation and self-knowledge, yet is

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<sup>1</sup> These are "a Genesis-apocalypse myth" and "an Exodus-millennium myth" (Frye, *Anatomy of Criticism* 191).

not necessarily identical with the loss of purity: it narrates the birth of intellectual *and* sensual consciousness, in parallel with the recognition of imperfection and vulnerability. Pullman states that the Fall is “something that happens to all of us when we move from childhood through adolescence to adulthood” (qtd. in “The Dark Materials Debate”). In more detail:

This is exactly what happens in the Garden of Eden. They [Adam and Eve] become aware of sexuality, of the power the body has to attract attention from someone else. This is not only natural, but a wonderful thing! To be celebrated! Why the Christian Church has spent 2,000 years condemning this glorious moment, well, that’s a mystery. I want to confront that, I suppose, by telling a story that this so-called original sin is anything but. It’s the thing that makes us fully human. (qtd. in Rosin)

Ergo the sexual maturation of Pullman’s pre-adolescent protagonists is the foundation on which the whole story is built, while the trilogy offers an unorthodox, humanistic religion of Eros which celebrates the dignity and the sanctity of human life. Through all this, the anti-clerical, but not anti-religious author subversively criticises the grand narrative of Christianity. The reader of *His Dark Materials* follows the adventures of a twelve-year-old girl, Lyra Belacqua, and a twelve-year-old boy, William Parry, through different parallel universes, in the company of their daemons who, as creatures of authorial fantasy, are the visible and audible materializations of one part of the human soul in animal form.

Although Frye and Pullman relate inversely to the myth of the Fall, the adventurous life of Pullman’s heroine largely, but not entirely fits into Frye’s genre typology. The literary critic defined six distinct phases of romance that form “a cyclical sequence in a romantic hero’s life” (*Anatomy* 198): (1) the myth of the birth of the hero; (2) the innocent youth of the hero; (3) the normal quest theme; (4) the maintaining of the integrity of the innocent world against the assault of experience; (5) a reflective, idyllic view of experience from above; (6) the end of a movement from active to contemplative adventure (*Anatomy* 198-202). With regards to the necessary generic transformations, I adapt these chronological phases to Pullman’s story, focusing on the heroic quest of the female protagonist: (1) the need of a whole cosmos for a heroine, (2) the recognition of the heroine, (3) the progression of the heroine, and finally (4) the fulfilment of the heroine’s fate.

A seemingly promising contrast immediately arises from the fact that while Frye identified the representative example of romance with the Bible, which tells the story of a male Messiah, Pullman stars a female saviour. Pullman’s choice of a female protagonist seems to be motivated by his dissatisfaction with the patriarchy of the Christian clergy and the misogyny of Christian theology. While Joel P. Brereton considers female sexuality to be sacred, standing as “the positive condition contrary to both infertility and asexuality” (520), Christianity has been reluctant to recognize motherhood as the divine creative power of women. That is why Margaret Bertilsson claims that “[t]o control sexual love and to make it subservient to religion has always

been a central task for the Christian religion” (301). Moreover, she reports on Max Weber’s observation that “the more developed and the more rationalized the religion, the stronger is its agony of sex and of women” (301). Pullman’s gesture, however, is not as subversive or revolutionary, as it appears to be *within* Frye’s system, where the sex of the hero(ine) does not influence the sequence of the generic patterns of romance.<sup>2</sup>

### **Before the Journey Begins: Why a Heroine is Needed?**

Quest-romance is framed according to the dichotomy of fertility and sterility. Northrop Frye states that “[t]he central form of romance is dialectical: everything is focused on a conflict between the hero and his enemy” (*Anatomy* 187–188). In this way, “[t]he enemy is associated with winter, darkness, confusion, sterility, moribund life, and old age, and the hero with spring, dawn, order, fertility, vigour, and youth” (*Anatomy* 187–188). The mythopoetic structure of *His Dark Materials* is based on the existence of Dust, a mysterious, usually invisible substance consisting of self-conscious particles, the divine life-force animating the whole cosmos. It is the vulnerable source and the condition of vitality, consciousness, curiosity, imagination and free will:

Dust came into being when living things became conscious themselves; but it needed some feedback system to reinforce it and make it safe . . . Without something like that, it would all vanish. Thought, imagination, feeling, would all wither and blow away, leaving nothing but a brutish automatism. (AS 403)

Accordingly, following the tradition of the ‘combat myth’ (a battle between order and chaos), there is a cosmic struggle revolving around Dust:

There are two great powers . . . and they’ve been fighting since time began . . . Every little increase in human freedom has been fought over ferociously between those who want us to know more and be wiser and stronger, and those who want us to obey and be humble and submit. (SK 283)

In other words, those who are either directly or indirectly against Dust and everything it represents are considered to be the adversaries associated with an unnatural state of affairs; those who in any way support Dust, the meaningful life itself, are the positive characters.

Pullman’s story starts with the troublesome disappearance of children by unknown kidnapers, generally called ‘the Gobblers,’ in the England of one of the uncountable parallel universes. It gradually turns out that a politically stronger and

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<sup>2</sup> See Fry, *The Secular Scripture*, especially chapter 3, for a detailed elaboration of his system.

stronger religious organisation called the Magisterium stands behind these events. The reason for the nation-wide kidnapping is the churches' fear of consciousness and vim, in theological terms the Original Sin, whose physical sign is identified with Dust, the "physical proof that something happen[s] when innocence change[s] into experience" (GC 327) in early adolescence. Their motto is "better a world with no Church and no Dust than a world where every day we have to struggle under the hideous burden of sin" (AS 63). In Hugh Rayment-Pickard's sarcastic words, "[t]he church's fear of Dust is really just a fear of 'being human'" (65).

Unfortunately, the Magisterium succeeds in recognising the connection between Dust and the natural process of growing-up. "During the years of puberty [children] begin to attract Dust more strongly, and it settles on them as it settles on adults" (GC 325). In parallel, "daemons bring all sort of troublesome thoughts and feelings, and that's what lets Dust in" (GC 248). However, "[a] quick operation before that, and you're never troubled again. And your daemon stays with you, only . . . not connected" (GC 248). This means that if the intimate and sacred bond between preadolescent children and their daemons is cut (an operation called *intercision*), years later these severed patients will not attract Dust, thus will escape from the 'sin' of self-knowledge and sexuality associated with growing-up. This totally anti-life operation—when part of the human psyche remains maimed for a lifetime in the state of a soulless zombie, making the child indifferent to anything and easily dirigible—is the perfect method for not only destroying Original Sin, but also turning the individual into an obedient subject.

In compliance with Pullman's anticlericalism and his heterodox interpretation of the Fall, while Frye considers Satan the enemy, Pullman does the same with representatives of religious fanaticism. Their institutions are portrayed as having no mercy: "[f]or all its history . . . it's tried to suppress and control every natural impulse. . . . [E]very church is the same: control, destroy, obliterate every good feeling" (SK 44–45). This threatening clerical control does not only concern one single world but all parallel worlds at the same time.

### **The Advent of the Life Giver: The Recognition of the Heroine**

The impending disaster necessitates the appearance of a hero(ine) who, according to Frye's first phase, must have some mystery around his/her birth. While Frye's main hero, Jesus Christ, is known to be conceived through Immaculate Conception, other heroes in their infancy are placed in "an ark or chest floating on the sea" or "nurtured by animals in a forest" (*Anatomy* 198). The hero's true identity is usually concealed (*Anatomy* 199). In contrast to Frye's depictions, Lyra is in no way supernatural; however, the recognition of her mythic role is foretold by superior forces.

The twelve-year-old Lyra Belacqua is living in that alternative world where the Magisterium rises to power. As a secret and abandoned love-child, "conceived in sin and born in shame" (SK 33) of a bachelor aristocrat, Lord Asriel, and a respected politician's wife, Mrs. Marisa Coulter, Lyra is brought up as an orphan among the walls of Jordan College of Oxford. Although she lives in the citadel of science, this

resourceful, brave and usually disobedient child spends most of her time on the streets in the company of gutter children, as “a coarse and greedy little savage” (GC 33)—this life-style prepares her for the difficulties she will have to overcome later. Her motivation for beginning her quest is that one day her best friend, Roger Parslow, disappears, and the loyal Lyra, for whom promises are sacred—“[o]ur business is to keep promises, no matter how difficult they are” (AS 174)—, decides to rescue him from the hands of the Gobblers.

Prophecies announce the future arrival of the saviour so that her identity can be revealed. As David Adams Leeming argues, “[t]he hero must be clearly recognizable and ordained for his task, a task . . . that is a matter of life and death for us all” (148). In connection with Jesus Christ, traditions talk about, for instance, the Annunciation and Three Wise Men. Similarly, the appearance of Pullman’s child saviour who will restore the distorted harmony of the cosmos has already been predicted by supernatural beings, probably angels:

“The witches have talked about this child for centuries past,” said the consul. “Because they live so close to the place where the veil between the worlds is thin, they hear immortal whispers from time to time, in the voices of those beings who pass between the worlds. And they have spoken of a child such as this, who has a great destiny that can only be fulfilled elsewhere—not in this world, but far beyond. Without this child, we shall all die. So the witches say.” (GC 154)

The subject of this prophecy turns out to be Lyra. However, she is more than a sympathetic child heroine: “there was a name that would bring to mind a parallel case, and which would make the Church hate and fear her” (AS 59). Lyra is “in the position of Eve, the wife of Adam, the mother of us all, and the cause of all sin” (AS 60). The reason for Pullman’s identification of Lyra with the biblical Eve is his subversive reinterpretation of the Judeo-Christian myth of the Fall, in which ‘sexual awareness’ is the key concept. Accordingly, “[n]ature and opportunity will come together like spark and tinder” (AS 292), that is, a *pre-adolescent* Eve is to be tempted. In this way, with the true purpose of “giv[ing] life back to the [diseased] universe” (Freitas and King 123), she is the key figure in a cosmic war fought by the fundamentalist, obscurantist churches on the one side and the rebellious free-thinkers on the other. As soon as the enemy becomes aware of Lyra’s grandiose task, the girl becomes the target of their obsession to destroy ‘sin.’

Nevertheless, the question of predestination versus free will is problematic in Pullman’s trilogy. “We are all subject to the fates” (GC 271), that is, all events and actions are subjugated to fate according to the novels. At the same time Lyra has “the power to make a fateful choice, on which the future of all the worlds depend[s]” (AS 59), so free will also plays a role. Importantly, she is aware that she has to perform a grandiose task because she overheard the consul’s (above quoted) words: “I *know* I got something important to do, and Dr. Lanselius the Consul said it was vital I never

found out what my destiny was till it happened, see—I must never ask about it . . . So I never did” (AS 277). In other words, like God’s Son, Lyra accepts her destiny.

### **With the Worthiest Companion: The Heroine’s Progression in Her Mission**

Contrary to Frye’s prototype of all heroes, Jesus Christ, Pullman’s heroine neither preaches, nor performs miracles, or kills dragons. Instead, her fate is unconsciously fulfilled in the bloom of first love, for which—given the Biblical scenario of the Fall—an Adam is also needed. “[S]he must fulfil this destiny in ignorance of what she is doing, because only in her ignorance can we be saved” (AS 154). Here ‘ignorance’ probably refers to Lyra’s unawareness of the significance and power of her love.

The extraordinary Lyra meets a no less extraordinary boy from another world, the also twelve-year-old, also semi-orphan William Parry. Born to be a warrior (SK 283) with “a nature that was savage, and courteous, and unhappy” (SK 24), he is of course the other key figure in the cosmic war. As the Biblical Adam is complete with Eve, Lyra and Will are not only “worthy of each other” (AS 175), but they also seem to be soul-mates who can “recognize sadness in the other, the weary signs of battles fought, and past experience deserving of respect” (Freitas and King 128). Pullman himself reinforces the equality of his heroine and her companion:

They’re equal. She [Lyra]’s realizing that. There was always going to be this form to the book. The first one starts with the word *Lyra*, the second one starts with the word *Will*, and in the third book they’re of equal importance. . . . Eve is the equal of Adam and shares in whatever it is that happens. (qtd. in Parsons and Nicholson 127)

In Millicent Lenz’s convincing opinion, Pullman models a ‘partnership’ quest by giving balanced roles to Lyra and Will: “[i]n an era of increasingly fluid gender roles, Pullman shows masculine and feminine qualities in a balanced yin-yang relationship” (165). This androgynous unity of female and male recalls David Adams Leeming’s definition of the true goal of quests: it is the preservation of *fertility* by the ritual marriage ending many quest tales that “expresses the achieved goal of wholeness,” when “[t]he masculine principle is joined to the feminine” (150).

Accordingly, the relationship of the two children develops from *phialial* or *agapic* love between friends or siblings, beginning in *The Subtle Knife*, into true and mutual *erotic* love, expounded in *The Amber Spyglass*. Donna Freitas calls attention to an age-old experience:

Before ecstatic or erotic love becomes possible, a strong bond of trust must be forged between them. Without trust, there can be no mutuality in love, and without utter mutuality, they cannot truly become “conscious of” or “know” the other in *eros*. Before real trust is possible, Lyra and Will must become equally vulnerable to each other. (130)

In this light, their shared adventures serve to reinforce a relationship in which Will has a good influence over the often bossy and reckless Lyra: “[h]e was truly fearless, and she admired that beyond measure; but he wasn’t good at lying and betraying and cheating, which all came to her as naturally as breathing. When she thought of that, she felt warm and virtuous, because she did it for Will, never for herself.” (AS 152)

The two protagonists’ greatest trial, their Harrowing of Hell in the third book, signifies a symbolic rebirth. In general, “[t]he penultimate test of the hero is the descent into the underworld and confrontation with death itself” (Leeming 149). In particular, Frye’s hero, who has to enter the leviathan’s body, has to die and then rise from death (*Anatomy* 192). In Pullman’s book, a terrible journey for the dead Roger’s forgiveness precedes the final fulfilment of Lyra’s fate as Eve. Without their daemons (who are forbidden to enter this desolate space), surrounded by uncountable billions of lethargic ghosts, Lyra and Will are “the only two human beings in that vast gulf of death” (AS 323). The painful separation from their daemons is as if “both children needed to let go of a part of themselves before each could make space for a new level of relationship to emerge between them” (Freitas and King).

After leading out the ghosts from the Land of the Dead as a kind of Exodus, which the second Eve mistakenly thinks to be her destiny—“[w]hat I got to do, Roger, what my destiny is, is I got to help all the ghosts out of the land of the dead forever” (AS 277)—, Lyra and Will come out of the Land of the Dead safe and sound, but something has changed. It is the perfect trust and a connection between them that, as Freitas ingeniously notes, “grow[s] to resemble the bond between human and daemon” (129). At the same time, the reliable sign of their emerging erotic love also appears: “[Lyra] happily used to swim naked in the river Cherwell with all the other Oxford children, but it would be quite different with Will, and she blushed even to think of it” (AS 387). It is embarrassment or shame. Frye’s archetype of erotic innocence, which is “less commonly marriage than the kind of ‘chaste’ love that precedes marriage” (*Anatomy* 200), is partly over.

### **As Above, So Below: The Fulfilment of the Heroine’s Fate**

While the fulfilment of Jesus’s fate involved betrayal, arrest, trial, crucifixion, burial, resurrection and ascension, Lyra’s recognition of love seems to be not only easier, but also more pleasant. As Frye’s last phase of romance marks “the end of a movement from active to contemplative adventure” (*Anatomy* 202), what remains for Pullman’s heroine to do seems episodic, but it is central in the outcome of the adventures of Pullman’s heroine.

The fulfilment of Lyra’s fate as Eve is finally facilitated by Pullman’s temptress, the symbolic Serpent who is called Dr. Mary Malone, an apostate ex-nun, currently a physicist, and one of Lyra’s supporters. The English author obviously opposes Frye’s identification of the serpent of the Genesis with Satan (*Anatomy* 189), and considers this animal as the simple tool of supernatural powers. In accordance with this, angelic messengers inform Mary through her computer that “[she] must play the serpent” (SK 221) and “[she has] been preparing for this as long as [she has]

lived” (SK 222). The task that Mary *consciously* decides to undertake is to arouse Lyra’s curiosity for sensual knowledge in an alternative Paradise (the strangely amazing world of the *mulefa*’s), with the help of her probably invented narratives about how she fell in love, and why she chose to live her own life instead of a total subordination to the Catholic Church:

As Mary said that, Lyra felt something strange happen to her body. She felt as if she had been handed the key to a great house she hadn’t known was there, a house that was somehow inside her, and as she turned the key, she felt other doors opening deep in the darkness, and lights coming on. She sat trembling, as Mary went on . . . (AS 396)

As the result of Mary’s vivid recollections of the erotic desire preceding her first kiss at a party at the age of twelve, Lyra is tempted. She is ready for the erotic love resulting in the second Fall: “Lyra knew exactly what she [Mary] meant, and half an hour earlier she would have had no idea at all. And inside her, that rich house with all its doors open and all its rooms lit stood waiting, quiet, expectant.” (AS 396) This female to female initiation scenario also invokes a motherly bond between the woman and the girl—it may not be a coincidence that Pullman named the Temptress of his Saviour after the mother of Jesus, Virgin Mary.

Thanks to Mary’s story, Will and Lyra are enabled to express their love for each other. They simultaneously do it in words and, according to Donna Freitas, more significantly through their bodies because in Pullman’s mythopoesis the truth about oneself and the other can only be known through the body (43–44). The expression of their love comes about twice with two different purposes, in two different ways. First, there is a kiss as the sign of the recognition of the mutuality of their love:

She could see from his eyes that he *knew* at once what she meant, and that he was *too joyful to speak*. Her fingers were still at his lips, and he felt them tremble, and he put his own hand up to hold hers there, and then *neither of them could look*; they were confused; they were brimming with happiness. Like two *moths clumsily bumping together*, with no more weight than that, their lips touched. Then before they knew how it happened, they were clinging together, *blindly* pressing their faces toward each other. (AS 416–417) (My emphasis)

Despite the impossibility of verbalization, of spectatorship and unknowing unawareness, Pullman rejects those critics who have accused him of advocating underage sex. He argues that “[n]owhere in the book do I talk about anything more than a kiss. And as a child, a kiss is enough. A kiss can change the world.” (qtd. in Meacham) Nevertheless, if anything follows Lyra and Will’s kiss at all, it is left to the reader’s imagination due to the author’s preservation of “an aesthetic distance and ambiguity in his treatment of the rapture of first love” (Lenz 137), “[w]ith a delicacy and subtlety” that Millicent Lenz finds rare in contemporary literature (137). Another

possible explanation might be what Georges Bataille states: that eroticism, which is defined by secrecy, traditionally cannot be public (252).

While Lyra and Will kiss in the absence of their daemons, the two protagonists' love is finally completed with the contribution of their daemons. "It was a gross violation of manners to touch something so private as someone else's daemon. It was forbidden not only by politeness, but by something deeper than that—something like shame." (AS 409) This means that touching another's daemon can be as much a sexual act as touching the most intimate part of the other's body. Nevertheless, while taboos are generally respected, according to Bataille, in the so-called profane time of work, they can be transgressed in the sacred time of celebrations (257). In accordance with the French philosopher's train of thought, the girl and the boy are empowered by the sacredness of love to consciously break the taboo concerning daemons:

Knowing exactly what he was doing and exactly what it would mean, he moved his hand from Lyra's wrist and stroked the red-gold fur of her daemon. Lyra gasped. But her surprise was mixed with a pleasure so like the joy that flooded through her when she had put the fruit to his lips that she couldn't protest, because she was breathless. With a racing heart she responded in the same way: she put her hand on the silky warmth of Will's daemon, and as her fingers tightened in the fur, she knew that Will was feeling exactly what she was. (AS 446–447)

With this erotic and emotional excitement, in parallel with conscious mutuality, the protagonists' innocence is permanently lost: "neither daemon would change now, having felt a lover's hands on them" (AS 447).<sup>3</sup> Rayment-Pickard considers this second act as a more 'spiritual' intimacy which is more powerful than the kiss: "Lyra and Will make contact, symbolically, with each other's private, inner and vulnerable selves" (67–68). The reason, he thinks, must be the supposition that for Pullman the sexual interaction of bodies must have a spiritual meaning, too (69–70). As opposed to this, Freitas insists on the purely material aspect of the two already-not-children's love-makings: "[i]f Dust is made when matter begins to 'know' itself, it makes sense that created beings would begin to attract Dust when their bodies discover themselves through loving other 'matter,' other bodies" (138–139). The fact that both Rayment-Pickard's and Freitas' arguments make sense testifies to the complexity of Pullman's text.

These two kinds of ecstatic unions—quasi sex-rites—constitute the enigma of Lyra's unconscious saving of Dust. Mary Malone, who recognizes the positive change in the movement of Dust, wonders what might have happened:

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<sup>3</sup> Daemons in childhood can change their shape in accordance with the current mood of the child, but in early puberty they settle into that animal shape that best expresses the human being's true self. In Pullman's world, this is the unquestionable sign of the end of childhood (i.e. innocence) and the beginning of adulthood (i.e. experience).

Something tiny but crucial . . . If you wanted to divert a mighty river into a different course, and all you had was a single pebble, you could do it, as long as you put the pebble in the right place to send the first trickle of water *that* way instead of *this*. Something like that happened yesterday. I don't know what it was. They saw each other differently, or something ... Until then, they hadn't felt like that, but suddenly they did. And then the Dust was attracted to them, very powerfully, and it stopped flowing the other way. (AS 428)

As soon as Pullman's second 'Fall' befalls, the grown-up second Eve and the second Adam start attracting Dust in one of the parallel universes and they indirectly become the so-called 'axis mundi,' either world pillar or world tree, meaning the centre of the world,<sup>4</sup> or the point around which the universe revolves, closely "associated with creation" (Eliade and Sullivan 170), "saturating the macrocosm with loving awareness" (Lenz 136–137). This process is compared to the pre-modern theory of correspondences which Antoine Faivre defines as one of the fundamental characteristics of esoteric spirituality:

The entire realm of nature in all its constituent levels of being . . . [is] considered to be linked through a series of correspondences or analogies. This connection is [rather understood] symbolically through the ancient idea of the macrocosm (the universe or heavens) being reflected in the microcosm (the constitution of the human being) and expressed in the Hermetic axiom "As above, so below." (Goodrick-Clarke 8)

In other words, what happens to Lyra and Will in some tiny particular place of one of the parallel worlds has influence over the entirety of all parallel universes. Frye also declares that "[t]he mythological universe is . . . a gigantic or macrocosmic body, with analogies to [the] human body" (*Anatomy* 119).

As a result of this reviving power, Dust stops leaking out of the universes; moreover, in the cosmic war the promoters of free thinking win a victory over the colonizers of the mind; therefore growing-up accompanied by awakening sexuality is again considered to be natural. This is not surprising, since the goal of quest-stories is life-renewal or, in Frye's words, "the victory of fertility over the waste land" (*Anatomy* 193), "the real source of wealth" (*Anatomy* 198). The end of Lyra's quest is also the discovery of the self-knowledge of the divine inside the human: "[t]hey would seem the true image of what human beings always could be, once they had come into their inheritance" (AS 421). Knowing yourself is recognizing the image of the divine who is not an external entity but an internal possibility. On this basis, Pullman's version of the Fall, which is a spiritual completion of woman and man

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<sup>4</sup> In Christian mythology it is the Garden of Eden where Adam was created, and the hill of Golgotha where he was buried and Jesus was crucified. Mircea Eliade reports on an Eastern Christian folk tradition according to which when Christ was crucified, his blood is said to have fallen on Adam's skull at the foot of the cross, and redeemed him (14).

together, should be renamed, in my opinion, the Ascent of each and every person at the appropriate time.

## Conclusion

In the light of Northrop Frye's myth-criticism, my article argued that Philip Pullman's *His Dark Materials* trilogy is constructed as a quest-romance with religious implications. The strong emphasis on the transition from childhood to adulthood and the *desirability* of corporeality for spiritual completeness comprise ingenious artistic elaborations of the author's *biophilia* (love of life) and anticlericalism.

The question immediately arises: to what extent can there be any novelty in Pullman's postmodern narrative, both as a quest story and as a romance? In the light of his subversive decomposition of generic, literary and religious themes and forms, while there is a large-scale cosmic-social restoration to wholeness (as going back to the original state), there is also a particular spiritual improvement (as going ahead to a new state) in line with the protagonist's physical, emotional and moral growth—in other words, character development. Eventually, David Adams Leeming argues that, on the one hand, every quest tale is characterized by a so-called “consciousness of linear time” which means that “[t]o see a beginning, a middle, and an end is to see a ‘road of life,’ and to see such a road is to see a potential quest” (147). On the other hand, the ultimate spiritual question of each quest tale is “who am I?” (Leeming 147).

It follows that stock characters and allegories so typical of Frye's romance are absent. What Lyra Belacqua finds at the end of her quest is a mature and wise Lyra. In this way, Pullman's trilogy as a twentieth-twenty-first century *Bildungsroman* by and large fits, but sometimes pushes aside, the frames of the literary critic's genre theory of romance.

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**Wingless Bees, See-Through Goblets,  
Walking Plants and the Like:  
Novels by Philip K. Dick in Hungarian**

ANIKÓ SOHÁR

Perhaps these days it is not really necessary to introduce Philip K. Dick any longer as he became well-known thanks to Hollywood and the many film adaptations of his works, such as *Blade Runner*, *Total Recall*, *Minority Report* and the like. Even now at least five of his writings are being filmed so it can safely be stated that he is famous. Also, he is on the way towards being canonised in the 21<sup>st</sup> century despite the genre he chose to work with, that is, science fiction—a genre generally ignored or even despised in Hungary but regarded as a “literature of cognitive estrangement” (Suvin 4) or even as “the ontological genre *par excellence* (as the detective story is the epistemological genre *par excellence*)” (McHale 16, quoted by Olsen 148). The gradually changing approach to sf and Dick’s canonisation are probably interrelated and interact, boosting each other.

During his life Dick published 36 novels and 121 short stories, out of which 28 novels and 54 short stories were translated into Hungarian, some of them twice or even three times (such as *Do Androids Dream of Electric Sheep?* or *The Pre-Persons*). He won the Hugo Award<sup>1</sup> for *The Man in the High Castle* (best novel 1963) and the John W. Campbell Memorial Award<sup>2</sup> for *Flow My Tears, the Policeman Said* (best novel 1975). He is the first science fiction writer to be included in *The Library of America* series (since 2007, altogether 13 novels in three volumes: 4+4+5), which is a sure sign of canonisation. Since 1983 there has been a Philip K. Dick Award awarded to the best original paperback published in the US.

Charles McGrath gives a sort of explanation of Dick’s growing recognition in his article entitled *A Prince of Pulp, Legit at Last* in the *New York Times*. He thinks the writer owes his popularity to being wildly imaginative, deeply philosophical and mind-bogglingly surreal. Interestingly, he does not list humour as a key factor, and mentions Dick’s ironical twists only in passing:

Mr. Dick was relatively uninterested in the futuristic, predictive side of science fiction and embraced the genre simply because it gave him liberty to turn his imagination loose. Except for the odd hovercar or rocket ship,

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<sup>1</sup> Since 1953 the Hugo Awards have been given by the World Science Fiction Society at the World Science Fiction Conventions for the best sf or fantasy works and achievements of the previous year. It is very prestigious.

<sup>2</sup> An annual award presented by the Center for the Study of Science Fiction at the University of Kansas to the author of the best science fiction novel published in English in the preceding calendar year. A major award since 1973.

there aren't many gizmos in his fiction, and many of his details are satiric, like the household appliances in "Ubik" that demand to be fed with coins all the time, or put-ons, like the bizarre clownwear that is apparently standard office garb in the same book (which is set in 1992, by the way; so much for Dick the prophet): "natty birch-bark pantaloons, hemp-rope belt, peekaboo see-through top, and train engineer's tall hat. . . . How do we know what is real, and how do we know what is human? For all I know, you could be a robot, or maybe I am, merely preprogrammed to think of myself as a person, and this thing we call reality might be just a collective hallucination. . . . The books aren't just trippy, though. The best of them are visionary or surreal in a way that American literature, so rooted in reality and observation, seldom is. Critics have often compared Mr. Dick to Borges, Kafka, Calvino.

Much secondary literature has been published since Dick's death: 7 whole books (monographs or essay collections) in the 80s, 3 in the 90s, 16 since 2000 (4 in Italian 1989, 2006, 2006, 2007, 1 in French 2012)—which clearly indicates that Dick is getting more and more acknowledged in literary studies. There is only one essay collection in Hungarian, *Ütköző világok* [Colliding worlds] which was brought out by a Hungarian publisher in Slovakia. It contains 12 essays which deal with different topics: the first with Dick's life, the second with *The Man in the High Castle*, the third with *Dr. Bloodmoney*, the fourth with the effect of psychoactive drugs on his writings, the fifth with variations of God in three novels (*Ubik*, *Do Androids Dream of Electric Sheep?*, *The Three Stigmata of Palmer Eldritch*), the sixth with the relation between the nervous system and machinery, the seventh compares the novel and the film adaptation of *A Scanner Darkly*, the eighth and ninth with film adaptations, the tenth with the paranoid rule of androids, the eleventh with metalepsis, and the last with Dick's literary influence.

In this brief analysis I'll discuss four novels in Hungarian translation (in the chronological order of their Hungarian publication):

- *A Maze of Death*, 1970 – *A halál útvesztője*, 1986
- *The Cosmic Puppets*, 1968 – *A kozmosz bábjai* ['Puppets of the Cosmos'], 1998
- *The Man in the High Castle*, 1962 – *Az ember a Fellegvárban*, 2003
- *Now Wait for Last Year*, 1966 – *Várjuk a tavalyi évet*, 2007

They cover more than twenty years as the first was brought out before the political transformation of 1989/1990 and the last only six years ago. These translations should exhibit how the translation norms have changed: for instance, only the first should show any censorship (omitted or modified items due to political requirements and expectations; most realia left out or changed due to the iron curtain and cultural differences), after all, the others were published after the political transformation. Simultaneously, I also hypothesise that the first will be the most meticulous

translation as there were several editors and proofreaders engaged—more people corrected the text at that time. The one from the nineties will be the most makeshift or the hastiest, as in the ardour of free publishing, editing and proof-reading were often completely ignored—the translator’s file generally went to press without any further reading (see Sohár, *Cultural Transfer* 154). The 21<sup>st</sup>-century ones will be more or less correct, uncensored, and culturally accurate as elements of American culture—slang, realia, cultural references, etc.—are easily knowable thanks to the world wide web and other new technologies, including word processors and spellcheckers, therefore the publications after 2000 should display less typos and grammatical errors and will probably be more normalised than the previous translations as the (mainly) target-oriented approach seems to prevail these days (see Sohár, “SF and Fantasy”).

### *A Maze of Death*

*A halál útvesztője*, translated by Mihály Veres, was the very first PKD novel in Hungarian in 1986. This book was published by Móra in the Kozmosz Fantastic Books series which was the very first sf series in Hungary. The editor was Péter Kuczka who was very well-versed in sf and practically omnipotent in sf matters at that time. The translator worked for him and translated several sf novels and short stories (e.g. *The Return of the Jedi* by James Kahn to name just the most celebrated) so he knew the genre, the editor’s requirements, the target audience, everything. Let’s see what he produced! Here is the opening sentence and, of course, the very first sentence of any literary work is of special importance:

**His job, as always, bored him. (1)**  
**Ez a munka éppúgy untatta, mint a többi. (5)**  
 [This job, like any other, bored him.]

This slight misinterpretation is indeed very strange as the author goes on explaining what sort of jobs the character, Ben Tallchief did in the past and mentions one he did well and enjoyed a lot. Both the translator and the editor failed to notice this discrepancy.

So he **had during the previous week gone** to the ship’s **transmitter** and attached **conduits to the permanent electrodes extending from his pineal gland. (1)**  
**Lement hát a hajórádióhoz, és tobozmirigyét vezetékekkel az elektródákhoz** kapcsolta. (5)  
 [So he went **down** to the ship’s **radio** and attached **his pineal gland with conduits to the electrodes.**]

Here the translator opts for the usual, replaces “transmitter” by “radio,” forgets about antecedence, changes the sequence and leaves out “permanent,” thus the sentence is a little less informative about the future.

Another few weeks here, **he said to himself**, and I **would have been pizzling away at the bottle again as in lamented former times**. [...] They knew I was nearing a break. I'd probably have wound up in the **ship's brig**, along with—how many were there in the **brig** now?—well, however many there were in There. Ten, maybe. **Not much** for a ship this size. And with such stringent rules. (2)

Még néhány hét itt, és **kipurcanok**. [...] Tudták, hogy közel vagyok a lerobbanáshoz. Valószínűleg becsavarodnék ebben a **koporsóban** a többi—hányan is vannak most a **hajón?**—, szóval a többi akárhánnyal együtt. Lehetnek vagy tizen. **Sokan** egy ekkora hajóhoz képest. És ilyen szigorú szabályokkal! (6)

[Another few weeks here and **I will kick the bucket**. [...] They knew I was nearing a **crack-up**. I'd probably have **gone nuts in this coffin** along with—how many were there in the **ship** now?—well, however many there were in There. Ten, maybe. **Not much** for a ship this size. And with such stringent rules.]

The translator obviously misinterpreted this paragraph. There are two omissions and two modifications. The first omission (“he said to himself”) is explicable as this is the character’s inner monologue, so leaving it out does not change much although most translations tend towards explicitation (see Baker 180–81) instead of reticence so it is noteworthy. The second when “not” is overlooked is more problematic as it does matter whether ten people are in detention or ten people are on board. Not to mention that the last sentence doesn’t make sense in this case: if the rules are strict, of course, there are lots of people arrested for transgression! In Hungarian Tallchief believes he would have died soon, everybody on board faces the loss of their minds, the character does not know how many people are on board (after travelling together for a long time in a closed environment this is not very likely), the ship is doomed otherwise it wouldn’t be called a coffin and it is rather small. Nothing about aggression, arrest, the drinking problem, although these will be important later on. Therefore, already on the first page, the Hungarian reader receives a lot less information than the American. And this goes on throughout the novel. For instance, all words beginning with the privative **un-** seem to be translated without the privative prefix: “**unnaturally**” as “természetesen” [naturally] (9), “**unsay**” as “(el)titkol” (10)—[‘conceal/hold back’] instead of take back.

As has been said, realia are assumed to be omitted or altered as American culture was regarded as decadent and hostile to socialism, its symbols such as Coca Cola morally debased. The selected example is whisky, a typical Western drink which, at that time, was not easily obtainable in Hungary:

an unopened **fifth** of Peter Dawson scotch (2)  
egy **üveg** bontatlan Peter Dawson skót whisky (6)  
[an unopened **bottle** of Peter Dawson scotch]

he poured **scotch** into a **Dixie cup** (3)

töltött a **csajkája fedelébe** (7)

[he poured into the **lid of his canteen**]

He drank the **scotch**, then refilled **the small paper cup**. (3)

Ivott és újra töltött. (7)

[He drank and poured again.]

All the changes support the hypothesis and show normalisation: replacing “fifth” by “bottle” (thus eliminating a clear reference, a nonmetric unit, to Anglo-Saxon culture), omitting “scotch” twice and “paper cup” once, translating “Dixie cup” as “csajka”, a word which comes from the Russian and still has very strong Russian connotations, obviously a more politically correct object than the paper cup of the corrupt West. Another example of ‘political correctness’ appears in the following excerpt:

To further enlarge the ceremony he got down—a bit reluctantly—his copy of **The Book**: A. J. Specktowsky’s *How I Rose From the Dead in My Spare Time and So Can You*, a cheap copy with soft covers, but the only copy he had ever owned; hence he had a sentimental attitude toward it. Opening at random (a highly approved method) he read over a few familiar **paragraphs** of the great **twenty-first century Communist** theologian’s *apologia pro vita sua*. (3)

Hogy a szertartás ünnepélyességét fokozza, kissé vonakodva ugyan, de elővette a **könyvet**: *Hogyan támadtam fel halottaimból szabadidőmben, és hogyan teheted meg te is*, A. J. Specktowskytól, olcsó, puha kötésű példány, de az egyetlen, ami valaha is az övé volt, ezért kissé érzelmes viszony fűzte hozzá. Találomra kinyitotta (jól bevált módszer), és átfutott néhány ismerős **sort** a **21. századi** nagy teológus *apologia pro sua vitájából*. (7)

The translation is actually quite accurate; however, the subtle changes do alter the conveyed information a little. First of all, omitting the capital letters modifies the meaning of “The Book” at least at connotation level: the original hints at The Scriptures, the Hungarian version does not. In the eighties it was unthinkable to use the adjective “Communist” with the noun “theologian”, therefore the translator or the editor deleted it. It is an interesting question whether such an act was required at that time or self-censorship came into play. Taking over the name “Specktowsky” in its Anglicised form might be explained by the same political oversensitivity: the readers should not believe that a Russian might be interested in outmoded theology. Two unexplainable peculiarities should also be noted: the translator used Arabic numerals when in a Hungarian text centuries are traditionally either written or numbered with Roman numerals and inverted “vita sua”.

You’re **entitled to** use one of the ship’s **nosers**. (2)

**Használhatja** a hajó egyik **csónakját**. (6)

[You **may use** one of the ship's **boats**.]

Since it is certainly not a translation problem, perhaps political interference caused this slight modification as well: Hungarian citizens had no grounds to lay claims for anything from their 'betters'.

Theology and religion play an important role in Dick's fiction. There are several incarnations of God, including the **Mentufactorer** and the **Form Destroyer**. The former is translated as **Létrehozó** [approx. **Engenderer**] and the latter as **Megsemmisítő** [**Destroyer**]. Again, the alterations appear to be small, yet the loss is great: in the first case the pun disappears together with the implications (Dick uses the Late Latin *mēns* [mind] instead of *manus* [hand] + *facere* [to make] thus bases this coined word on "manufacturer"), in the second, the annihilating incarnation is given more power because of the omission of the limiting "form".

The origin of the **Form Destroyer** is unclear; it is, **for instance**, not possible to declare whether (one) **he** was a separate **entity from God** from the start, (4)

A **Megsemmisítő** eredetét homály fedi. Nem jelenthetjük ki egyértelműen, hogy vajon 1. kezdetől fogva **Isten** különálló **része** volt-e, (7)

[The origin of the **Destroyer** is unclear; we cannot declare it clearly whether 1. **he/she/it** was a separate **part of God** from the start,]

The two changes in this sentence are relatively significant: the Form Destroyer was not and still isn't an independent being, just a "piece of God" and the translator renders him ungendered. Perhaps it is the work of the subconscious: in once Christian countries God is supposed to be male and it possibly did not even cross the translator's mind that he is omitting anything important (in Dick's imaginary universes the deities may be and often are female).

As with a **succession of old** bees **wearing out their wings**, dying and being replaced **at last** by new bees. (6)

Mint a **lekopott szárnyú** méhek; egymás után meghalnak, és helyükre újak lépnek. (9)

[Like the bees with **worn-off wings**; they die in succession and are replaced by new ones.]

It seems that the translator did not understand the sentence fully and bluffed to create a more or less acceptable version using more or less the same words and probably most readers do not even notice how nonsensical it is: bees are hard-working but they do not lose their wings, those wings do not wear off as the bees grow old, that is not a symptom of the normal ageing process.

He waited, **experiencing** the silence, knowing that he could begin it or end it by a **mere touch of the phonograph's switch**. (8)

Várt, **füelve** a csöndet, és tudta, hogy egy **egyszerű kapcsolással** létrehívhatja vagy megszüntetheti. (11)

[He waited, **listening to** the silence, and knew that he could begin it or end it by a **simple switching**.]

This last sentence of the first chapter is a clear case of what Translation Studies calls simplification through omission and combined with the changed verb (which either means 'to listen attentively' or 'to eavesdrop') is a less neutral sentence than the original.

All these examples came from the first chapter of the novel and they are quite typical. Instead of the hypothesised accurate although censored translation, the Hungarian version is often simplified, normalised, and occasionally even misinterpreted beyond the expected omissions due to political considerations and lack of knowledge (in case of realia). Nevertheless, we cannot find fault with its language use, including spelling or hyphenation.

### *The Cosmic Puppets*

Valhalla Páholy, the leading sf and fantasy publisher of the nineties, issued *A kozmosz bábjai* in 1998. It was translated by Zsolt Szántai and edited by András Gáspár. Both of them were great fans of these genres, and not only translated and edited such books, but wrote quite a few as well.<sup>3</sup> Szántai translated *Do Androids Dream of Electric Sheep?* into Hungarian for the second time so he was familiar with Dick's style. However, that period and that particular publishing house did not produce nice and accurate translations, the editor usually was fictitious (that is, did not even read the text before it was sent to press), therefore a haphazard translation is hypothesised, full of typos, incorrect Hungarian, bad hyphenation and the like—and this hypothesis is proved beyond measure: paired parts of the body are alternately in singular and plural, there is no tense harmony (e.g., "Barton sighed. He'd be seeing reminders of her just about everywhere" is translated as "Barton felsóhajtott. Bárhová nézett, minden Armaitire emlékeztette" [Barton sighed. Anywhere he looked, everything reminded him of Armaiti] 231), no exclamation mark after a sentence in imperative mood, the rules of spelling and punctuation are ignored<sup>4</sup>, en dash is used instead of em dash, repetition occurs within a sentence without any special function (e.g.,

<sup>3</sup> E.g., Zsolt Szántai wrote *Shadoni krónika* [Chronicle of Shadon] as Martin Clark Ashton, translated *Speaker for the Dead* by Orson Scott Card, *Virtual Light* by William Gibson, etc.; András Gáspár wrote as Ed Fisher and Wayne Chapman, translated *Bored of the Ring* by Henry N. Beard, *Dune Messiah* by Frank Herbert, *Highlander* by Garry Douglas, etc.; together they translated the *Doom* series by Damien Forrester.

<sup>4</sup> For instance: "Pac-kard", "Mrs. Stazy-vel", "1935. október 9.-én", "new yorki", "Pine Street-en", "Pine Stret-et", "kilenc éves", "rádió bolt", "tovább sétált" (all verbs starting with 'tovább' preverb which refer to space are written in two words!), "1935.-ben", "modell csapat", "torzulás-réteg", "ál-város", "mikroszk-opikus", "magán kívül volt a félelemtől", "A lény feloldódott", "hátra dőlt", "mind-ig", "Hanyatt dőlt, és elvágódott", etc.

“Barton ki tudta venni a félhomályos belsejében lévő **lőszerszámokat**, gazdasági felszereléseket, **szerszámokat**, festékes dobozokat, de még a falon függő naptárakat is” 17), etc.

The examples selected are representative. The first among them is a sort of cultural normalisation as Hungarian ladies generally prefer coffee to tea, plus a small addition, the least frequently used tool in this text:

The Bank’s gone now, of course. There’s a **ladies’ tea room** in its place.

(32)

Természetesen már a bank sincs meg. Egy **hölgypresszó** van a helyén.

(118)

[The bank is **also** gone now, of course. There’s **ladies’ coffee-bar** in its place.]

It is also notable because most cultural references are taken over in the text (e.g., county or street). Another often employed means is explicitation when the translator, mistrusting the readers’ intelligence or possibly his own ability to express the original thought clearly and plainly, overexplains it, like here:

The two of them, eternal conflict. (45)

A két **versenyző** örökkévaló konfliktusban áll egymással. (p 167)

[The two **competitors** are in eternal conflict with each other.]

Since this sentence describes the fight of two gods, Ormazd, representing order and truth, and Ahriman, personifying chaos and evil, using the word “competitors” in this situation does not seem appropriate. Just like “nervous” in the next example, when the protagonist discovers that the town where he was born and lived in childhood differs significantly from his memories and people keep telling him that such streets and shops he remembers have never existed in the town so he becomes visibly confused, then somebody remarks:

**You’re kinda mixed up.** (4)

**Úgy látom, egy kicsit ideges.** (20)

[**You seem a little nervous.**]

The protagonist is bewildered so his conversation partner sends him to the local doctor supposing he might have got sunstroke: the adjective “nervous” is entirely unsuitable in the circumstances.

The next example is a blunder due to lexical failure and no inquiries—the translator possibly didn’t even realise his lacking command of English. Besides misinterpreting “slacks”, the emphasis shifts from a well-groomed appearance to flabbiness or slackness.

The young man blinked. He was plump and soft-looking in a white shirt, open at the neck. **Pressed slacks** and carefully **cut** fingernails. (5)

A fiatalember hunyorogni **kezdet**. Jó húsban lévő, puhány kinézetű fickó volt; nyitott gallérú fehér inget viselt. **Ernyedt izmok**, gondosan **manikűrözött** körmök. (24)

[The young man **started** to blink. He was plump and soft-looking in a white shirt, open at the neck. **Slack muscles**, carefully **manicured** fingernails.]

It seems that the privative ‘un-’ causes problems for the Hungarian translators. In this novel Szántai tackles it quite well, except the coined verb “ungolem”. It occurs several times since Peter, the earthly representative of Ahriman, uses little clay golems as spies or to attack his enemies, and each time, the privative prefix is replaced by the preposition “back” in the Hungarian text. There are other changes in this excerpt, a reversal of adjectives, a one-word omission, a small addition and a slight explicitation:

It was **dead** clay again. The clay from which it had been formed. Dry and shapeless and **totally lifeless**. It had been **ungolemed**. (47)

Újra **élettelen** agyag volt **csupán**. **Olyan** agyag, **amiből** megformázták. Száraz, alaktalan, és **halott**. **Visszagólemeződött**. (173)

[It was **just lifeless** clay again. Clay **like** from which it had been formed. Dry, shapeless and **dead**. It had been golemmed **back**.]

Although both the translator and the editor were experienced by that time, their background erudition appears to be wanting when they leave a nonsensical solution in the text instead of looking up the citation in the Bible:

“Like it says in the Bible, ‘We see as through a **glass**, darkly.’”<sup>5</sup> (45)

Ahogy a Biblia mondja: „Úgy látunk, mint egy **serlegen** át, homályosan.” (167)

[Like it says in the Bible: „We see as through a **goblet**, darkly.]

As expected, the whole text is full of typing mistakes, badly hyphenated or misspelt words, nonsensical sentences which were obviously modified, usually the verb, but not carefully enough:

De **én** ennél többet **én** sem tudok. [approx. But **I** do not know **I** more either, 182]

<sup>5</sup> 1Kor 13:12: “For now we see through a glass, darkly.” (King James Bible) / “Mert most tükör által homályosan látunk.” (Hungarian translation by Gáspár Károli)

Ha **nem fogalmam sincs**, hogy ki hozott ide, akkor nem is tudom elárulni maguknak. [approx. If I **don't** have **no** idea who brought me here of course I cannot tell you, 183]

**Barton senki** nem mondhat el semmit. [approx. **Barton nobody** can tell anything, 183]

Most viszont már **nem megszűntek** számára a korlátok. [approx. On the other hand now **were no** limits **did not exist** for him, 199]

Finally, let me cite a funny instance where the translator did not realise that although the verb “to represent” really means ‘to symbolise’, but has several other meanings as well including ‘to denote, express, illustrate’, thus produced a rather odd statement and emphasised it by italics:

the **symbolic representation** is identical with the object **represented** (51)  
*a szimbolikus jelkép azonos az általa jelképezett tárggyal* (187)  
[the **symbolic symbol** is identical with the object **symbolised**]

Since the mistranslation of the Bible citation also mixes up two meanings of “glass”, it seems that the translator’s—and possibly the editor’s—command of English is deficient, not only their education is lacking. However, to be fair, it has to be noted that in the nineties the length of time allotted to produce an adequate Hungarian translation was often impossibly brief both for the translator and the editor—they simply could not do a thorough job, particularly in the case of an uncanonised genre. Still, this novel is difficult to read and lacks fluency due to the many annoying mistakes.

### ***The Man in the High Castle***

The new century brought changes: a publishing house, Agave decided to issue all PKD works in Hungarian, starting with *The Man in the High Castle* (whose Hungarian title is a literal translation, *Az ember a Fellegvárban*) in 2003. The editor of the whole oeuvre is Csaba Csurgó. This novel was translated by András Gerevich T., a poet, who renders poems both into Hungarian and English. Nonetheless, he refuses to regard this translation as his work since the editor has changed it profoundly without his approval.<sup>6</sup>

In the 21<sup>st</sup> century, translating more or less contemporary fiction has become easier as practically any information is available on the world wide web: slang expressions with explanation and examples, any sort of realia, cultural references, lots of good dictionaries; not to mention how easy and fast it is to contact somebody so as to inquire about something. Thus, mistakes of this kind probably indicate that the translator did not have the necessary information or the time to look up these things,

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<sup>6</sup> Private email, 30 April 2013.

that is, the publisher considered the publishing schedule more important than the quality of the produced texts.

This PKD novel won the Hugo Award and actually launched a subgenre, the so-called alternative history which is increasingly popular both in English and in Hungarian; it is indeed an sf classic, so the readers have good reasons to anticipate a pleasurable book, a thorough yet fluent translation. Let's see what they get!

The first problem which almost makes the novel unreadable in Hungarian is the use of tenses. A narrative is usually set in the past both in English and in Hungarian. However, Hungarian does not insist on tense harmony, on the contrary, in certain cases—such as general statements or the character's thoughts or after certain verbs like “seem”, “appear”, or “sound”—it is compulsory to use present/future tense in a past tense sentence/context—otherwise it may mean anteriority or become nonsense. Here are a few examples from the first chapter:

(Mr. R. Childan's thoughts)

No—this man was of the elite. **Cultured, educated**, even more **so** than Mr. Tagomi, who was after all a high official with the **ranking** Trade Mission on the Pacific Coast. Tagomi was an old man. (6)

Nem—ez a *fiatalember* az elithez **tartozott**. **Művelt**, valószínűleg még Mr. Tagominál is kifinomultabb **lehetett**, pedig **Ő** a nyugati parti **Központi** Kereskedelmi Kirendeltség magas rangú tisztviselője. De Tagomi öreg ember **volt**. (11)

[approx: No—this **young** man **had been** of the elite. Educated, **might have been** even more **refined** than Mr. Tagomi, who (**is**) after all a high official with the **Central** Trade Mission on the West Coast. Tagomi **had been** an old man.]

He could for instance slip across into the Rocky Mountain States. But it was loosely banded to the PSA, and might extradite him. (7)

Például a Sziklás-hegységi Államokba is átszökhetne. Bár az lazán **együttműködött** a Csendes-óceáni Államokkal, és még **a végén** ki is *adhatják*. (13)

[He could for instance slip across into the Rocky Mountain States. But it **had been** loosely banded to the PSA, *and might extradite him in the end.*] (italics added by the translator/editor)

Wiped out to make a land of—what? Who knew? (9)

Kiirtották őket... **és miért is? Ki tudta?** (16)

[approx: Wiped out to make a land of—**and for what? Who had known?**]

And so on. It makes reading very difficult. And there are other problems, spelling mistakes (e.g., “Hawaii-**t**”, “Norma Prout-**ot**”, “Californiában”, “cickafarkkoró”), punctuation and grammatical errors (e.g., “Bár, **mint fehér ember** nagyobb lenne az

élettere, mint itt.” p 13, a surplus comma and a missing “-nek” suffix after “ember”; lack of exclamation marks in imperative mood, em dashes missing from dialogues), incorrect verbal prefixes (e.g., “Frink **lezárta** a rádiót.” correct: **elzárta**, p 15), and typing mistakes. One of the typos causes a definitely disturbing sentence in which there is no agreement between the two verbs, the second should also be transitive, not intransitive: “...azokban az időkben, amikor még Fred Allent **hallgatták** és W.C. Fields filmjeit **néztek**...” (14).

Some of these errors were corrected in the second edition, for instance, a case of disregarded pragmatics:

- ‘You are here for long?’ he asked. ‘To our San Francisco?’ (6)  
 – Sokáig **vannak** itt? – kérdezte. – A mi szép San Franciscónkban? (11, first edition, approx: Are you here for long? correct form is future tense: Sokáig **lesznek** itt?)  
 – Sokáig **maradnak** itt? (11, second edition, approx: Will you stay here for long?)

There is an important novel within the novel in which Germany lost WWII. Its title is “The grasshopper lies heavy” translated as “Nehezen vonszolja magát a sáska” [The grasshopper trudges/draggs itself with difficulty] which certainly differs from the original and evokes dissimilar connotations: if “grasshopper” is translated as “sáska” [locust, Acrididae family] then its devastating nature should have been stressed by the verb, possibly that it weighs heavy on the land/people; if it is rendered as “szöcske” (Caelifera family), then the verb should form a contrast to leaping, but the Hungarian title appears to mix these two aspects. What’s more, if we take Aesop’s fable into account, the grasshopper might be turned into “tücsök” [cricket, Gryllidae family] which opens new possibilities.

Sometimes the Hungarian version is confusing, like in the following sentence, where “the puppet white government”—another authority with whom the industrialist Wyndam-Matson has relations so it explains “pinocs” in the original—after a coordinating conjunction becomes of equal syntactic importance:

- Since he had never been able to make out Wyndam-Matson’s relationship to the **pinocs—the puppet white government at Sacramento . . .** (8)  
 Soha nem tudta megfejtteni, milyen viszonyban van Wyndam-Matson **a pinocokkal, és a sacramentói fehér bábkormányval**... (13)  
 [He had never been able to make out Wyndam-Matson’s relationship to the **pinocs and the puppet white government at Sacramento**...]

Finally, there are blunders in the translation. Both examples clearly indicate incomprehension of the original which resulted in mistranslation. In the former case, the grammatical structure proved difficult, in the latter, the lexis.

. . . we must **consider** with pride **however our emphasis on** the fundamental physical needs **of peoples of all place**, their subspiritual aspirations **which** must be . . . (9)

... büszkén kell **döntenünk, bármi legyen is a célunk az egész emberiség** alapvető fizikai szükségleteit **illetően**, a lélekalatti vágyakat **le** kell... (15)

[... we must **decide** with pride, **whatever our goals may be concerning** the fundamental physical needs **of whole mankind**, the subspiritual aspirations must be **down**...]

Evidently, the insertion between the verb and its object caused the problem and produced a nonsensical sentence. Luckily, it is not linked to the context so causes just a small bump in reading.

And so finally her **borderline flicker of greeting to strangers** had annoyed him, as had her **plantlike**, silent, I'm-on-a-mysterious-errand **way** of coming and going. (11)

Így végül **ez a szokása, könnyelmű pillantása** idegesíteni kezdte, és az is, ahogy jött-ment, **mint valami zöldség**, némán, **akárha** titkos küldetésen lenne. (18)

[So finally **this habit of hers, her happy-go-lucky glance began** to annoy him as did her coming and going, **like a vegetable**, silently, **as if** she was on a mysterious errand.]

Besides the rather nonsensical utterances—whoever saw a vegetable walking to-and-fro?—both sentences tend toward normalisation and small omissions although these may be counterbalanced by the rhythm and the choice of words.

Whether this novel is enjoyable depends on the linguistic sensitivity of the reader: I am told that the audience received it very well. But had I perused it for pleasure, I would certainly have stopped reading it through (about the twenty-fifth page). Also, as far as I can tell, this is the only one of the four novels which had a second edition so the worst mistakes could and should have been corrected.

### *Now Wait for Last Year*

Agave has realised that it is best if the same person renders the whole oeuvre of an author and commissioned Zoltán Pék, a competent, reliable and almost workaholic translator to translate the novels by Philip K. Dick into Hungarian. (The short stories are still being translated by different translators.) *Várjuk a tavalyi évet* was published in 2007. Its editor was the same Csaba Csurgó who edited *The Man in the High Castle*, the copy editor Miklós Nagy, the proof-reader Éva Boncz—having so many qualified people who assist the production of a book promises a much better rendering/published text than the previous ones. Does this promise materialise? Here are the findings, starting with the very first paragraph:

The apteryx-shaped building, so familiar **to him**, **gave off its** usual smoky gray light as Eric Sweetscent collapsed **his** wheel and managed to park in the tiny stall allocated him. Eight o'clock in the morning, he thought drearily. And already his **employer** Mr Virgil L. Ackerman had opened TF&D Corporation's offices **for business**. **Imagine** a man whose mind is **most sharp** at eight a.m., Dr Sweetscent mused. It runs against God's **clear** command. A fine world **they're doling out to us**; the war excuses any human aberration, even **the old man's**. (4)

Az oly ismerős kivimadár alakú épület a szokásos füstös-szürke fényben **fürdött**, ahogy Eric Sweetscent összecsuksa a kereket, és leparkolt vele a neki kijelölt parányi állásban. Reggel nyolc, gondolta csüggedten, és **főnöke**, Mr. Virgil L. Ackerman már kinyitotta a TSzFV irodáit. **Elképzelni is nehéz** olyan embert, akinek az agya reggel nyolckor **már vigyázzban áll**, merengett dr. Sweetscent. Isten parancsa ellen való. Szép kis világ **az osztályrészünk**: a háború jó kifogás minden emberi aberrációra, még **az öregekére is**. (4)

[The so familiar apteryx-shaped building **bathed in** the usual smoky gray light as Eric Sweetscent collapsed **the** wheel and managed to park in the tiny stall allocated him. Eight o'clock in the morning, he thought drearily, and already his **boss** Mr Virgil L. Ackerman had opened TF&D Corporation's offices. **It is hard to imagine** a man whose mind **already stands at attention** at eight a.m., Dr Sweetscent mused. It runs against God's command. A fine world is **our share**: the war is a good excuse for any human aberration, even **for those of the old**.]

Mistaking the boss for the elderly in general suggests that old people share a common aberration (possibly that of getting up early). The other changes are relatively small: there are a few omissions which shift the viewpoint from Eric's to a more general and neutral one; the building basks in natural light instead of radiating it; using a military phrase instead of "sharp" refers to the war of which we shall hear a lot later; the neutrality of "our share" vanishes the clear division between "us" the defenceless and "them" in power.

These sorts of modifications occur aplenty. There are many small omissions, usually adverbs of manner and short sentences (e.g., "tightly", "exclusively", 3) but sometimes even Dick's coined words or phrases (e.g., "Down with the fliegemeer Renaissance, groonk", 12) which obviously impoverishes the vocabulary and the strangeness, and alters the tenor. Using expressions different from the original appears rather often in the text without any explanation (e.g., "with massive reluctance" is translated as "érezhetően neheztelve" [with tangible resentment]; "great-grandnephew" as "unokaöcs" [nephew]; "Many times" as "Néhányszor" [sometimes]) or possibly as a sort of normalisation, when the original "ebony teeth" (5) is translated as "elefántcsontszín fogak" [ivory teeth, 3] losing part of the exoticness of the girl's appearance, or "smoking a sweet-smelling Mexican cigarette" is translated as "édes

mexikói cigarettát szívva” [smoking a sweet Mexican cigarette], putting the stress on taste instead of smell. The funniest is the translation of “antique collector” as “antikvitásdíler” [antiquity dealer] since “dealer” in Hungarian is exclusively used for those who sell drugs therefore has strong pejorative connotations.

Sometimes an incorrect word is chosen as in the case of “viscombox”, an abbreviation of visual communication box, which becomes “viszkom” in the Hungarian text (11), closer to the English pronunciation but failing to remind the readers to the word “visual” which should be written with a “z”.<sup>7</sup> Another similar case is the translation of “war-bond” as “háborús kötvény”, when the correct word is “hadikötvény”.

There is an interestingly ambiguous translation of “Circa 1940, before World War Two when the package changed” as “1940 körüli, a második világháború előttről, amikor a csomagolás megváltozott” [Circa 1940, before World War Two, when the package changed]. The English sentence states that the package was changed during World War Two, while the Hungarian may claim that the change took place circa 1940. Just the opposite occurs when the ambiguous “got” gets misinterpreted:

I **got** the Lucky Strike **green** package **as a gift**. (5)  
 A Lucky Strike-csomagot **ajándékba** kaptam. (11)  
 [I **received** the Lucky Strike package **as a gift**.]

The situation cannot be missed in the original: the protagonist’s wife buys that package of cigarette as a gift for their employer on credit and the husband quarrels with his wife about it since he has to settle the debt, together with fines for the delay—which is also mistranslated:

“Almost eighty greens,” he said. “**With the fines**.” (5)  
 Majdnem nyolecvan zöldhasú. **Plusz apró**. (11)  
 [Almost eighty greens. **Plus the change**.]

In the first chapter the most surprising sentence is when we learn that women in the future may regulate their breasts as they like (so ebony teeth should not be extreme and it is yet altered to yellowish white...):

her luminous, fuzzy, **horizontally inclined** breasts brushing the frame as she **turned** toward him and said, (6)  
 sugárzó, bolyhos, **vízszintesre állított** melle az ajtókeretet érte, ahogy a férfi felé **hajolt**: (12)  
 [her luminous, fuzzy, **horizontally set** breasts brushed the frame as she **leant** toward him:]

<sup>7</sup> It has to be admitted that the assimilation of the consonant ‘z’ to ‘k’ would produce an ‘sz’ in pronunciation.

The translator—editor?—keeps omitting words or phrases, changes the form and the content of the text slightly, therefore produces an eminently readable, fluent Hungarian text which differs from the original mainly in its emphases, tone, lexis, and is much less Dicksian than it could be. The following is an example of the shift towards the normal:

**Nettled**, Eric said, “Like **the rest of** your family you’ve got a sense that requires you to interrupt before a **non-blooder**—”

“A *what?*”

“This is what we call you,” **he said grimly**. “**You** Ackermen.”

“Go ahead then, doctor.” Her grey eyes lit **with amusement**. “**Say your tiny say**.” (14)

Eric **feszenge** mondta: – A családjához hasonlóan maga is úgy érzi, hogy kénytelen közbevágni mielőtt egy **nemvér**... [sic! there should be a comma after “közbevágni”]

– Egy micsoda?

– Így nevezük magukat, Ackermanokat.

– Mondja csak tovább, doktor – csillant meg a nő szürke szeme. – **Mondja csak, amíg lehet**. (26)

[**Embarrassed**, Eric said, “Like your family you’ve got a sense that requires you to interrupt before a **nonblood**—”

“A *what?*”

“This is what we call you Ackermen.”

“Go ahead then, doctor.” Her grey eyes lit. “**Say it while you may**.”]

The conversation so far has annoyed Eric, he is not ill at ease. The literal translation of non-blooder might not be the best solution for those who are no blood relations of the Ackermen. There are two small omissions: “**with amusement**” and “**he said grimly**”, three if “**the rest of**” counts. And the closing sentence does not imply that Eric may not have an opportunity later to say what he wants, only that it is of no importance—which reinforces the line of demarcation between ‘us’ and ‘them’ in the original and is left out of the Hungarian again.

## Summary

In the case of *A Maze of Death* the translator more or less dealt with the text exactly as he dealt with the especially significant first sentence: the text reads well but occasionally misinforms the reader who receives not an accurate, just an approximate rendering, the plot is unchanged, characterisation is impaired here and there, nuances differ from the original. Of course, it has to be taken into consideration that the translator’s hands and feet were bound both politically and idiomatically-culturally, yet he had to dance...

On the whole, the translation of *The Cosmic Puppets* is also readable, although the grammatical-idiomatic imperfections and the occasional nonsensical sentences spoil its fluency. The plot is uncurtailed but characterisation has flaws, nuances, idiomatic or cultural or ideological particulars are missing. Let it be said in the translator's defence again that in the nineties translators had to work impossibly fast for peanuts and had no opportunity to revise and polish their text. The publications of the period smack of the lack of editing and other 'post-production' work.

To sum up the analysis of *The Man in the High Castle* we can state that the reader gets a talented but inexperienced translator's rough translation further deteriorated by inexpedient editing. At the same time, it shows signs of conscientious work and Dick's novel is so brilliant that even this uneven, capricious, often discrepant version is able to elicit enthusiasm for it—as was demonstrated by the literary evening devoted to this fiction in the Hungarian Writers' Association on 19 November 2012.

*Now Wait for Last Year* is essentially a rushed work with skimmed details, abridged to a certain degree, differently tinged than the original. It does not change the very important bits—unless we consider vocabulary and style momentous, both of which are less characteristic and impoverished by omissions, alterations and consistent deletion of the words coined by Dick.

As a result of this brief overview, the initial hypothesis has to be discarded: it seems that the quality of Philip K. Dick novels published in Hungarian is not determined by the period of production or the access to the Internet, dictionaries, culture or the translator's age and talent—although all these influence it—, but the still undervalued genre which many people, including publishers, do not regard as literature, therefore such novels are only profit-making products of the book industry and nobody thinks that time, energy, money and excellent literary editors should be invested so as to create nice and accurate Hungarian translations, worthy of this author. Dick would deserve better.

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Fiction/4:  
The Short Story



## Ernest Hemingway's "Marriage Group" Short Stories: Cognitive Features and the Reader's Mind

GABRIELA TUCAN

### Critical Approaches to Ernest Hemingway's "marriage group"

Hemingway's couples seem to "dramatize loss of understanding, communication, and love" (Moddelmog 23). This recurrent critical standpoint has remained one of the favourite loci of critics' vision found throughout the analysis of Hemingway's "marriage group" short stories. Critics have gathered evidence leading to this consistency of vision by examining stories collected in the volumes *In Our Time* (1925 and 1930), *Men Without Women* (1927), or *Winner Take Nothing* (1933). Many of the stories in these collections have Nick Adams as the central character (see "Cross-Country Snow", "The End of Something", "The Three-Day Blow"), while other narratives feature main characters other than Nick Adams (see "Out of Season", "Cat in the Rain", "A Very Short Story", "Mr. and Mrs. Elliot", "The Sea Change", "A Canary for One", "Hills Like White Elephants"). However, critics suggest that both Nick-stories and the other narratives focus on similar love relationships of insularity, marriages of incompatibility, or love affairs in agony, etc. On the same particularly intriguing tone, other commentators choose to present the dramatic effects of the characters' ruined relationships, the female characters' utter dissatisfaction with the male character's fear of bonding, the fast disintegration of marriages while marriage itself is seen as nothing else but an infringement on personal freedom. In general, the critical view on Hemingway's "marriage group" further proves the characters' lack of communication and their inability to express feelings in the intensity of private moments when emotion is persistently restrained. In such stories, the characters are confronted with unsettling dilemmas in dramatic situations whereas their failed relationships yield a variety of emotional effects that only raise the awareness of the discrepancy between their "real" life and their troubling experience of love. Thus, dejected characters in the "marriage group" often find different substitutes to fill the agonizing gaps in their love affairs, such as a cat in "Cat in the Rain", a lesbian affair in "The Sea Change", or fishing in "Out of Season".

In his analysis of Hemingway's stories of precarious love relationships, Joseph M. Flora claims that these troubled stories deplore "the death of love in the modern world" (34–5). If, according to Flora, loss of understanding in love affairs gives thematic unity to the cycle of "marriage stories", the critic Debra A. Moddelmog finds yet another convincing argument that can bring these stories together: the unifying consciousness of Nick Adams and the state of his mind (17–32). Her argument is based on the presumption that Nick Adams is both the central character in most of the stories in *In Our Time* and the creator of his alter ego in the non-Nick narratives. The

critic starts from the narrative proof found in Hemingway's original ending to the short story "Big Two-Hearted River" in which Nick Adams pursues a writing career. Here we are presented with Nick's interior monologue and his particular reflections on writing,<sup>1</sup> which leads the critic to the conclusion that Nick is the writer of two of the collected stories: "Indian Camp" and "My Old Man". However, by seeing Nick as the implied author of narratives, Modellmog does not wish to introduce the much-debated postmodern topic of intentional author-character confusion, and neither does she want to discuss the topic of fiction and autobiography that has led many critics to identify Hemingway too closely with Nick. The critic's main point is to resolve "many confusions about the book's unity, structure, vision, and significance" (18) and to show that Nick Adams's writing career and his postwar history entitle him to be the implied author of the whole series (including the two stories explicitly mentioned in the interior monologue of the first unpublished variant of "Big Two-Hearted River").

### **Pretext**

The present article scrutinizes the negative critical remarks concerning Ernest Hemingway's short stories collected in the "marriage group" and analyzes the ways in which these already stereotypical explorations of the American writer's short fiction seem to have inextricably reduced the genuine powers of the stories and in particular the intricate configurations of the characters' destinies across prolific narrative worlds. By analyzing the "marriage group", I argue that the presentation of these narratives as stories of escape and loss is only an oversimplified response to Hemingway's subtly intriguing texts. The assumption I make here is that we should begin to reconsider our default views of the American writer's short fiction, and therefore I advance the idea that a cognitive framework can help to demonstrate that the stories of the "marriage group" draw the reader into a complex mental engagement with the narrative. By generating a large variety of alternative or prospective plots, "the marriage group" seems to stretch the reader's imaginative abilities and challenge his/her cognitive desire to be in possession of the second story (only alluded to). In other words, Hemingway's short stories seem to capture "the sense of a double plot", as Suzanne C. Ferguson calls it (223) in her analysis of modern short fiction:

In the modern, impressionistic short story, in which plot is frequently suppressed, in which characterization is often achieved by having the characters perceive something or somebody "other" rather than acting or being themselves described by an implied author, in which setting may

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<sup>1</sup> The last nine pages of "Big Two-Hearted River" were removed by Hemingway; he clarifies his artistic decision in a letter to Robert McAlmon, written in November 1924, about three months after he finished the story: "I have decided that all that mental conversation in the long fishing story is the shit and have cut it all out. The last nine pages. The story was interrupted you know just when I was going good and I could never get back into it and finish it. I got a hell of a shock when I realized how bad it was and that shocked me back into the river again and I've finished it off the way it ought to have been all along. Just the straight fishing." (in Modellmog 18)

displace event, and in which the very sentence structures or figurative language may imply relationships not otherwise expressed, the reader's ability to recognize a theme is paramount to their acceptance of the work as belonging to the genre, "story". (228)

The aim of this paper is to show that processing the American author's short fiction is not a matter of simply decoding one sentence after another. Rather, it is a multilayered process of constructing mental representations of the "double plot" or hypothetical plot, which, I argue, heavily relies on the reader's ability to build and interpret rich conceptual metaphors.

### **Stories of divergent narrative pathways**

Upon analyzing the storyline of each of the short stories belonging to the marriage cycle, one cannot miss the recurrence of an almost identical scene: marriages or love affairs finish at the end of the journey undertaken by the couples. Indeed, we witness the partners travelling across storyworlds by train or in their automobile, and by the time the journey finishes, the couples have already decided to separate. Interestingly, the narrative perspective projected by the stories is either from the moving train carriage or from the transitory stops on the characters' way to the final destination. In "A Canary for One", for instance, an American couple is taking a night train trip to Paris, passing through Marseilles, and through several other towns outside Paris. During the journey, the conversation is not between the unnamed couple as it may be expected, but between the wife and an American lady. The end of the journey is also the end of their marriage—the physical gate at the end of the platform is the final physical location in which the partners act as a couple, and behind that gate their paths diverge as two separate residences await them:

We followed the porter with the truck down the long cement platform beside the train. At the end was a gate and a man took the tickets.

We were returning to Paris to set up separate residences.

("A Canary for One" 256)

Another account of a journey, a fishing trip this time, can be found in "The End of Something" in which the two adolescent characters take a short journey by boat along the shores of a swampy lake. As they are trying to set night lines for trout, their slowly moving boat is indicative of the sort of journey they are undertaking: a journey that is taking them around the small area of the lake, along the shore and along the edge of the channel-bank, where rapid motion would be detrimental to catching fish, and also where the showing remains of the old mill might be dangerous for their fishing trip. When they finish their job on the lake, the couple seems unable to share time together, as they feel a heightened sensation of something going wrong with their relationship, but remain unable to solve the conflict. In fact, the unsettling tension in this story seems to stem exactly from their difficulty in articulating their

love discord. So Marjorie leaves Nick before the end of their “journey”. She takes the boat while Nick remains engrossed in thoughts, covering his face with a blanket, as if trying to create physical separation from his partner:

Marjorie stood up. Nick sat there his head in his hands.

“I’m going to take the boat,” Marjorie called to him. “You can walk back around the point.” . . .

She was afloat in the boat on the water with the moonlight on it. Nick went back and lay down with his face in the blanket by the fire. He could hear Marjorie rowing on the water. (“The End of Something” 55)

In “Out of Season” the couple is conducting an “out of season” fishing expedition, accompanied and poorly directed by a confused drunken guide. The narrator builds a rather unsettling atmosphere that accompanies the three characters throughout their fishing expedition: the two unnamed protagonists—the “young gentleman” and his wife—and their drunken fishing guide. The wife is out of sorts, lags behind the men “sullenly”, and feels the physical discomfort of the “windy day”; her husband is unable to deal with the ineffective guide who takes the couple on an out-of-season fishing expedition, as if against their own will. Clearly, the couple feels uncomfortable and afraid that breaking the law can have serious consequences for them, but they find it difficult to communicate this to their guide. In the circumstances, the husband realizes that the fishing trip cannot continue for long, and simultaneously makes the analogy with his deteriorating relationship, which does not seem to work either. In light of this profound realization, he allows his wife to return home:

“. . . Go on back, Tiny. You’re cold in this wind anyway. It’s a rotten day and we aren’t going to have any fun, anyway.”

“All right,” she said, and climbed up the grassy bank.

Peduzzi was down at the river and did not notice her till she was almost out of sight over the crest. (“Out of Season” 116)

Similarly, in “A Very Short Story” the two unnamed protagonists, corresponding to the male character referred to as “he” and the female character, referred to by the name “Luz”, cannot yet marry because they cannot presently comply with some bureaucratic formalities. Therefore, readers will have already been accustomed to the “good-bye scene” when characters separate and bitterly decide to take different paths. The physical departure of the partners in divergent directions requires the reader to examine the opening of the story to new potentialities:

On the train from Padua to Milan they quarrelled about her not being willing to come home at once. When they had to say good-bye, in the station at Milan, they kissed good-bye, but were not finished with the quarrel. He felt sick about saying good-bye like that. (“A Very Short Story” 83)

The storyline in “The Sea Change”, a very short story in *Winner Take Nothing*, is supposedly based on a true conversation Hemingway overheard in a bar between a man and a woman who was leaving the man for another woman. As in the true story, the two “tanned” partners, looking out of place in Paris, sit together at a table in an almost empty café and talk openly about the woman’s decision to separate. The man goes from the desire to kill his competitor to the sudden realization that the woman has already made a choice and her decision is not under his control. Therefore, at the end of the story he decides to let her go, and plainly sends her off to her new lover, while they both know that one day they will conceivably be reunited. As agreed, the woman leaves quickly without looking back whereas the man watches her go.

“You want me to go?” she asked seriously.

“Yes,” he said seriously. “Right away.” His voice was not the same, and his mouth was very dry. “Now,” he said.

She stood up and went out quickly. She did not look back at him. He watched her go.

(“The Sea Change” 309)

The modern uncommitted partners in “Hills Like White Elephants” sit and drink in an unnamed Spanish station, waiting to make a train connection. Unlike in “Fathers and Sons” or “A Canary for One”, the characters in this story are not literally travelling, as they have just interrupted their journey on their way to their destination. However, no details of their journey are clearly specified: we do not know the start of their journey, and neither do we know where they are going from here. This may reinforce the effect of the transitory state of their relationship, with the couple apparently enjoying conversation and experimenting with new drinks at a café in the railway station, but in effect the deeper undercurrent of great emotional weight anticipates the impossibility of reaching the destination of their journey together as an established couple:

He picked up the two heavy bags and carried them around the station to the other tracks. He looked up the tracks but could not see the train. Coming back, he walked through the bar-room, where people waiting for the train were drinking. He drank an Anis at the bar and looked at the people. They were all waiting reasonably for the train. He went out through the bead curtain. She was sitting at the table and smiled at him.

“Do you feel better?” he asked.

“I feel fine,” she said. “There’s nothing wrong with me. I feel fine.”

(“Hills Like White Elephants” 202–203)

In these stories, readers are presented with the configuration of the characters’ physical journey across several narrative worlds. The analysis of the “marriage group short stories” shows one major form of plot: the initially convergent trajectories of the journeys will ultimately be transformed into a bifurcation of divergent pathways. In

the end, what readers witness is a dramatic remapping of the spatial journey, with the partners moving apart in space and each following individual paths. Upon the formulation of the spatial journeys, this study seeks to demonstrate that the branching of narrative pathways at the end of Hemingway's short stories involves two major points: 1. the transformation of the physical journey into a metaphorical journey; 2. the creation of a new reading pattern concerned with diversity and multiplicity.

Before further dwelling on these two last points, I need to show that stories of narrative divergence have partly stemmed from cultural pressure and changes in the social acceptance of marriage. Narrative plots of divergence have been generally regarded as a recurrent literary phenomenon in the prose of the 20<sup>th</sup> century. The fundamentally divergent plots no longer interlink characters' destinies across narrative time or space, which can be directly seen in 20<sup>th</sup>-century writers' preference for open endings. It can be said that now writers write beyond the ending, also leaving the reader to freely interpret the unwritten future trajectories of couples that decide to put an end to their relationships and enjoy life beyond the restrictions of marriage. By opposition, plots of convergence involve the intersection of narrative pathways that finally converge and give a clear sense of "closed ending". This time characters move together in space and time, and their life plots culminate in reunion and marriage. The traditional 19<sup>th</sup>-century narratives of convergence use marriage as closure. However, as Danneberg demonstrates in her study on coincidence and counterfactuality, plots of divergence have existed since at least the 17<sup>th</sup> century, and hence the history of narrative fiction can be seen as "the product of a dialectic between convergent and divergent tendencies" (2)

Having deliberately chosen Hemingway's canonical literary short texts, I want to show that these short stories appear not simply as examples to demonstrate how divergence works in literature but in their own right as examples of valuable and powerful texts that develop readers' cognitive activity concerned with the dynamics of plot alternativity. In the same vein, I argue that in Hemingway's 20<sup>th</sup>-century short stories, plots of divergence achieve power not only through the attempts to break out of the pressure of the convergent marriage plots, but especially through this cognitive proliferation of narrative worlds.

### **Spatial stories and metaphorical projections of fictional journeys**

As illustrated in the previous section, the "marriage cycle" presents various types of journeys, which means that we should first interpret the coherent concept of *journeying* that informs these stories, and what it may reveal about each individual story in particular.

Journeying across narrative worlds, characters move in physical space and build literary versions of spatial stories. The present study proposes a cognitively-oriented model in order to analyze the reader's capacity of perceiving narrative space and comprehending spatial stories. Cognitive scientists have proven that the negotiation of space is one of the basic cognitive instruments used to make sense of abstract concepts or of metaphorically conceptualized experiences (Johnson; Turner,

*Reading Minds*). In this section, I wish to draw on Johnson's and Turner's ideas on two different levels: the implementation of spatial stories in narrative worlds and the metaphorical conceptualization of non-physical narrative events.

Readers' capacity to interpret spatial stories is based on our human ability to recognize basic small stories of events in space, such as ordinary stories in which we recognize the wind blowing clouds through the sky, a child throwing a rock, a mother pouring milk into a glass, or a whale swimming through water (Turner, *The Literary Mind* 13). To be sure, these stories seem to be outright boring or completely unproblematic, and hence we may ask whether they can pose any serious questions for further analysis. The answer given by cognitive scientists is clear: without the knowledge stored in such small spatial stories, life would be impossible, and our experiences would be too chaotic to analyze. In the end, recognizing spatial stories should be seen as valid mental activities, equally important as our capacities to speak, distinguish colours or sounds. Even if in literature we may say that we deal with special cases, the cognitive instruments used to understanding and interpretation are basic to everyday thinking; the grounding assumption in cognitive sciences is that the same cognitive mechanisms operate in everyday life and literary texts. Without the understanding of these basic spatial stories, critical reading would consist of impossible questions or opaque challenges. It is only by being informed by commonplace spatial stories that provide most of the meaning to these short stories that Hemingway's literary spatial stories can be something other than abstract understanding.

As will be seen in the short stories in the "marriage group", readers are provided with complicated versions of the spatial story of a journey. While characters' experiences take the form of a literal journey, readers should explore the conceptual domain of JOURNEYING. In light of cognitive proposals (Johnson), I argue that the human representation of physical space when undertaking journeys can be mapped metaphorically onto abstract events. For instance, in the course of non-abstract journeys, time is frequently spatialized as a pathway, which is indicative of the way humans make sense of both time and space. Humans move in space and perceive the world, thus gaining valuable experience which manifests itself at the cognitive level in "image schemas". The idea of image-schematic conceptual knowledge is closely associated with the theory of embodied cognition, as proposed by pioneering cognitive researchers, notably Lakoff and Johnson. In *Metaphors We Live By*, the two scholars argue that the complexities of our conceptual thinking can be explained by a close correlation between the concepts we form and the nature of the bodies we have. This central idea of embodied cognition is addressed and developed by the theory of image schemas. If "the body is in the mind" (Johnson xxxviii), as claimed by cognitive scientists, then our bodily experience will lead to the formation of abstract and highly schematic images. These mental patterns appear through our sensorimotor activity as we orient ourselves in time and space or as we observe the focus of the activities we perform.

In the "marriage cycle stories", readers use the image schema of motion along the path—the SOURCE-PATH-TARGET schema or simply PATH schema; many of

the scenes in these stories are structured in terms of this elementary image schema of movement along a path, of forward motion towards the destination that approaches. By conceiving of this path as leading from a source to a goal, readers will get the essential meaning of the commonplace concept of a journey. At this point, our interpretation is based on the understanding of motion along a directed path on which one thing is leading to another. The importance of PATH image schema is that it can provide the concrete basis for metaphoric mappings. In their groundbreaking work on conceptual metaphors, cognitive scientist Lakoff and Johnson argue that our general conceptual system is largely organized in terms of metaphoric connections or mappings between concrete and abstract domains.

The action story of the couples travelling is projected onto non-spatial phenomena. In other words, we routinely project a spatial physical story of moving along a path onto a story that is not spatial or physical; rather it is a mental event. According to Turner (*The Literary Mind*), meaning involves complex and dynamic cognitive operations of projecting one story parabolically or metaphorically onto another—“meaning is parabolic and literary” (106). Metaphorically, it can be said that in Hemingway’s stories, the physical locations are mental states.

In “A Canary for One” (1927), the reader’s capacity for interpreting this short story involves first the recognition of a basic spatial-action story that becomes more complicated as the journey advances. The opening description of the sights outside the moving train gives the reader a detailed understanding of the source (the departure area)—“dusty trees and an oiled road and flat fields of grapes, with grey-stone hills behind them”, “the sea was only occasionally and far below against rocks” (252). The train “passed very quickly” through the region before it first stops in Marseilles and then in Avignon. The fast motion of the train and the few stops before reaching the destination can be projected onto the multitude of states experienced by the characters as the physical locations change rapidly (Change of State Is Change of Location). Changes in the story are thus understood by projecting onto them the image schema of moving along a path, leading from the source to the target destination.

It is always the target story (the story we need to understand) that is never revealed or rather not mentioned overtly, but due to our capacity for recognizing spatial stories and projecting the overt source story onto the hidden target story, we can make interpretations and construct meaning. More specifically, in “A Canary for One” readers should abstract meaning from several scenes in the story in which the American lady repeatedly and overtly expresses her fear that the train might go off the tracks, a thought that will give her insomnia all through the night train journey: “in the night the American lady lay without sleeping because the train was a *rapid* and went very fast and she was afraid of the speed in the night” or “all night the train went very fast and the American lady lay awake and waited for a wreck” (253). At some point, the train actually passes three cars that had been turned into a wreck, all splintered open and with the roof sagged in, which again makes the American lady express her fear and promise to herself that she will never again take a night *rapid*. These scenes submit to projection—the physical wreck they witness or the imagined wreck that

recurrently appears in the dialogue can be interpreted by projecting them onto a larger, more abstract story, one that can be applied to how *love* is valued in the story.

The projection of the physical story of the wreck onto the love affair in the story sheds new light on its meaning: the couple's relationship is viewed as a vehicle being "off the tracks", a vehicle that has lost control. Metaphorically, the couple's marriage is not under active control and is not going anywhere, as a wreck would be unable to move any further. In this spatial story of the journey, the LOVE IS A JOURNEY metaphor focuses on the passive aspect of love, the emotions are not under the lovers' control. Love as a dysfunctional vehicle cannot go anywhere further. Not surprisingly, the abstract concept of love can be expressed by a variety of conceptual metaphors, each of them highlighting one special emotional aspect of love.

Given the great emotional weight, in "Hills Like White Elephants" the physical journey is almost exclusively transferred to a story of a mental journey in which CHANGES ARE MOVERS; in this special kind of action story, EVENTS ARE ACTIVE MOVERS (as in "the market *crashed*" or "the building has *fallen* into disrepair"; Turner, *The Literary Mind* 48), the role of the actors is reduced to a minimum and they may appear vulnerable in the face of the more powerful events. Indeed, change plays an important role in the fate of the American couple. At first, they may seem to be enjoying the appealing facets of change, as they seek new sensations, and experiment with new drinks. Trying a new drink, Anis del Toro, the girl observes that "it tastes like licorice", while the man bluntly replies: "That's the way with everything". The girl's comment—"Everything tastes of licorice. Especially all the things you've waited so long for, like absinthe" (200)—may be the first hint that changes can only be definitive in their relationship. However, the more dramatic change they are experiencing is the girl's pregnancy, for which they are obviously not prepared. They both know that IMPEDIMENTS TO ACTION ARE IMPEDIMENTS TO MOTION, but yet their interpretation of this conceptual pattern differs essentially. For the man, the unwanted pregnancy is the physical impediment to progress in their relationship; with the burden and the responsibility of parenthood, the lovers will not be able to move forward on the path of their love affair, and will not be able to reach the destination of a carefree lifestyle. On the other hand, the girl's constant questioning of her condition and also of the state of their relationship seems to view the man's lack of commitment as the major impediment to her longing for a more established love relationship, which also involves the responsibility of parenthood. The tension in the condensed exchange between the two partners can be thus explained by their difference in approach to the conceptual domain of JOURNEYING: if for the girl the path certainly leads to a clear destination where she can feel physically fulfilled and accomplished as a responsible adult, the man does not wish to project the literal journey they are both undertaking onto an abstract mental event that could signify a change in their relationship. Clearly, they have chosen different paths, which defines the state of confusion and irresoluteness they are presently in.

As in this story, the form of the journey in "The End of Something" will lead to the experience of pain and frustration. In "The End of Something" Nick Adams's

and Marjorie's love affair is most similar to the love relationship experienced by the couple in "Hills like White Elephants": we get the story of a deteriorating love relationship, along with the feeling of loss and emotional disconnectedness. At the start of their short journey by boat, the two characters are contemplating the "old ruin" of the mill, as if trying to locate it in their memory: "They rowed on out of sight of the mill, following the shore line. Then Nick cut across the bay." (53)

The bareness and desolation of the physical place ten years later when the story begins is the first clear sign of the state of their love affair, as STATES ARE SPATIAL LOCATIONS. Therefore, being in a deserted place is being in a state that may yield feelings of sterility or distress. Readers will know that BEING IN A STATE IS BEING IN A SPATIAL LOCATION, so they might anticipate potential conflicts in the love relationship. The increasingly unsettling tension in this story seems to stem exactly from Nick's and Marjorie's difficulty of articulating their love discord. In this case, the completion of their journey would mean solving their communication problem, but they fail to achieve this goal. In the metaphorical mapping between the short boat journey and the couple's lack of communication, readers will make use of a specific conceptual metaphor: MENTALLY SOLVING A PROBLEM IS JOURNEYING ALONG A PATH TO A DESTINATION. The understanding of the failed relationship lies in the impossibility of mapping the essential elements of the two domains, i.e. the domain of JOURNEYING and the domain of SOLVING PROBLEMS.

The analysis I have presented in this section attempts to account systematically for the unity of the "marriage group short stories". Unlike the majority of critics who have commented on the thematic unity of the cycle, I have tried to show that the unity of the stories stems from the "relationship between thought and action" (Palmer 325), more exactly from the projection of physical action onto mental thought. This means that the bodily experience of narrative space is inextricably and metaphorically mapped onto non-spatial mental events.

### **A new reading model—the exploration of counterfactuality**

The formulation of Hemingway's short texts as stories of divergent pathways has meant that we always need to consider the characters' constant oscillation between "real" narrative worlds and unrealized scenarios. For instance, when Marjorie and Nick Adams get separated at the end of the story, we are left to speculate and build mental scenarios of the way in which the "reality" of the story could have turned out if they had decided to stay together. Alternatively, we may continue to build the hypothetical life story of the male character in "The Sea Change" as his partner leaves him for her lesbian partner. It is as if we were urged to construct a counterfactual autobiography by the character himself when he notices his dramatic (yet sudden) change upon separation: "I said I was a different man, James," he said. Looking into the mirror he saw that this was quite true." (309) Readers take mental journeys across factual narrative worlds, but also across alternative mental spaces, hypotheses, or tentative "realities".

To this end, I argue that we need to postulate hypotheses regarding the nature of the reader's mind when operating across the plurality of alternatives emerging from the story. The paper greets a reading model that can give a clear sense of our human *counterfactualizing capacity* and of our fascination with events that might have been. In truth, counterfactual life stories in narratives, events that are dreamt of, alternatives never realized, speculations about how actions might have developed are examples of counterfactual work that stimulates genuine human cognitive ability. As suggested in Ryan's "poetics of readerly immersion", the simulation effect of the reading experience is crucial if we want the reader to engage with the text and be "immersed" in reading (113). Among many strategies that can stimulate immersion, counterfactual thought can create a state of immersion in the reader, as we systematically undergo trans-world journeys between factual and counterfactual spaces. These alternate mental developments are human attempts to break out of the "real" world and plunge into a counterfactual world that subsequently emerges. In this sense, Roese and Olson's definition of counterfactuality seems to be extremely revealing:

Counterfactual thinking is an essential feature of consciousness. Few indeed have never pondered a lost opportunity nor regretted a foolish utterance. Indeed, counterfactual thought processes may be one of the central components of the human experience. (Roese and Olson 46)

At this point, the bifurcation of narrative pathways at the end of each story in the "marriage cycle" takes the form of mental counterfactuals. Our intrinsic impulse to counterfactualize is stimulated and simulated in the American writer's complex array of fictional worlds. Read in conjunction, all these nonconvergent life histories attract the reader and tap into our deepest sources of imagination. The fact that these stories are spatially represented as "fork metaphors" (Dannenberg 70) points at ways in which counterfactual worlds can be contemplated and reflected upon.

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## Narrative Strategies in Ann Beattie's Short Fiction

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### Introduction

The paper attempts to determine the distinctive features of Ann Beattie's short fiction, focusing on the short stories included in the collections *Where You'll Find Me* and *Follies*. Trouard suggests that it is Beattie's work on photography that provides some vital clues on how to read her (ix). Beattie herself compares the photographic method to the work of a novelist, considering a photographer as "a perceiver of inner realities where things can work only if the photographer intuits something true about the subject" (Trouard x).

Beattie's writing has always had a voice of its own, although the influences on her fiction can be traced back to other writers such as Eudora Welty, Ernest Hemingway and Raymond Carver. Beattie reveals strong affinities with Eudora Welty, a twentieth century writer and professional photographer, who has exploited the intersections of photography and narrative. Both Beattie and Welty begin from the visual sense. Welty begins from one suggestive image from which a story grows. Beattie's stories unfold in evocative visual images, similarly to a film sequence. As Trouard notes, the narrator of Welty's short story "A Memory" offers an observation that can be usefully applied to much of Beattie's fiction and vision: "It did not matter to me what I looked at; from any observation I would conclude that a secret of life had been nearly revealed to me for I was obsessed with notions about concealment and from the smallest gesture of a stranger I would wrest what was to me a communication of a presentiment" (xi).

Hemingway's influence on Beattie's short fiction is reflected in a minimalist poetics of which Hemingway was a harbinger. Beuka defines this poetics as "the tendency to evoke emotion obliquely through both clipped dialogue and the use of the telling physical detail" (22). The external world corresponds to the emotional state. To demonstrate how it functions, Beuka compares and contrasts Hemingway's short story "Cat in the Rain" to Beattie's homage to the story, "The Big Outside World". Besides an obvious thematic similarity, there is also a structural and technical resemblance between the two stories. Following Hemingway's lead, Beattie rejects the power and immediacy of metaphoric signification in favor of the more allusive, associative mode of metonymy (Beuka 22). A similar sense of aimlessness or dislocation drives both stories: in minimalist fiction, characters' physical displacement connotes their emotional estrangement. Tadd from "The Big Outside World" utters a line that alludes to such sense of dislocation from the surrounding environment: after his wife Renee returns from the Goodwill store, seeing the frenzied reaction of the dog who wishes to escape the apartment, Tadd jokes: "Tell him that

the big outside world wasn't that much fun. Make him feel better." (*Where You'll Find Me* 57) Although Tadd is not aware of it, his joke references both the problem faced by his wife at the Goodwill store and the one faced by her fictional predecessor, Hemingway's "American wife": "for both characters, the big outside world remains, ultimately, inaccessible" (Beuka 22). Both Hemingway and Beattie aim at evoking an event, instead of describing it.

Similarly to Hemingway, Raymond Carver advocated for a story told in short and precise sentences, a simple composition, choice of themes limited to those dealing with the basic human experience in the world and focus on a small number of characters who lack psychological depth and seem to be members of the same paradigm. There is a striking similarity between all Carver's characters: they share the same affinities and their reactions are utterly predictable and easily recognizable. The paper aims at demonstrating that Beattie's characters, sharing the same patterns of behavior and emotional responses, also form a sort of kinship between themselves.

Although her work has often been labeled with terms such as minimalism, sixties chronicle, nihilism or family trauma, Beattie has never actually felt belonging to any of these. She has expressed her skepticism about the term minimalism, regarding it as an umbrella term for too many authors whose writing shares no common characteristics whatsoever. As a result, Beattie has experimented widely with narrative approaches and categories. Some of her distinctive experiments in the field of storytelling are the elimination of exposition, the reliance on metonymic support, the photographic precision of her short fiction and the careful shaping of evocative images that function as links.

## **Characters**

A good way to start scrutinizing Beattie's short stories more closely is to analyze the ways she shapes her characters, since characters in short fiction are shaped using different parameters than those commonly used in novels. One distinctive parameter for building characters in a short story is the inherent trait of the genre—its shortness. The shortness of the form requires a reduction of motifs. As a consequence, characters are only given a limited space and cannot be fully developed.

Another parameter for shaping characters in a short story is a relationship between character and plot, which is much closer than in a novel. Seymour Chatman argues for "a conception of character as a paradigm of traits"; "trait" in the sense of "relatively stable and abiding personal quality," recognizing that it may either unfold earlier or later in the course of the story, or that it may disappear and be replaced by another (126). Chatman divides the three elements of narrative—plot, character and setting—under two headings: "plot" under *events* and "character" and "setting" under *existents*. He also makes a distinction between events and traits: "the former are discrete; they may overlap, but each has a clear-cut beginning and end; their domain is circumscribed. Traits are not subject to these limitations. They may prevail throughout the work and beyond, indeed, as long in our memory as does the work itself" (128). In his open theory of character, he grants a character an existence as a

private self outside the text: characters generated in literary texts are not and should not be regarded as living people, but “that does not mean that as constructed limitations they are in any way limited to the words on the printed page” (117). Therefore, according to Chatman, characters are not merely a function of the plot. However, as best demonstrated in a short story, everything we know about characters is either disclosed or confirmed by the plot. Similarly, confronted with an experience, characters become a support for the development of the plot. Character and plot thus function as integral and complementary elements of the short story. Beattie’s short stories are not an exception to this rule.

Beattie’s characters belong to the East Coast white upper-middle class. These well-to-do people do not have financial problems or any insurmountable obstacles in life and yet, they cannot grasp happiness and harmony. Plath suggests that “the only constant in the lives of Ann Beattie’s characters is that they are constantly caught in various states of suspension and betweenness, with dissolution more common than resolution” (14). For example, Renee and Tadd from the story “The Big Outside World” are both literally and symbolically in the state of suspension and betweenness, as they are packing to leave New York for Connecticut. They are just one couple among Beattie’s countless protagonists who seem trapped in their cramped New York City apartments. The motif of moving to another place underlines the characters’ disorientation. By moving to another city and apartment, Beattie’s restless characters try to build a new, better life and finally end the quest for a place into which they fit better. However, as Beuka points out, her characters’ desire for a sense of place is matched only by their inability to make such a connection and many of Beattie’s stories are typically told by a process of displacement as well—through an ongoing, associative, metonymic shift (22). This technique, in one sense highlights the protagonists’ subjectivity, while in another sense it brings into focus their utter lack of connection to others around them (Beuka 22).

Another example of a typical character incapable of showing resolution in a critical moment in life is Nancy, the protagonist of the story “Skeletons”. She passes off Kyle’s feelings for her lightly and ends up in an unhappy marriage with Garrett, “isolated, angry at herself for not pursuing the career as an artist, for no longer being in love” (*Where You’ll Find Me* 48). The visual image in which this story closes is that of Kyle’s swirling car at which moment he suddenly has a vision of Nancy, while Garrett and Nancy are celebrating Halloween, not knowing that the car is going out of control. So, on one level, there is an image of motion and action, but “what the story is about is people who have drifted and never taken any action” (Centola 414). When her characters do not expose themselves in this story, Beattie does that: “I expose them—even quite literally, by making an analogy and holding up an x-ray” (Centola 414). Dissolution predominates over resolution in the story “Taking Hold”. The characters seem to be driven by an unexplainable force that urges them to repeat the same absurd situation every year: on Harry’s mother’s birthday, Harry, his ex-wife Joan-Beth and their new partners Berry and Phillip call the old lady to assure her that they are reconciled and that the family is well. Following the call, a large check arrives. What is so striking is the absurdity of the situation: they actually do not need

the money; they are reluctant to make that call, and yet they make it every single year. Their actions illustrate Beattie's assertion that "people often have more free will than they wish to exercise" (Centola 412) and show how choosing a status quo leads to lethargy and alienation, which is the typical situation of Beattie's characters.

The general impression in all Beattie's stories is that many of her characters long for an irrecoverable past and even more of them strive to escape life without scars of experience. In the story "Times", Cammy resorts to a childish way of thinking and behaviour as a way of overcoming a painful situation, her husband's infidelity, and coping with her own vulnerability: "Like everyone she knew, she had grown up watching Porky Pig and Heckle and Jeckle on Saturday mornings—cartoons in which the good guys got what they wanted and no consequences were permanent. Now she wanted one of those small tornadoes that whipped through these cartoons . . . she wanted to believe again in the magic power of the wind" (*Where You'll Find Me* 133). Before the wedding, she and Peter agreed that it was naïve to expect complete fidelity and that if either became interested in someone else, they would handle the situation the best they can and they would not talk about it. They consistently apply this pre-marital logic to the situation when it happens: they neither talk about the infidelity nor do anything about it. Actually, this is one of numerous stories by Beattie in which nothing seems to be happening (except Cammy and Peter's visit to her parents for Christmas) from the beginning until the end, when Cammy with a grin on her face deliberately dips her finger in the perfect Christmas cake her mother has just made, shocking her husband and mother. Lewis asserts that "Ann Beattie examines the vagaries and quirks of character" and that she has "an uncanny way of getting to the hidden reaches of human personality, the tiny person inside who is unsure what's going on or what to do about it, who has irrational fears and silly dreams and laughs at inappropriate moments" (4).

Beattie's exceedingly shrewd perception and vivid imagination of characters serve both to depict a person and narrate the story. The rhythm of Beattie's sentence and its fragmentary structure betray the disorientation and a well-hidden hysteria (Gordić 96). Some peculiar actions performed by female characters achieve the same effect. After Peter has confessed his having a love affair, Cammy says nothing but the next day she buys some flowers, trims the stems and arranges them in an unusual way: just a few stalks in each bottle, instead one large bunch in a vase. This diffused flower arrangement betrays her disorientation and confusion. However, before Peter arrives home in the evening, she bunches all the flowers together again, because she doesn't want him to see that she is depressed. She knows that, although she will say nothing, the flower arrangement will betray her feelings. Beattie's characters often communicate on a silent level, performing quiet actions that seem meaningless at first, and it is frequently the only way of communication that goes on between them. Tampering with flowers often functions as such an action, performed by her female characters in the moments of crisis when they feel incapable of expressing themselves verbally. Moreover, numerous characters in Beattie's fiction have distinctive ways of speaking or even speech problems. For instance, Neil in her novella *Walks with Men*, loves "stretching out words, mocking them for having so many syllables" (8) and

when he talks to himself, he lowers his voice, speaking *sotto voce*. Similarly, Paula in the story “Fléchette Follies”, stammers whenever she feels insecure. In contrast, her sister Jan suffers from logorrhea—an excessive use of words, whereas Nancy always speaks so softly that she almost whispers while at the same time loudly articulating the last words of sentences (*Follies* 4), which gets quite annoying for other people. Nancy leaves the impression of a cold, somewhat stiff and reticent person, despite the fact that she is a caring nurse, a mother and a person very fond of plants. It is the indecision and reluctance Nancy shows in the critical moments of her life that leave an imprint of indifference and numbness. The way she behaves is in complete discord with the intensity of her emotions. Angry, hurt and disappointed with her husband who turns out to be an adulterer, Nancy cherishes these negative feelings for months silently and then, one day, she impulsively buys a bouquet very similar to her bridal bouquet and destroys it ruthlessly, decapitating the flowers, crushing it and leaving it in the car. As opposed to Cammy from the story “Times”, Nancy leaves the flowers in the car as a clear message to her husband that it is over. In another story, “Lofty”, after the female protagonist and her boyfriend have decided to part, she tampers with pansies, “as if by directing her energy into her hands she could fight back tears” (*Where You’ll Find Me* 86).

### **Narrative**

Centola observes that in some of Beattie’s stories, characters try to grapple with overwhelming forces that they ultimately fail to control, and because they struggle and fail to give their lives meaning, their situations can justifiably be described as tragic (412). Such a tragic vision of the human condition is given in the story “In the White Night”. It takes less than seven pages for Beattie to plausibly present and evoke an emotion: the shattering grief of parents who lost a child to a serious illness. The narrative strategy efficiently used to this purpose is the third-person limited omniscient point of view: according to Culler, stories focalized primarily through the consciousness of a single character occur both in first person narration and in third person narration, where it is often called third person limited point of view (90). As explained by the author, had she used the first person narrative in this story, she would have risked being too sentimental and the story would never have been a success (Centola 418). The story narrates the events of approximately half an hour: this is the time that it takes the parents, Carol and Vernon, to leave a party at their friends’ house and drive home through the snowy, quiet night. The story takes on greater spaciousness, however, because it is focalized through Carol’s consciousness: it is through her thoughts that we find out everything we know in this story. A story told from the limited point of view of a single protagonist may highlight the utter unpredictability of what happens: since we don’t know what other characters are thinking or what else is going on, everything that occurs to this character may be a surprise (Culler 90).

Occasionally, Beattie experiments with the narrative device of having several informants. For example, in the story “Mostre”, we are told the story about one

accidental encounter from a female character's point of view and then from the male character's. Additionally, there are two versions of an essay about the Fontana di Trevi—one written by a child, the other one written by an adult. These inserted essays represent a counter-narrative, which provides a breathing space between different points of view.

Porter believes that “Beattie’s most marked talent is for eliminating discrete chunks of exposition, the laying out of background information” (4). Description is rejected in favour of epiphany over a banal event (Gordić 95). As Beattie suggests in an interview given to Centola, a lot of the stories are “about the moments when people get tricked into revealing something that they didn’t mean to reveal, or something happens and there’s a kind of epiphany. It’s about when those worlds get shaken up a little bit” (410).

Porter also points out that one of the hallmarks of Beattie’s narrative is the fact that it is supported by metonymy instead of the more commonly used metaphor (4). According to Jakobson, metaphor and metonymy are the two fundamental structures of language: “if metaphor links by means of similarity, metonymy links by means of contiguity. Metonymy moves from one thing to another that is contiguous with it” (Culler 71–72). Even when metaphors appear in Beattie’s stories, they refuse to function in the ordinary way, that is, to create and develop symbolic meanings. Instead, they act as metonymy does in Jakobson’s theory, returning to the relations of contiguity which generate narrative movement (Porter 6). Central to this process is the use of what T. S. Elliot called “objective correlative”: the telling detail from the physical environment which evokes otherwise suppressed or omitted emotions. In this way, things start to “transpire off the page” (Cox).

The telling detail from the physical environment is typically a visual one. However, there are exceptions. Mandy, the protagonist of the short story “Tending Something,” is a young girl coping with the grief caused by the death of her grandfather who raised her. Mandy is loyal and dependable, someone who can be relied on to fix things. She is eager to please others, which shows throughout the story, but we are not quite able to grasp the full meaning of her selfless behaviour until we reach the end of the story. She is lying in her bed at night, trying to count sheep to fall asleep: “The sheets, newly laundered, smelled like new-mown hay. The simple smell of them transported her to Virginia, where she could see herself standing in a vast green field where no sheep stood, though her grandfather, with his eyes cast down, must certainly have been tending something” (*Follies* 171). The smell of the sheets functions as an objective correlative, making the shift in time and place possible. It allows us to be displaced from the existing time of the story into Mandy’s childhood and from her rented New York apartment to the greenery of her village. Furthermore, it gives Mandy an outlet for the suppressed emotions. Like numerous other stories, “Tending Something” ends in an evocative image instead of a conventional conclusion.

Beattie is intentionally arbitrary with the endings of her stories. In an interview given to Cox, Beattie remarks: “I hate to summarize my stories at the end, because I know that stories don’t really have conclusions. It’s only an appropriate moment for

stopping”, and admits that she admires those endings of Hemingway’s “that boomerang right back at you, with all the glitter, as well as all the dust, flying into your eyes, endings that alter the tone and the mood just a bit” (Cox). Most of her stories unfold with an easy grace, moving from one scene to the next until the day’s end, and they do so by means of “apparently random associations recorded in the present tense, incorporating exposition seamlessly along the way. What is new here is that when the reader reaches the end, something has changed. The narrator has reached a turning point toward which the story has been driving all along” (Porter 8).

As for the openings of Beattie’s stories, they tend to be abrupt, there is little physical description and the setting is often irrelevant. Getlin remarks that readers who begin one of her short stories may get the impression that they have walked into the middle of an enigmatic play that started hours before (103). Beattie does not try to make her characters’ world vivid visually, she tries to establish it more through dialogue and sentence cadence. There is an interesting comment by Beattie on the relation between the female narrator of the story “Where You’ll Find Me” and her brother Howard and the way they make their dialogue:

Howard reveals himself first, and then he starts that game of falling dominoes. Presumably, what she’s doing [the female narrator]—part of the mistake that she’s making—is that she only reveals things, really, on the defensive, not on the offensive. That’s part of why she’s lacking the energy she’s lacking in that story. He says, ‘Well, okay, let’s turn tables; let’s play truth’. And then she tries to top him. And he goes on to top her, and we end up with people who have topped each other but still not escaped their distance or their problems. There’s a level of discourse men and women can, and sometimes do, have. But I also think that what you see on the surface can be quite misleading. (Centola 409)

The majority of Beattie’s stories is written in the present tense. “By using the present tense, she not only removes any temptation to lapse into straight exposition, forcing it to emerge either through a character’s consciousness or through dialogue, but also limits the consciousness in question severely” (Porter 4). Beattie’s characters puzzle readers because “they tell two stories at once: the open story of the objective, detailed present is juxtaposed with a closed story of the subjective past, a story the speaker tries hard not to tell” (“The Shock of Unrecognition” 3). This is the reason why the change of narrative focus and the lack of a clear time-scheme are so common in Beattie’s fiction: she registers something trivial or makes non-motivated digressions.

## **Conclusion**

In her attempts to tell a story by evoking events and situations instead of describing them, Ann Beattie has created numerous inhibited and fragile characters whose disorientation is matched by the rhythm and flow of her narrative. The

interdependence of the strategies by which characters and plot are developed in her short stories cannot be overlooked. Objective correlatives support this interdependence, simultaneously offering equivalents for protagonists' emotional states and generating narrative movement. Since Beattie is not keen on detailed descriptions and verbosity, she exploits other narrative techniques, such as montage effects, juxtaposition, metonymy and lack of exposition, to articulate complexities of human experience. Beattie's short fiction suggests that something is always going on underneath the surface or on the periphery: the focus of her stories is intentionally blurred, but we can still observe these little tremors.

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**Common Place vs. Communicative Space:  
Versions of Inspiration and Suffocation in Carson  
McCullers' *Ballad of the Sad Café***

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Through Carson McCullers' disturbingly beautiful narrative, *The Ballad of the Sad Café*, I wish to examine how a literally 'common place', i. e. a store in a dreary and dull small town of the American South, might turn into a 'communicative space', i. e. a lively café with a community-forming power, enabling the inhabitants of the town to exchange words and feelings, all due to a spiritual surprise, i. e. the strength of love, felt by the owner, the bony and masculine Miss Amelia Evans toward her hunchback cousin Lymon. The novella is special because of its portrayal of a most grotesque love-triangle: Cousin Lymon, instead of returning Amelia's love, is carried away by her ex-husband, the criminal Marvin Macy as soon as he gets back from the penitentiary and the two of them take revenge on Miss Amelia (the only person Macy had ever truly loved but by whom he was brutally rejected in the course of their absurd, ten-day marriage). The peaceful café changes into a stage of dramatic events. It is finally ruined and boarded up to remain a memento of one-time beautiful bonds as well as of unfinished and unholy affairs. The work is just as suffocating as it is inspirational—depending on the atmosphere: whether, at any given point in the storytelling, the air is dominated by the confinement of the 'common place' or by the freedom of the 'communicative space'.<sup>1</sup>

In my present usage, the two terms, *place* and *space* would refer to the same physical entity (the store can be located along the lines of precisely the same spatial parameters as the café), however, 'communicative space' would designate something like a 'spirited common place', opening up a new dimension, where, as opposed to the confined loneliness, so characteristic of Carson McCullers' world, it becomes possible to *share*: the air, the language and the experience. This transformation happens on the level of the story told as well as on the level of the storytelling. The new dimension could perhaps be best exemplified by a marked shift from first person singular to first

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<sup>1</sup> The philosophical and literary approaches to the questions of *place* and *space* show an extraordinary richness and versatility—at a recent conference in Csíkszereda, these were in the center of attention. Edward S. Casey, in *Getting Back Into Place*, argues for the primacy of the definite and distinguishable *place*, in relation to Newton's notion of homogeneous and infinite *space* (12). He even states that "there can be . . . no Space without Place" (63), without the concrete whereabouts, it makes no sense to talk about abstractions. Géza Kállay, in his paper on the meanings of place and space in Shakespeare's *Macbeth*, presented at the Csíkszereda conference makes a distinction between the *cosmologist* and the *personalist* view of space: the former would be exemplified by Newton for whom space is a "genuine entity, a vast aetherial container without walls, in which everything else that exists lives and moves and has its being" (8), whereas the latter, the personalist view would be the result of a conscious reflection on a private experience, therefore in this approach, the concreteness of place would be of more significance (9).

person plural in a memorable phrase from the author's famous work, *A Member of the Wedding*. Frankie, the teen-age tomboy heroine of that novel says the following about her brother and his bride: "*They are the we of me.*" (35) When examining the special type of love that blossoms and fades in the sad café, I wish to return to this phrase, in order to investigate the scope of the plural pronoun, how the simple word *we* might be responsible for turning indifference into beauty, beauty into pain, and then again, pain into beauty.

The confinement and loneliness is emphasized three times in the first two paragraphs, connected to locations. The introduction of the town, the house and the protagonist, Miss Amelia is film-like; it resembles the zooming-in movement of a camera. In this passage, the town is described as being "lonesome, sad, and like a place that is far off and estranged from all other places in the world" (3). Society city, the next train stop is far away and, as the speaking name suggests, the group of people living in this cotton-mill town are just as far from being a true community or 'society'. The house is even more estranged: "The largest building, in the very center of the town, is boarded up completely and leans so far to the right that it seems bound to collapse at any minute . . . The building looks completely deserted." (3) With this, the reader is well-prepared for the sight of the strange face behind the shutters, the emblematic image of what has been labeled as 'Southern Gothic': "It is a face like the terrible dim faces known in dreams—sexless and white, with two gray crossed eyes which are turned inward so sharply that they seem to be exchanging with each other one long and secret gaze of grief." (4) With the emphatic repetition of the sentence that on August afternoons in this small town "there's absolutely nothing to do" (4), the situation seems to be finalized and helpless. Unless, of course, it receives the help of a narrative: a way of storytelling that might provide the dull location with a new dimension. And already the third paragraph starts with the following sentence: "However, here in this very town there was once a café." A connection is made between the 'here and now' and the 'once'—a reference not only to the past but to the uniqueness of that past as well. The passage briefly sums up the story to come, mentions the "great gatherings" and the names of the three important characters. It ends with the sentence: "The café has long since been closed, but it is still remembered." These paragraphs form a circle in time: present–past–present. It is remarkable that the narrative structure of the whole novella seems to follow the circular pattern, since there is a framework: the description of the dreariness of the town returns after the story is told; once again we learn that "[t]here is absolutely nothing to do" (71) and that "the soul rots with boredom" (71) before the coda of the work, the description of the music of the chain-gang. The dynamism of the possibility and impossibility of communication seems to dominate the whole structure, and this can be connected with the idea of inspiration and suffocation, respectively.

'Communication' is a very important term for Carson McCullers. In "The Flowering Dream: Notes on Writing," she states:

In any communication, a thing says to one person quite a different thing from what it says to another, but writing, in essence, is communication; and

communication is the only access to love—to love, to conscience, to nature, to God and to the dream. For myself, the further I go into my own work and the more I read of those I love, the more aware I am of the dream and the logic of God, which indeed is a Divine collusion.

(*The Mortgaged Heart* 281–282)

I intend to return to the idea of the “Divine collusion” in the course of this paper—now I only wish to point out that she thought of communication as the only access to, and thus, a precondition of, love. On the basis of this, one might say that the ‘communicative space’ is the space for love, to be furnished and inhabited by love. And indeed, the dreary places go through a transformation when the hunchback arrives in the town. The scene is well prepared by allusions to the senses of hearing, seeing and smelling. It was a soft spring night “when it is good to hear from faraway, across the dark fields, the slow song of a Negro on his way to make love” (5); “The moon made dim, twisted shadows of the blossoming peach trees along the side of the road. In the air, the odor of blossoms and sweet spring grass mingled with the warm, sour smell of the near-by lagoon.” (6) When the strange, sparrow-like figure approaches the company of four men and Miss Amelia in front of the store, claiming to be kin to the woman on her mother’s side, and starting to weep—the men would expect (together with the reader) that Miss Amelia, who “cared nothing for the love of man” (4) and was at unease with people who, unlike objects, could not be “taken into the hands and changed overnight to something more worthwhile and profitable” (5) would violently chase him off her property right away. But Miss Amelia performed a most awkward and unexpected gesture instead: “She went down the steps and stood looking thoughtfully at the stranger. Gingerly, with one long brown forefinger, she touched the hump on his back.” (9) Touching the hunchback is already a sign of being touched. As if her forefinger were a magic wand, the whole scene becomes enchanted: a rare thing is done again—pulling out a bottle from her hip pocket, carefully polishing off the top of it with her palm, Amelia offers the newcomer a drink. As the narrator remarks, “Miss Amelia could seldom be persuaded to sell her liquor on credit, and for her to give so much as a drop away free was almost unknown. ‘Drink,’ she said. ‘It will liven your gizzard.’” (9) The expression sounds like a piece of folk wisdom, one could say, it is a kind of common place in language. Nevertheless, it is brought to life by the spiritual spark, creating communication. “The hunchback stopped crying, neatly licked the tears from around his mouth, and did as he was told. When he was finished, Miss Amelia took a slow swallow, warmed and washed her mouth with it, and spat. Then she also drank.” (10) The otherwise ordinary actions have the atmosphere of a ritual. This is strengthened by the voice of the narrator.<sup>2</sup> Besides relating the events, this narrator has a special ability of communicating wisdom, providing the marginal, particular and peculiar story with a

<sup>2</sup> Mary Ann Dazey in her essay: “Two Voices of a Single Narrator in *The Ballad of the Sad Café*” makes a distinction between the voice that tells the story and a “lamenting voice” that makes the philosophical observations in the text. I completely agree with the distinction of the two voices except I would not call the second one “lamenting”, rather the voice of “common wisdom” (Dazey 118).

universal scope. This is what happens when the significance of Miss Amelia's whisky is discussed:

The whisky they drank that evening (two big bottles of it) is important. Otherwise, it would be hard to account for what followed. Perhaps without it there would never have been a café. For the liquor of Miss Amelia has a special quality of its own. It is clean and sharp on the tongue, but once down a man it glows inside him for a long time afterward. And that is not all. It is known that if a message is written with lemon juice on a clean sheet of paper there will be no sign of it. But if the paper is held for a moment to the fire then the letters turn brown and the meaning becomes clear. Imagine that the whisky is the fire and the message is that which is known only in the soul of a man—then the worth of Miss Amelia's liquor can be understood. Things that have gone unnoticed, thoughts that have been harbored far back in the dark mind, are suddenly recognized and comprehended. A spinner who has thought only of the loom, the dinner pail, the bed, and then the loom again—this spinner might drink some on a Sunday and come across a marsh lily. And in his palm he might hold this flower, examining the golden dainty cup, and in him suddenly might come a sweetness, keen as pain. A weaver might look up suddenly and see for the first time the cold, weird radiance of midnight January sky, and a deep fright of his own smallness stop his heart. Such things as these, then, happen when a man has drunk Miss Amelia's liquor. He may suffer, or he may be spent with joy—but the experience has shown the truth; he has warmed his soul and seen the message hidden there. (10)

This type of rhetoric can linguistically turn the common place into a spiritual space: ordinary language is transformed to the language of poetry, and thus, beauty is created, the atmosphere becomes inspirational. Two components of this beauty are essential to emphasize. On the one hand, the word “suddenly” comes up several times in the quoted text, indicating that the dimensional spiritual change in the common experience always comes by surprise (even if it is triggered or stimulated by the smoothly distilled whisky), and the sudden change of the narrative voice is equally surprising. On the other hand, it is important to note that the beauty thus becoming perceptible is temporary—like a marsh lily, it cannot last long. The feeling (and wording) of “sweetness keen as pain” indicates this transience, which, nevertheless, does not weaken the energy or the significance of the experience. It seems that the immense power lies in the uniqueness: the magic that happens is not repeatable at will. When the folk-tale like narrative places the story in time in the most common way, with the word “once”, the word must be taken literally as well: once and only once. The sadness accompanying the joy might be due to this recognition. When the magic is gone and the air becomes suffocating toward the end of the novella, both the word “gizzard” (referring to the bird-like appearance of Cousin Lymon) and the topic of whisky will return in a completely different context. Miss Amelia says the

following to anyone mentioning the hunchback who had left her: “Ho! If I could lay hand to him I would rip out his gizzard and throw it to the cat!” and the narrator adds: “But it was not so much the words that were terrible, but the voice in which they were said. Her voice had lost its old vigor.” (70) These are the consequences of beauty turned into pain. Since Marvin Macy and Lymon destroyed Amelia’s carefully and skillfully built whisky still, “There is no good liquor to be bought in the town; the nearest still is eight miles away, and the liquor is such that those who drink it grow warts on their livers the size of goobers, and dream themselves into a dangerous inward world.” (71) Without the dimension of a ‘communicative space’ both the word “gizzard” and the word “liquor” lose their friendly and familiar atmosphere: the former becomes disgusting, the latter dangerous.

With this example, I hope to have shown how confinement and suffocation in a common place might turn into freedom and inspiration in a communicative space with the help of a sudden spiritual spark, both on the literal and on the linguistic level, and how objects and words can lose the protection of this enchantment with the disappearance of the new dimension. As the story unfolds, there are several other instances of the same process that might be observed. When the townspeople accept that the hunchback Lymon had found a home in Amelia’s house (and the rumors of his being murdered by his hostess prove nonsensical), his presence in town enlivens the atmosphere. Since he is a sociable character, good at talking and making humorous mischief, the house itself becomes a communicative space.

But inside there was company and a genial warmth. Someone had rattled up the stove in the rear and those who bought bottles shared their liquor with friends. . . . The hunchback was still a novelty and his presence amused everyone. . . . The company was polite, even to the point of a certain timidity. For people in this town were then unused to gathering together for the sake of pleasure. They met to work in the mill. Or on Sunday there would be an all-day camp meeting, and although that is pleasure, the intention of the whole affair is to sharpen your view of Hell and put you into a keen fear of the Lord Almighty. But the spirit of a café is altogether different. Even the richest, greediest old rascal will behave himself, insulting no one in a proper café. And poor people look about them gratefully and pinch up the salt in a dainty and modest manner. For the atmosphere of a proper café implies these qualities: fellowship, the satisfactions of the belly, and a certain gaiety and grace of behavior. This had never been told to the gathering in Miss Amelia’s store that night. But they knew it of themselves, although never, of course, until that time had there been a café in the town. (22–23)

All this change is brought about by the change in Miss Amelia: “Her look that night... was the lonesome look of the lover.’ (23) No matter how grotesque and unbelievable this instance of falling in love might seem to the reader, it must be taken as genuine and true. Several critical interpretations try to explain how come this amazon becomes

carried away by the hunchback who, as the biographer Virginia Spencer Carr puts it, is like a “sick pelican” (61). Maybe she is moved by the possibility to help him through her genuine talent in healing (she is also the doctor of the small town, able to cure any illness except female complaints). But it is also possible that, being brought up motherless, Miss Amelia is touched by the fact that Lymon is her kin on her mother’s side—this is pointed out by Doreen Fowler (75), and that she is more in need of a childlike creature to care for. In Joseph R. Millichap’s words, Lymon is “a man loved without sex, a child acquired without pain, and a companion, whom Amelia found more acceptable than a husband or a child” (qtd in Carr, 61). It must be noted though that the first night when Amelia and Lymon move upstairs, the lamplight “made on the staircase wall one great, twisted shadow of the two of them” (12), and we might agree with the “good people in town”, who “thought that if those two had found some satisfaction of the flesh between themselves, then it was a matter concerning them and God alone” (25–26). Miss Amelia is still lonesome in her contemplations. As McCullers sees it, love is basically a solitary experience. At this point, it is important to quote her most famous words concerning the philosophy of love:

First of all, love is a joint experience between two persons—but the fact that it is a joint experience does not mean that it is a similar experience to the two people involved. There are the lover and the beloved, but these two come from different countries. Often the beloved is only a stimulus for all the stored-up love which had lain quiet within the lover for a long time hitherto. And somehow every lover knows this. He feels in his soul that his love is a solitary thing. He comes to know a new, strange loneliness and it is this knowledge which makes him suffer. So there is only one thing for the lover to do. He must house his love within himself as best he can; he must create for himself a whole new inward world—a world intense and strange, complete in himself. Let it be added here that this lover about whom we speak need not necessarily be a young man saving for a wedding ring—this lover can be man, woman, child, or indeed any human creature on this earth.

Now, the beloved can also be of any description. The most outlandish people can be the stimulus for love. A man may be a doddering great-grandfather and still love only a strange girl he saw in the streets of Cheehaw one afternoon two decades past. The preacher may love a fallen woman. The beloved may be treacherous, greasy-headed, and given to evil habits. Yes, and the lover may see this as clearly as anyone else—but that does not affect the evolution of his love one whit. A most mediocre person can be the object of a love which is wild, extravagant, and beautiful as the poison lilies of the swamp. A good man may be the stimulus for a love both violent and debased, or a jabbering madman may bring about in the soul of someone a tender and simple idyll. Therefore, the value and quality of any love is determined solely by the lover himself.

It is for this reason that most of us would rather love than be loved. Almost everyone wants to be the lover. And the curt truth is that, in a deep secret way, the state of being beloved is intolerable to many. The beloved fears and hates the lover, and with the best of reasons. For the lover is forever trying to strip bare his beloved. The lover craves any possible relation with the beloved, even if this experience can cause him only pain. (26–27)

McCullers makes a distinction between Eros and Agape, when analyzing her own work in *The Flowering Dream*: “The passionate, individual love—the old Tristan-Isolda love, the Eros-love—is inferior to the love of God, to fellowship, to the love of Agape—the Greek god of the feast, the God of brotherly love—and of man. This is what I tried to show in *The Ballad of the Sad Café*, in the strange love of Miss Amelia for the little hunchback, Cousin Lymon.” (281, Carr 63).

I think the phrase from *The Member of the Wedding*, “the we of me”, must be remembered here. The plurality of this personal pronoun shows the spiritual dimension of the communicative space (which, as we heard, can be created in solitude, regardless, to a certain extent, of any reciprocity). It is in the “we of me” that Amelia believes when telling Lymon all the stories about her father, showing her all the treasures in the cabinet of curios, thus inhabiting and furnishing the upstairs rooms of her house with a warmth. It is the “we of me” that Marvin Macy believes in when he prepares himself spiritually for two long years, getting rid of his laziness and evil habits, before proposing marriage to Amelia. It is the thought of the “we of me” that makes Cousin Lymon follow Marvin Macy, trying to impress him by grotesquely and rapidly moving his ears. And for the author, maybe God becomes “the we of me” when she talks about divine collusion. So “the we of me” is betrayed and ruined when Amelia brutally strikes her newly-wed husband, or when Cousin Lymon helps Macy win the fight against Amelia. The significance of the fight is a slightly different matter. It seems to be a ritual, something both the participants and the people of the town consciously and carefully prepare for, something like a mock-wedding, or rather: the metaphorical—but also very physical—consummation of the marriage that had been suspended on the wedding night (cf. Fowler 79–80). It is a wild and violent fight, with allusions to suffocation in the text:

Now the test had come, and in these moments of terrible effort, it was Miss Amelia who was the stronger. Marvin Macy was greased and slippery, tricky to grasp, but she was stronger. Gradually, she bent him over backward, and inch by inch she forced him to the floor. It was a terrible thing to watch and their deep hoarse breaths were the only sound in the café. At last she had him down, and straddled; her strong big hands were on his throat. (67)

It is at this moment that the hunchback, in a hawk-like manner, “sails through the air” from the counter with a shrill cry. He “landed on the broad strong back of Miss Amelia and clutched her neck with his clawed little fingers”. This way, Amelia loses

the fight—and loses her spirit as well. After recalling how she is abandoned by the two cruel and infantile mischief-makers and how she gradually withers away, the narrator still finds it important to add a “Coda” entitled “Twelve Mortal Men”: the passage about the chain-gang, the criminals chained together and singing while they work with their pick-axes on the Forks Falls road. When there is “absolutely nothing to do” in the dreary town, the narrator twice (both at the beginning and at the end of *The Ballad*) suggests that “you might as well walk down to the Forks Falls road and listen to the chain gang” (4, 71). So far, confinement and freedom, suffocation and inspiration, common places and communicative spaces came up alternately, depending on the atmosphere at a given point in the narration. It is in the music of the chain gang that the reader can witness confinement and freedom, suffocation and inspiration *together*. The twelve mortal men, chained together at their ankles wear striped prison suits and are controlled by “a guard with a gun”.

All day there is the sound of the picks striking into the clay earth, hard sunlight, the smell of sweat. And every day there is music. One dark voice will start a phrase, half-sung, and like a question. And after a moment another voice will join in, soon the whole gang will be singing. The voices are dark in the golden glare, the music intricately blended, both somber and joyful. The music will swell until at last it seems that the sound does not come from the twelve men on the gang, but from the earth itself, or the wide sky. It is music that causes the heart to broaden and the listener to grow cold with ecstasy and fright. Then slowly the music will sink down until at last there remains one lonely voice, then a great hoarse breath, the sun, the sound of the picks in silence. (71–72)

It has been noted that this portrayal of mortal men chained together is a paraphrase of Pascal’s description of the “*conditio humana*”, and Emily Miller Budick, in her article on McCullers’ *The Heart Is a Lonely Hunter*, remarks: “The human condition is to exist between impossible alternatives. What mediates between them, what makes them bearable and what is itself a figure for the torment that is also salvation is the single word—love (161).

Trying to talk about common places without using them, without turning sentimental or flat, I wish to quote Edward S. Casey, who discusses the rhetorical form of common places in his book, *Getting Back Into Place*:

Common places (*topoi*) are general argument forms that are applicable to many given cases. As such, they at once delimit and facilitate the actual arguments set forth by the dialectician. They are cognitive places from which one argues and in terms of which one makes “moves” in discussion with others. At the present moment in historical time, dialectical and rhetorical *topoi* would be studied under the heading of “informal logic”. But we need not study them formally or informally in order to make use of them, which we do spontaneously in the course of daily talk. Even idle

chatter or gossip involves moving between the common-places by which we economize, locate and limit our discourse—to the point of engaging in mere commonplaces! It all remains a matter of where we are, and where we are going, in our talk. (17)

It seems to me that the narrator of *The Ballad of the Sad Café* can create a communicative space out of the common places, being in control of “where we are and where we are going, in our talk”. The text ends on the note of the word *together* and, in spite of all the sadness, I believe that the narrator offers the possibility to become, at least for the time period of the reading experience, “the we of me” for the reader.

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## Protean Saints: The Problem of Parabolicity in Two of Salinger's Short Stories\*

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Scholars have debated the moral of his stories, biographies have mentioned his tendency to preach (Hamilton 134), but, to the best of my knowledge, no research has focused explicitly on the problem of parabolicity in Salinger's works. However, much of his oeuvre is centered around this question. Even the narrator of *Raise High the Roof Beam, Carpenters* begins his story with a parable, a Taoist tale, and claims that the main character fits into this tale without fail. More or less all the other writings use representative figures who elaborate opinions which seem to be typical of the author. From this point of view, it is understandable that Salinger, because of his display of opinions, often received sharp criticism: his prose has been charged with being too transparent. One of the most well-known objections was made by Frank Kermode. Writing about *The Catcher in the Rye*, he claims that the novel contains some “beautiful little parable[s]”, the point of which “nobody will miss”, and that “[w]hat Mr. Salinger adds is design” (Kermode 174)—just design. My counter-argument is that this view presupposes a separation between form and content, between the structure and the so-called meaning. Denying this separation, my paper will attempt to explain how Salinger's rhetorical strategies undermine the apparent parabolicity of his works. Paying special attention to the presentation of interpersonal relationships and how it complicates the parabolic readings, I will analyze the first and the last pieces from *Nine Stories*, titled *A Perfect Day for Bananafish* and *Teddy*.

The former short story is built of three scenes. In the first, we see a girl named Muriel waiting to get her call through. “She used the time, though” (3), the third-person narrator ironically states, and describes the unimportant activities with which Muriel kills time. As she is putting lacquer on her fingernails (before long his husband will return to the room, only to find it smelling of nail-lacquer remover (18), which underlines the superfluity of Muriel's present occupation), the telephone operator rings her room, and we overhear a conversation between the girl and her mother. They ramble on about the clothes of this year (8) and about the behavior of Muriel's husband, Seymour, who, as the mother puts it, “may completely lose control of himself” (6). There are hints of neurotic actions including an attempted suicide—“that funny business with the trees” (5)—, but we don't get to know the details. The second scene depicts Seymour's meeting with a child called Sybil on the beach. Unexpectedly calm, he plays with the little girl, and, taking her into the water on a float, he tells her a parable about bananafish:

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“They lead a very tragic life . . . Well, they swim into a hole where there’s a lot of bananas. They’re very ordinary-looking fish when they swim *in*. But once they get in, they behave like pigs. Why, I’ve known some bananafish to swim into a banana hole and eat as many as seventy-eight bananas. . . . Naturally, after that they’re so fat they can’t get out of the hole again. . . . They die.” (15–16)

When Sybil reports she has just seen a bananafish with six bananas in his mouth, Seymour kisses the arch of the girl’s feet, and pushes her out to the shore. They part, and the third scene follows Seymour going to his and Muriel’s room. In the elevator, he has an outburst at a woman who, he claims, is looking at his feet. After he steps into the room, he takes out a pistol, looks at his sleeping wife, and fires “a bullet through his right temple” (18).

Virtually all critics agree that the key to Seymour’s suicide and the interpretation of the short story is the curious bananafish fable. Still, this common emphasis has inspired quite different readings. One possible interpretation points to the hints in the telephone conversation that Seymour has post-traumatic stress disorder and concludes that the bananafish represent him and his inability to cope with his war memories. This would also explain the startling outburst in the elevator: the woman stepping in there, we learn, has “zinc salve on her nose” (17), which could have recalled Seymour’s war experiences, for, according to Fanni Szabó, zinc salve had been used to cure battle wounds (64). On the other hand, one might notice that Seymour, who is constantly referred to by the narrator as “the young man”, gets angry in the presence of a “woman”, not of a “girl”, while his wife is successively mentioned in the narration as “girl”, e.g.: “He glanced at the girl lying asleep on one of the twin beds” (18). The “young man’s” sexual inadequacy would be an equally defensible interpretation. After all, Muriel is reported to have read an article titled “*Sex is Fun—Or Hell*” on the first page of the story, and before Seymour shoots himself, he sits down “on the unoccupied twin bed”<sup>1</sup>—providing the story with a kind of frame. He playfully flirts with Sybil, making her jealous of Sharon Lipschutz (another child from the hotel), as if he were trying to sublimate his sexual frustration into a role-play with a safely non-sexual child. The connection between “the girl” and the little girl (the narrator never refers to Sybil as “the little girl”, suggesting that she is the more mature person) is tightened by Muriel’s name: it means ‘sea’ and ‘bright’, yet it is Sybil who the young man takes to the sea. In turn, Sybil’s name may have to do with ‘seeing the future’, ‘prophecy’, as sibyls in mythology utter divine revelations (and Sybil’s first sentence in the story has to do with seeing, referring to Seymour of course: “‘See more glass,’ said Sybil Carpenter, who was staying at the hotel with her mother. ‘Did you see more glass?’” [10]). This leads us to the third interpretation: the bananafish can refer to Seymour himself, for he is also a sage, a quasi-saint, who, as

<sup>1</sup> In John Wenke’s words, “Seymour’s gun is phallic”, and we might “view the fish as phallic and the banana hole as vaginal” (37).

his name indicates (Seymour—see more—this is Sybil’s pun, too), sees through the gluttony, the greed in people, he is “fed up” with the world like a bananafish with bananas and refuses to continue his life in a world of all-conquering squalor. That is his way of getting “out of the hole” (16).

The importance of other parts in the dialogue with Sybil is often overlooked, though. The frequently discussed bananafish parable can be contrasted with an intertextual reference:

“Did you read ‘*Little Black Sambo*’?” she said.

“It’s very funny you ask me that,” he said. “It so happens I just finished reading it last night.” . . . “What did you think of it?” he asked her.

“Did the tigers run all around that tree?”

“I thought they’d never stop. I never saw so many tigers.”

“There were only six,” Sybil said.

“Only six!” said the young man. “Do you call that only?” (14)

The mentioned tale, *Little Black Sambo*, is about a boy who faces four tigers in the woods, each time giving them one of his new clothes and saving his life with that bargain. Eventually he outsmarts the beasts when, arguing about who the biggest animal in the forest is, they catch each other’s tale and begin circling around a tree until they are melted into butter. The boy collects his clothes, brings home the butter, has his mother make pancakes of it, and eats a hundred and sixty nine of them, “because he was so hungry”.

The connection between the bananafish-fable and the tiger-fable is emphasized by the change of the tigers’ number from four to six<sup>2</sup> (six is the amount of bananafish Sybil “sees”). James Lundquist explains that the bananafish represent materiality, gluttony, mortality, the circling tigers represent the cycle of life—therefore, they both symbolize the world of semblances, the world Seymour sees through and wants to exit (83). I think there are interesting differences between the two tales, though. First of all, while the bananafish represent the shallow, mundane persons (the “pigs” [16]) who would converse about the clothes and fashion of this year (as Muriel and her mother do), *Little Black Sambo* cries when he loses his clothes, and getting them back means triumph, not a succumbing to the materialistic world. Even more importantly, he is shown eating an unreal number of pancakes—and not dying for his gluttony, as bananafish, behaving like “pigs”, do. It is a way of taking revenge on the tigers—so this tale, offered by Sybil, is a tale of triumph over the world of semblances. On the other hand, the bananafish fable, Seymour’s tale, is a “tragic” story, showing a defeat in battling the same world. The two parables, instead of enforcing the same meaning they should be two examples of, work against each other. Seymour’s tale suggests that conquering the world of semblances presupposes partaking in it: one cannot avoid becoming cruel, but in terms of Sybil’s parable,

<sup>2</sup> For a discussion of the importance of the number six, which also points out this alteration, see Genthe 170–171.

getting killed in “bananafish fever” (16) is a defeat. Thus, Seymour’s leap into suicide might be read not as a result of stepping onto a level of higher spirituality but as simple defeat. But how can he so fatally miss the point of what Sybil says?

While interacting with the girl, Seymour fails to decide whether to edify her or to speak in a language she cannot understand. When he reveals he likes Sharon Lipschutz so much because “she never does anything mean to little dogs in the lobby of the hotel”, in particular to a “little toy bull that belongs to that lady from Canada”, although “*some* little girls”—and one has a feeling Sybil is one of them—“like to poke that little dog with balloon sticks” (15), he is clearly trying to guide her in the right direction. But when he quotes *The Waste Land* after mentioning the name of Sharon Lipschutz (““Ah, Sharon Lipschutz,” said the young man. ‘How that name comes up. Mixing memory and desire.’” [13]), he is rather speaking to himself. What he means here cannot possibly be grasped by Sybil. As a matter of fact, even the readers are left guessing. Could it be that the name evokes two possible causes of Seymour’s desperation, the temptation of sensuality (as the name begins with ‘lips’) and his wartime experiences (as ‘schutz’ is German for protection, including military protection, and Lipschutz is a habitational name from Liebschütz in Thuringia), mixing, in this sense, traumatic memories with oppressed desire? If this is the case, these associations are made only by Seymour. It is him who projects the death-wishing Cumaean Sybil from Eliot’s poem onto Sybil the little girl, and the moment the boundaries of his private fantasy are transgressed, he escapes the scene: when Sybil reports that she has just seen a bananafish, Seymour kisses the arch of her foot, and, although the girl asks him not to do so, pushes her out to the shore. While Lundquist reads the kiss as a blessing and as Seymour’s way of acknowledging that Sybil has seen more, and thus that “her course of instruction has finished” (83), this hardly explains the abruptness with which he calls the game off. On the contrary, the course of instruction goes wrong, and the young man’s ways of communication prove to be unsuccessful. So unsuccessful that, according to Kenneth Slawenski, Seymour even alarms the girl. In Slawenski’s imprecise recounting of the events, “[w]hen Sybil is delighted by the story and claims to see a Bananafish, Seymour pulls her toward the shore against her will. He then presents her with a final act of blessing by kissing the arch of her foot, wishing her a path free of evil and pain, unlike the path he himself has suffered. The action alarms the girl and she runs from him ‘without regret.’” (156) In the actual short story, however, Sybil’s objection to Seymour’s telling her “We’re going in now” comes after the kiss, not before, which implies that she doesn’t see the kiss as threatening or pedophilic:

The young man suddenly picked up one of Sybil’s wet feet, which were drooping over the end of the float, and kissed the arch.

“Hey!” said the owner of the foot, turning around.

“Hey, yourself! We’re going in now. You had enough?”

“No!”

“Sorry,” he said, and pushed the float toward the shore until Sybil got off. He carried it the rest of the way.

“Goodbye,” said Sybil, and ran without regret in the direction of the hotel.  
(16–17)

While Slawenski’s suggestion is somewhat exaggerated, it is nevertheless true that the sudden change in Seymour’s behavior is due to a failure to engage in interpersonal relationships. Sybil’s partaking in his roleplay makes Seymour realize that his private fantasy could influence the girl, maybe even transmit his emotional distress to her. The refusal of Sybil’s request to continue their game, thus the refusal of her entering Seymour’s own personal world, is motivated by a reluctance (or even fear) to intervene in the lives of others, which may or may not be in tone with the Buddhist doctrine of detachment, but is certainly portrayed as having dubious consequences.<sup>3</sup>

The contradictions unfolding in the other short story, *Teddy*, are not unlike those that were just discussed. It is about the last day of Teddy, a precocious child, who has prophetic powers, and seems to be a ten-year-old reincarnation of a guru. We see him on an ocean liner, having a conversation with his parents, who are quite hostile to each other. They send him to find his sister, Booper, and get their camera back from her. Not long after he does so, Teddy sits down to write his diary, only to be interrupted by a certain Bob Nicholson. It is from their dialogue that we hear about Teddy’s special ability to foresee people’s date of death. The boy mentions that Booper “might come up and sort of push me in” the pool, which is empty because this is the day they change the water, and he might die instantaneously (193). Explaining to Nicholson why he is not afraid of death, Teddy goes to his swimming lesson. Before long, Nicholson goes after him, only to hear “an all-piercing, sustained scream—clearly coming from a small, female child. It was highly acoustical, as though it were reverberating within four tiled walls.” (198)

Like the former short story, *Teddy* can be interpreted as a parable featuring a saintly protagonist who stands out from his squalid environment and whose death is a justification of his peculiar behavior. The fact that the reader never gets to witness any of Teddy’s supernatural powers might be explained with Ricoeur’s observation that “the Parables are radically profane stories” in which “the *extraordinary* is *like* the *ordinary*,” meaning both that these stories compare the transcendent to the already familiar in order to help us imagine the Godly state, and that they are only comparisons, adequate to provide us with an analogical understanding of the Kingdom of God but inadequate to give us a conceptual understanding of what it really is.<sup>4</sup> Accordingly, neither Nicholson nor the reader has the chance to actually get a glimpse of Teddy’s death. However, assuming that it is Teddy who dies at the end of the short story is problematic, because the final sentences do not determine whether the scream reverberating within four tiled walls comes from Booper in terror after

<sup>3</sup> Warren French suggests that the protagonist even perceives himself as “a failed guru” (*Revisited* 68).

<sup>4</sup> Although Ricoeur speaks about the Parables of Jesus and Teddy believes in what Nicholson calls “the Vedantic theory of reincarnation” (188), Salinger’s often mentioned religious pluralism—the way he mixes elements of Vedantic, Buddhist and Christian faith into his writings—justifies the use of Ricoeur’s work, especially since the rhetorical characteristics of parable-like texts, e.g. koans and the Parables of Jesus, are surprisingly similar despite their religious-cultural differences.

pushing Teddy in the empty pool, or if it is she who falls in. Warren French pointed out that it is even imaginable that nobody dies and the rather nasty Booper is just having a tantrum. French also claims, though, that the story “is ‘controversial’ and ‘unsuccessful’” precisely “because the author does not make clear what actually happens as the story ends” (*J.D. Salinger* 132). French observes other contradictions in the protagonist, concluding that he is not a little Buddha but an average child suffering from a lack of love and trying to draw attention to himself with his oddities. One of these contradictions is that “although he scoffs at mere ‘rational knowledge’, he hoards a great deal of it”. Then again, it is noteworthy that this ambiguity is not necessarily idiosyncratic of Teddy but can be traced in all Zen masters. Shi Zhiru explains that although popular discourse takes koans as “a tool to deconstruct intellectual analysis or stimulate mystical experience”, they are in fact “old edicts” which embalm the answers of eminent Tang patriarchs, and which are “particularly colored by the colloquialisms of the period that were often lost to the post-Tang audiences”. Zen masters were the ones to bridge this gap by making authoritative commentaries, but these exegetical commentaries “would lose [their] relevance as time passed, and aspirants to become a Chan master must all compete to come up with the next commentarial enjoinder that would supercede the last comment.” Thus, “the making of a Chan or Zen master is hardly just a matter of attaining awakening, but also entails the mastery of a set of literary and rhetorical skills, including the study of Buddhist texts, which typically requires years of rigorous training.” (93–94) Taking this into consideration, it would seem that Teddy's reliance on reason does not undermine his role as a spiritual instructor at all.

The other ambiguity Warren French notices is that contrary to what Teddy tells Nicholson, the boy is not unemotional. For instance, he lectures a female ship's officer “about the proper way to introduce herself, although it is hard to see why such proprieties would matter to the truly detached soul” (133). (From this point of view, the unexpected condescension can be regarded as a less harsh version of Seymour's outburst in the elevator.) But the contradiction between Teddy's words and this strange act may perhaps be resolved in this case, too. James Bryan's reading of the story reminds us that the boy explains he “met a lady” in his former life and “sort of stopped meditating” (188). Knowing that sensuality can keep him from enlightenment, he avoids any temptation of sexuality (Bryan 357). Indeed, the narrator lets us know that the ship's officer was “a good-looking girl” (174). James Bryan also observes that there is a sexual overtone in the boy's relationship to his mother. “She is first shown lying on the bed, a sheet ‘over her very probably nude body’” (Bryan 355), requesting a kiss on the cheek from his son. This sensuality is the reason Teddy avoids her caress.

Does this mean that all the ambiguities of the narration are made unproblematic? After all, even Warren French changed his opinion about *Teddy* in his second book on Salinger. No longer considering it as a failure, he offered a different reading of it as the last piece of a short story cycle depicting various stages of spiritual development, *Teddy* showing the final step toward enlightenment. This leads him to claim the opposite of what he argued for in his former book: “The soundest course in

dealing with this story, as with ‘Bananafish’ . . . is to take the words of such an outrageously candid character as Teddy McArdele at their face value.” (*J.D. Salinger, Revisited* 84)

It is possible to argue against the story's straight-forwardness by observing the rhetorical tendencies of the seemingly impersonal narration. One way to deny the narrator's detached and omniscient status would be to note, as several interpretations have done, that in *Seymour: An Introduction*, Buddy, the narrator of most of the Glass-stories, claims the authorship of *Teddy*. It is not necessary, however, to consider this intertextual relation in order to discover a manipulative strategy in the casual third-person narration. I will take the first line as an example, which is delivered by the father: “Ill exquisite day *you*, buddy, if you don't get down off that bag this minute. And I mean it.” (166)

This suggests that the father is mean or downright cruel; with the very first line, the narrator manages to characterize him. However, the sentence must be an answer to a remark by Teddy like “What an exquisite day!” The father repeats his order, but the boy doesn't react. Why? It can be argued that looking out of the window and philosophizing about death, he is too carried away by his thoughts. But then he would not have commented on the weather in the first place, because—as he tells Nicholson—he is not interested in the weather: he is not like the poets, who are “always sticking their emotions in things that have no emotions” (185). Therefore his remark about the exquisite day must be some kind of an interpersonal action—like when he reminds himself in his diary to “[b]e nicer to the librarian” and to “[d]iscuss general things with him when he gets kittenish”(181). Given his lack of reaction, the interpersonal action can only be provocation. If the story's first line had been Teddy's remark, the tension in his behavior would have been clearer; it is revelatory that the narrator omits it. Of course, if the text is read together with *A Perfect Day for Bananafish*, it adds an alternative interpretative possibility—one could very well say that the “exquisite day”, rather than referring to the weather, echoes Seymour's “perfect day” and expresses that the protagonist accepts that this day is the last of his life. But since this reading transforms an ordinary conversation-starter into a personal and cryptic utterance, it nonetheless recreates the problem of interpersonality: Teddy's reference is completely closed off from others, more than Seymour's bananafish fable, to which at least a little girl could relate.

It seems that while the short story justifies its central character on one level, some of its techniques go against this very rhetorical strategy. Another good example of this phenomenon would be the device of naming. As James Bryan notes, Theodore, Teddy's name, means ‘a gift of God’, while Nicholson's “last name suggests a son of the Devil” (353). The latter one might need further explanation: “Nicholson” means ‘to conquer people’, and it indeed suits an arrogant character who wants to conquer people by challenging their faith. “Teddy” is an equally adequate name for a child-prophet, who, according to his diary, has just learned the meaning of the expression “gift horse”, and writes the following sentence in his last entry: “Life is a gift horse in my opinion” (180–181). Even so, the validity of this symbolism is undermined if we recall Teddy's statement that people should forget the names of things as they provide

false knowledge. How can a story about unlearning the names of things use speaking names? Even if we trust Teddy's words, we should doubt them.

Anthony Kaufman, who determines whether Teddy really is a prophet or not (he answers in the negative) and thus in my opinion somewhat simplifies the short story, nevertheless describes this crisis of authority accurately: Salinger's doctrines are represented by characters who cannot live up to the perfection they propagate, mainly because they are denied "the mediation of healing love", without which "Teddy, Seymour and their kind are isolated and doomed" (116–117). Ildikó Limpár offers a paradox as an explanation: "Perfection must include imperfection, or else it will suffer deficiency, which contradicts the concept of perfection" (109). In a similar vein, a perfect parable is imperfect enough to leave room for doubt. This way, the reader is asked to make her own choice whether or not to believe the parable, which induces faith, responsibility and active readerly participation.

If the tension is still extreme in *A Perfect Day for Bananafish* and *Teddy*, it is because they problematize interpersonal, a key element in bringing the inscrutable parables closer. This is why Buddy, the narrator of *Seymour: An Introduction*, who claims authorship of my two chosen short stories, tells us that these narratives are unsuccessful. He does not realize that the reason he fails to exemplify his protagonists' saintliness is not a lack of narrative skill but that parables are most effective if interpersonal gives them credit. No story can fully represent the idea to be exemplified, nor can it avoid the tension of this partial inadequacy. Therefore, the reader's trustfulness is best maintained by making some kind of personal connection with her, or at least by creating the impression of authority by referring to a reliable source (Jesus, Tang patriarchs<sup>5</sup>) or, at worst, by using an authoritative voice which sounds as if it came from such a source. However, Buddy's reclusion or the third-person narrators' emphatically reserved style goes against establishing this kind of authoritative voice and, as we have seen, they tell the story of two figures whose greatest weakness is precisely an inability to engage in interpersonal relationships.

This may be the reason why these saints remain protean even after repeated readings.

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<sup>5</sup> Even in Zen Buddhism, the branch of Buddhism which objects to authority the strongest, there is a master who evaluates the student's answers to the koan riddles and as Shi Zhiru explains in the passage cited earlier, Zen relies on authority more than it claims to.

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## Mental Illness in the Family: A. L. Kennedy's Short Fiction

ATTILA DÓSA

The main intention of this essay is formulating an interpretive horizon of A. L. Kennedy's short fiction with the help of R. D. Laing's experimental psychology, which regards mental illnesses in general and schizophrenia in particular as originating in or being symptomatic of failures in interpersonal perceptions. I pay special attention to Kennedy's "The Mouseboks Family Dictionary" from her second short story collection, *Now That You're Back*, because this text seems to imply that forms of insanity and eccentric behaviour can be an outcome or syndrome of the dysfunction of interpersonal perceptions in social relations, especially within the family. I consider the ways in which Kennedy evolves a diagnostic function out of the private and often relative (but at the same time historically changeable) spaces which divide sanity, illness and nonconformist behaviour on the one hand, and, on the other hand, out of an "ontological insecurity," which is usually taken as a chief indication of mental disorder and can be defined as a "personal uncertainty about the boundaries between the self and the world" (Sedgwick 15).

In *Sanity, Madness, and the Family* Laing and Esterson summarise the hypotheses, methods and findings of the research project they carried out between 1958–63 at the Tavistock Clinic in London, and give an account of eleven cases out of the twenty-five they claim to have recorded in the course of their study of schizophrenia in the family. In their introduction they question the usefulness of the conventionally applied patient–therapist matrix in the treatment of mental illnesses including, most notably, the kinds of mental illness normally termed "schizophrenia." As they argue, this traditional matrix does not leave enough space for the examination of the context of a mental illness, because it only allows the therapist to consider a small slice of the patient's experience from an isolated and de-contextualised point of view. In R. D. Scott's terms, "the therapist and the patient remain a twosome on the basis that the disturbance is located inside the patient," which leads to a situation in which "the therapist is likely to remain oblivious of quite crucial issues in the patient's relationships with significant others in his family" (157). Laing and Esterson also argue that "[m]ost of the investigations of families of 'schizophrenics' . . . have not been based on direct observation of the members of the family *together* as they actually interact with each other" ("Preface" 21). Therefore, in this book they reflect on a "nexus" of the patient's experiences as manifested in his or her performances within the context of various kinship ties in the family, and examine the individual persons' "reciprocal influence on each other's experience and behaviour" in the families of schizophrenics ("Preface" 21).

But the theoretical background of Laing's research of schizophrenia in the family is described in more detail in *Interpersonal Perception* (1966) and in the collection of essays and lectures *The Politics of the Family* (1976), published slightly later. Inspired by Feuerbach's realisation that western philosophy used to concentrate mainly on the category of the "I," and based on the assumption that one is not the only "perceiver" and "agent" in one's world, in *Interpersonal Perception* Laing elevates the category of "you" to the same level of importance as that of the "I" in his examination of mental illness:

The world is peopled by others, and these others are not simply objects in the world: they are centres of reorientation to the objective universe. Nor are these others simply other I's. The others are you, him, her, them, etc. (3)

Laing also speaks of the "meaninglessness" of the category of the "I" without the supplementing entity of a "you" and the interpersonal space in which the reciprocal and imaginative orientation of these entities is realised or can be reflected upon. He problematises earlier ideas relating to the "simple location" of subjectivity, and seems to imply that if one examines a person's mental conditions in isolation from his or her everyday interpersonal relations, then one gets a distorted or partial view, because the existence of the self in these insulated, *in vitro*, circumstances is but pure abstraction. We exist and interact in various interpersonal contexts, and so our identities do not only depend on but they also evolve from the ways others perceive us, as well as from the ways we see those others perceiving us. Laing calls this "meta-perspective" (*Interpersonal* 4). In much the same way as in certain syntactic situations the personal pronoun "I" undergoes a paradigm of grammatical inflections, Laing suggests that the mental and physical self also undergoes a similar inflection or "refraction" (*Interpersonal* 4). Laing means by "refraction" that I am not an "I" for another person but, depending on the circumstances, I am a "you," "he," "she," "we," or even "they," as I am seen from different angles. In the course of these metamorphoses we experience our self-alterations in the context of our relations with others and of the roles we are supposed to play in those given situations. Our serial internalisation of these various other "I"-s projected onto us forges what Laing terms our "meta-identities," that is, "the multifacets of the other I take myself to be for the other—the other I am in my own eyes for the other" (*Interpersonal* 5).

In *The Politics of the Family* Laing takes the idea of the formation or abstraction of our (meta-)identities out of our interpersonal contacts with others to a logical conclusion in the context of family relations. He distinguishes the family as a real community of real persons from the "family," which refers to the internalisation or imagining of that real community by its individual members. By "internalisation" Laing means mapping an outer reality to an inner one, which, as he argues, also "entails the transference of a group of relations constituting a set . . . from one modality of experience to others: namely from perception to imagination, memory, dreams" (*Politics* 6). He emphasises that beyond the conceptualisation of the respective members of the family group by each other, more importantly, we have to

talk about the internalisation of the working of the whole family, that is, about the ways in which those individual members imagine themselves and the others interacting in customary situations. It is also clear that Laing regards this internalisation as reciprocal:

Relations and operations between elements and sets of elements are internalized, not elements in isolation. . . . Members of the family may feel more or less in or out of any part or whole of the family, according as they feel themselves to have the family inside themselves and to be inside the set of relations characterizing the internal family of other members of the family. (*Politics* 4)

Shortly, the group of meta-identities that constitute the “family”, then, evolves out of and is determined by the ongoing interaction between self and other in the family.

This process of interaction takes place in time and space. Therefore, Laing looks at the working of the family system (which, of course, also includes the patient) in the context of a given time–space matrix. He notes that this matrix in the functioning of the “family” allows itself to be compared with mythological perceptions of space and time. The basis of this parallel is that, on the one hand, this pattern is assumed to be “ordered round a centre” and, on the other hand, it “runs on repeating cycles” (*Politics* 6). So, Laing views the “family” (that is the internalisation of family relations by its members) as based on or defined by a “dramatic template,” in which the situation unfolds “in sequence in time as a *film* on the screen” (*Politics* 16–17). The psychiatrist or social worker is “called in” to resolve this matrix for dramas when the other members of the family ask him or her to make a diagnosis of the patient. Typically, the assumption shared by the other members of the family group in a case like this is that there is something wrong with one single person in the system, implying that if this person is cured by medical means, everything will return to normal in the life of the family. But Laing is convinced that very often what we encounter is basically a “social crisis” rather than a medical emergency. There is a patient elected by the family members and the psychiatrist’s job would be to make a decision as to whether it is really a medical or perhaps another kind of treatment that is necessary to resolve this situation (*Politics* 20). Laing’s conclusion is that it is the family rather than the individual that is the “unit” of illness, adding that “not the individual but the family, therefore, needs the clinician’s services to ‘cure’ it: the family (or even society at large) is now a sort of hyperorganism, with a physiology and pathology, that can be well or ill” (*Sanity* 23).

“The Mouseboks Family Dictionary” by A. L. Kennedy seemingly contains the history of a pathological family in which (very improbably) every family member is called Francis Mouseboks: “This has many benefits—all family insults are pleasantly inclusive and neither memory nor imagination need ever be taxed on the part of the parents with regard to child naming or summoning” (113). Though this absurd situation materialises in the text as a light joke, this exposition metaphorically raises the question that the location of mental illness is not necessarily within an

individual (hermetically sealed from the context of one's social interactions) but in a hyper-organic unit, the family. Seen from another perspective, the multiplication of Francis Mouseboks may indicate that we are taking a look into the (dys-) functioning of a schizophrenic patient's mind who re-enacts his (or her) parents; or, in Laing's words: "The play's the thing. The actors come and go. . . . The new-born enters the part vacated by the newly dead. The system perpetuates itself over generations" (*Politics* 26–27).

Though I have termed it a short story, there is next to nothing in the text which would qualify it as one. Instead of a narrative structure, the family's circumstances are revealed in a dictionary format with headwords arranged alphabetically from A to Z. At first there seems to be no plot just as there is no story-telling, nor dialogue. According to the third word in the title, "dictionary," the text invites non-linear reading. Narrative fiction contains a degree of linearity (if not on the narrative level then at least on a syntactic level as linear cohesion between ensuing syntactic units) and invites, therefore, a linear reading strategy. But subsequent entries in alphabetically organized non-narrative works (dictionaries, encyclopaedias) have no chronological, causal or other sequential relationships between them. However, since Kennedy's text also defines itself as narrative fiction (it appeared in a collection of short stories published by a literary publisher), the reader will resist the text's desire to be read non-sequentially, at least initially. But after a few entries it becomes clear that it is not a narrative in a conventional sense and the dictionary structure seems to disrupt sequential connections between elements of internal and external realities: Eva Salzman speaks of Kennedy's "cheeky non-sequiturs" ("Behold").

The "Dictionary" is also a prescriptive text: it contains a system of rules and regulations to be observed by all Mouseboks family members. This is noticeable in several entries, such as "Supernatural"—"[b]elief in the Supernatural is not permitted in any Mouseboks Family member" (Kennedy 122)—and especially "Rules." The latter contains a list of fifteen basic "Rules for Living," including (ironically again): "If in doubt, blame Francis" (120). In the entry's first sentence—"The Mouseboks Family, like many others, has developed a large number of more or less useful and applicable" rules (120)—the phrase "like many others" suggest normality and conformity, while the modifying adjectival phrase "more or less useful" applied to these subversive rules reveals a degree of despair and non-conformity. The first few "Rules" seem to contain some (even if foolish) logic, such as: "[b]ecause I think I am mad, I am not" (120). Then they are getting increasingly pessimistic and distrustful, such as: "[t]rust is the luxury of idiots and children" or "[h]ating other people will always be healthy and useful, as long as you hate yourself more" (120; 121). While it is not impossible to identify with the former verdict, the latter contains an absolutely unacceptable attitude, because from a "normal" perspective it is reverse logic (and therefore it is "abnormal") to say that hate is "healthy and useful." The prayer-like ending in the rule about "Fears"—"Feed your fears in darkened places, that they may learn and grow and be with you always, for ever and ever amen" (120)—seems irreconcilable with the conventional imperative modality of rules. The logical conclusion that "a life without fear is a life without reality" (121) indicates that for the

Mousebokses fears are not only omnipresent, but they are simply equal to reality. Even if a Mouseboks is buried “face down in a cast iron coffin,” he (or she) will come back and haunt the family—because “everyone does” (121). Since this latter phrase contains a gap anaphor, it is impossible to tell if “everyone” refers to every Mouseboks family member or every human being.

Another but more important point of doubt is raised in the prefatory material about the text’s identity and genesis:

The extract from the Mouseboks Family Dictionary which follows is compiled and freely given to the world by Francis L. Mouseboks XIIc [*sic*] “That the name of Mouseboks may resound with every dawning in all its manifold glory and delight.” (Kennedy 109)

The doubt about the text’s origins is due to the unresolved identity and properties of the voice speaking in the preface. Since a dictionary has no narrator, a sensible presumption is that it must be the voice of a fictitious editor or publisher. But (like a snake biting its own tail) the uncertain identity of the voice raises questions about the origins of the text: is it an authentic text written by and for the Mouseboks family (since it is a family code) or by the Mouseboks family for the general public (as is suggested in the preface) and is made available for the public by a third party? If the former is true, then the voice speaking in the preface should be that of Francis Mouseboks, who speaks about himself in the third person—which is not an entirely unusual rhetorical device but it is a semantic nonsense to put, moreover, one’s own words in citation marks. If the latter is true and it is not Francis Mouseboks speaking about himself (or herself) in the third person, it leads to further doubts about the speaker’s (editor’s or publisher’s) identity: is the voice that of a Mouseboks other than Francis Mouseboks? But if we accept it as true that everyone in the family is called Francis Mouseboks, it cannot be another person than Francis Mouseboks. A third assumption could be that the speaker (and publisher) is the therapist of Francis Mouseboks (or of all the Francis Mousebokses, that is, the Mouseboks family). From a Laingian perspective and given the subject matter of Kennedy’s story this seems the only reasonable hypothesis, even though, strictly speaking, there is nothing in the text that can be used to support it unless we assume the existence of an implied addressee (the therapist) who recorded and/or made this fictitious *Dictionary* available for the public.<sup>1</sup>

In this hypothesis, the text desires to be read as a record of the history and present state of an insane family (or an insane individual with a split personality), possessing obvious literary references and perhaps less obvious but equally valid

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<sup>1</sup> We might, of course, transgress the text’s boundary and read “The Mouseboks Family Dictionary” in the context of another short story in *Now That You’re Back*, “A Perfect Possession.” In this story the implied audience (the listener) cannot reasonably be another person than a therapist into whose care the parents wish to refer their son whose behaviour they interpret as abnormal, and the reader and the therapist are left to decide whether they give credit to the parents or it is the parents who should be referred to mental care based on how the parents misinterpret their son’s behaviour.

extra-literary perspectives. Surely, it is wrong to read it as a record of the real lives of real people, as it has been presented and institutionalised as “literature” (rather than, say, “real” hospital records). Nor should it be viewed as an illustration of Laingian or other psychological schools, though it is possible to draw compelling parallels with existential psychology.

The word “dictionary” in the title suggests that this insane family drama is contained in a sane and coherent frame (such as a case study, an interview transcript or a hospital record): very complex insights are narrated in an articulate way in a deliberately structured text, which is arranged alphabetically and which makes an extensive use of cross-references. Some of the dictionary entries are written in a seemingly scholarly style, using formal vocabulary in descriptive passages and establishing a distance between self and subject matter:

**anticipation:** All Mouseboks spend their lives in a constant condition of *Anticipation*, principally of their own or other’s deaths. As *Anticipation* of their own demise maintains them perpetually on the brink of *Despair* while the idea of anyone else’s dying makes their lives extremely pleasing, if not actually worthwhile, Mouseboks may appear to be of rather changeable temperament. (Kennedy 109)

But other entries (such as “Devil”) combine several styles and tones, including: literary, philosophical, psychological, absurd, formal, scholarly. The entry on “Fears” includes a wide spectrum of registers from medical vocabulary to elements of scholarly rhetoric: “Note that a combination of elongated *Fears* may constitute a kind of vocation for many older Mouseboks” (112). The sense of stylistic medley is further reinforced by frequent juxtapositions of proverbial wisdom with medical and psychological terminology. The formal tone in some entries is not just occasionally replaced with comic tone but the two might be present at the same time, in the form of irony, as in the passage on “Fears” cited above, or in “Bad Joke”:

See *Life*. Or *Bad Jokes* are frequently told by Mouseboks at times of extreme stress/family gatherings etc. Comic effect marred only by Mouseboks’ inability to concentrate on human beings beyond themselves, or to remember punchlines. (110)

Most entries (including the one above) focus on the failure of interpersonal relations in the Mouseboks family. The ungraded pessimism about their hopeless nature (or hopeless mental condition) is expressed in childish jokes—not just by the Mouseboks in family situations but also by the lexicographer–therapist who writes about the Mouseboks family situations.

If it is assumed that there is a single and undivided consciousness telling about madness in the Mouseboks family, then the variety of perspectives represented from the viewpoint of this single consciousness raises a question about the mental condition of this consciousness: is it an insane or a sane mind? We run into paradoxes either

way. Can an insane mind—which, theoretically, has an insight into insanity—arrange reality with so much method and consistency? Can a sane mind—which is normally assumed to be capable of such an abstract task—have such a deep insight into how an insane mind works? See, especially, the second half of “Anticipation”:

Prolonged financial, sexual or fearful Anticipation is almost always fatal in Mouseboks. This means that all Mouseboks do effectively die of *Anticipation*, thus vindicating any morbid *Anticipations* they might have harboured of their own deaths. As all Mouseboks are painfully aware of this family weakness, each and every Mouseboks Family Member is inwardly contorted by strenuous efforts to avoid anticipating even the slightest *Anticipation* of an *Anticipation* and so on into a thankfully early grave. (Kennedy 109–110)

“Fear of Psychiatrists” revives the well-known paradox about the relationship between sanity and insanity and how a sane or an insane mind reflects on its own condition:

Mouseboks pre-empt any fears of *Insanity* by constantly assuming themselves to be insane. As no mad person truly believes they are mad and Mouseboks all believe they are mad, truly, then all Mouseboks must be sane. Even the mad ones. This removes all *Fear of Psychiatrists*. (Kennedy 113)

To avoid being stigmatised and maltreated as “insane,” the Francis Mouseboks assume they are insane, because they think that the sane believe that the insane would not know and/or acknowledge that they are insane—instead, the sane assume that the insane would want to prove they are sane. (Hamlet makes a mischievous use of that logical paradox in his dialogue with Rosencrantz and Guildenstern.<sup>2</sup>) The clarity of thought in the Mouseboks argument can be perfectly seen if we pay attention to the logical relationships in the argument strictly and disregard, for a minute, that we are socially conditioned to see “normality” and “abnormality” as mutually exclusive categories. If we apply Polonius’s diagnosis of Hamlet’s mental condition—“Though this be madness, yet there is method / in ’t” (II.2.207–208)—to the *Mouseboks Family Dictionary* (not the short story but the fictitious document), then the Mouseboks argument contains a perfectly sane logic. But then why do they still fear psychiatrists (see “Fear of Psychiatrists”)? Because the psychiatrist might judge otherwise? But

<sup>2</sup> *Guil.* If it shall please you to make me a wholesome answer, I will do your mother’s commandment: if not, your pardon and my return shall be the end of my business.

*Ham.* Sir, I cannot.

*Guil.* What, my lord?

*Ham.* Make you a wholesome answer; my wit’s diseased... (3.2.302–309)

they have nothing to be afraid of, because there is logic in what they assert. Except if they assume themselves to be “insane” without actually being insane, which makes no sense—in other words, it is insane. Therefore, this seemingly logical (and therefore “sane”) argument turns logic upside down (and therefore it is “insane”). Once we re-establish the “normal”–“abnormal” opposites as mutually exclusive categories, the whole argument turns out to be a logical misconception (and therefore “insane”), because from a “normal” (and therefore “sane”) viewpoint the insane cannot have an insight into their own mental condition—only normal people can have that capacity.<sup>3</sup> If the insane had that capacity, that would mean, by definition, that they are sane, and then why would they want to assume themselves to be insane? Just to avoid the charge of insanity? It is insane. (And the whole circle begins anew.)

The same strategy of turning “sane” logic inside out is used in several entries. “Female” is defined as a “recognisable condition” which “[w]ill not encompass any nurturing, delicate or maternal instincts” (Kennedy 113). From a “normal” viewpoint, it goes beyond a humorous hyperbole: it is “abnormal,” since the social–historical construction of the female gender mandatorily includes the above “instincts.” The behaviour of female Mouseboks family members is also more than abnormal: it is absurd, since they “generally prefer to avoid pregnancy and adopt other children, if not adults, who are preferably resident in distant countries” (113). On the surface, it seems to be ridiculously insane logic: adopting adults is nonsense. But in this case, too, there are two lines of logic operating in parallel. On the one hand, the concept of adoption is the consequence of a series of logical steps if one does not want to bother herself with giving birth to and taking care of children *while* satisfying social expectations of reproduction and moral expectations of raising the next generation. But since adopted children must also be looked after, the logical choice is adopting adults, who can look after themselves: all expectations are met without sacrificing one’s independence. On the other hand, if one does not want children, why adopt one? And why adopt an adult (who looks after oneself and resides in a foreign country) when the point in adoption is to take care of someone? From a “sane” perspective, the seemingly logical steps turn out to be nonsensical, that is, “insane,” and lead to self-contradiction. However, in the “normal” world, mainly in “developed” or “western” societies, there is a wide-spread social practice of adopting children in foreign countries whom the “parents” may never see—from more or less same “sane” motivation of observing social–moral responsibilities that the “insane” Mouseboks women wish to observe. If the same counter-argument is laid against it, the recent fashion of adopting animals is not a bit more logical in the normal world than the idea of adopting adults in the Mouseboks world. Taking an unbiased glance at the Mouseboks family habits, then, reveals that there is perhaps as much insanity in sane logic as sanity in insane logic. More importantly, it sheds light on the fallibility of our habitual breakdown of interpersonal perception into “normal” and “abnormal” behaviour.

<sup>3</sup> This is the reason why everybody in the play knows that something is wrong with the logic in Hamlet’s above-cited utterance: he cannot be insane if he knows he is insane.

The Mouseboks mind freely transgresses the boundary between “normality” and “abnormality” from both directions, which exposes the arbitrariness of this otherwise strictly guarded frontier between types of behaviour. Spending time with the Mouseboks family is compared to “drifting in an open boat filled with cannibals” whose “company is always enlivening and their interest in others very sincere, if not deeply alarming” (Kennedy 112). Normally, “sincere” and “deeply alarming” would not be treated as synonyms but the syntax here suggests that in the Mouseboks mind they are. Are they synonyms for the Mousebokses because the Mouseboks family has a conceptual structure which is different from the normal? At first sight, yes. But if it was possible to find a context in the “normal” world outside the Mouseboks family when they are synonyms, it would seriously challenge our belief that there is a basic opposition between “normal” and “abnormal” thought structures. The image of the open boat filled with cannibals is an unmistakable textual reference to Joseph Conrad’s *Heart of Darkness*. In Conrad’s novella, Marlow is travelling up the River Congo in a steamboat filled with cannibals—their “naturally interested expression” deeply alarms, even horrifies, him but he is ready to give them credit once he is able to share their perspective: “I would no doubt have been properly horrified, had it not occurred to me that he and his chaps must be very hungry: that they must have been growing increasingly hungry for at least this month past” (84). Very much like in the jungle, in the given context of the Mouseboks family relationships abnormality is so self-evident that it looks normal and the opposite of “normality” becomes the norm. So much so that the binary division between normality and abnormality loses its validity and therefore the Mousebokses “have not found it necessary to develop what would essentially be a synonym for *Normality*” (Kennedy 115).

In a text on mental illness, one would expect “normality” to be a key word, or at least one that sheds light on the nature of mental illness *via negativa*. However, in the existential world of the Mousebokses “normality” is a synonym of “what you deserve,” and is a “random,” “negative” and “disturbing” entity (Kennedy 124; 119). This raises wide-ranging questions, perhaps wider than those that could be answered using Laing’s terms. Laing argues that insanity is a natural reaction to given circumstances and therefore “normal,” while he regards sanity as—if not the “norm,” but—another viable way of dealing with reality.<sup>4</sup> Kennedy suggests otherwise: insanity is a comfort against the irrational and absurd reality. But if it is so, why would the Mousebokses wish to be seen as sane, and transfer the stigma of mental illness to others? They define “insanity” as an “affliction exclusively confined to others, particularly those in authority” (Kennedy 114–15). But it is also general human behaviour when we like to see ourselves as the “norm” and the Mouseboks argument conforms to the normally accepted notion that one is incapable of

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<sup>4</sup> Before Laing, Adolf Meyer developed much the same idea at John Hopkins: “In [Meyer’s] view schizophrenia was just one form of ‘reaction’ to stressful life events. Meyer’s view of schizophrenia was essentially what Brown . . . has termed the ‘normalising view’ and implied that anyone, given this set of life experiences, might react this way” (Forrest 3). Laing’s (much-debated) contribution in his late work was breaking down the walls between sanity and madness; reason and unreason; logical and illogical thinking; and normal and abnormal behaviour.

objectively evaluating one's mental condition. If we accept Laing's basic tenet that the insane are elected by others who regard themselves as sane, then the act of the apparently insane Mouseboks calling others insane may be interpreted as the last resort of the ones who are stigmatised as insane by the others.

The entry on despair seemingly contains a comic paradox when depression is described as "a kind of relaxation" and a "sign of intellectual development" (Kennedy 111). Again, from a "normal" viewpoint it seems absurd to see depression as a pastime and an intellectual pursuit. Therefore, the operational rules of the Mouseboks family code are fundamentally different from those in "normal" interpersonal relations. Or are they not? It is well known that dejection was a chief emotional motivation shared by a number of poets, writers and visual artists at the turn of the 18<sup>th</sup> and 19<sup>th</sup> centuries: the "graveyard poets" particularly indulged themselves in depression and forms of mental illness as an intellectual revolt against rationalism. In the Mouseboks dictionary "sleep" is defined as the last haven from depression, which perhaps explains why the related entry on "Dreams" does not contain cross-references to "Nightmares," "Fears" and "Terror." In the Mouseboks world, death is meaningful as long as it is the "termination of an inexhaustible source of *Despair*" (Kennedy 111). Despair equals life: it is the basic tenet in existential philosophy spelt out in reverse. Death not only delivers the Mouseboks from a lifetime spent in depression but it also provides them with a "[g]ood subject for meditation" (Kennedy 111)—see the widespread cult of midnight meditation on death in graveyards by the graveyard poets. A similar sense of being aware of, or even cultivating, "abnormal" mental conditions is in the focus of the entry on "Fears": the detailed classification of fears (fifteen types are listed) suggests not just a painfully real first-hand experience but also the ability of reflecting on their own mental conditions, which would even be a "topic of philosophical discussion" between the Mouseboks, "were they not afraid to mention them" (Kennedy 112).

"Guilt" is perhaps the most paradox-ridden paragraph. In contrast to what the Mouseboks say, guilt cannot be an "unfamiliar concept" if they are conscious of having it. That the Mouseboks habitually commit "guilt-inducing" acts even though they know they will suffer from guilt may not cross the boundary of "normal" behaviour, but it is a curious fact that "churchmen and moralists" know about that habit. How can they, if other "experts," such as psychiatrists, are said to be ignorant of them? And how do the Mouseboks know that the churchmen and moralists know about them? Three paradoxes are followed by a seemingly rational step: "This disturbance to the spiritual equilibrium of so many devout men is a huge source of satisfaction to all Mouseboks, although tremendous guilt prevents them from celebrating it too openly" (Kennedy 114). But it really is not logical from either a sane or an insane perspective, because, on the one hand, it is their habit to commit guilt-inducing acts. On the other hand, how would the churchmen know that the Mouseboks know that they know about what the Mouseboks know? And vice versa: how would the Mouseboks know what the churchmen think about what they think about the churchmen?

Due to passages like the entry on guilt the hypothesis has been raised that Kennedy's fiction (*Now That You're Back* included) may be read in the narrower context of Scottish Presbyterianism.<sup>5</sup> Scottish literature is rich in works which reflect on the infamously guilt-inducing and pessimistic side of this religious–social heritage and Laing himself suffered from a Presbyterian upbringing, too. Could the Mouseboks represent a section or aspect of Scottish society, or is it more likely that they represent us, human beings—our own faults and narrow-mindedness, or at least an aspect of our selves that we would like to deny or hide? Both are likely. Kennedy brings into being a non-restrictive kind of textual reality that does not define or finalize types of human behaviour. Instead, it raises questions—rather disturbing questions—and even that is done indirectly. Like our Mouseboks selves, the authorial intention is hidden under layers of paradoxes, contradictions, logical and illogical steps, and different kinds of verbal humour. Instead of explaining something with certainty, Kennedy makes us more uncertain about self, psychology, behaviour, fears, desires, family, society, and, last but not least, sanity and insanity.

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<sup>5</sup> "[T]he profile [Kennedy] presents is plagued with guilt, greed, and a loathing of, yet commitment to, a conservative morality play with common stereotypes of Scottish character—parsimonious, self-righteous, and . . . convinced that 'guilt is good' and 'joy is fleeting . . .' In developing the Mouseboks description, Kennedy subtly insinuates issues of Scottish character, as well as human flaws . . ." (March 153).

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# American Studies



**Passion on the frontier, Passion on the plantation:  
A comparative look at the use of religion in the Indian  
captivity narrative and the slave narrative**

ANDRÁS TARNÓC

**I**

Several observers of American culture, among them John Barbour assert that the slave narrative, the second form of life writing in American literature, had emerged from the Indian captivity narrative. While both texts commemorate “suffering in the hands of an unjust and unfeeling captor,” the respective accounts served different purposes. Roy Harvey Pearce identified reinforced religious commitment, anti-Indian or anti-French propaganda, and the need to provide a tantalizing reading experience in the form of the “penny dreadful” as the main wellsprings behind the rise of the Indian captivity narrative (9). The slave narrative promoted resistance to slavery, contributed to the organization of the Black community along with affirming the humanity of the slave (Bailey 57).

In both genres the re-creation of the self, or the assertion of identity tends to take a central position as the authors provide a response to the “Heideggerian nothingness” (Baker 31) generated by their respective form of captivity. Both falling in the hands of Indians and becoming chattel on a plantation triggered a heightened religious awareness. Thus, as Baker posits, slaves had two choices upon encountering the boundaries of the *peculiar institution*: an idealized yearning for the forsaken home, or the adoption of the religion of the captor. While most fugitive slave authors settled for the first choice, reinforced religious commitment is one of the most frequently deployed survival strategies in captivity narratives as well. Mary Rowlandson recognized that the omission of religious duties and obligations could have been one of the reasons behind her ordeal and the same conclusion can be discerned in John Marrant’s *Narrative* too. In the present paper I focus on two religious patterns applicable to both genres: the technique of typology and the concept of the Talking Book.

**II**

As Barbour argues, autobiography by its very nature tends to be a religious genre (Juster 9). Typological considerations or primarily the protagonist’s self-identification with biblical characters is one way to express such religious impulse. According to Bradbury and Temperley, typology can appear in two forms: either within the Scriptural framework via establishing correlations between figures of the Old

Testament and the New Testament, or through forging a link between secular and church history (41). Thus in line with the Augustinian view of the Old Testament as the anticipator of the New, such biblical characters as Job, David, and Daniel prepare the way for the appearance of the religious master trope, the figure of Christ, thereby enabling the particular author to provide an explanation for the captivity or slavery experience. In addition to expressing a renewed commitment to the tenets of Christianity, typology can thus justify the respective ordeal on the individual and community level as well.

The former slave author tends to display an attitude to religion significantly different from that of the Indian captive. While for the latter the captivity experience serves as a springboard towards the reinforcement of his or her religious commitment, the slave narrative's adoption of Christianity is often coupled with its condemnation, as it can be seen in the following comment by Olaudah Equiano: "O, ye nominal Christians! might not an African ask you—Learned you this from your God, who says unto you, Do unto all men as you would men should do unto you?" (318) In the same vein Harriet Jacobs' *Incidents in the Life of a Slave Girl* (1861) also contains a passionate condemnation of slavery contrasting the lofty principles of Christianity with the heinous practices of the *peculiar institution*: "A human being sold in the free city of New York! The bill of sale is on record, and future generations will learn from it that women were articles of traffic in New York, late in the nineteenth century of the Christian religion" (1748).

It is noteworthy, that the typological strategy of both ethno-racial groups employs similar biblical imagery. Accordingly, captivity accounts provide an example of the jeremiad, presenting the confinement experience as a punishment for less than satisfactory religious commitment (or, as in Mary Rowlandson's case, the omission of religious observances), while at the same time the fact of being captured served as an indication of reaching the status of God's elect. Ironically the concept of being chosen surfaces in African-American culture as well. Alexander Crummel, for instance, interpreted slavery as a test for the black community: "The Almighty seizes upon superior nations and by mingled chastisement and blessing, gradually leads them to greatness" (qtd. in Lewis 163).

Such conclusions eventually echo in Tara Fitzpatrick's recognition of the combination of individual fate and national destiny in the Indian captivity narrative. The connection between election and affliction established the foundation for the conversion process including the following stages: a commitment to a relentless struggle against evil, sanctification, and assurance or receiving divine confirmation of reaching the status of the "exclusive elect" (Fitzpatrick 7–8). The Puritans interpreted captivity as chastisement for insufficient faith, and as God's extraordinary means of convincing the lukewarm. Likewise, Jacobs' text is considered by Jean Fagan Yellin a "confession of a fallen woman" (Jacobs 1725).

John Marrant's *A Narrative of the Lord's wonderful Dealings with John Marrant, a Black* (1785) is often mistakenly seen as a slave narrative, but in fact it commemorates the ordeal of a black freeman. Marrant, born in 1755, primarily due to his musical talent had enjoyed a hedonistic life until his meeting with George

Whitefield, one of the main influences behind the Great Awakening, a movement aiming at the reinforcement of the tenets of Calvinistic Puritanism in the middle of the 18<sup>th</sup> century. The protagonist's subsequent religious zeal alienates him from his family. Having been rejected for his spiritual commitment he escapes into the surrounding wilderness. After wandering for days without food he is picked up by a Cherokee hunter then he is taken to the tribe's village.

Upon arrival into the Cherokee village Marrant is threatened with execution twice, both times, however, he escapes by self-presumed divine interference. The author often resorts to typology, mainly in the form of invoking biblical characters as role models. Before being executed he compares himself to Daniel in the lion's den or to Shadrach, Meshach, and Abednego in the fiery furnace of Nebuchadnezzar. In both instances Christian prophets were called upon to prove their faith and escaped due to a demonstration of their spiritual steadfastness. In addition to the obvious parallel of death by fire, the analogy has another dimension as the captivity motive also reverberates in the Book of Daniel, commemorating the Babylonian captivity or the *Judea Capta*, originating from 486 BC.

While Marrant can certainly be cast in the role of Daniel, the Cherokee Chief, unlike his biblical counterpart, refuses to succumb to the captive's God, even though Marrant goes as far as declaring that "the king's house became Gods' house" (193). The author also invokes the Book of Jacob reinforcing the *Narrative's* jeremiad function. Jacob counsels patience in light of suffering, while he asserts that those enduring in temptation yet tried by the Lord will enjoy a happy life. Marrant's references to Matthew 26 anticipate the Christ figure, as the protagonist standing in front of the Chief and defending his religion inevitably invokes the image of Jesus interrogated by the judges.

Biblical parallels can be discerned in Briton Hammon's *Narrative*, whose protagonist also regards his escape from captivity a result of divine interference: "*And now, That in the Providence of that GOD, who delivered his Servant David out of the Paw of the Lion and out of the Paw of the Bear, I am freed from a long and dreadful Captivity, among worse Savages.*" (Hammon) Moreover, highlighting slavery as a test or trial of one's faith, Harriet Jacobs' protagonist Linda Brent at the grave of her parents recites Job 3.17-19: "There the wicked cease from troubling, and there the weary be at rest" (Jacobs 1739).

However, the typological approach of the Indian captivity narrative and the slave narrative tends to differ in some key respects. Werner Sollors' notion of typological ethnogenesis or "the use of biblical formations adopted by an ethnic group in establishing its identity" (Bailey 61) applies to the slave narrative. Unlike the protagonist of the Indian captivity narrative, whose subject status or humanity was in some cases reluctantly acknowledged, writing for the slave not only constituted identity building on the individual level, but came to signify the whole African-American community.

According to Barbour three aspirations, the healing impulse, the assertion of individuality, and the reiteration of racial difference, were grafted on the religious foundation of captivity and slave narratives. On a metaphysical level healing and the

concept of individuality, and by extension identity building, intersect. Healing implies filling a void, or vacuum left by a stolen or destroyed identity. Consequently, the writing process conveying the hope of healing fulfills a therapeutic function. The social death of a slave and the symbolic demise of the captive are countered by writing. The commemoration of externally imposed suffering underlined the victim's humanity and, as Henry Louis Gates asserts, writing for the slave did not primarily mean the mastery of letters, but a membership in the human community (128). Moreover, Emory Elliot emphasizes the journey motif while he regards both types of protagonists "tested saints" in a social environment determined by inner depravity (69).

Following the mutually applicable principle of "redemptive suffering", both the slave and the Indian captivity narrative provide examples for the deployment of the Christ trope. Similarly to Isaac Jogues' self-professed re-enactment of the Passion,<sup>1</sup> John Marrant starving and lost in the woods revels in suffering: "I prayed [...] that the Lord would take me to himself. Such nearness to God I then enjoyed" (186). Such assumption of the mantle of the Redeemer not only results in a moral victory, but in the elevation of individual suffering to universal level. Both the captivity narrative and the slave narrative generate a self-healing effect. As a result of the ordeal the individual is lifted from his miserable solitude, and acquires a faith similar to the suffering and death of God benefiting eventually the whole world (Jung 106). The healing function also implies that both the slave and the captive have to develop strategies designed to deal with the cultural and psychological vacuum they find themselves in. As Mary Jemison laments:

It is impossible for anyone to form a correct idea of what my feelings were at the sight of those savages, whom I supposed had murdered my parents and brothers, sister, and friends [...] But what could I do? A poor little defenseless girl; without the power or means of escaping; without a home to go to [...] I felt a kind of horror, anxiety, and dread, that, to me, seemed insupportable. I durst not cry—I durst not complain [...] My only relief was in silent stifled sobs (70)

This is countered by Equiano's desperate cry: "I now wished for the last friend, death, to relieve me" (315). Similar sentiments are voiced by Harriet Jacobs as well: "Pity me, and pardon me, O virtuous reader! You never knew what it is to be a slave, to be entirely unprotected by law or custom, to have the laws reduce you to the condition of a chattel, entirely subject to the will of another" (1734). The same message is conveyed by Charles Ball's 1836 *Narrative* as he passionately protests the tyrannical oppression instituted within the system of slavery.<sup>2</sup>

<sup>1</sup> "I render thee thanks, O Lord Jesus, that I have been allowed to learn, by some slight experience, how much thou didst deign to suffer on the cross for me, when the whole weight of thy most sacred body hung not by ropes, but by thy hands and feet pierced by hardest nails" (18).

<sup>2</sup> "Despotism within the confines of the plantation, is more absolute and irresistible than any that was ever wielded by a Roman emperor" (*A Narrative of the Life and Adventures of Charles Ball, a Black*

The question of individualism crystallizes in the concept of identity. The slave narrator similarly to the protagonist of the captivity narrative achieves identity via authorship. However, although Richard Slotkin discerns a valid connection between the two genres by recognizing the spiritual deprivation of the slave as a form of captivity recalling a Christian suffering in Hell, one must be mindful of the fact that the slave is tormented among Christians, while the captive is surrounded by heathens.

Consequently, in Harriet Wilson's *Our Nig* (1859) the evil mistress Mrs. Belmont, when she recognizes that religious practices might steel her maidservant, Frado's resolve and bring her closer to the family, she deprives her of opportunities to practice Christianity: "She should not go out of the house for one while, except on errands; and if she did not stop trying to be religious, she would whip her to death. Frado pondered; her mistress was a professor of religion; was *she* going to heaven?" (2634) It is beyond doubt that the protagonist, just like Equiano, calls Christianity to task for its complacency in slavery.

In close connection with the sentimental novel, both the Indian captivity narrative and the slave narrative tend to identify the captor with evil and the respective authors' immersion in the "luxury of sorrow" highlights the sufferer's humanity. Similarly to Mary Kinnan, and Rachel Plummer Jacobs and Wilson all describe the moral depravity of the slave holder. Mrs. Belmont's brutality toward Frado is condemned by her family, and Dr. Norcom's sexual advances toward Linda (Jacobs) earn the scorn of his wife. While the very act of writing proves the slave's individuality or presents him or her as a subject possessing the power of expression, in Jacobs' case it takes on a curiously negative light as Dr. Norcom wishes to take advantage of Linda's new found literacy as a potential means of communication in their illicit affair.

The question of race is closely woven into the issue of identity. While in both cases the captive is forced to encounter the ethnic or racial Other, certain differences can be identified in the components and outcome of the Othering process. Namely the Indian captive is held by an already Othered group, while the slave is controlled by the socially dominant slave holder. Whereas the captivity narrative served purposes of self-definition at the expense of the Indian, the slave could not find such a reference point in the white slave owner. The Puritans saw the devilish, inverted versions of themselves in the Indians, while the slave's humanity was denied from the start. Consequently, whereas the Indian was excluded from the Christian universe, the emphasis on his inhumanity paradoxically reinforced his evil, threatening, yet still human nature. The construction of the Indian as the arch-enemy, as shown by Joseph Willard, also implies a reluctant allocation of agency: "Their approach was noiseless like the pestilence that walketh in the darkness and a dwelling wrapt in flames, or a

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*Man*; in Sundquist 242). Furthermore, one cannot overlook the fact that Christianity was also deployed to justify the institution of slavery: E.g. William J Grayson's (1788-1863) poem "The Hireling and the Slave" (1856) widely considered as the South's response to Uncle Tom's Cabin: "In this new home, whate'er the negro's fate— / More blessed his life than in his native state! [...] In sloth and error sunk for countless years / His race has lived, but light at last appears— / celestial light: religion undefiled / Dawns in the heart of Congo's simple child." (in Sundquist 247)

family barbarously murdered and scalped were usually the first intimation of their appearance” (Faery 56). Moreover, Hugh Henry Brackinridge in the Preface to the *Narratives of the Late Expeditions* (1783) asserts that “These Narratives may be serviceable to induce our government [...] to chastise and suppress them; as from hence they will see that the nature of an Indian is fierce and cruel, and that an extirpation of them would be useful to the world, and honorable to those who can effect it” (Pearce 10–11).

According to Gates, the *Talking Book* is a defining trope of early African-Anglo and African-American writing. The concept primarily refers to an encounter of either Indians or blacks with the cultural artifacts of the European or Euro-American colonizer. The motif carries a primarily religious connotation as the respective text in question is in most cases the Bible itself. The traditional interpretation suggests a meeting of two opposing cultural impulses, orality and a written culture. Consequently, the pagan or non-Christian sees a European praying with a Bible in hand and having attempted to do the same, the book “does not talk,” or in other words the captive or slave cannot read it.

The motif appears for the first time in the work of James Albert Ukawsaw Gronniosaw, *A Narrative of the Most Remarkable Particulars in the Life of James Albert Ukawsaw Gronniosaw, An African Prince* (1772). Gronniosaw was the first black author published in Britain. Relating his experiences on a slave ship he recalls the episode during which he attempted to imitate his master’s prayer recital:

He used to read prayers in public to the ship's crew every Sabbath day; and when first I saw him read, I was never so surprised in my whole life as when I saw the book talk to my master; for I thought it did, as I observed him to look upon it, and move his lips. – I wished it would do so to me. – As soon as my master had done reading I follow'd him to the place where he put the book, being mightily delighted with it, and when nobody saw me, I open'd it and put my ear down close upon it, in great hope that it wou'd say something to me; but was very sorry and greatly disappointed when I found it would not speak, this thought immediately presented itself to me, that every body and every thing despis'd me because I was black.

For Gronniosaw his inability “to make the book talk” implies his exclusion from the Christian universe as well. Religion thus fails to offer consolation and instead of the reaffirmation of his humanity, it evinces the protagonist’s self-perceived inferiority.

The Marrant *Narrative* provides another telling example. While interrogated by the Cherokee Chief, the protagonist resorts to reading Psalms from the Bible, an act presumed by the Chief and his daughter as talking or interacting with the book. The Chief’s disbelief upon encountering Marrant’s religion is emblematic of the misunderstanding between the two cultures. It is noteworthy, however, that in this case the representatives of two marginalized cultures meet. Yet, Marrant, a black freeman is in the position of the missionary and functions as the protector of Christianity. Consequently, following Susan Mizruchi, he is “truly a man with a

cross,” (xi) and his pre-execution prayers amount to proselytizing. The result of the encounter is once again a clash between the zealot and the heathen, and the outcome cannot be questioned. Assigning the function of cross-bearing to the slave and to the Indian captive indicates a heightened level of religious commitment, symbolizes the respective ordeal, and demonstrates moral fortitude while calling for adherence to Christian principles.

The trope of the Talking Book appears in other slave narratives as well. One of the best known examples is Olaudah Equiano’s description of his captors on a slave ship en route to the Caribbean. This encounter, however, is narrated from the perspective of the muted and dominated. While Marrant is a representative of the settler culture, Equiano is the African Other to whom the white master’s prayer appears as an exotic religious practice. He recognizes the spiritual aspect of the situation and the importance of direct communication. Thus on the slave ship two religious views or perspectives, the visible and invisible church face each other. While European Christianity was mostly based on institutional arrangements primarily represented by an established church hierarchy, African religion favored more direct forms of worship.<sup>3</sup> It is also noteworthy that Equiano’s description of his captors is similar to that of white captives’ portrayal of Indians and just like those held captive by Native Americans he is apprehensive about being a potential victim of cannibalism.<sup>4</sup>

### III

As we have seen, the primary common denominator between the two genres discussed in this essay is religion. Both the Indian captive and the black slave were removed from their original home and culture. While the white female captive was taken into the wilderness, the black slave was integrated into the social structure of the plantation. The Indian captive was forced to share the nomadic lifestyle of his or her captors, meanwhile the black slave was restricted in movement. It is the respective protagonist’s response to the resulting “Heideggerian nothingness” (Baker 31) implied by forcible removal that determines the intensity of the Passion taking place either on the frontier or on the plantation. In case of the former the Indian captive projecting an image of a devout believer lost and stranded among pagans views religion as a tool of identity construction and self-definition, while the slave often condemns Christianity for its covert approval of the “peculiar institution.”

Elliott points out that through the slave narrative the white reader was forced into a common reading experience with the black author (38). The typological techniques testified to the relatively easy adoption of the “tormentor’s religion”

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<sup>3</sup> According to Lincoln and Mamiya, African-American spirituality or the Black Sacred Cosmos is comprised of an African perspective asserting the sacredness of the whole universe along with a more selective and institutionalized Christian perception (2). The Gronniosaw *Narrative* is also instrumental: “My dear indulgent mother would bear more with me than any of my friends beside.—I often raised my hand to heaven, and asked her who lived there? was much dissatisfied when she told me the sun, moon and stars, being persuaded, in my own mind, that there must be some SUPERIOR POWER.” (1)

<sup>4</sup> “I asked them if we were not to be eaten by those white men with horrible looks” (315).

(Bailey 57), but the misdirected cultural messages manifested in the concept of the Talking Book offer potent illustrations for the limits of such aspirations. While Gordon Sayre identifies such points of intersection between the two genres as the conversion narrative and spiritual autobiography (186), it has to be kept in mind that the reader of the Indian captivity story has already established a common reading ground with the author, whereas the white reader of black slave narratives has yet to develop and experience such mutual sympathy. Although the slave narrative has flourished on the soil of the Indian captivity narrative, its cultural impulse surpassed that of its predecessor as it not only established the humanity of the slave, but writing him or her into being, laid down the first stones on the road culminating in the elimination of the institution of slavery.

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## Revisiting the Legacy of János Xántus: An Inter-American Approach

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### Introduction

János Xántus is one of the best known travel writers from 19<sup>th</sup>-century Hungary, whose travel accounts on the United States have been studied extensively and who is one of those few writers whose American (both US and Mexican) travelogues and many private letters are available in English as well (Xántus *Letters*; Xántus *Travels*; Zwinger). Scholars both in Hungary and abroad studied his achievements as an ornithologist, ethnographer, a naturalist, and an early explorer of the American West (Madden; Könnnyű; Katona; Glant; Bollobás). He is often included in popular albums on Hungarian travelers and explorers (Kubassek), often presented as the inspiration for Karl May's character Old Shatterhand, a school is named after him in the Hungarian capital, while the Zoo and a Museum in Győr also bear his name. Still, it is important to revisit and reexamine his legacy as several aspects of his American activities have to be clarified and so far little studied sections of his texts on the New World have to be analyzed in further detail.

Most of the studies written by Hungarian scholars have focused on Xántus' hardships and achievements in the New World, his experience as a Hungarian-American, his work as a collector for the Smithsonian Institution, and his descriptions of the United States. Even if Henry Miller Madden proved in 1949 already that Xántus plagiarized several sections of his books, this fact is rarely mentioned in these studies. Therefore, firstly, I would like to discuss the issue of plagiarism in Xántus' works and its effects on travel writing in general and the Hungarian image of the Americas in particular. Secondly, so far less critical attention has been devoted to Xántus' Mexican travel accounts and their analysis in an Inter-American context, thus, the discussion of this aspect will also be included in this essay. As Xántus' life has been studied and presented in detail in the studies mentioned above, I decided not to include an in-depth biography here, in the following section, as a way of introduction, I will focus only on those aspects of his life that are related to the above mentioned two objectives of this paper.

### Xántus: Travel Writing and Plagiarism

The difficulty scholars face when discussing the life of Xántus is that “verifiable biographical facts about Xántus are few” (Zwinger, *Cabo San Lucas* 11) and sometimes they have to rely only on his own accounts, which are not necessarily

trustworthy.<sup>1</sup> We know that following his participation in the Hungarian War of Independence, and imprisonment by the Austrians, Xántus sailed for America in 1851. The first few years of his life in the New World is an obscure period, mostly because the major source of information is Xántus himself and numerous events he related proved to be falsities. Similarly to other Hungarian emigrants of the time, Xántus struggled in the first period of stay in the United States assuming different (sometimes menial) positions.<sup>2</sup>

Xántus became a naturalized citizen in 1855 and he enlisted in the US Army in St. Louis (under an assumed name). He started army service at Fort Riley in Kansas Territory. It was here that he began collecting for Spencer F. Baird, Assistant Secretary of the Smithsonian Institution. After receiving a new assignment (as hospital steward), Xántus moved to Fort Tejon, California. Xántus established a good reputation as a naturalist and collector despite the many difficulties he encountered during his work. Even while at Fort Tejon, Xántus began arranging for collection at a new location (Lower California, in the territory of Mexico) and asked Baird for his help. As Baja California was largely unknown, Baird was also interested in such a venture and arranged for Xántus' appointment as tidal observer for the US Coast Survey.

Xántus arrived in Cape San Lucas (Mexico) in 1859 and remained there until 1861. The area was virtually *terra incognita* for science and, of course, for Hungarian readers as well. Just like in Fort Tejon, he worked with great enthusiasm and provided unparalleled collections, accompanied by praising remarks from Baird and other scientists. In August 1861 he received orders to close the station, he left for San Francisco, and later returned to Hungary where he stayed for a year. At home he was already in the center of public attention as a result of his specimens sent to the National Museum and his publications that were already available in Hungary (see below). Still, in 1862 Xántus left the mother country to return to the US and later he was appointed US consul at Manzanillo (state of Colima, on the West coast of Mexico). However, as Zwinger claims, "Xántus was a disaster as a consul. He assumed his duties January 1, 1863, recognized the rebel chief of a local tribe who kidnapped an American citizen, paid the demanded ransom, and promptly got sacked by the State Department, who closed the consulate that August" (Zwinger, *Cabo San Lucas* 31). Xántus remained in Mexico for a few months to collect but the fiasco (and the ensuing Civil War in the United States and French intervention in Mexico) meant the end of his career in the Americas and he returned to Hungary permanently, where he was already welcomed before and where he hoped to acquire a respectable position.

Xántus became famous in Hungary mostly as a result of his two books detailing his experience in the Americas. The first of these was *Xántus János levelei Éjszakamerikából* [Letters of János Xántus from North America] published in 1858 (hereafter referred to as *Letters*) and detailing his experience in the United States.

<sup>1</sup> Unless otherwise noted, the biographical overview is based on Madden's book.

<sup>2</sup> For more information on the life of Kossuth emigrants in the United States see Vida 29–49. For a short biography of Xántus see Vida 206–207.

These included letters sent to his family and not intended for publication originally. The book included many fabrications and falsities but was an important source on the United States of the time. The second book was published in 1860 under the title *Utazás Kalifornia déli részeiben* [Travels in Southern California] (hereafter referred to as *Travels*) and it was written specifically for the public. This book, especially the section on the California peninsula and Baja California, will be analyzed in detail below. The section on the peninsula provides an account of an alleged expedition, a voyage by sea from San Diego to San Bartolomé Bay (Turtle Bay) and a land journey to La Paz and back. This expedition (that Xántus claimed was supported by the US government) proved to be an invention and most of the text was plagiarized from various sources. Besides these books, numerous publications appeared by Xántus in various newspapers including *Győri Közlöny*, *Pesti Hírnök*, *Magyar Sajtó*, and *Földrajzi Közlemények*.

While several studies written by Hungarians emphasized the achievements of Xántus (as one of the most successful collectors of the Smithsonian who discovered several new species), the pioneering nature of his American life and travel accounts, international scholars were more willing to expose the weaknesses of Xántus' texts also, which ranged from the inclusion of aggrandizing stories and major exaggerations to outright plagiarism. He really did travel to regions not visited by Hungarians before (both in the United States and Mexico), he did provide the Smithsonian with unparalleled collections of often unknown species, but his liberal treatment of other people's writings and the fact that he also wrote about places he never visited casts a shadow over his legacy.

When Theodore Schoenman wrote the introduction to his English translation of Xántus' book on Southern California in 1976, he referred to Xántus as an "extraordinary combination of rare scientific ability and quite unaffected exaggeration, even braggadocio" (Xántus, *Travels* 18). Schoenman claimed that sometimes Xántus invented circumstances and shaped happenings to make him appear in the most positive light possible. "In his overweening ambition to achieve status and eminence—a pardonable objective—he was virtually obsessed by the desire to impress his family and friends" (Xántus, *Travels* 18). Schoenman, however, did not refer directly to instances of plagiarism and decided to publish the English version of the text without any footnotes at questionable sections. A similar attitude can be found in even more recent publications and studies on Xántus both in scholarly and popular writing.

The lack of clear references to the act of plagiarism and the invention of circumstances is a peculiar omission in these texts as several of them make clear references to the work of Henry Miller Madden published in 1949. Madden wrote a detailed biography of Xántus in which he did extensive research to shed light on the little known and most obscure parts of Xántus' life and he also examined his work as an author. Madden provided a detailed list of very often verbatim correspondence between Xántus' texts and publications of various European and American explorers and writers. In *Travels*, "three explorers fell before his plagiaristic assault, and their narratives were hacked to yield the utmost in sensation and incident" (Madden 224).

Xántus used the works of Jonathan Lettermann, Major William H. Emory, and Lieutenant James W. Abert, and even took sections from a report written by Baird. He adapted the original texts to his story and the expectations of his Hungarian audience. The chapter on the Mexican sections of *Travels*, in focus below, also drew extensively on the above mentioned sources: “The material for this chapter was drawn indiscriminately from Emory and Abert, whose narratives describe the Indians, cliff-dwellings, and ruins of New Mexico. It was not taken in the order given it by its authors, as was the case with the text plagiarized from Letterman, but was jumbled to suit Xántus’s feuilletonistic purpose” (Madden 228). Of the eight lithographic plates at least six are plagiarisms and the provided map was also copied.

In a book review of the translation of Xántus’ *Travels* William Bright also criticizes Schoenman for not indicating clearly the findings of Madden: “Since the Schoenmans were acquainted with Madden’s expose, why did they think they could salvage Xántus’s reputation by ignoring well-documented facts? Why should they want to revive a hoax perpetrated on Hungarian readers in 1860, perpetrating it afresh on American readers in 1976?” (Bright 145) It seems that in this translation, as well as in some of the studies written later, authors disregarded the weaknesses of Xántus’ character and emphasized the unique achievements of the Hungarian immigrant instead of providing a more balanced evaluation of his work. I share the attitude of Bright with regard to the criticism of Xántus: “the sad part of the story is this:” writes Bright, “Xántus *did* live for many months at Tejon and at Cabo San Lucas; he *could* have transcribed genuine data from tribes now long extinct—the Tataviam, perhaps the Pericti. The human sciences today are the poorer, not because of what Xántus did, but because of what he failed to do” (Bright 146). Xántus lived in an area that was *terra incognita* not only for contemporary natural science but, of course, for Hungarian readers as well. By providing his own accounts, not falsifying the texts of others, he would have contributed to the cultivation of geographical knowledge in Hungary even more than it was the case.

At the same time, we also have to acknowledge that contemporary readers (scholars included) did not realize that Xántus made up certain parts of his texts and copied others. Otherwise, he would not have become such a popular author, he could not have become the corresponding member of the Hungarian Academy of Sciences, and could not have taken numerous other positions. Readers assumed Xántus’ accounts to be based on his own experience and to be written by Xántus himself, thus his writings on the Americas contributed to the development of the US and Mexican image the same way as other texts of the time. This also fits into Jan Borm’s definition of travel writing as it refers to any text that relates “in the first person a journey or journeys that the *reader supposes* to have taken place in reality while assuming or presupposing that author, narrator and principal character are but one or identical” (Borm 17). Readers of Xántus assumed his accounts to be true, thus they were influential travel accounts even if taken from others. I would not disregard them

as easily as Zwinger does for example<sup>3</sup> as his books provided fascinating texts for armchair travelers (and were very popular at the time), they were major contributions to the field of travel writing, and they were crucial in the development of the Hungarian image of the Americas.

There was a huge interest in Hungary in events taking place in the New World and readers did not or could not distinguish between false and true accounts. Thus such travelogues played an equally valid role in the development of a Hungarian view of the Americas and thus should be considered with equal value (similarly, obviously, to fictional accounts like short stories and novels) as travel accounts based on real experience. With regard to Mexico, Xántus offered one of the first descriptions of the country and thus had an important role as a pioneering travel writer, even if his Mexican accounts were not fully based on his own experience. Therefore, when discussing the achievements of Xántus, a more balanced approach is necessary. While not denying his unique achievements, we should also accept the shortcomings of his character (including acts of plagiarism) and treat his texts accordingly. Meanwhile, we should evaluate his travelogues within their own, contemporary contexts and continue to study them as important sources on the Americas in 19<sup>th</sup>-century Hungary.

### **Images of Mexico in Xántus' *Travels in Southern California***

The first detailed Hungarian travel accounts on Mexico were written by former revolutionaries, who visited both the United States and Mexico: Károly László wrote a series of articles to *Vasárnapi Újság* about life at the Isthmus of Tehuantepec and his views on Mexico and the United States (1859–1868); Pál Rosti visited Mexico as part of a longer journey in the Americas and in 1861 he published one of the most beautiful travel books of the time (using illustrations prepared based on his own photographs). Xántus also traveled in Mexico the same time László and Rosti did and all shared the experience of the Hungarian Revolution and its aftermath. They all heavily built on former travel accounts written by Western-European and US travel writers while their works carried specifically Hungarian/Central European features as well.<sup>4</sup> Xántus visited different parts of Mexico than the other two Hungarians and wrote in a different style and manner. In this section of the paper, I will discuss the most important images of Mexico discussed by Xántus in Part III of his book *Travels in Southern California* and will focus on the relationship between Mexico and the United States as depicted by the Hungarian.

Xántus invokes many of the basic, recurring images and attitudes of foreign travel writers of the era in his descriptions of Mexico and its population. At the same time, as a result of his special interest in the flora and fauna as a naturalist, the

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<sup>3</sup> Zwinger is very critical in this respect and claims the following: “Of Xántus’ published writings, none are memorable. His scientific writings are minimal and undistinguished. His craving for respect and public approbation led him to fabrication and plagiarization. He wrote for fame, not for truth, and it stamps his writing with mediocrity.” (Zwinger, *Cabo San Lucas* 32)

<sup>4</sup> For an overview of 19<sup>th</sup>-century Hungarian travel writing on Mexico see: Venkovits, “Describing the Other.”

mixture of his Hungarian background and international sources, and his attempts to entertain his audience with boastful stories, he created a unique text in many respects. In a sense, Xántus follows the Humboldtian tradition in *Travels* that reflects an interest in nature predominantly and by including a detailed description of flora and fauna in a (quasi) scientific manner. In his descriptions, he touches on issues of society and culture, but these do not occupy such a central position as for example in the case of László. Nature is represented as beautiful, exotic, and interesting and thus Mexico is depicted mostly through the eyes of a naturalist and collector. Other typical images include that of beautiful women, an unstable political situation, and a negative view of the local population. At the same time, similarly to *Letters*, an interest in Natives is also apparent.

### **Mexico as Nature**

The image of nature was central in most of the travel accounts published about Mexico at the time. László's letters also included descriptions of nature but the environment mostly appeared in contrast to civilization and nature was introduced as something that had to be subdued. At the same time, it also offered business opportunities mostly for American and English businessmen. Descriptions of nature were also emphatic in Rosti's book, he presented Mexico with a romantic attitude towards the beautiful and exotic Mexican scenery, through the eyes of a traveling artist. For Xántus, Mexico almost became equal with natural diversity and beauty as it was presented as a land of unfamiliar species and exotic flora and fauna. Xántus arrived with a preconceived image of California (and Baja California) in mind: "Reading adventure stories of Castelnau and Edgar Allan Poe created in my mind an aura of fantasy of this romantic area whenever my thoughts turned to pearl fishing and other varied adventures our friend Poe's fertile imagination conjured up" (Xántus, *Travels* 89–91). This fantasy manifested itself in a romanticizing approach towards nature, adventure, and a native population in an unknown land. The story of the expedition related by Xántus is often interrupted by detailed descriptions of flora and fauna. At the same time, his accounts very often reflect a scientific approach to travel writing and this results in a special blend of the romantic and the scientific.

This is well illustrated by the following excerpt describing the group's arrival at the village of Cristobal one evening:

[W]e were serenaded by an orchestra of a collection of wolves around our camp. They were barking and howling almost without stop, and when they did stop for a second, they started up again with renewed force, much to our astonishment. There were times in my life when such serenading by wolves was amusing, and in no way unpleasant, sometimes however—as at the present time—it chilled body and soul. (Xántus, *Travels* 97)

This is clearly reminiscent of fictional adventure stories related by Xántus above. However, it is then followed by a minute (scientific) account of the species: "In

America there are seven entirely different kinds of wolves (*Canis fulvus, frustor, albus, ater, griseus, nubilus, and latrans*)” (Xántus, *Travels* 97). Xántus presents their habitat, size, color, provides details on different types of wolves, and compares them with other species. This is a depiction you can rarely find in other travel accounts of the time and it is repeated by Xántus throughout the text (e.g. in connection with the grizzly bear).

Very thorough accounts are included on the flora of the region as well. László also included comprehensive lists of characteristic vegetation but he mostly focused on their practical use and the business opportunities they provided. While Xántus sometimes refers to the price and yield of various natural products also, the scientific interest prevails and Xántus does not behave as the capitalist vanguard (who traveled and wrote as “advance scouts for European capital” looking for business opportunities for their own countries) as described by Mary Louise Pratt (146). Instead, he focuses on detailed botanical descriptions and the beauty of vegetation. It is worthwhile to compare the description of the palm tree in the travel accounts of László and Xántus. László wrote, “from among the trees on the Isthmus of Tehuantepec the following are the most *useful*: the numerous types of palm that provide for the population food, clothing, domestic tools, roof, etc” (László, May 12, 1861). László highlights the usefulness of natural products and the business opportunities provided by them. Xántus has a completely different approach that focuses more on natural beauty than practicality: “above all, however, it is the palm that fills the traveler with wonder, for, with its graceful and majestic appearance, it is justifiably the pride of the tropical climes. Its straight, branchless trunk reaching to the sky, crowned with huge and graceful leaves, offers an exceptional and unparalleled sight” (Xántus, *Travels* 120). Its practical and business use (e.g. mentioning yearly income from palm growing) is only secondary to its beauty. In this sense he returns to Humboldt’s heritage rather than the style of the capitalist vanguard.

As we will see below, the United States served as a reference point for Mexican descriptions in Xántus’ texts (similarly to most contemporary travel writers), in most cases the former occupying a superior position. In one aspect, however, Mexico was presented as an equal match or even superior to the Northern neighbor, in terms of nature and natural significance:

There is hardly a more favorable location in America than the vicinity of La Paz and Todos Santos to apply oneself to that most important task—the fundamental determination of the geographical classification of the birds of the American continent. The bird life of the peninsula truly surpasses anything that may be seen in the northern parts of America (Xántus, *Travels* 150).

The description of natural resources receives a similarly positive treatment, emphasizing the great wealth of the peninsula, however, in this case Xántus also notes that the resources are not used properly, and foreign intervention would be necessary for real progress (this attitude is clearly visible when for example he describes a visit

to the mines (Xántus, *Travels* 136-37)). This takes us to the next topic to be considered, the influence of the United States on Mexico's image.

### **An Inter-American Approach to the Image of Mexico**

The United States occupies a superior position in Xántus' text, similarly to those of László and other travelers of the time. A triangular reference is also present here: Mexico occupies a middle position between the two reference points of Hungary and the United States, the text is not built on binary oppositions only. Hungary serves as an example in many cases to bring the unfamiliar closer to the reading audience and Hungary is also used as a reference point when presenting various data and statistics about Mexico. This, however, is made more ambiguous by the fact that today we know that Xántus in many cases replaced references to the United States in his original sources with Hungary or changed the text to hide his original text.

The position of the United States is more consistent and reflects the general view of the time, emphasizing the superiority of the US and agreeing with the ideology of Manifest Destiny. Although Xántus does not explicitly deal with US politics or US views on expansion, several sections of *Travels* reveal his attitude towards the role of the United States in the Western Hemisphere. The best example is presented when Xántus describes La Paz after his arrival, therefore I would like to quote this section at length:

In the evening of May 7 we arrived at La Paz, the capital of the peninsula and the seat of the government and bishopric. Its population is not yet 10,000 but it is steadily growing for its harbor is the best and safest in the entire Purple Sea. With the exception of the harbors of Constantinople and New York, there is hardly another in the world that can accommodate as many ships as the one at La Paz. . . . It requires no prophet to state with certainty that in a few years La Paz will be one of the most important cities on the shores of the Pacific Ocean. (Xántus, *Travels* 128)

However, Xántus claims that changes are needed to exploit these opportunities and continues: "Such a change can only come about at a snail's pace, as long as the peninsula belongs to the Mexican Republic, for flourishing commerce in Mexico is unimaginable." Mexico is often depicted in *Travels* as a politically unstable country (which it really was at the time) and this volatility resulted in the inability of its population to govern itself successfully according to Xántus.

If, on the other hand, the peninsula should become the property of the North American Union, which is only a matter of time, for it will inevitably happen before long, then La Paz will become one of the main depositories of American industry; . . . . Furthermore, due to its geographical location, La Paz could become for the North American

Union what, for example, St. Helena, Gibraltar, Malta, or Bermuda constitute in the hands of the British.” (Xántus, *Travels* 129)

In this respect, similarly to László, Xántus seems to identify with the US Southern, expansionist approach and would support US expansion in the region. Such an attitude changes only at the turn of the century in Hungarian travel accounts (see works of Bánó).

At the same time, it seems that Xántus adopted different attitudes towards the US and US citizenship depending on the purpose of his texts. Sometimes he clearly identified with the United States: when he wrote about the US and wanted to emphasize the country's progress compared to Europe, he used 'we' and 'our' often: "by the time the Europeans reach *our* present state of progress, *we* shall be traveling at least in airships, or perhaps even in canon shells with telegraphic speed" (qtd. in Madden 160). In other cases (in *Travels* for example) he emphasized his Hungarian background and identification with the motherland even while in the Americas: "believe me, my friends, the Hungarian can never become American, for his heart and soul can never become as hard as the metal from which the dollar is minted. There is only one place for us in this great wide world: 'Home,' which may not be great, magnificent or famous, and though poor, is still the most potent magnet for its wandering sons" (Xántus, *Travels* 94). His letters to Baird tell yet another story: "I am not only by my naturalization deed an American, but with all my heart and soul; and should be always happy to serve under the stars & stripes, no matter where or in what capacity, provided I was allowed a reasonable subsistence, a reasonable indepen(den)ce, and should be fairly dealt with always" (qtd. in Madden 142). This seems to be an inconsistency in Xántus' accounts; however, it fits into his style of changing his texts according to the effect he wanted to achieve. Identification with the US changed depending on who he wrote to, but identification with (or sympathy towards) Mexicans was never present in his text. Mexico was regarded by him probably only as a springboard, as an opportunity, and his negative view of the country is best reflected in the descriptions of the populace.

### **The Mexican Population**

The description of various segments of society is not in the center in the Mexican sections of *Travels*, for example there are no detailed taxonomic descriptions of the populace. The portrayal of different social groups and culture is marginal. Still, from various sections we can identify Xántus' views of the population and his general attitude towards the people of Mexico. The backwardness of the country, as mentioned above in connection with La Paz, is partly the result of the nature of the population. Xántus expressed negative expectations and preconceptions from the very beginning: "Mexico is particularly strict in the examination of foreigners. Their customs and health inspectors always harass the travelers. . . . To our great surprise however, we came ashore without anyone inquiring about who we were, where we came from, or where we were going to." Xántus even provides an explanation for

such a “change” in manners: “this, for us—pleasant—neglect, was undoubtedly due to the revolutionary upheaval in the country” (Xántus, *Travels* 94). Whenever there is a reference to a positive example (i.e. not being harassed by Mexican officials), something that goes against his expectations, Xántus dismisses it as an exception. From the beginning of his accounts, Xántus seems to echo negative preconceptions also propagated by former European and US travelers.

Xántus sometimes refers to the people as “creatures” and the general image of the population is quite negative: “the large majority of the work force are Indians, half-breeds, and Mexicans who are apparently the most impractical people in the world and faithfully cling to the customs of their forefathers, firmly convinced that ‘if I take care of today, Providence will take care of the morrow’” (Xántus, *Travels* 145). The description of the La Paz population is similar to the depiction of the port itself presented above. The area and the city itself is beautiful, it offers a wide variety of products, has a favorable climate, but “in consequence, the population of La Paz is just as lazy and lethargic as any other Spanish American people, for under such an hospitable climate few people have the incentive to acquire more than is absolutely necessary” (Xántus, *Travels* 146-47). Repeating László’s depiction, Xántus also claimed that foreigners are the only ones who work hard and can improve the country, they are the ones, “who exert every effort to achieve their aim, which is to get rich” (Xántus, *Travels* 147).

Similarly to other travelers of the time, Xántus had an especially negative view of the Creole population. When presenting a typical day in a very sarcastic way (“to illustrate the smug self-indulgence of a *hidalgo* of La Paz”), he applies European values again and shows contempt for the local populace:

Seeing all this, and personally experiencing the exceptional hospitality of the Creoles to strangers, it would seem that their life is the most attractive and happy in the world. It may be so for the natives, but the North American and European who has learned to live a productive and intellectually satisfying life, would soon be bored by this life style and quickly realize that tropical life is not for him. . . . It is not life but merely vegetation.”  
(Xántus, *Travels* 149)

Xántus claims that education and literature are largely neglected, “scientific institutions are nonexistent on the peninsula,” thus providing the reason for the low status of the general population.

Xántus, just like in his *Letters* and other parts of *Travels*, expressed a great interest in the native population. With regard to the California peninsula, he provides descriptions of the Natives when meeting various Indian groups, representing different tribes. As Glant claims, descriptions of the Indians by Xántus have determined the image of Indians in Hungary for decades (Glant 87). At the same time, we should not forget that when for example writing about the Tejon Indians in Part II of *Travels*, he copied Letterman’s “Sketch of the Navajo Tribe of Indians” (Madden 226). He replaced names, certain sections, and distorted facts. “Letterman’s treatise of

the Navajos, of course, became entirely meaningless when Xántus passed it off as dealing with California Indians” (Madden 227).

Indians on the California peninsula in Mexico are depicted as naïve, as people who do not know about their ancient history, while in certain cases the romantic images of Indians (corresponding to the readings of Xántus) also surface, thus creating a dual image of Indians. It is interesting to consider the difference for example in the following cases:

The men of the Papago band were all of very handsome stature. Many of them wore helmets covered with shiny fish scales and beautiful feathers. The rest of their clothing consisted of panther or lynx skins thrown over their shoulders and deerskin sandals on their feet. The sight involuntarily brought the ancient Greek warriors to mind. The easy grace with which they mounted or dismounted their horses (always on the right side), filled us all with admiration (Xántus, *Travels* 104).

As opposed to this description, when meeting another group of Indians, Xántus provided the following account:

I do not recall ever seeing more miserable looking creatures; their legs and thighs were shapeless, short and thick; their faces and other parts of their body were completely naked and covered with tiny segments of peeling skin like fish scales. . . . One of them talked incessantly, but his speech sounded more like the bark of a sheep dog than a human voice. Both of them just stared, for they were incapable of expressing the joy they must have felt when we left them without harming them or their horses.

(Xántus, *Travels* 111)

Thus two types of Indians appear in this section of his book. On the one hand, the noble savage, the brave warrior that matches Xántus’ preconceptions and the images depicted in his readings. In accordance with this, his description remains positive and maintains the romantic image of a strong warrior. On the other hand, in the other example a completely different depiction dominates. In this case the Indians are seen as inferior, animal-like, and similarly to other cases in Xántus’ texts, they are seen as the hindrance for development and progress.

Before concluding the section on the Mexican population, there is another group that has to be discussed in more detail: women. Women often received a very different treatment than men in early Hungarian travel accounts. While travel writers were often very critical of the male population of Mexico, they found the women more exotic and interesting and gender influenced the image of the Mexican population. The first Hungarian female travel writer visiting Mexico was Béláné Mocsáry at the turn of the century; until her publication women served only as the objects of description and were subject to the “male gaze” in a male dominated field of travel writing. On the one hand, this created an interest in women and their lifestyle but it also resulted in a one

sided approach, with little information on the domestic life and problems of the female population, focusing only on “surface information” including the description of physical appearance, dresses, dances, and often reflecting the fantasies of these male travel writers.

In László’s letters, women were judged by a certain double standard: on the one hand, they were presented as exotic and beautiful, the objects of desire for foreigners and fantasy:

There was only one thing I did not like about the eating habits of Mexicans: that none of the ladies of the house were sitting at the table at my host, because most probably I would have liked their meals even more that way. This is a general bad tradition here in Mexico. Thus here one cannot flick cherry seeds or bread crumb balls at girls at the table, cannot hope for the realization of nice thoughts after breaking the wish bone, one cannot clink glasses, and cannot send telegraph messages with the leg, and thus there is one less chance to make acquaintances.

(László, Sept. 30, 1860)

The interest in dresses and clothes (or the lack of them) reflected a curiosity in the exotic but László was not concerned with the discussion of more significant issues.

At the same time, Mexican women were often represented by him as overtly masculine (as opposed to the feminine population of Mexico) and in certain cases even repulsive. Once describing a Native girl, László recalled: she “plays billiards with amazing ease and in most cases beats men who play well otherwise. This is a young and beautiful looking girl, the most beautiful of those I saw during my several days of stay there. However, she is an especially masculine girl.” (László, July 24, 1859) Very often László noted in his letters that women drink, smoke cigars, and play cards and he could not reconcile this with his view of women’s role and European expectations and conventions.

Xántus also expressed a great interest in women in his texts. He depicted them as exotic, beautiful, and always included references to attempts of meeting them. They also received a different treatment from men and interest was not limited only to his texts. As Steinbeck wrote in *Sea of Cortez*: “In the town there is a large family of Xanthuses, and a few miles back in the hills you’ll find a whole tribe of them.” (qtd. in Madden 151) When describing a meeting with the Pinorello tribe, Xántus focused on a middle-aged woman among them “whose eternal chatter and constant interference in the bargaining was a veritable nuisance.” He provides a perfect example for the manifestation of the male gaze:

She wore a red *tulle anglaise* dress, lavishly trimmed with fine quality and expensive Brussels lace . . . . She sat on a splendid. iron-gray horse, á la Duchess de Berry, and whenever the scarlet cape (alias blanket) slipped off her shoulders, the outline of her figure was clearly visible. . . . Once she rode up the steep mountainside, the snaps of the back of the dress opened

and exposed her entire backside, to the loud and unchivalrous laughter of the entire company. (Xántus, *Travels* 112)

Xántus continues even further, claiming that she took her blanket off and in “total nakedness, she rode around our camp for quite awhile.” This seems to be a kind of fulfillment of a fantasy about exotic, seductive Indian women.

Xántus often mentions the *senoritas* in his texts and calls the attention of the reader to their beauty: “Many pretty women participated in the fandango that evening. They were all dressed in the latest style, in full skirts. The dancing continued without any mishap, the ladies were friendly, beautiful, and enchanting” (Xántus, *Travels* 126). In *Travels* he does not really express any interest in, nor does he provide any information on their life, domestic matters, or occasional problems, they are presented one dimensionally with a focus on their physical beauty. When describing houses and vineyards during a journey Xántus writes the following:

In one of them we saw many pretty *doncellas* singing while picking peaches and grapes, and a great many baskets were overflowing with luscious fruit, which greatly tempted our appetites, especially those carried on the heads of *doncellas* with their flashing black eyes. Naturally we could not just pass them by, so we rode over to the house and asked the young girls for some fruit. Some of them ran off, others just stared, but a few approached us with smiles, carrying clusters of grapes. (Xántus, *Travels* 170)

Such images of Mexican women remained predominant in later times as well, and the depiction of Mexican women as beautiful, seductive, and exotic *senoritas* is visible even today, in movies for example (Venkovits, “Poor Mexico”).

## Conclusion

Xántus occupies a peculiar position in Hungarian travel writing. He is a controversial figure as he is one of the most famous travel writers while he plagiarized some of his accounts and made up stories to please his audience. In spite of this, he was among the first Hungarians to write about Mexico (Western Mexico in particular) and thus his texts contributed greatly to the development of the country’s perception in Hungary. He propagated images that appeared in other travel accounts as well but with a special twist as a result of his own character and interests. He depicted Mexico primarily as nature, where it is not something dangerous but beautiful and interesting from a scientific point of view as well. While nature was the predominant aspect of his section on the California peninsula, he also dealt with Mexican society, presenting the population mostly as lazy and incapable of progress on their own. Meanwhile, he maintained the general depiction of Mexico at the time in which the country rarely appeared independently, it was always compared to and contrasted with the Northern neighbor, the United States, thus the image of Mexico appeared in an Inter-American

context that began to change only several decades later due to events occurring on the two sides of the Atlantic.

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**Plays of Memory in Memory Plays:  
The Relived Past in Works of  
Tennessee Williams and Adrienne Kennedy**

GABRIELLA TÓTH

**Introduction**

Evoking the past on stage—be it personal or historical—happens in several different ways, just as the past conjured up differs from one individual to the next. In the present essay, first I will briefly outline the features of autobiographical writing and its specific genre-related characteristics, then I will focus on the various tools employed to represent autobiographical writing theatrically in Tennessee Williams' *The Glass Menagerie* (1944) and in Adrienne Kennedy's *A Movie Star Has to Star in Black and White* (1976). The comparative analysis of these plays allows for an examination of how the dramatic texts were specifically written according to the logic of theatrical representation and how the protagonists—Tom Wingfield (in *The Glass Menagerie*) and Clara (in *A Movie Star*)—develop their identities through their education in the movies.

As a representative of American expressionist drama, Tennessee Williams renewed the American theatrical idiom, which was rooted in nineteenth-century European realism. His autobiographical play *The Glass Menagerie* influenced the oeuvre of Adrienne Kennedy as well. Both authors investigate a traumatic question of modernity and post-modernity: the issue of the subject's memory technologies. But while Williams' theatrical representation does not go beyond the program of literary modernity, in so far as it does not give up a strong belief in the possibility of reconstructing and retelling the past, Kennedy's work exemplifies a past that is unspeakable.

**Performative Identity and Life-Writing**

In 1968, Roland Barthes published his pamphlet *The Death of The Author*. Now, several decades later, the resurrected author has become one of the major topics of literary theory. The desire to get to know something personal about the author still haunts the audience's expectations, and especially in the case of autobiographical writing. As Philippe Lejeune puts it, "despite the impossibility of autobiography, it does exist", since this is the narrative framework in which we have the opportunity to "tell the truth about ourselves, and construct our subjectivity as a whole" (*Moi Aussi* 31).

Autobiographies do not only serve to reveal the past, but—being performative speech acts—they produce new identities. Such discursive practices construct new roles for the individual, which is one of the primary ways of creating identity. As Attila Kiss points out, our identity, or our subjective self-identification, is made up of stories we tell about ourselves in a linear narrative (“Retrológiai” 271). He further argues that “literature as a social discursive practice participates in the simultaneous circulation and subversion of identity patterns that social subjects are compelled to internalize” (*Contrasting* 136).

Based on J. L. Austin’s speech act theory, theoreticians argue that every utterance is inherently a performative act, and, as such, “it has ontological force,” that is, it is able to create a new discourse (Bollobás 10). Individuals constantly create their identities, but this identity exists only at the intersections of various discursive practices. Our minds construct a linear narrative for these points of intersection, and so we are able to reflect on our identities as homogeneous subjects.

Autobiographical prose and plays have similar definitions: they both contain accounts of certain events and experiences concerning the author’s life. Philippe Lejeune writes that autobiography is a “retrospective prose narrative, written by a real person, giving account of his or her existence, in which the individual’s life and development of one’s personality are emphasized” (“Az önéletírás” 272). Mathieu-Castellani defines certain text types in which “the subject is examined by writing” (192). Such definitions take it for granted that the genre of the autobiography is narrative fiction. At the same time, autofictionality has been part of the literary tradition for centuries in both the lyrical and the dramatic genres. Autofictional plays or memory plays are dramatic texts in which a narrator—or, to use a strictly theatrical term, an interlocutor—shares his or her memories with the audience in the play (usually at the beginning). During the course of the drama, the narrator/interlocutor either becomes part of the play as a character, or retains his or her extra-diegetic position.

The social practices that allocate certain positions to the subject are predetermined scenarios that operate similarly to theatrical scripts or roles. They are best explained through the language of the theatre because, as Attila Kiss argues, “the constitution of the subject and the cultural imagery of specific establishments surface with extraordinary intensity in dramatic literature and theatrical practice, that is[:] theatre is the social practice that responds fastest to the changes in the semiotic representational processes of a given community” (*Contrasting* 137). This view does not necessarily contradict the assumption that autobiography is primarily a narrative genre, but highlights that autobiographies represent a different kind of practice, in so far as they work with performative scenarios, which means that they, too, are inherently theatrical.

Both Williams and Kennedy chose the stage and the dramatic text to write themselves into a creative discourse of self-definition. In these two autobiographical plays, the authors construct themselves as imagined identities that appear on the implied stage through fragmented narratives, which are adapted to the stage via

various techniques, such as lighting, screen device techniques, recurring musical motifs and even settings taken from Hollywood movies.

The semi-fictional, semi-biographical life events are remembered on stage by one specific character: the narrator. While in case of *The Glass Menagerie*, protagonist Tom Wingfield is a narrator that becomes part of the action on stage, Clara, the young black heroine of *A Movie Star Has to Star in Black and White*, remains a passive onlooker of her life events. She takes the role of a spectator, or, in the terms of the play, becomes an embodiment of the ‘camera’s eye,’ observing her life and playing only a “bit role.”

### **Roles of the Narrator in Auto-Fictional Plays**

The trans-textual link between *The Glass Menagerie* and Kennedy’s auto-fictional play cannot be overlooked. Although *A Movie Star* itself does not contain a textual reference to Williams’ play, yet its influence on Kennedy’s oeuvre can be easily discerned. In fact, *The Glass Menagerie* was one of the first plays she saw. In *People, who Led To My Plays*, she writes:

I saw the play and for the first time understood there were other family secrets, family joys and sorrows, just as in my own family. . . . After we saw *The Glass Menagerie* with Julie Haydon, after Tom came to the edge of the stage and spoke his monologue and told Laura to “blow out her candles”, I didn’t understand for a long time that it was that summer evening when the idea of being a writer and seeing my own family onstage caught fire in my mind. But I wrote no play for years . . .

(Kennedy, *People* 61)

The similarity of the two plays goes beyond one author merely influencing the other in a general sense. The most important connecting link is the use of a narrator. Moreover, both dramas apply the typical characteristics of a memory play: that is, the combination of biographical and fictional elements in their auto-fictional dramatic texts. In both of these auto-fictional plays we may find certain referential elements connected to the biographies of the authors, as well as historical references. Williams’ work is considered to be a memory play in which he commemorates his sister, Rose. But the playwright wove far more biography-related elements into the plot. Tom Wingfield, for instance, is a young writer whose story resembles the young Williams’ life. Kennedy’s alter ego, Clara is also a dramatist at the beginning of her artistic career, but the play has further references to the racial tensions and the flourishing Civil Rights Movement in America. Clara’s diary, from which she sometimes reads out passages, also indicates that the audience sees an autobiographical play, as this particular genre is the par excellence ‘writing of the self’. Clara can be rarely seen on stage, she stays in the background—it is her favorite film stars who speak her lines for her, based on the text of her diary.

Tennessee Williams does not only dramatize the story of his own family in *The Glass Menagerie*, but he also outlines the process through which the Tom Wingfield/Tennessee Williams character has turned into an active agent from a passive observer. The play applies Brecht's narrative function, which is occupied by Tom Wingfield who acts as a first-person narrator at the beginning of a play:

Yes, I have tricks in my pocket, I have things up my sleeve. But I am the opposite of a stage magician. He gives you illusion that has the appearance of truth. I give you truth in a pleasant disguise of illusion.

(Williams 234)

Tom's soliloquy highlights the question implicit in memory/autobiographical plays. Whose unfolding memory do we see on stage? Whose past is revisited? Certain elements of *The Glass Menagerie*, such as Laura's nickname "Blue Roses", Tom's job at the shoe factory, the absence of the father from the family, and especially the name Tom (Williams' original name) may be interpreted referentially. The paradox here is that the character intends to explore the truth instead of the illusion of reality, but this is impossible, because the truth only exists in theatrical "heterotopias". The Foucaultian term—meaning places which are "capable of juxtaposing in a single real place several places; sights that in themselves are incompatible" (Foucault 25)—is applicable to the staging strategies of both plays. However, while Williams' play veils the theatricality of *The Glass Menagerie* in a "pleasant disguise of illusion" (the illusion of realism), Kennedy's play highlights it by juxtaposing the movie setting to the family drama, with Hollywood actors impersonating the roles in the family.

The human subject always already exists in the web of family and social power relations. He or she is only capable of giving an inherently subjective account of the past. In spite of this, Tom still relies on a kind of positivistic epistemology, according to which the past, be it personal or historical, can be known and revealed in a homogeneous *sjuzhet* or plot. He believes—in the name of progress and the teleology of early modernism—that the past can be fully learned and reconstructed and, what is more, that it can be told in a consistent narrative. Referring to Jeanette Malkin, Erika Fishcer-Lichte and David Harvey, Attila Kiss points out that "even in modern or avant-garde drama, we find that in spite of their mosaic-like, or fragmented construction, the message of the works is still conceived as a coherent unity" ("Retrológai" 277). In contrast with *The Glass Menagerie*, *A Movie Star* seems to reflect on the subject's essentially heterogeneous nature. This is emphasized by the several auto-textual quotes that Kennedy incorporated within the play on the level of the text, as well as by the movie images adapted as stage settings, on the level of the implied stage design. It is further underlined by Clara's motto: "I don't know with what or with whom can I co-exist in a true union." (Kennedy, *A Movie Star* 64)

Clara's question, posed in the first scene, foreshadows the main topic of the drama: the difficulty of self-definition. Clara, however (similarly to Tom Wingfield), does not ask the question of "Who I am?", but rather "How have I become the person I am today?" While Tom presents the events of his life in the form of loosely-joined

scenes, which nonetheless form a cohesive narration, Clara in Kennedy's play does not retain the coherence of her narrative; rather, the heterogeneous plot seems to highlight the heterogeneity of the human subject as well as the way she recalls the past.

### **Fragmented Performances**

In *The Glass Menagerie* the stage directions help to create the atmosphere for remembering. In his notes to the play Williams explains that the aim of "expressionism and all other unconventional techniques in drama . . . is a closer approach to truth" (239). Creating what he calls a "plastic theatre," he applies the technique of the screen device, the purpose of which is "to give accent to certain values in each scene, all of which contains a particular point (or several) which is structurally the most important" (230). A similar strategy is used in *A Movie Star*, but with modifications: the screen device is changed into stage settings based on film scenes taken from Hollywood movies (Kennedy, *A Movie Star* 64).

Nostalgic music is crucial to both plays. The tunes accompany Laura in *The Glass Menagerie* and soft movie soundtrack is heard when Clara's thoughts are projected. Light is equally important. In *The Glass Menagerie* it often illuminates Laura instead of the central figures, thereby obscuring certain parts of the stage. Lighting is similarly gloomy in *A Movie Star*: in the third scene, for instance, it is "twilight on a summer evening", but "all the colours are shades of black and white" (Kennedy, *A Movie Star* 62). The plot is fragmented in both plays, but while *The Glass Menagerie* is built up of episodic scenes, separated by the screen device technique, in *A Movie Star* the scenes of Clara's life are blended with certain scenes from the films that this play quotes intermedially

Both protagonists admire film stars and their personality and behavior patterns are determined by movie roles: they either fully identify themselves with them or reject the stereotypically labeling positions offered by them. Tom Wingfield acts performatively because he rejects the passive observation of celebrities on screen, but intends to experience adventures himself.

I'm tired of the movies. Look at them. All of those glamorous people—having adventures—hogging it all, gobbling the whole thing up! You know what happens? People go to the *movies* instead of *moving*! Hollywood characters are supposed to have all the adventures for everybody in America, while everybody in America sits in a dark room and watches them have them. (Williams 282)

Clara at first identifies with the great white characters of the cinema, but at the same time she criticizes the hegemonic white power they embody. She first defines herself as a derivative of these film productions. As the play progresses, however, she becomes more critical of the movie productions and the roles they imply for her. Clara therefore assumes performative action by the rejection of the subject positions

that the films convey to her. In fact, both Clara and Tom are bound by their family duties, and they both reject them by the end of the plays, choosing freedom and career over obligations. But while for Tom this means the complete identification with the movie characters, gobbling the adventures up, for Clara it means the subversion of the stereotypical roles that the movies assign for her. She is able to re-define her own position and reconfigure the roles of her beloved film stars (such as the *femme fatale*, the romantic heroine and the revolutionary woman) by casting these stars into the roles of her African American family members.

### **Filmic and Dramatic Sub-texts**

*A Movie Star* takes place in the golden era of Hollywood, using the backdrop of three classic films, *Now, Voyager* (1942), *A Place in the Sun* (1951) and *Viva Zapata!* (1952). It is not by chance that these movies are incorporated into Kennedy's play, since the films' stars have been outstanding idols for Adrienne Kennedy herself. These films function as cultural sub-texts providing a platform for subverting both Black and white cultural stereotypes. In a broad understanding, these films present a way to finding one's new subjectivity. *Now, Voyager* displays a young well-to-do girl, Charlotte Vale, who lives in the shadow of her despotic mother and has a very low self-esteem. She is on the brink of a nervous breakdown when her psychologist suggests that she should go on a trip because, as he argues, the change of climate and environment would certainly do her good. Charlotte goes on a voyage, where she starts to blossom and learns to value her life: even if she does not get everything, she finds herself in the context outside her domestic realm. Both Charlotte in *Now, Voyager* and Clara in *A Movie Star* try to perform their gender-, race-, and class-bound roles. Clara is in an unhappy marriage, but she sticks to her husband in order to please her family. Similarly, Charlotte obeys her mother. They nevertheless both end up constructing new subjectivities for themselves: Charlotte leaves for a voyage and Clara becomes a writer after all.

*Viva Zapata!* presents Mexicans striving against the injustice and corrupt regime of Porfirio Diaz with Zapata (played by Marlon Brando) as an incorruptible leader, who is ultimately killed in an ambush. According to Kennedy, Marlon Brando's role conveys the theme of a person that "has to fight and lead" (*People* 87). The author alludes to this movie in *A Movie Star* on an abstract level: the theme recalls the African American political leaders in the twentieth century (W. E. B. Du Bois, Malcolm X and Martin Luther King) who struggled for equality, and points to the necessity of individual struggles. The third movie, *A Place in the Sun*, portrays George Eastman (played by Montgomery Clift), the nephew of a wealthy factory owner, who gets the lowest job possible in his uncle's factory and is excluded from the society of other Eastmans. As he works his way up, he dates a factory co-worker (played by Shelley Winters), who gets pregnant. However, George is in love with Mr. Eastman's daughter and finds himself trapped between the two women. The pregnant girl insists on marriage but becomes victim of a deadly accident. George is arrested and sentenced to death for murder. Although the girl's death was truly an accident,

George feels guilty because he planned the circumstances and did not attempt to save the girl's life. In this movie, Shelley Winters embodies "the essence of longing" (Kennedy, *People* 97), while Montgomery Clift, "a yearning to belong" (*People* 97). Their attributes become Clara's paramount features in the sense that in her isolation she is longing to become a writer, but she is also yearning to belong to somewhere or to somebody. As we have seen, she wonders "with what or with whom" can she "co-exist in a true union" (Kennedy, *A Movie Star* 69) and expresses her wish to become a new person.

Just like the movies, *The Glass Menagerie* also functions as a pre-text in Kennedy's work, linked to *A Movie Star* through the theme of parent-child relationships. Similar family conflicts are detected in both dramas, such as the divorce of parents, the absent father, and both sons' intention to enter the commercial fleet or join the army. Tom Wingfield and Clara's brother Valley both turn their backs on family life and parental expectations. The social expectations of wives and daughters are also similar. In fact, the daughters' conflicted relationship with their mothers is the most striking parallel between the two plays. Both mother figures (Amanda in *The Glass Menagerie* and Clara's mother in *A Movie Star*) are conservative women of the South, whose most important goal in their lives is to see their children's happiness. Nevertheless, neither of them is a successful mother: they were left by their husbands and their relationship with their children is full of conflicts.

Children do not follow social expectations in either of the plays. But such 'disobedience' becomes a performative action only in the case of Tom Wingfield and Clara. Laura can resist her mother's will only at the beginning of the drama, but by the end, she obediently plays according to the social scenario laid out for her. Clara—unlike Laura—overwrites the social script by becoming a writer. After her *performance*-type of attempt to identify with film stars, she reconstructs her identity by becoming a writer who is able to subvert and recreate herself in new social discourses. Clara's ambition of becoming a writer shows the *performative* nature of her figure: she does not take up stereotypical roles but pursues her creative drive, thus gaining an authorial voice.

### **Untenable Feminine Roles**

In *A Movie Star*, the thirty-three-year-old Clara lives in a society that put around her a double bind of rules and expectations. She is expected to fulfill the role of an angelic woman within her domestic and public world. She is a professional writer but valued by her mother (and family) only according to her performance of motherhood:

- CLARA: I'm not unhappy mother.  
MOTHER: Yes you are.  
CLARA: I'm not unhappy. I'm very happy. I just want to be a writer. Please don't think I'm unhappy.  
MOTHER: Your family's not together and you don't seem happy

- CLARA: I'm very happy mother. Very. I've just won an award and I'm going to have a play produced. I'm very happy.
- MOTHER: When you grow up in boarding school like I did, the thing you dream of most is to see your children together with their families.

(Kennedy, *A Movie Star* 71)

According to her socially ascribed role, she should become a housewife and support her husband's university career. Nevertheless, she envies him for an opportunity that was, at the same time, denied to her. After her confession that their marriage is in ruins, the character impersonated by Bette Davis reveals Clara's doubts. She says: "I get very jealous of you Eddie. You're doing something with your life." (Kennedy, *A Movie Star* 69)

Another bind in Clara's life is related to her race: whereas for Eddie, her husband, it is possible to have a teaching job at Columbia, for an African American woman this seems doubly impossible. But finally she also manages to become a person of letters, as her dream was to be an acclaimed author one day. She says:

- CLARA (*From boat*): Ever since I was twelve I have secretly dreamed of being a writer. Everyone says it's unrealistic for a Negro to want to write. Eddie says I've become shy and secretive and I can't accept the passage of time, and that my diaries consume me and that my diaries make me a spectator watching my life like watching a Black and white movie.
- (Kennedy, *A Movie Star* 75)

Clara's short monologue exemplifies this societal double bind, which also intrudes on her personal sphere. She experiences normalizing processes on the part of her immediate environment as well as through family expectations and through the media she watches and which ultimately helps her find her identity. In a catachrestic state of mind, she is alienated both from herself and from her environment. At the beginning she fails to achieve a cohesive self. In this condition, she gives up her efforts to maintain any balanced relationships and starts to reconstruct herself (and implicitly her subject position) through the act of writing. In her text her femininity appears through the menstrual blood that becomes metaphorically her *écriture féminine* (female signature), while her creative output is symbolized by her pregnancy. Clara is a playwright who is writing her own drama on the basis of her filmic experiences; she takes the first step to gain a voice of her own and thus, she becomes performative.

In *The Madwoman in the Attic*, Sandra M. Gilbert and Susan Gubar showed that in the discourse of patriarchy the author "is a progenitor, a procreator, an aesthetic patriarch whose pen is an instrument of generative power like his penis" (6). Although it is debatable whether female writing can be defined in terms of such biological essentialism, Gilbert and Gubar ask, if "the pen is a metaphorical penis, from what organ can females generate texts?" (7) The logical answer to this question

is the womb and the breast, so the woman-authored text, the *écriture féminine* in this context, emerges from the body as milk and blood. In *A Movie Star*, the heroine is pregnant, she bleeds and writes at the same time. This way her blood turns into a metaphorical ink with which she writes her body and self into text.

Besides Tom Wingfield, Clara also bears resemblance to Laura from Williams's play. The family and especially the mothers have similar expectations of both young women. In *The Glass Menagerie* Amanda explicitly brings up socio-economical reasons for marriage:

What are we going to do the rest of our lives? Stay home and watch the parades go by? . . . We wont have a business career—we have given that up because it gave us nervous indigestion! (Laughs wearily) What is there left, but dependency all our lives? I know so well what becomes of unmarried women who aren't prepared to occupy a position. I have seen such pitiful cases in the South—barely tolerated spinsters . . . like women without any nest—eating the crust of humility all their life.

(Williams 245)

Laura, however, differs from the majority of the girls. She is shy and reticent, and amuses herself with the glass menagerie, eternally playing those worn-out phonograph records her father left behind (245). It is only Jim who sees her in a positive light: “you're . . . surprisingly different from anyone else I know . . . in a nice way!” (303) “You are one times one!” (304) She is beautiful, in a “different way”: the rose-colored lamp brings a light to her face, “bringing out the fragile, unearthly prettiness which usually escapes attention” (288). She, just like Clara, embodies art. Her name (Laura) refers to the laurel of poets. They are even represented on stage in a similar way: according to the authors' notes, they are both fragile beauties whose innocence and purity is expressed by their white stage costumes.

In spite of these similarities, Clara is a more complex character as she is presented in multiple roles. However, she is not able to form a homogenous identity, and in this state of mind, she abandons the attempts to maintain harmonious family relations. Her mental state is best described with reference to the liminal phase, as defined by Victor W. Turner. Her subjectivity is changing according to the phases of liminality: first she breaks the norms of her society, which puts her into a crisis (Turner 12). It is important to note that similarly to Clara, Laura is also in a transitional state. While in Clara's case this is symbolized by her pregnancy, Laura's in-between state is expressed by her age: as an adolescent she is also between two identities. In Turner's model of liminality, the transitional period is usually followed by the reintegration of a group or a given person (12–13). However, reintegration is cancelled in the case of both Clara and Laura, as neither of them is capable of overcoming liminality. Neither Clara's pregnancy nor her becoming a writer is completed by the end of the play. Similarly, the audience does not get to know whether Laura's mother had found a suitable gentleman caller for her daughter,



family to experience the adventures he saw in the movies. Clara, on the other hand, is a playwright who is writing her own drama while pregnant. Throughout her works and especially in this play, “Kennedy presents pregnancy and motherhood not as traditional symbols of life and growth, but as signs of madness and death” (Barnett 142). This topic involves also issues of childbirth and consequent parent-child relationships. Clara is pregnant and about to finish writing her first play (with a hint of reference to Kennedy’s other play, *The Owl Answers*) when she considers leaving her husband. Her mother strongly objects because she wants to believe that Clara can be happy in her family life by giving birth to children. But there is a discrepancy between Clara’s expected social role as a mother and supportive wife and her career as a playwright, which is manifested in a fear of “turning into a river of blood” (Kennedy, *A Movie Star* 63) at the time of delivery—a symbolic scene echoing both Clara’s and Kennedy’s childhood memory of their mother’s miscarriage.

BETTE DAVIS. (*To Paul*) June 1955.

When I have the baby I wonder will I turn into a river of blood and die?  
My mother almost died when I was born.

(Kennedy, *A Movie Star* 64)

This particular episode also refers to a scene from *Viva Zapata!* in which Jean Peters bleeds and Marlon Brando changes sheets for her. The troubling imagery of the mother-child relationship in *Now, Voyager* and in *A Place in the Sun* is coupled with the fear of reproduction. According to Barnett, Clara writes a drama but her “play production cannot compare in value to her reproduction” (143). Nonetheless, the protagonist chooses her artistic career over her family. She does not go back to her husband: but she meticulously writes a page each day and witnesses the birth of her play along with the birth of her new subjectivity. Clara confesses that

Eddie comes every evening right before dark. He wants to know if I’ll go back to him for the sake of our son. . . . Before I left New York I got my typewriter from the pawnshop. I’m terribly tired trying to do a page a day, yet my play is coming together. (Kennedy, *A Movie Star* 63)

Clara’s performance thus turns into a performative act. Like Tom Wingfield, she becomes an active agent from a passive onlooker, through artistic creation.

## Conclusion

In both *The Glass Menagerie* and *A Movie Star Has to Star in Black and White* biographical elements and fantasy, factuality and fictionality are mingled to create the hyper-realistic world of auto-fictional plays. Thus the *protagonists* (bearing some level of resemblance to the authors) construct their new identities. The characters are both represented as authors at an early stage of their careers. The plays emphasize the constructed and unstable nature of their identity. Conforming to the modernist

paradigm, the narrator of *The Glass Menagerie* recounts the past events through a mosaic-like, but still a homogeneous plot. Clara's post-modern narrative, in contrast, highlights the heterogeneous nature of identity. This drama exemplifies a major shift in the American theatrical tradition to deliberately avoid the realistic and naturalistic modes of representation; the play rather floats on filmic fantasies that poeticize and creatively question the contemporary dramatic representation of African American identity.

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## Re-Ritualization in American Experimental Theater and Drama in and after the 1960s

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This paper intends to investigate re-ritualization processes in American theater and drama, which became distinguished forms of art in the twentieth century thanks to their willingness to experiment. Experimentation, in turn, re-fuelled the rituality of the theatrical and dramatic arts. The paper will focus on the changes that the 1950s and 1960s brought about theatrically, mainly in terms of the drama text. I will briefly present a few milestones of the twentieth-century history of experimental theater in the United States, and then analyze two plays that prominently bear the marks of the shift towards re-ritualization: Imamu Amiri Baraka's *The Baptism* (1964) and Samuel Shepard's *Buried Child* (1978) will demonstrate the curious irony inherent in the new rituals. These dramas are distant in terms of their plots and the messages they convey, but they apply the strategy of using ritualistic elements in similar ways. The body plays a key role in both dramas, and the irony that they play with and use as a tool is directly related to it.

Drama and the theater arts had a low status in the United States until the twentieth century (Harris Smith 3). Theatrical life had consisted of “ambitious” musicals and lightly entertaining cabaret, dance and variety shows (Kenrick). Broadway had been for a long time home to megahits and had excluded productions with a slight doubt of success. Early experimentalists were the ones who started to solve this problem. The monopolization of theatrical culture was beginning to be challenged by the Little Theatre Movement in the 1910s and 1920s (Aronson 88). As the first main gesture to reform and empower American theater, the Little Theatre Movement promoted regional and non-commercial theaters, theatrical innovation and minimalism, and went against theatrical centralization and commercialism. These objectives were quickly adopted by the Provincetown Players of Manhattan in New York, outside Broadway at the beginning of the 1920s (Aronson 106). Its members were writers, directors and actors (among the members were Susan Glaspell and Eugene O'Neill), who wanted to find the American theatrical voice. They rallied against high professionalism and adopted the abstract visual elements of the European avant-garde—and then playfully Americanized them while criticizing the dominance of melodrama in American theater (Aronson 89). The influence of avant-gardism was prominent in their work, for instance, in the staging of O'Neill's plays (Aronson 89).

This anti-commercialism led to the Off-Broadway movement of New York in the post-war era, as the Little Theatre Movement's “extension” (Carlson 251). Although Off-Broadway's initial interest was to widen the possibilities of theater, it gave in to profit-orientation in the long run (Gussow 196). In the 1960s, the Off-Off Broadway movement emerged to rail against that temptation (Gussow 205). This was

the time when theater pioneers reached back to the roots of the dramatic arts (Aronson 136). This meant re-ritualization, which signaled the maturation of American theater culture without the restraints of commercialization. The “bastard child,” as Susan Harris Smith calls American drama (10), could finally come of age. The emphasis was put on the Dionysian principle, which quickly found its audience during the era of turmoil, transition, the Civil Rights Movement and anti-war sentiments—that is, the 1960s. Actors used their bodies as the main source of representation; they often got close to the audience, touched them and invited them to participate (Szilassy 83). Boundaries were stretched; the perception of the body changed and people celebrated the flesh (Aronson 136). The Artaudian cruel, primordial ritual that affects the senses could finally be put into practice (Szilassy 83). Rising social and political sensitivity worked hand in hand with the theatrical changes.

In anthropologist Victor Turner’s view, the rituality of stage drama was unduly neglected in Western theater for a long time (“Universals” 12). However, the performance artists, producers, directors and playwrights of the sixties tried tirelessly to revitalize it (Turner, “Universals” 12). They collaborated with one another on a regular basis, and this proved to be a great influence over the dramatists’ works. A gloomy, dark, depressed and often tragicomic world view, linguistic playfulness (if there is any kind of verbal language applied), revolutionary, anarchical, violent images, experimentation and highly ritualistic elements are typically present in the dramas of the era, for instance, in the works of Shepard (Roudané 344), or those of Baraka. Besides Artaud’s Theatre of Cruelty and the European avant-garde, theatrical pioneers took advantage of Brecht’s epic theatre, the Theatre of the Absurd, and the poor theatre of Jerzy Grotowski, all of which required a different actor–audience relationship (Szilassy 83–84). By the 1960s, experimental theatrical life became vivid; new acting techniques and new formats were developed. This was the decade when performance art (as we know it today) came into existence. As many scholars argue—for example, Zoltán Szilassy (23)—the neo-avant-garde reached its peak in America.

Re-ritualization was mainly the tool of the highly minimalist Off-Off Broadway. Judith Malina and Julian Beck made the first steps in 1948 to create the Living Theatre, which was later influential in the Off-Off scene (Gussow 203; 207). They organized happenings, communal events, and in their ritualistic productions the influence of Artaud could be clearly recognized (Aronson 119). The Judson Memorial of Al Carmines followed suit, along with the welcoming Joe Cino’s Caffè Cino, the comforting Ellen Stewart’s La Mama Experimental Theatre Club, and the anarchistic Theatre Genesis of Ralph Cook at the end of the fifties and the beginning of the sixties (Gussow 206). Carmines welcomed performance artists such as Carolee Schneeman, who used her own naked body and usually applied the strategy of self-scapegoating in her performances (Gussow 216). The Living Theatre’s intellectual heir, the Open Theatre of Joe Chaikin opened its gates in 1963 (Gussow 207). Chaikin and his troupe re-interpreted scenes from the Bible. One of their most famous productions, *The Serpent* (1969), retold Adam and Eve’s story through a performance, while *Terminal* (1971) presented ways of dying (Gussow 207). The Performance Group of Richard Schechner joined the aforementioned companies in 1967 (Aronson

136). Schechner and his troupe “explored ritual and myth,” which was most prominent in their production entitled *Dionysus in 69* (Aronson 136). Schechner was also one of the pioneers of interdisciplinary performance studies, which started to concentrate on the new productions. The taboo and the body were in the center of their attention, the phases of life were presented and contemplated, and communal bonds gained significance. Owing to new performance techniques, the actor’s body was more creatively used, and impressive visual elements were called in to complement this trend.

In terms of written plays, re-ritualization was mainly characteristic of the work of the “Albee generation,” representatives of the so-called “rebellious drama” (Szilassy 24): Edward Albee, Adrienne Kennedy, Arthur L. Kopit, Baraka and Shepard, among other mostly Off- and Off-Off Broadway playwrights. However, this does not mean that earlier American playwrights did not reflect on the inevitably ritualistic nature of drama and theater. Eugene O’Neill is not only referred to as the father of American tragedy, but he was also present right from the first moments of theatrical experimentation in the United States. As mentioned earlier, he regularly worked with the other members of the Provincetown Players in Greenwich Village. His drama entitled *The Emperor Jones* (1920) is heavily endowed with elements of tribal ritual. Brutus Jones, the tyrannical black leader and emperor of an island, is to be eliminated with the help of a series of apparitions. Through these apparitions, Jones undergoes a transformation and is finally killed by a silver bullet. The rituality of the play is undeniably innovative, and it may have contributed to the resurrection of drama as a ritualistic form (and not as mere entertainment) in the United States. However, the tribal journey of Jones is a play within a play: this is the instrument to unfold the psychological and physical destruction of Jones, set up by the locals. The drama’s first performance by the Provincetown Players was “an immediate sensation” owing to the “innovative staging” (Virágos 482). However, despite the fact that the “Little Formless Fears” are powerfully present in the drama, there is no imagery that would exploit the boundaries and limits of the body as exaggeratedly and subversively as in the later plays to be discussed in detail. Moreover, although the drama is undoubtedly tragic, sacrifice has a cleansing role at least at the end, and the locals of the island are liberated from tyranny.

Tennessee Williams’s *Suddenly Last Summer* (1958) revolves around the vulnerability of the flesh and the soul, and the issue of sacrifice. Robert F. Gross curiously points out the importance of the “sublime” in the drama (229). The story of Catharine, the young and beautiful, “to-be-sacrificed” person, is something that is “both threatening and desired”—in one word, it is “liquid” (Gross 235). As the paper shall prove, this liquidity (ambiguity) is played with in later ritualistic drama, but here, although it violates the maternal superego of Mrs. Venable, it is aestheticized. In many plays between the 1920s and 1960s, rituals are presented and implemented primarily on the level of subtle symbols and dialogues. In this drama, rituals are represented in Catharine’s account of the *Mardis Gras* celebration, and of the sacrificial devouring and semi-cannibalization of the martyr Sebastian by the boys of a distant island. Catharine was unfortunately witness to this, and during the time of

the plot, she reveals the secret behind her cousin's life. She becomes the psychological scapegoat in the drama, and her tragic monologue tells the reader/audience what happened. The story will forever stay with her, but the Doctor believes her, so the mysterious circumstances of Sebastian's death are deemed clarified. The symbol systems of both O'Neill's play and of this drama are stylized, unlike in the works of Baraka and Shepard. Both *The Emperor Jones* and *Suddenly, Last Summer* maintain a distance from the obscure rituals and subtly intertwine them with the present time of the plots. In the following paragraphs, the paper intends to prove that post-sixties drama demonstrates a shift in terms of the stylization and aesthetic of rituals. However, a detailed comparison and contrast analysis of *The Emperor Jones*, *Suddenly, Last Summer* and some post-sixties plays would be highly desirable in order to explore further connections.

*The Baptism* presents a parodical and violent version of the Second Coming and Judgment Day. 15-year-old Boy is to be baptized in a church, but he wants to confess his sins to the Minister. An elder woman suddenly comes, who claims that the boy usually masturbates during the time of prayer. At this point, a group of religious young women enter chanting, and they accuse the boy of tricking them into sleeping with him: Boy told them he was Jesus. The religious community wants to sacrifice Boy, but he grabs a sword and murders almost everyone, except the Homosexual, who is the outcast and social commentator of the drama. Lastly, Messenger comes on a motorbike and tells Boy it is over, "the man" (Baraka 30) is going to explode the place with a grenade. It turns out that Boy really is the reincarnation of Jesus and that he has failed.

The playwright, Baraka, is one of the most important advocates of the Black Arts Movement, which fought to awaken the will of black people "to define the world in their own terms" (Andrews 259). In his literary work, Baraka chooses violent and anarchistic visual elements to revolutionize black theater, and theater in general. However, in this drama, he is less interested in commenting on racial problems than criticizing American society as a whole, especially in terms of religion and hypocrisy. The playwright regularly applies inventive forms and "ritualistic structures" (Aronson 131).

*Buried Child* presents the story of the homecoming of grandson Vince, who feels there is something uncanny in the family house. His father seems confused and his grandfather does not recognize him at all. Vince leaves for a while to bring his grandfather alcohol to prove he is a rightful member of the family. While the grandson is away, it turns out that the grandmother once slept with one of her sons, Vince's father, Tilden. A baby was born from the incestuous act, and it was killed by the grandfather to restore the order in the family. Vince comes back after this turns out, but he is different. The time has come for him to assume the grandfather's place. In the meantime the baby is disinterred by Tilden, but Vince does not learn anything about it. The unburied corpse is taken upstairs by its father to the grandmother's room. Right at that moment the curtain falls.

The playwright in his *oeuvre* generally uses exaggerated "histrionic" elements, with which he can exploit the stage in all possible ways (Silverman Zinman 509).

Here, this technique is closely related to the ritual elements in the drama, as it can be seen in Baraka's play too. To quote Toby Silverman Zinman, postmodern theater is "non-psychological, non-linear, hunchy, jokey, fragmented, and violent" and "the visuals speak much of the meaning" (509) (if there is any), instead of the dialogues.

There are archetypal ritual elements that make the plays work. In *The Baptism*, the altar of the church, the color red, the attempt to baptize the boy, and religious chanting; in Shepard's play, the prodigal son, the fertile land, rain, an abundance of crops, death ritual, (un)burial, and ritualistic separation. In both dramas, sacrificial rituals and the issue of coming of age are emphatically present. The initiands, Boy and Vince, are in-between, liminal characters. They have unfixed identities: the unnamed teenager in *The Baptism* seems to be a trickster with a false identity, and Vince in *Buried Child* is an outcast as he is not recognized by his relatives. People on the threshold are unsurprisingly depicted this way, as effacement is part of the ritual (Turner, "Liminal" 58). They have to assume one identity over another, but the other participants are depicted as in-between, grotesque, or even ridiculous as well. Vince's family members, especially his grandfather in *Buried Child*, and the minister of the church along with the chanting young women in *The Baptism* are the utmost examples of this. This already foreshadows the plays' social criticism: it is not the othered members that make the communities completely dysfunctional.

However, the boys and the buried child do have disruptive power. They possess both colliding and collapsing, pulling and pushing forces. In other words, they subvert ideas of purity and order, and at the same time, it is they that the family and the religious believers can demarcate themselves against, owning their unified identities as opposed to mere ambiguity. As Boróka Prohászka Rád interprets Turner's theories, the point of rituals is to purify a community from polluting elements (22). However, it is the repression of the family and the hypocrisy of the religious community that cause the real pollution. The initiands and the dead baby are not the only ones that are "unclean and polluting" (Douglas 9, quoted in Prohászka Rád 40). As Prohászka Rád concludes, each of Shepard's plays takes place in a critical phase, in an unbearable transition, in liminality itself, which "necessarily evoke[s] and call[s] for enactments of rituals and rites of passage to induce transformation" (9). However, as she continues, the entrapment of the characters in liminality is so strong that it is insurmountable (9). The time is approaching to choose a new patriarch, and what happened to the baby (the non-resolving murder) is another cause for crisis and liminality in the family. The same logic applies in Baraka's play, especially because the characters of the drama (except for Boy and Homosexual) are all in a state of religious trance, which is a state of transition.

What Julia Kristeva calls the abject is the strongest manifestation of the taboo and something from which one wants to separate; it expresses the defilement the purification rituals want to resolve in the dramas. The semen the boy produces and the corpse of the baby "[disturb] identity, system, order" (Kristeva, *Powers of Horror* 4). But the abject is also part of these communities: it violates the demarcation lines between the initiands and the rightful members. The baby is born to the grandmother and one of her sons, and the semen is produced by Boy who has made love to all the

young women. The abject is shared by the characters (in *Baptism*, the elder woman also shares it when she sees it), and this relationship is difficult to deny. The descriptions of the abject show its ambiguity and how the characters relate to it: the dead baby is unnamed, it is called a tiny little baby but is a rotten corpse now; and the semen of Boy is seen as something repulsive by the elder woman, but at the same time, she finds it a waste that it is spilled on his fingers.

Prohászka Rád in her insightful analysis of Shepard's play points out that Dodge slayed a close member, a blood relative, and when he buried it under the land of the family, he polluted the garden forever (52). The baby signaled the beginning disintegration of the family with its powerful ambiguity, and the same is true of Boy in Baraka's play. Since these young members are already corporeally related to the others, they cannot be annihilated easily. The semen is immediately related to the question of faith, and the abject baby to the sterile genetics of the family. The abject is as ambiguous as liminality and the initiands themselves. Rejection of what penetrates and rips up the surface is present in both plays, but the corporeal relation to the abject entails a cyclicity, a constant reoccurrence; hence, defilement cannot be overcome, especially because the relationship is alienated.

Elizabeth Grosz refers to Mary Douglas's (*Purity and Danger*, 1966) and Kristeva's (*Powers of Horror*, French original 1980) discussion of body fluids and all kinds of bodily matter, and how Western cultures maintain a distance from them. The Kristevan abject forces the subject to realize and accept his/her corporeality and the temporality of the body. Also, in Grosz's understanding, pollution for Douglas is generally connected to the female body on the grounds of its menstrual cycle and the dirt of the birth canal when a child is born (192). This feeling of disgust is related to the fear of infection. If one considers the family house and the church community as constitutive of bodies, then it can be said that these bodies are in possession of female characteristics. In *Buried Child*, the baby is buried under the surface of the earth from where it erupts. It is reborn as a signifier of the future of the family: the system the family live in may be fertile, but everything is defiled by earlier deeds. The inside world has two layers here: an inside, which can be permeated and where the male characters are trapped, and a deep inside layer, where the family secret is contained. Furthermore, the men in *Buried Child* fight for the possession of the house and the land. As Silverman Zinman notes, Vince "cut[s] a hole in the porch screen with a knife and crawl[s] through it" after he realizes that by birthright, he has to occupy Dodge's territory (518). The last scenes center on the violent birth ceremony of the new patriarch along with the rebirth of the baby. In *Baptism*, the matron has a powerful role because she tells the minister that the boy is a sinner. Also, there is a march of the young females of the religious community against the teenager. Boy expressed his religious compassion through the sexual act between him and the young women. They have been the recipients of what the old woman described as "that fluid, what all life needs" (Baraka 16). As the abject can be related to the female body in the first place (Grosz 206), it can be claimed that the rituals are finalized in a space with the attributes of a feminine corporeality.

The focus of this comparison is not feminist theory; still, it is interesting to see this common characteristic of the dramas. The body, pollution and defilement are all interconnected in them, not to mention the ironic rituals that the reader/audience learns about. This might be better understood with the help of Kristeva's take on femininity in Western culture in her article entitled "Stabat Mater." In that paper, Kristeva argues that two opposing ideas have been haunting the perception of femininity. The Virgin Mary's purity is one of these, while the other is based on the image of the sinning female (134); female fertility is designed for procreation, not sexual freedom. In both plays, the communal bodies and the depiction of religion are in line with Kristeva's analysis. The bodies the communities desire to maintain should be spotless, lacking any penetration and protrusion, but the reverse is true. There is no Immaculate Conception as there is no corporeality without dirt. Grosz refers to the female body as Western societies think about it: it is a "vessel," a "container," "fillable from the outside," hence the possibility of infection (206) and the pollution in the collective bodies. To connect her discussion with Kristeva's "Stabat Mater," Grosz mentions Douglas's idea of tears as romanticized body fluids (206). They bring a sense of purgation, and they are often related to the Virgin. However, as there is no possibility of Immaculate Conception in the plays, there are no Virgins whose tears would wash away sin, sorrow and dirt.

Hence, it is crucial to understand where sexuality is positioned in the two dramas. In Shepard's play, the external world represents the possibility of temptation. Shelly (Vince's girlfriend) comes from the external world. She is a beautiful young woman who is gazed upon by the males. Although she appeals to them, she does not become an object of desire. As for Halie, there are references that she has an intimate relationship with the reverend. It seems that the internal world represses sexuality, for it is to be eliminated. Halie's physical desires are ironically presented. Dodge is alluded to as impotent, and Halie possibly chose an extra-marital affair because of this. Both incest and adultery with a reverend are taboos in a moral framework, and both confirm the incapability of Dodge. Nevertheless, the child is eliminated and through this, the whole family is punished. In *Baptism*, faith and sexuality are mutually exclusive, and Boy's desires are also ironically presented. He not only masturbates when he is supposed to be praying, he licks his fingers reincorporating his semen. The religious community is critical in terms of sexuality: this is what the comments of Homosexual tell us, and this is why Boy is accused of blasphemy. The only acceptable reason for intercourse is reproduction as the matron's description of the boy's seminal fluid reveals.<sup>1</sup> In *Buried Child*, in a similar way, sexuality is only a means to pass on the genes, but as Matthew Roudané points out, along with them, the sins and the curse from the past are also handed down (349). To understand the effeminate as opposed to the feminine—the boys who are not yet men—it should be noted that Vince becomes a man, and as a result, he gets hold of the family house, just as he might gain possession of the (grand)maternal body as well. The girl-faced Boy

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<sup>1</sup> Also, the young women went to bed with Boy because he made them believe he was Christ. The young women wanted to get closer to God and salvation through bodily experience. Sexuality can be a means to achieve religious trance, according to the drama.

was able to get all the young women, so he has made it clear that he is sexually mature already. The remaining male members, the “asexual” Minister and Homosexual cannot be his rivals, similarly to the way that Tilden and Bradley are no rivals to Vince, because of their respective mental and physical disability.

Grosz uses the metaphor of the Mobius strip when she talks about the abject, the body, corporeality and how the inside and the outside are interrelated and continuous (209). This same logic is applicable to the working mechanisms of the communities in the dramas. As the abject is both incorporated by and discarded from the collective bodies, so are the threshold people. Acceptance and refusal both characterize the attitude of the members towards the young males. In the end, both of them can adapt to the present circumstances. It should be made clear that Shepard stages the abject, while Baraka uses verbal representation. Even so, the matron and the young women in the church evoke the sexual act as they dance in a religious, almost orgasmic trance transgressing the boundaries of their bodies. In Shepard’s play, the baby determines the family’s life and the house from down below, while the boy’s sexuality and his seminal fluid also constitute a central problem in *Baptism*.<sup>2</sup> Furthermore, the abject in these plays is directly related to the sublime: it entails appeal and awe. Besides the matron’s description, the way Tilden holds the dead body also gives away ambivalent feelings. Precisely to the extent that spilled semen or a dead human body may be meaningless, their liminality and signifying potentials become overwhelming. The liminal and the abject are powerful instruments in the dramas to present how defilement and pollution are shared and how the external and the internal mingle. Moreover, as to the irony of the plays, it is powerfully present when liminal people want to get rid of other liminal people.

The initiations should take place because of greater, transcendent causes, while the Others are watching. The gaze of the Other can be felt in both plays: all the characters are being surveyed, and this is why they have to suffer the consequences of their choices. Vince sees his ancestry in the windscreen as an abject “*Mummy*” (Shepard 458 [my emphasis]), while God’s eternal presence is apparent in Baraka’s play. There are expectations and ideals to live up to in both dramas. Applying Foucauldian theory, external rules are internalized by the subjects, and this is what defines their control of both their external and internal bodily experience, besides the internal and external control that they impose on one another (Foucault 219). It cannot go unnoticed that both dramas present quasi-confession scenes. In *Buried Child*, Dodge confesses to Reverend Dewis before his last will, and in *Baptism*, Boy intends to cleanse his soul right before the elder woman arrives. The point to be made here is

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<sup>2</sup> As I use Grosz’s discussion on Douglas’s and Kristeva’s take on body fluids, it should be explained why I analyse the boy’s seminal fluid as abject. The three theoreticians claim that the semen is less polluting and violating in Western societies than are the excrement, the menstrual blood or the cadaver (see Grosz 207). However, in *Baptism*, the semen represents repressed sexuality, the church community’s fear of pollution and blasphemy, and the tearing up of the protecting surface of religion. Boy consumes his own semen, so that it can return and he can be compassionate towards more young females. He does not feel that this is wrong, but the others do: he denies for a short time that he is Jesus (in my reading, to test the community’s compassion), and at that moment, the women claim he must be killed to cleanse the communal body.

that Boy is not able to confess the way he intends to because he is interrupted, so the women can accuse him, and then the minister can declare he has to be sacrificed. Dodge, in contrast, is able to confess to the reverend, but Vince is not able to hear it: he has to accept the family secret unknowingly. In this way the plays demonstrate how elusive the truth of the self is; the truth that is to be achieved in a religious context (Foucault 205). The practices that are defined by the “truth” determine the faith of the initiands as well as of all the other members. There are rules to abide by, and they define the inner world and the relations of the subjects, and these are what the initiands and the abject violate. In *Baptism*, it is their own understanding of the Script and the rules of their religion and in *Buried Child*, it is the rules of the ancestry—both without any corporeal existence. Now it can be seen where the main contradiction stands: corporeality cannot overcome itself, even if it is guided by a formless, bodiless essence, the Other.

In *Baptism*, apocalypse is nigh, as the ending makes it obvious. For Baraka, the only possible solution is to explode the whole place, to erase the hypocritical community off the surface of the Earth. God’s judgment is the only tool that can purify. In *Buried Child*, when Tilden is taking the corpse of the baby upstairs to his mother, Halie praises the rain and the sunlight for providing them with crops. Vince does not care about the possible explosion of the maternal superego: he inherited the house, his transformation was successful—but it is still a regressive process which foreshadows the family’s decline. In the structure of rituals, after a redressive action and the transformation that follows, schism or reintegration must happen, as opposed to what the plays present. The sacrifice of the child does not cleanse in *Buried Child* (Prohászka Rád 52), and there is a high probability that it would not cleanse in *Baptism* either. There is no real resolution to the plays, only perpetuated transition or total extermination.

The dramas present irony-based, corrupted rituals of defilement that derive from the constant pollution of the collective bodies. Instead of baptism, the acceptance of sexual maturation, of weakness, natural death, proper burial and initiation without secrets, there is incest, references to pedophilia, the refusal of sexual desire, the hypocrisy of faith, unburial and brutal murders. Boy was the new Jesus to bring salvation, while Vince used to sing like a little angel when he was a child. Boy does not transform into a man, he stays effeminate throughout, but he kills the minister and the women. He protects himself as he denies the possibility of a “second crucifixion” (Baraka 29). Boy claims that the people he killed are “sinners,” they have “no charity” towards him (Baraka 29), but when Messenger comes in his leather jacket and approaches Boy with his mambo steps, he wants to resist, and demands compassion. Boy failed because of his vigilantism, but sacrificing the reincarnation of Jesus for the sake of the religious community would not have resulted in purification either. There would still be hypocrisy, as Homosexual reminds the reader/audience through his scathingly critical comments. As for Vince, leaving behind his former identity as a normal boy right before coming of age, he starts contributing to the family’s “willed ignorance” and “denial [which] becomes both a source of comfort and anguish” (Roudané 349).

This paper showed that American experimental theater and drama shifted to new rituality as a means to liberate theatrical innovation from the constraints of profit-orientation by the 1960s. With the help of this, American theater was able to come of age—a rite of passage for the theater—and to provide commentary on American society. The paper also presented a movement from the pre-sixties rituality of American drama to the later, exaggerated techniques of re-ritualization that certain dramas demonstrate. This change could be the result of the blooming theatrical movements of the period. The term re-ritualization may define the grotesque and ironic aesthetic of *The Baptism* and *Buried Child*. Eventually, these coming of age rituals do not purify the communities, but restore a regressive order through defilement. The potential saviors are trapped in the repression and hypocrisy of the family and the congregation. Abjection and pollution are apparent in the dramas, and they are directly connected to the rituals that shape the plots. Major taboos are violated, and the abject is part of the technique that brings about the ironic effect. In the worlds of these two dramas, abject pollution inundates from the deep inside, hence the intertwining of the external and the internal. There is a close relationship between members of the community and the abject, which means that the external and the internal are equally impossible to control: there seems to be an inevitability of complete purgation and salvation through abjection in the plays. Vince becomes incorporated in the anguish and denial of the family, which is an eerie re-integration, while Boy's father explodes the church. The ambiguous role of religious beliefs and social practices in the plays constitute a scathing social criticism.

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## Multicultural Identity Negotiation in Some Recent Southwestern Mixed-Blood Poems

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The Southwest presents a unique microcosm of the larger pattern of ethnic mixing and hybridization that profoundly characterizes the contemporary US. The cultural encounters and fusions across boundaries have been the reality affecting every single individual in the region and especially in New Mexico, while paradoxically for centuries this fact and hybridity as such have been tabooed, ignored, disrespected and mostly unvoiced in public letters and arts. *Mestizaje*, *Genozzaro*, *Nepathla* and *Nuevomexicano/a* identity are the outcomes of the “intercultural hybridization” (Kaup and Rosenthal xiii) specific of this region. Interestingly, though many people in New Mexico are aware of their mixed heritage and tend to emphasize one component (Anglo, Hispanic/Spanish or Pueblo Indian) over the rest of components, my impression is that there is little in-depth understanding of the context and psychosocial processes affecting their identity formation. My interest is the act of choice, the process of hybrid crossing, indigenization and the semiotics of colonialism (Kaup and Rosenthal xv) versus that of decolonization.

Mixed-blood identity in the Borderlands (a mindscape in Gloria Anzaldúa’s sense), is an indefinable subject, with the experience of the costs and benefits of belonging to more cultures. In New Mexico, the combination of Pueblo Indian, Mexican, Latino/a and various non-Indigenous ethnic heritages make each individual very specific in terms of ethno-cultural identity and apt to major identity-related issues that Paula Gunn Allen calls “conflicting stains” (*Skin* 56). I am excited about how the latter is reflected in literary texts that facilitate the radical undoing of ethnic identity concepts (including stereotypes) and present the “hybrid potential” (Owens 233). In my broader work, I study the fluctuation between more social identities and specifically the possibilities for escaping prescribed identity formulations. It entails reconnecting with tribal heritage that manifests the clashing western and Indigenous cosmologies and tackles the problems of ethnic pride, shame and stigma, in the view of contemporary visual arts (mostly self-portraits) as well as literary texts, like Owens’s *Bone Games* (1994), *Nightland* (1996) and *Dark River* (1999), novels that join mixed-blood narratives written by James Welch, Benito Cordova, Linda Hogan, Paula Gunn Allen and Leslie M. Silko. However, my focus now is poetry of the same vein, since reading epic and lyrical texts often by the same mixed-heritage authors seems to take us to the assumption that while novels tend to present identity-in-the-making, poems offer a more stable and complete sense of identity and for obvious reasons provide less hints about the context of change.

Firstly, Joy Harjo, the Muskogee, Cherokee, French and Irish poet's (b. 1951) collection entitled *She Had Some Horses* (1983) is to be mentioned in our explorations of mixed-heritage identity formulation. Then Wendy Rose's (b. 1949) *The Halfbreed Chronicles and Other Poems* (1985) and *Life Is a Fatal Disease: Collected Poems 1962-1995* (1997) are examined—the author has Hopi, Miwok, various British and German origins; followed by the Laguna, Scottish and Lebanese-born Allen's (1939–2008), *Skin and Bones: Poems 1979–87* (1986); along with her brother, Lee Francis III.'s (1945–2003) *On the Good Red Interstate* (2002); finally the also Laguna and Lebanese-born Albuquerque-related poet Carol Lee Sanchez Allen's (1934–2011) *She) Poems* (1995) are presented in order to provide an introduction to Nuevomexicano/ mixed-heritage poetry.

Harjo, who came out with her novel entitled *Crazy Brave: A Memoir* (2012) last year, became well-known for her *She Had Some Horses* (1983), a book of poetry that tackles power relations in the Southwest from a gendered and double minority perspective. Although her poems suggest the author's absolute identification with her Indigenous heritage, the way she problematizes the other components of her ethnic identity and the complexity of such a blended ethno-cultural background are worth taking a look at.

Numerous features of her poems depict her ultimately Indigenous approach, like a specifically tribal and mythic cosmology, powerful ideology and spirit, synchronicity in her world view and the tangible presence of oral tradition reflected in the form of pieces like “She Had Some Horses” (Harjo, *She* 63). In “Anchorage,” ancient creation myths of glaciers and oceans merge with reference to her Athabaskan grandmother as well as to colonial history of “200 years / of blood and piss,” where she clearly identifies with a Native American communal future (“our / survival”), opening up the narrative to both timely and timeless perspectives and locating Indigenous people in human, and North American colonial history respectively (Harjo, *She* 14–5). In “Skeleton of Winter,” she continues the same agenda: “there are still ancient / symbols / alive / I did dance with a prehistoric horse / years and births later;” “I am memory alive / not just a name” (Harjo, *She* 30–1). Indigenous approach to colonial history as the story of violence and power dominates pieces: “She had some horses who were maps drawn of blood / She had some horses who were skins of ocean water / ... / She had some horses with full, brown tights” (Harjo, *She* 63–4).

However, her racial awareness includes a sensibility to other components of her “blood memory,” too, as depicted in “She Remembers the Future”: “We are closer than / blood,” Noni Daylight / tells her. ”It isn't / Oklahoma or the tribal / blood but something more / that we speak.” (Harjo, *She* 46). For another example, in “New Orleans” the Afro-American “drops of blood” surface: “I look for evidence / of other Creeks / for remnants of voices” and here De Soto's being drowned in the Mississippi refers to a partial identification with that blood stream (Harjo, *She* 42). “Blood is the undercurrent,” she writes in “Two Horses” (Harjo, *She* 65), where the simultaneous breaking of horses and the two moons also suggest synchronicity. In “Remember,” her consciousness bound to sacred land and tribal grounds reflects a similar multiplicity of races coexisting: “Remember the earth whose skin you are: / red earth,

black earth, yellow earth, white earth / brown earth, we are earth” (Harjo, *She* 40). Few poems actually discuss being mixed blood as clearly as “Kansas City”: “Other children elsewhere / being born, half-breed, blue eyes, / would grow up with the sound / of trains etched / on the surface of their bones” (Harjo, *She* 33–4). Furthermore: “...the blind one / who saw her bones wrapped / in buckskin and silver, / ... / (whose ancestors laid tracks / with hers).”

Harjo’s *She Had Some Horses* written in the 1980s indicates, but not necessarily thoroughly discusses being a mixed-heritage person in the Southwest. Tribal heritage and ties seem to dominate the author’s definition of ethnic identity, without further problematizing a blended social identity, something she does in her recent fictional text *Crazy Brave*. One can observe the difference between a seemingly complete, static notion of identity visible in her poems versus the process of identity negotiation one can follow in her novel.

Wendy Rose also fully identifies with her Hopi/Miwok heritage, however, her thematic interest in capturing blended ethnic identity and contextualizing it in the view of American, regional and family history is certainly more vocal.

“Heredity”

I come by my waters honestly.  
In these yellow arms  
The waters run,  
Into creosote hair,  
The waters  
Bend.

Sacramento, Mokelumne, San Joaquin,  
Bear Creek, Merced, Colorado, San Juan,  
Cumberland, Missouri, St. Lawrence, Genessee,  
Clyde, Tweed, Thames, Swansea,  
Main, Neckar, Lahn, and Rhine,  
Shannon, Suir, Loch Linnhe

...

of these moist songs

...

under pressure

of old bones.

(*Halfbreed* 11)

These waters obviously signify multiple heritage, and similarly to blood, they are vital fluids that give life and powers. Being a person of mixed heritage seems to be a major challenge for Rose: her full-blood Hopi father could not secure a tribal membership for Rose, while her Miwok (as well as English, Irish, German and Scottish heritage)

mother refused her own Indian heritage, preferring to be considered Anglo, so she could not provide a clear-cut definition of ethnic identity for Rose either. Titles of her collections (*The Halfbreed Chronicles and Other Poems* and *Life Is a Fatal Disease: Collected Poems 1962–1995*) reflect her reading of being “halfbreeds, outcasts” as depicted in “Truganny.”

The author expresses absolute identification with Native Americans in the colonial binaries of red or white, and at the same time tackles her concerns about difficulties of keeping Indigenous identity and tradition. As a leading figure of the American Indian Movement and anti-whiteshamanism, Rose paints a radically critical picture of colonial past and postcolonial reality: anger is the main motif of “Wounded Knee 1890–1973”: “Will your fingers bleed / on the rotating blade / that scratches LIBERTY / onto your Indian head?” (*Halfbreed* 28–9) She refers to “my people” in “your cracks,” that is, the cracks of mainstream society (“To the Hopi in Richmond”), and locates non-Native people as an opposition/enemy in “Wounded Knee 1890–1973”: “Will they know / in their greed” (Rose, *Halfbreed* 29), and in “Backlash”: “I am silenced / and ground against / your bulldozing chant” (Rose, *Halfbreed* 36). She questions the ways Native Americans related themselves to non-Natives, and in that sense “Dancing for the Whiteman” takes this question further on to the problem of balancing between bridging cultures and losing one on the altar of the other: “we are dancing / . . . rob us word by word by word / . . . / and do we lose the way home again?” (Rose, *Halfbreed* 36–37).

The central figure of these poems clearly identifies with Native Americans as “my people” against “Them,” like in “To the Hopi in Richmond”: “my people--your floors, cars and crickets” (Rose, *Halfbreed* 10) signify Indigenous folks under the dominant Anglo-American colonizing culture. She even expands the postcolonial agenda to global colonialism and racism, as presented in “Isamu”: ethnicity as a shame and isolating factor is presented as: “looks at you only / when no one is looking at him” and “you tell us you are free / from the bonds of betrayal” (Rose, *Halfbreed* 58). However, in the background of this firm identification with Indigenous people, Rose seems to take a double burden: that of Indigenous life and the frustration of being mixed-blood, as depicted in “If I Am Too Brown or Too White For You”: “and you are selecting me / from among polished stones / more definitely red or white / between which tiny serpents swim” . . . “wanting . . . less mixed” “so pure / it is singing” (Rose, *Halfbreed* 52–3). Finally, she seems to submerge from the identity maze to a new understanding of herself, as shown in “Halfbreed Cry”: “I am leaving / / my uselessness behind” (Rose, *Halfbreed* 47) “and begin to piece together / the shape of me” (Rose, *Halfbreed* 52-3).

This reshaping of the sense of self and the renegotiation of ethnic identity is quite similar in *Skin and Bones: Poems 1979–87* (1986) by Allen. Allen’s 1983 novel entitled *The Woman Who Owned the Shadows* already has a “halfbreed” protagonist called Ephanie. The author’s family typically represents the unique blend of cultures that characterizes New Mexico so much: while her mother was a Lebanese, Laguna,

Scottish “wannabe Chicana,” “she was a New Mexicano,” “. . . the funniest things / punny in that condensed Scottish, Laguna, half-breed way” (Allen, *Life* 184), while her Lebanese father was the lieutenant governor of New Mexico. Her mother’s mind in Allen’s understanding was “a half-breed form of wit that shaped the continent and a life / straight to the half-breed mesas from Caliban who’d lost his mother too” (Allen, *Life* 184). Further ancestors are also often evoked, like in “Grandma’s Dying Poem” the words referring to various ethno-cultural contexts: lace, coy, cameo, Indian princess, genetic line, century’s books (Allen, *Skin* 62–3). Occasionally, she takes the reader to a fictional journey to Israel (Allen, *Life* 144) and establishes an interesting transatlantic perspective on New Mexican cultural mixing and *Nuevomexicanos*.

The author’s approach and poetic forms reflecting her Indigenous cultural loyalties is similar to that of Rose: the concept of time (e.g. in “Creation Story” Allen, *Life* 128) and the clashing cosmologies (e.g. in “Essentially, It’s Spring” in *Life* 129), the Hoop dance meters (Allen, *Life* 146) as well as her criticism of contemporary Anglo-American culture symbolized in “the death culture” and “the dying generation” of young Nazis in “Los Angeles, 1980” (Allen, *Life* 152) all underline her undivided identification with Indigenous people. However, what seems to be truly exciting here is the way the author fluctuates between the various components of her ethnic heritage. Her ironic “Taking a Visitor to See the Ruins” is about a visitor in Albuquerque who wants to see old Indian ruins: he is taken to a “high security apartment building made of stone” where the narrator’s (speaker’s) mother Mrs. Francis and grandmother Mrs. Gotlieb live (Allen, *Skin* 22), “the two who still live pueblo style in high-security dwellings / way up there where the enemy can’t reach them / just like in the old times” (Allen, *Skin* 23). One can observe Allen’s sharp vision and profound understanding of race relations there. At other times she shares her concerns about her own identity: “I am undone by the nature of genetic lines” (Allen, *Skin* 63). These frustrating uncertainties are taken as a personal challenge shared by many, as explained in “Some Like Indians Endure”:

... dykes  
 make me think I’m with Indians  
 when I’m with dykes

indian is an idea  
 some people have  
 of themselves  
 dyke is an idea some women  
 have of themselves  
 the place where we live now is idea  
 because whiteman took  
 all the rest  
 because daddy  
 took all the rest.

so dykes  
 are like Indians  
 because everybody is related  
 to everybody  
 in pain  
 in terror  
 in guilt  
 in blood  
 in shame  
 in disappearance

because the only home  
 is each other  
 they've occupied all  
 the rest  
 colonized it: an  
 idea about ourselves is all  
 we own

(Allen, *Life* 148)

The last lines are truly relevant in our understanding of the significance of discussing mixed ethno-cultural heritage and identity formulation in the Southwest and in New Mexico in particular. Owens explains the so called “hybrid potential” in his “The Syllogistic Mixed Blood” (101) claiming that Indianness has been an image controlled by colonial powers, since it has been white man’s creation without any actual reference to specific tribal peoples; however, hybridity or mixed-blood identity does not lend itself easily to pigeonholing and such a discourse, therefore, cannot be so smoothly subjectified to colonization. Actually that is the very reason why mixed-blood identity negotiation in the postcolonial discourse in poetry, fiction as well as in visual arts is such an exciting question to study. Furthermore, Allen calls attention to other problematic aspects of being born into a mixed heritage, and that is ethnic self-hatred and compartmentalization, the central themes of “Myth / Telling–Dream / Showing”:

5.  
 I don't care, he said. I love  
 The united states. It isn't fair.  
 I never killed any Indians. I am not  
 Responsible for what my ancestors did.  
 I love the wilderness, he said. The Indians  
 Can't keep me out of it.

6.  
 And then there's the indian woman  
 Who hates in herself what is white.

Says she sees it like vomit. Like  
 A crippled withered leg she must drag  
 With her everywhere she goes. (Allen, *Skin* 59–61)

Another issue tackled in Allen’s poems is the extrapolation of blood memory (e.g. in “Conversation with the Dead” *Life* 140 and in “The Text is Flesh” *Life* 144) relating her Israeli and rez experiences on the grounds of global colonialism, just like in “The Warrior” (*Life* 138) and in “¿Que Cante, Quetzal?” (*Life* 139), while at other times a different race (African-American) provides a ground for identification, like in “Myth / Telling–Dream/ Showing”:

9.  
 The white man goes to Yosemite  
 On vacation. It’s recreation.  
 Yes, says another man, black. It’s  
 Your recreation, but it’s their life. (Allen, *Skin* 59)

Nevertheless, the author’s almost painful honesty about sharing her family history in pieces like “Se por Dios” takes us really close to the understanding of mixed-blood *Nuevomexicana* mentality and identity formulation. Here the central mother figure is presented, and the act of telling about her is as rich emotionally as the visualization of this interesting woman’s ethnic choices and their consequences by the daughter as a means of understanding her own heritage.

the white Lebanese/ Catholic/ Arab and Spanish-American cultured  
 knight my dad  
 told me in English—which he’d mostly learned, but late in childhood—  
 that my ma was the one who ousted that Anglo guy,  
 by mustering all the Lagunas and Acomas around  
 . . .  
 She dies in California, blanketed in her fantasy, another secret self, but not  
 one that she kept well hid like Chicanisma, the real reason she eloped with  
 her shining caballero who is my dad, another almost-Chicano,  
 but not a wannabe  
 . . .  
 . . . I doubt I will ever recover from her shame.  
 . . .  
 because Kappa Kappa Gamma girls didn’t mix with the dusky race.  
 She was to marry a WASP with prospects,  
 or an eligible German-American Jew,  
 become a wife of means, erase the disgrace of her birth,  
 her early childhood when she’s spoken mostly Indian  
 and lived with her grandma who’d taken her along to the  
 sacred dances, the ones closed to outsiders, . . .

...

Daughter of the lake, Kawaiku, Laguna,  
did you know the Lagunas say "Oh, poor one,"

...

Crucible of dread and unspeakable, unspoken rage, mountain woman  
forever locked outside her chosen race. . . . (Allen, *Life* 186–87)

However, in "Myth/ Telling–Dream/ Showing," we can learn about the symbolic illness of the woman of mixed blood who cannot resolve the conflicting blood cells: "8 / The indian woman is cursed with lupus. / A blood disease. In which your blood / Devours you" (Allen, *Skin* 59–61). That is: the woman who fights against her Indigenous heritage for a lifetime is cursed with no salvation of racial purity that she had hoped to gain through her choice of going Chicana and/or Anglo. Finally in "Dear World," one can fully understand the very issue that many mixed-blood artists reiterate, especially those of Indigenous and Anglo heritage, that is: colonized and colonizer heritage in their own family histories, in their own bodies:

A halfbreed woman  
can hardly do anything else  
but attach herself,  
her blood attacks itself.

...

I know you can't make peace  
Being Indian and white.

...

Conquered, occupied, destroyed  
By her own blood's diverse strains,  
Its conflicting strains?

...

When volatile substances are intertwined,  
When irreconcilable opposites meet,  
The crucible and its content vaporize. (Allen, *Skin* 56–7)

Reading through these literary texts and seeing photos and paintings of the same thematic interest made me wonder about this conflict, and also about how arts may facilitate the at least partial resolution of it.

Allen's brother, Lee Francis was a poet of a quite different approach, as can be seen in his *On the Good Red Interstate* (2002), but basically their notion of ethnic identity reflected in their literary texts is very similar. The "Prologue" of the "Journey Songs" sets into motion the return-to-the-sacred-tradition motif that marks the whole collection: "I start a journey / to the place of beginning / . . . / On the good red interstate / made sacred by the People" (Francis, *Good* 1). In fact in various ways this

motif characterizes most of mixed heritage literature. However, I believe that there are profound differences between how people relate themselves to the Indigenous component of their identity and how they develop attachment to that tradition. In Francis' case, this connection seems a bit more superficial than with the rest of the poets mentioned here. In the "Trucker's Lament" (Francis, *Good* 7), the van drivers enter Indian country as shelter, in "The Territory" (Francis, *Good* 16) this is a "journey to the homeplace" for him. In the "Cloud People," there is a wish "to guide me to the homeplace" (Francis, *Good* 25), and the journey signifies the topos of passing in the course of what is called tribal travel poetry. Francis, the persona of "Tumbleweed Dreams" longs for a reconnected state of mind with ancient traditions against the reality of modern life: in "Star Mountain," the shape shifter simmers into a constructed reality of zeros and ones (*Good* 69). In the same poem, Francis's "blood memory" correlates his own heritage, his family and Indigenous peoples' history with that of the nation, locating Native Americans in the turmoil of world and American history. The question is posed here: where are the Pequot (Francis, *Good* 71) in the history of hatred and lies (Francis, *Good* 73)? Is the stars and stripes an efficient alternative ideology for the weakening sacred bundles (Francis, *Good* "77)? A similar social criticism is visible in "Doxology," where American colonialism in the past and present are juxtaposed: "and they did as their God commanded / and thus began / the slaughter of the People/ Praise Father, Son, and Holy Ghost" (Francis, *Good* 63), and in the refrains of "The Great White Way": "I love Indians"—"There is no money"—"There is no Indian"—"I love Indians" (Francis, *Good* 64). Francis incorporates contemporary conflicting issues and major fractures between Indigenous and mainstream worlds in, for instance, his vision of the atomic age (Francis, *Good* 68) and in "After the Attack" on 9/11 and his father, the lieutenant governor's death. Furthermore, part of this reality is Native American–mainstream relations symbolized by a single image: the "Fixer Upper" programs elaborated in the past 500 years, where the problem is that they do not really fix (Francis, *Good* 61).

As other poetic features of Francis's poems, certainly a longing for completeness and some impact of the oral tradition and dances: the relevance of storytelling (e.g. the end of "He Ain't Heavy" written for his brother claims that "Laguna stories do not end") (Francis, *Good* 94–5), dreams, e.g. in "Dream House" (Francis, *Good* 9) and "Dream Time" (Francis, *Good* 95), sacred dances (practiced in order to "Remember myself and / my harmonious place in creation" (Francis, *Good* 61), and intuition (e.g. in "Et Tu Puer" written for his son, the child is the connection to other worlds). "Et Tu Puer" interconnects this Indigenous world view with the theme of mixed blood lines:

His face belongs to an ancient-one  
 filled with wisdom of the long-ago time  
 as blood of celtic and mediterranean ancestors  
 intermixes with clans Oak and Gunn.  
 . . .  
 and his forehead is marked with a sign

honoring the four directions. (Francis, *Good* 92–4)

Francis continues his journey towards the home place, the Blue Mountains in the “Crossroads” (*Good* 27) and in “Nine Mile Hill” (*Good* 28), where the growing need for a “psychic embrace” is depicted.

His sea-blue eyes like old turquoise  
Dance with that special light when he says he’s Choctaw and Cherokee.  
Must be so  
‘cause his jokes are pure Ind’n humor  
And he says he knows  
How to make arrowheads. (Francis, *Good* 7)

However, in my view even here this interest in and longing for reconnecting with the tribal heritage seems superficial, something similar to that of tourists travelling through Indian Country. In fact it is the section entitled “Nyah Songs” where a deeper sense of ethnic identification is visible: he positions himself, his identity with the help of ancestral ties and women. He enters an internal dialogue with them, asking “Corn Mother”: “Is that you?” .... “I am the one who is here” (Francis, *Good* 31). His “Ahshiwi Nyah” (Francis, *Good* 45), his Nyah Carol is called for, too: “Oak clan cousin sister,” the “message bringer woman / disconnect you from a common past.” However, these women do connect the central character to his tribal heritage, as the end of the poem reflects: “Red / for sun and passion / Blue / for water and rest / Green / for earth and action / Yellow / for corn and change.” Some of these women also share the speaker’s concerns about being half Indian and half white. Nyah Agnes: “She always knew she was Indian enough / took me to see the mask dances / “These are your people,” she declared / “Never forget you are Oak Clan” (Francis, *Good* 32), while Nyah Ethel also reminds him of the relevance of tribal heritage: “your Indian name” (Francis, *Good* 34). References to significant elements of Native culture, like turquoise, corn, coyote the sacred hoop and mountains indicate in Francis’s poems a gradual return to ancestral ties, which is parallel with the truck driver’s westward journey.

Francis’ self-portrait as a mixed blood person is complex. Although earlier he appears as an outsider, a traveler with some vague attachment to his ancestral roots, once the memories surface, being a neutral observer is not an available/viable option any more. Although Francis’ interest is not particularly any contemporary Native American issue in these poems, sometimes negative emotions (e.g. fury) overtake him. Besides the motion towards indigeneity, he seems to arrive at a new definition of his ethnic identity: “Some kind of a New Indian.”

I speak pidgean indian  
and white vernacular  
like my urban relatives  
living in fast-food cities

where we proudly proclaim our origins wearing  
full regalia at all the  
powwows and sing  
around the sacred drum.

...

So we celebrate being  
marginal Indians and  
wrap ourselves in our  
pendleton-blanket attitudes.

(Francis, *Good* 58)

Belonging to his Indigenous people is a challenge he seems to take in a critical way:

We cling steadfast  
to vaulted myths  
of our own making  
and They become Other  
in the landscape of  
our own agenda.

...

and the People wither and die  
for we are without honor.

*Hey-ah. Hey-ah. Hey. Hey. Hey-ah.*

(Francis, *Good* 56–7)

In my reading, Francis's concept of ethnic identity is based on the dynamics of westward journey/ diving deep into archaic roots/ exploring his own personal history/ quest for values; however, the overall implication is not necessarily a firm sense of loyalty to Indigeneity and his tribal origins or some kind of profound transformation, nor is it an in-depth exploration of a blended identity. It is interesting to see how two writers of the same upbringing develop different attitudes to their origins, family ties and concepts of identity. While Allen's "conflicting blood strains" is a truly exciting way to scrutinize and depict the complexity of mixed-blood identity, Francis' "tribal travel poetry" is a less sophisticated treatise that remains at the level of "*Hey-ah. Hey-ah. Hey. Hey. Hey-ah.*"

Finally, another poet of Laguna and Lebanese mixed heritage from Albuquerque, Carol Lee Sanchez Allen's (1934–2011) *She Poems* (1995) is briefly mentioned, since the interesting perspective on being of mixed heritage Sanchez takes is truly worth taking a closer look at. She contextualizes this complex presence of cultures and enriches it with quick references to Indiannes in its historical and social complexity and Indigenous ties in the view of insider/outsider fixations.

in germany  
she) thought about courage  
and blood lines  
her indian identity  
entitlements and the american dream  
the vanishing indian  
playing indian  
taking dog & pony shows  
around the world and  
her nonindian identity  
she) considered the frenzy  
of documentation  
in 'indian country'  
exploration of detail  
examination of culture  
and family life  
in 'nonindian country'  
gave explanations  
interpretations of all  
symbolical references –  
the meaning of this  
the reason for that

are you real?

...

she remained transfixed by  
this continued attention  
toward every possibility of  
indigenous aboriginal life

...

she) had danced in  
the dalai lama's space  
moved parallel to  
his movements in time –  
coalesced energies within  
nearby circles  
in the mountains and  
valleys among the  
people who called here there.

(Allen, *She* 19–21)

The question of realness, authenticity and the correlated epistemological uncertainty surrounding these individuals interestingly marks a group of ethnic choice makers I discussed earlier in *Going Indian: Cultural Appropriation in Recent North American Literature* (2012), while similar uncertainties characterize the mixed-heritage

Southwesterners, and in fact millions who are becoming the majority of population in today's United States. A further question Sanchez invoices is how to conceptualize hybridity:

she) considered tradition  
as a concept  
the importance of symbols  
as conceptual referents  
...  
she considered imagination  
...  
a value system  
a method of invoking  
specific attitudes  
ritual tradition as a  
container for cultural dreams

(Allen, *She* 29–30)

In conclusion, the question “are you real? real Indian?” and authentic ethnic identity, especially for millions of mixed-heritage individuals, are still major challenges today. Nevertheless, contemporary postcolonial literature and arts seem to somewhat resolve or at least invoice these issues, that significantly influence the lives of millions in the Southwest as well as in other regions of post-ethnic America. The literary texts of Harjo, Rose, Gunn Allen and Francis, Sanchez Allen and Tamez are largely helpful and enjoyable readings that provide an insight to multicultural identity negotiation in the American Southwest from the perspective of mixed-blood authors. The reconceptualization of brownness discussed in detail in Richard Rodriguez's *Brown: the Last Discovery of America* (2002) and the new confirmation of racial hybridity (Owens 174–75) are generally shared features of these texts, though the authors give different relevance to these ideas. I have the impression that with time, education and intercultural experiences, the sensibility for and comprehension of these complexities grow. Furthermore, this difference of the poets' attitudes to brownness and ethnic choice seems to correlate with the psychological factor of tolerating inner and micro-social conflicts related to blended identity. That is: for those who have the mental capacity to tolerate uncertainties of one's self-definition for a longer period of time, being of mixed heritage becomes a source of creative and vital powers, a challenge with the benefits overtaking the costs of multicultural identity, as Richard Crisp explains (64–77), while those who have limited tolerance for outer group pressures and inner confusion, a more simple definition of ethnic identity works better, that is, they tend to make statements about being mono-ethnic, most often “Indian” or “American,” in order to avoid any stress deriving from confusing heritages.

While fiction of the similar vein, like Silko's *Ceremony* and Harjo's *Crazy Brave*, reflects the identity in the making and coming to terms with being of mixed heritage, turning hybridity from a confusing drawback to a creative source of vital

energy, in my view poetry captures moments, or phases of that process in a standby fashion. Identity seems almost stable, while the poem is a kind of statement that locates the individual within the tumbling waters of postcolonial society of the Southwest. While the novels function as an attempted communal act of healing through the actual process of identity renegotiation and quest for the core of the self, these poems help come to terms with blended heritage through the recognition, declaration and celebration of hybridity, but even more dominantly, of the need to reconnect with ancestral ties, with Native American culture as such.

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# History



## The Revocation of the Edict of Nantes and the Glorious Revolution

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The revocation of the Edict of Nantes in October 1685 was an event, which strongly shaped the history of the whole of Western Europe at the end of the 17<sup>th</sup> century. The persecution of the French Protestants created intense religious, economic and national security fears, which eventually brought about a long coalition war against France (1689–97) as well as the Glorious Revolution in Britain. In what follows, I wish to explain why without the revocation of the Edict of Nantes the crucial events of 1688–89 would not have taken place.

The Edict of Nantes was issued by King Henry IV in 1598 to end the French Wars of Religion. The document guaranteed the liberties of the Protestant towns and institutions and granted freedom of worship to the Huguenots.

Why did Louis XIV decide to revoke the Edict? He was pressed to do so by the General Assembly of the clergy, and the Sun King was certainly in bad need of the support of the Gallican Church in his struggle against the pro-Habsburg Pope Innocent XI. Following the principle of “One faith, one king, one law”, he also wished to unify his country and to demonstrate that he was a great Catholic ruler. So, eventually, in 1685 he took the unwise decision to wipe out the Protestants.

There was little opposition in Catholic France to the persecution of the Protestants since anti-Huguenot sentiment was widespread in the country. This was mainly because the Huguenots, who made up less than ten per cent of the population, enjoyed a greater degree of prosperity than Catholics. Their economic success was due to their remarkable industrial activity, but also to the positive discrimination that they enjoyed in economic life until 1683. The Sun King’s chief minister, Jean-Baptiste Colbert wished to introduce a new, centralizing and mercantilist economic policy and in his struggle against the guilds and local monopoly he relied heavily on the Huguenots. In 1683, Colbert was replaced by Marquis de Louvois who was equally hostile to the Huguenots and the new economic tendencies. The Revocation of the Edict of Nantes in 1685, therefore, also represented the defeat of Colbert’s mercantilism in French economic life.<sup>1</sup>

During the 1680s, hundreds of thousands of Huguenots were forced to leave France. Their chief destinations were England, the United Provinces and Brandenburg. Their settlement in these countries had profound implications.

James II came to the throne in the year of the revocation of the Edict of Nantes. The openly Catholic Stuart king wished to grant full religious freedom and

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<sup>1</sup> James Westfall Thompson, “Some Economic Factors in the Revocation of the Edict of Nantes,” *The American Historical Review* 14 no. 1 (1908), 38–45. Hereafter cited as: Thompson, “Some Economic Factors.”

civil equality to his co-religionists. He wanted to remove the laws which prevented Catholics from worshipping and excluded them from public offices and Parliament. When it became obvious that the Anglican Tory Parliament would not repeal the laws against Catholics (the *Corporation Act* of 1661 and the *Test Acts* of 1673 and 1678), James decided to co-operate with the other disadvantaged minority, the Dissenters. In April 1687, he issued his *Declaration of Indulgence*, in which he suspended the laws against both Catholics and Dissenters (Protestant Nonconformists). It was obvious, however, that the penal laws would eventually have to be repealed by a Parliament, since with the king's death the suspension of these laws would become null and void. Thus, James II's ultimate aim was to pack the House of Commons with members who would do his bidding. In order to manipulate the returns of members to Parliament, many borough corporations were purged.<sup>2</sup>

Needless to say, the persecution of the French Protestants put the Catholic James II in a much more difficult position and made things easier for his nephew and son-in-law, William of Orange, who eventually invaded England with a large army in November 1688. The horror stories about the sufferings of the Huguenots had the effect of identifying the English king's policies with the Sun King's cruel campaign against the French Protestants.<sup>3</sup>

The revocation of the Edict of Nantes considerably strengthened William of Orange's position within the United Provinces. It was in 1672 that William became Stadholder and Captain-General in a state of national crisis. In the Franco-Dutch War of 1672–79 he managed to rescue his country from conquest by Louis XIV and then devoted his life to the containment of France. This was the programme which eventually included the invasion of England as well in the Glorious Revolution of 1688.

William realised that the only protection for the United Provinces from French aggression was a great European coalition which included England as well. The Prince's anti-French policy, however, was strongly opposed by the two commercial provinces of the Republic, Holland and Zeeland. At the end of the Franco-Dutch War Louis XIV had managed to divide the seven provinces of the Republic by offering Holland and Zeeland economic concessions. William was unable to convince the inward-looking representatives of these powerful commercial provinces that, even if Dutch trade and Protestantism were their main interests, their safety could only be guaranteed by diplomacy and war. The years 1682–84 saw a major Dutch domestic

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<sup>2</sup> John Miller, *James II: a Study in Kingship* (London: Wayland, 1978), 126–127. Hereafter cited as: Miller, *James II.*; William A. Speck, *Reluctant Revolutionaries: Englishmen and the Revolution of 1688* (Oxford University Press, 1989), 129–131. Hereafter cited as: Speck, *Reluctant Revolutionaries.*; John Miller, *Seeds of Liberty. 1688 and the Shaping of Modern Britain* (London: Souvenir Press, 1988), 21–23. Hereafter cited as: Miller, *Seeds of Liberty.*; Barry Coward, *The Stuart Age. England, 1603–1714* (London and New York: Longman, 1994), 336–339. Hereafter cited as: Coward, *The Stuart Age.*

<sup>3</sup> Coward, *The Stuart Age*, 338; James did not prevent refugees from coming to his kingdoms and he even issued a brief for their support. Nevertheless, it is clear that he acted in this way only for political and tactical reasons and to placate English public opinion. See Robin D. Gwynn, "James II in the Light of His Treatment of Huguenot Refugees in England, 1685–1686," *The English Historical Review* 92, no. 365 (Oct. 1977).

political crisis the cause of which was the French king's renewed attack of the Spanish Netherlands. When William wished to increase the Dutch army by 16,000 soldiers and form an anti-French coalition with the Emperor of Austria and Spain, Holland and Zeeland refused to agree. It was clear that without the support of Holland's leading city, Amsterdam, the Prince of Orange was powerless.<sup>4</sup>

Until 1685 it seemed that as a prisoner of the Dutch domestic political forces William would not be able to counter French aggression. The revocation of the Edict of Nantes, however, gradually altered the situation. The religious persecution of the French Protestants in itself would not have changed the pro-French policies of Holland and Zeeland.<sup>5</sup> What eventually transformed their attitude was the fact that as a result of the persecution of the Huguenots, Dutch commercial interests also suffered. There were few people in the United Provinces who did not have a relative or friend engaged in trade with France. The French authorities often closed the warehouses of the Dutch merchants themselves, preventing them from either selling their goods or taking them from the kingdom.<sup>6</sup> Eventually Louis XIV started an economic war (*guerre de commerce*) against the Republic in 1687 by introducing high protective tariffs against Dutch textile and fish products. The effect of all this was very serious since it became virtually impossible to sell Dutch textiles or Dutch herring in France, which was traditionally the largest market for those products.<sup>7</sup>

The City of Amsterdam was still reluctant to introduce counter-measures. When the French king, however, ordered the arrest of all Dutch ships in French ports, the Amsterdam city council agreed to the ban on French commodities as well as the seizure of French ships in Dutch ports. Now it was generally understood in the Republic that since France had seriously damaged Dutch trade and Louis XIV also maintained close links with James II, war with France was unavoidable. Thus, there were "two main factors behind the Dutch decision to invade" England: an economic and a strategic.<sup>8</sup> The aim was to make the United Provinces "secure against all external danger"<sup>9</sup> by breaking the Catholic and pro-French regime in England and transforming it into an ally against France. This daring objective could not have succeeded without the unified support of the Dutch state.

In the spring of 1688, the international situation became more favourable for William and enabled him to seriously consider the possibility of a military intervention in England. In May 1688, Frederick William (The Great Elector, 1640–

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<sup>4</sup> Jonathan I. Israel, "The Dutch Role in the Glorious Revolution," J. I. Israel, ed., *The Anglo-Dutch Moment: Essays on the Glorious Revolution and its World Impact* (Cambridge University Press, 1991), 112–113. Hereafter cited as: Israel, "The Dutch Role."

<sup>5</sup> K. H. D. Haley, "The Dutch, the Invasion of England, and the Alliance of 1689," Lois G. Schwoerer, ed., *The Revolution of 1688-1689: Changing Perspectives* (Cambridge University Press, 1992), 24. Hereafter cited as: "The Dutch, the Invasion of England."

<sup>6</sup> Thompson, "Some Economic Factors," 48–50; Miller, *James II*, 143.

<sup>7</sup> Israel, "The Dutch Role," 114–115; Haley, "The Dutch, the Invasion of England," 24.

<sup>8</sup> Israel, "The Dutch Role," 112.

<sup>9</sup> Israel, "The Dutch Role," 120.

1688) died. His son, Frederick III was a much more enthusiastic supporter of the anti-French coalition than his father had been.<sup>10</sup>

Frederick William's foreign policy was inconsistent. The Great Elector would change from one side to the other as the interests of his state demanded. In the Franco-Dutch War of 1672–79 he supported Holland (1672–73), then France (1673–74), then Holland again (1674–79).<sup>11</sup> From 1679 to 1685 he was again in French pay. It was the Revocation of the Edict of Nantes that changed his foreign policy. The Great Elector could not ignore the religious and economic implications of the persecution of the French Protestants. He issued the Edict of Potsdam in November 1685, offering the Huguenots shelter in Brandenburg-Prussia. Frederick William also came to terms with the United Provinces and the other powers that were forming the League of Augsburg in 1686 without, however, completely breaking with France.<sup>12</sup>

Brandenburg's support for William of Orange's great venture was crucial. The Dutch Republic's frontiers could not be left unprotected when William set off with his army for England. The new Elector of Brandenburg, Frederick III supplied 6000 troops for this purpose. This is what enabled William to leave the United Provinces and to carry out the Revolution of 1688 in Britain.<sup>13</sup>

When did William of Orange decide to invade England? In the summer of 1686, William organised some German states, the Holy Roman Empire, Sweden and Spain into the defensive League of Augsburg. The military position of these anti-French powers considerably strengthened when Leopold I's imperial army captured Buda in September 1686 and decisively defeated the Turks at Mohács in August 1687. It was now possible to transfer imperial troops to the Rhine to counter a possible French aggression there, something which the Emperor had not been able to do between 1681 and 1684, when Louis XIV annexed Strasbourg, Casale and Luxemburg. William knew, nevertheless, that without England the anti-French coalition would not be strong enough. He needed English support, but his own uncle and father-in-law, James II,—who was preoccupied with his domestic aims and stubbornly maintained his neutrality in foreign policy—stood in his way.<sup>14</sup>

During 1687 and 1688, two developments induced William to take action. First, in the winter of 1687 it was announced that James's second wife, the Catholic Mary of Modena, was pregnant. If she gave birth to a son,—as she eventually did on 10 June 1688—then Mary (James's Protestant daughter and William's devoted wife) would be disinherited. Second, in 1688 William feared that James II might even become an ally of Louis XIV to crush the growing domestic opposition in England. Thus, William had a double aim: to protect his wife's right of succession to the

<sup>10</sup> Wouter Troost, "William III, Brandenburg, and the Construction of the Anti-French Coalition, 1672–88," J. I. Israel, ed., *The Anglo-Dutch Moment: Essays on the Glorious Revolution and its World Impact* (Cambridge University Press, 1991), 330. Hereafter cited as: Troost, "William III."

<sup>11</sup> E. N. Williams, *Dictionary of English and European History, 1485–1789* (London: Penguin, 1980), 163. Hereafter cited as: Williams, *Dictionary*.

<sup>12</sup> Troost, "William III," 329–333; Williams, *Dictionary*, 163.

<sup>13</sup> Troost, "William III," 299. Elector Frederick III of Brandenburg became the first King of Prussia in 1701 as Frederick I (1701–13).

<sup>14</sup> Coward, *The Stuart Age*, 343; Troost, "William III," 331–332; Williams, *Dictionary*, 258–260.

throne, as well as to change England's foreign policy and involve the country in his great struggle against Louis XIV.<sup>15</sup>

How did William manage to invade England without being opposed by France? In September 1688, Louis XIV—who was well aware of William's intention to go to England—decided to attack Philipsburg, a fortress on the Rhine, instead of helping James II against his son-in-law. This was intended as a pre-emptive strike against the League of Augsburg, which—the French king believed—was about to attack his country after the Emperor's successes against the Turks. Louis assumed that James II would be strong enough to resist William. A civil war in the British Isles, tying down the Dutch army for a long time, would have served his interests perfectly. Louis XIV, however, seriously miscalculated. Philipsburg was able to withstand the siege. The French attack precipitated the War of the League of Augsburg (the Nine Years' War). William was now free to sail to England and James II was doomed. No one could have predicted that he would lose his throne without even fighting a battle in England.<sup>16</sup>

Louis XIV should have avoided a full scale war against the League of Augsburg, since—as Paul Kennedy has put it—“French finances and trade were now much less satisfactory after Colbert's death, and neither the army nor the navy—although numerically daunting—was equipped for sustained and distant fighting”.<sup>17</sup> With the revocation of the Edict of Nantes, however, the Sun King created an increasingly difficult situation for France and eventually helped to precipitate the Nine Years' War too. The persecution of the French Protestants drove Brandenburg into the anti-French camp and provided William with invaluable military help. Since the atrocities against the Huguenots hit the business interests of many Amsterdam merchants as well, William was able to obtain the unified support of the Dutch State for intervention in England and war against France. Developments in France also increased the fears in England that James II would establish absolute monarchy and restore Catholicism. Thus, the revocation of the Edict of Nantes should be treated as an important cause and precondition of the Glorious Revolution and the Nine Years' War.

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<sup>15</sup> Miller, *Seeds of Liberty*, 25; Troost, “William III,” 332; Coward, *The Stuart Age*, 343;

<sup>16</sup> Wout Troost, *William III, the Stadholder-King. A Political Biography* (Aldershot: Ashgate, 2005), 191–193; Speck, *Reluctant Revolutionaries*, 76–77; Stuart Prall, *The Bloodless Revolution* (New York: Anchor Books, 1972), 216–217.

<sup>17</sup> *The Rise and Fall of the Great Powers. Economic Change and Military Conflict from 1500 to 2000* (New York: Vintage Books, 1989), 103.

## Abraham Lincoln and Slavery: The Myth of the “Great Emancipator” Revisited

ISTVÁN KORNÉL VIDA

Abraham Lincoln. There is hardly anyone who is not familiar with this name. The perfect embodiment of the American Dream concept in the first half of the 19<sup>th</sup> century, the sixteenth president of the United States, the first one to be assassinated in office, who immediately became a martyr. He was immortalized by sculptor Gutzon Borglum as one of the giant, 60-foot sculptures at Mount Rushmore, accompanied by George Washington, Thomas Jefferson and Theodore Roosevelt. Lincoln’s profile is on the obverse of the 1-cent coin, but his likeness can be seen on the 5-dollar bill as well. His figure has entered the realm of popular culture, most recently as a vampire hunter in Seth Grahame-Smith’s mashup novel and its action fantasy horror movie version.<sup>1</sup> His figure has been used and abused by several groups and movements, often with historical accuracy falling victim to their efforts.

Lincoln Studies constitutes a prominent sub-field of 19<sup>th</sup>-century US history in general and Civil War studies in particular. The acknowledged historian, James G. Randall (1881–1953), whose multi-volume Lincoln biography is still a major resource for scholars, warned in a famous article, published as early as 1936, that the field had been exhausted.<sup>2</sup> Nevertheless, as Randall himself later realized, he could not have been more wrong: the academic as well as popular interest in the historical figure of Lincoln seems to have been unbroken since then, although this does not mean that there have been no major shifts of emphasis in Lincoln Studies during the past 70–80 years.

The decades following the Second World War saw a major revival of Lincoln Studies and particularly the 1960’s and the 1970’s brought about new multidisciplinary research projects which scrutinized every possible aspect of Lincoln’s life. Historians combined their field of expertise with other disciplines such as psychology, sociology, medical studies, gender studies, gay studies, or more recently, memory studies, which resulted in brand new perspectives and approaches.

It is impossible to tell the exact number of works studying the widest range of Lincoln-related topics, as it increases by the dozen each week. According to the most reliable estimates, altogether some 16,000 books have been published about Lincoln: the Ford’s Theatre Center for Education and Leadership in Washington, D.C. illustrated this by constructing a 3-storey high tower of books in 2012.

For the past few years there has been a renewed interest in Lincoln’s figure in historical memory. In 2009 the 200<sup>th</sup> anniversary of Abraham Lincoln was commemorated nationwide: the programs were coordinated by the Abraham Lincoln Bicentennial Commission, in which some of the most acknowledged Lincoln experts were represented including Harold Holzer and Hungarian-born Gabor S. Boritt, founder and onetime director of the Civil War Institute at Gettysburg College. (The Commission’s successor organization is the Abraham Lincoln Bicentennial Foundation, newly-reconstituted in 2011.) The election of Barack Obama

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<sup>1</sup> Seth Grahame-Smith, *Abraham Lincoln: Vampire Hunter* (New York: Grand Central Pub., 2010).

<sup>2</sup> James G Randall, “Has the Lincoln Theme Been Exhausted?”, *The American Historical Review* 41, no. 2 (Jan 1936): 270.

coincided with the commemorations, and in his election campaign the Lincoln-theme played a central role. Many considered his election the fulfilment of everything Abraham Lincoln, the “Great Emancipator” had struggled for. This became the major theme of Obama’s inauguration, as well: he symbolically took the oath of office by placing his hand on the Bible that had been used during Lincoln’s inauguration on March 4, 1861. This was followed by Aaron Copland’s classical orchestral piece “Lincoln Portrait”, with actor Tom Hanks reading excerpts from Abraham Lincoln’s greatest speeches and writings, including his Gettysburg Address.

Contributing to the increased interest in the Civil War in general is the commemoration of the 150<sup>th</sup> anniversary of this bloody fraternal war in the United States. The so-called Civil War Sesquicentennial, of course, also put Lincoln in the spotlight as the greatest achievement of the Civil War was the abolition of slavery, the “peculiar institution” that had existed since the earliest days of the British colonies in North America.

Interestingly enough, the past decade or so saw a tangible shift in Lincoln Studies, as there is a moving away from actual historical events and there seems to be an increased interest in their representation in historical and public memory. (The author of the present article has offered a seminar for M.A. students this semester and when it came to choosing research topics all but one student went for topics in historical memory (e.g. depiction of Abraham Lincoln in movies, political cartoons, or even computer games). Considering this, it might sound odd that in this paper I have chosen not to follow this trend, or will do so only partially, as I am focusing on maybe the most “exhausted” topic: Lincoln and slavery. Why devote any more lines to this subject?

It was 150 years ago that Abraham Lincoln issued his Emancipation Proclamation on January 1, 1863, which serves as the clearly-identifiable starting point for the myth of Lincoln being the friend and savior of the African-American race. In the popular mind, this image of Lincoln endures, but the academic community is much more divided on the issue and many historians have expressed doubts about its validity. Challenging the myth of the “Great Emancipator” started as early as the 1950’s: the already-quoted Randall accused Lincoln of being indifferent to the fate of African-Americans and belittled the Emancipation Proclamation as a “paper pronouncement” that actually liberated no slave.<sup>3</sup> This trend did continue with the coming of the Civil Rights Movement: Lincoln’s achievements bringing about African-American equality were often questioned. Probably the sharpest critic of Lincoln’s racial policy has been Lerone Bennett, Jr., African-American scholar and long-time executive editor for *Ebony* magazine, who called Lincoln nothing less than a white supremacist in his provocative article published in 1968.<sup>4</sup> In his book entitled *Forced into Glory: Abraham Lincoln's White Dream* (2000) Bennett argued that it would be more proper to refer to Lincoln as the “Great Colonizer”, as he had supported the colonization scheme during most of his political career and advocated the deportation of liberated slaves out of the country, back to Africa or elsewhere.<sup>5</sup> Bennett’s Lincoln was not any better than his racist contemporaries: he regularly used the “N” word, loved blackface minstrel shows as well as demeaning “darky” jokes. “His fondest dream,” Bennett wrote, “was of a lily-white America without Native Americans, African Americans and Martin Luther Kings.”<sup>6</sup>

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<sup>3</sup> LaWanda Cox, “Lincoln and Black Freedom,” in Gabor S. Boritt ed., *The Historian’s Lincoln: Pseudohistory, Psychohistory, and History* (Urbana: University of Illinois Press, 1988), 175.

<sup>4</sup> Lerone Bennett, Jr., “Was Abe Lincoln a White Supremacist?” *Ebony* February, 1968, 35.

<sup>5</sup> Lerone Bennett, Jr., *Forced into Glory: Abraham Lincoln’s White Dream* (Chicago: Johnson Publishing Co., 2000), 634.

<sup>6</sup> Bennett, Preface to *Forced into Glory*.

In the spirit of the Civil Rights movement, it was difficult to refute some of these claims, but Bennett's book provides a perfect case study for one of the gravest mistakes a historian can commit. It is a commonplace that a historian writes about the past, but for an audience in the present. Therefore, it must never be forgotten that historical events and historical personalities can only be understood and evaluated in their own times, in their historical context. This is what Bennett—besides struggling with correct source evaluation—was unable to grasp. He was not the only one though. Another historian at the end of the 1960's wrote: "it is difficult to reconcile Lincoln's role with our own consciences".<sup>7</sup>

Against the background of the Civil Rights Movement, Lincoln's achievements bringing about full racial equality indeed appeared painfully incomplete. Since the 1960's considerable scholarly attention has been paid to the African-Americans' contribution to the Civil War and the abolition of slavery, which was in sharp contrast with the earlier studies depicting them as passively waiting to be emancipated. In this interpretation, Lincoln hardly appears as a radical revolutionary fighting for American society in which the two races co-exist on equal terms. Interestingly enough, Lincoln was often criticized for the deficiencies of the Emancipation Proclamation, but was hardly ever given credit for his rather significant behind-the-scenes role in pushing through Congress the Thirteenth Constitutional Amendment in 1865.

Despite the large number of works studying every possible aspect of Lincoln's historical figure, it is important to see that it is not at all easy to access Lincoln. He basically left no personal documents (he kept no diary, sent only a few dozen personal letters), what is more, his contemporaries' recollections concerning him are also of dubious credibility. The overwhelming majority of the Lincoln papers are of political nature, consequently, they reflect what Lincoln the politician considered useful in progressing his personal political goals as well as those of his parties, first the Whigs, then the Republicans. Furthermore, historians do not have a very large number of sources at their disposal: *The Collected Works of Abraham Lincoln* counts only 8 volumes plus one index volume, whereas, just to mention one example, the projected *Papers of Thomas Jefferson* consists of 60 volumes, out of which already 39 have been published, covering his political career until 1803.

Even with these limitations and obstacles, the anniversary of the Civil War seems an appropriate moment to revisit Lincoln's approach to the institution of slavery and take the measure of him as the mythical "Great Emancipator". In what follows, special emphasis is to be laid on attempting to explain why certain decisions regarding slavery were made by Lincoln without giving a detailed elaboration of the historical events themselves; an exhaustive analysis of this kind would possibly require a book-length work.

### **The Young Lincoln**

Abraham Lincoln was born in Kentucky where slavery was part of everyday reality: at the beginning of the nineteenth century about a quarter of the state's population was held in chains. His parents themselves had no slaves, and actually harbored ill-feelings towards the institution, therefore, the sight of slaves was not part of the everyday life of young Abraham, especially, as the family soon moved first to Indiana, then on to Illinois, where slavery was prohibited by the Northwest Ordinance of 1787. Nevertheless, racism and the discrimination of African-Americans was prevalent everywhere in American society, in North and South

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<sup>7</sup> Robert W. Johannsen, "In Search of the Real Lincoln, or Lincoln at the Crossroads," *Journal of the Illinois State Historical Society* 61 (1968): 237.

alike, and anti-slavery sentiment remained absolutely unacceptable to the majority of the American population, often making members of the early abolitionist movement targets of racist mob action.

Lincoln saw slaves in chains for the first time when he transported farm goods to New Orleans down the Ohio and Mississippi rivers in 1828 and 1831. From his boat he could see huge plantations which often used slave workforce by the hundreds, what is more, one night they were attacked by a band of black robbers—luckily they succeeded “in driving the negroes from the boat”.<sup>8</sup> When he arrived in New Orleans, which had a slave population of 17,000, he saw slave auctions and certainly the maltreatment of African-Americans. John Hanks, Lincoln’s second cousin, wrote about his reaction: “Lincoln saw it—his heart bled—Said nothing much—was silent from feeling—was sad—looked bad—felt bad—was thoughtful and abstracted. . . . It was on this trip,” Hanks concludes, “that he formed his opinions of Slavery; it ran its iron in him then and there”.<sup>9</sup> Again, the credibility of Hanks’ recollections is dubious, yet, it can be assumed that his encounter with slavery remained indeed imprinted in Lincoln’s memory. In 1855, Lincoln wrote to his friend, Joshua F. Speed about having seen a group of slaves chained together on a ship on the Ohio river back in 1831: “You may remember, as I well do, that . . . there were, on board, ten or a dozen slaves, shackled together with irons. That sight was a continual torment to me; and I see something like it every time I touch the Ohio, or any other slave-border”.<sup>10</sup>

However shocked Lincoln was by the sight of the inhuman treatment of African-Americans, it did not affect him much during his young adolescent years in Springfield in Illinois. Even when he entered local politics in the early 1830’s, he did not associate with the reactivating abolitionist movement. (In 1831 Nat Turner’s slave rebellion brought the institution of slavery to the center of attention and the publication of William Lloyd Garrison’s *The Liberator* gave momentum to the anti-slavery movement, which became more and more restricted to the territories North of the Mason-Dixon line.) In this generally anti-abolitionist atmosphere, Lincoln did not express his opinion about slavery until 1837, when as a member of the Illinois General Assembly, representing Sangamon County, he made his first public denouncement of the peculiar institution, along with fellow-representative Dan Stone, at the same time criticizing the abolitionists in equally harsh terms:

Resolutions upon the subject of domestic slavery having passed both branches of the General Assembly at its present session, the undersigned hereby protest against the passage of the same. They believe that the institution of slavery is founded on both injustice and bad policy; but that the promulgation of abolition doctrines tends rather to increase than to abate its evils. . . . They believe that the Congress of the United States has no power, under the constitution, to interfere with the institution of slavery in the different States.<sup>11</sup>

This short protest, presented to the House, summed up nicely what would become Lincoln’s approach to slavery in the decades that followed: he found slavery morally unacceptable, yet, as a Whig, he celebrated the Constitution, which acknowledged and

<sup>8</sup> David Herbert Donald, *Lincoln* (New York: Simon and Schuster, 1995), 34.

<sup>9</sup> Douglas L. Wilson and Rodney O. Davis, eds., *Herndon’s Informants: Letters, Interviews and Statements about Abraham Lincoln* (Urbana and Chicago: University of Illinois Press, 1998), 457.

<sup>10</sup> Roy P. Basler, ed., *Collected Works of Abraham Lincoln*. 9 vols. (New Brunswick, N.J.: Rutgers University Press, 1953–1955), 2:321.

<sup>11</sup> Basler, ed., *Collected Works* 1:75.

protected the institution, as the core document of the American people, consequently, he accepted that the government had no right to interfere with it.

### **Lawyer and State Politician**

The Lincoln-story is, in many ways, a perfect example for the American Dream. Lincoln, who started out from a Frontier log cabin as a child of relatively poor, uneducated, illiterate parents, worked himself up the social ladder and, through self-education, became a lawyer and got admitted to the bar in the state of Illinois. Throughout the 1840's he focused more and more on his legal practice: he became one of the "traveling lawyers" of the Eighth Judicial Circuit of Illinois, consisting of fourteen counties containing an area of over ten thousand square miles, which was more than twice the size of the state of Connecticut. This meant a lot of work for Lincoln and also being away from home for weeks both in the spring and the fall, but he needed the higher income: he married Mary Todd in 1842 and barely one year later their first son, Robert was born, to be followed by Edward in 1846. Luckily, his legal practice became more and more lucrative and by the end of the 1840's he was quite wealthy. He was not picky when it came to deciding what cases to take: most of them were such minor issues as land titles, debt collections, divorces, etc. However, it is remarkable that he took hardly any cases which involved blacks, especially runaway slaves. In contrast, a fellow lawyer, Salmon P. Chase, who would become his Secretary of Treasury during his presidency, defended so many runaway slaves that he became known as "the attorney general for fugitive slaves".<sup>12</sup> Out of his some 5,000 cases Lincoln took some three dozen cases involving blacks and it happened that he represented slave-holders. In 1847 he did represent Robert Matson, a slaveowner who demanded that his slaves, the Bryant family, be returned to him despite their arguing that they were entitled to their freedom as they had been forced by him to work in Illinois, that is, north of the Mason-Dixon Line. The justices decided that the Bryants were free because the Illinois Constitution did not allow slaves to be held on state soil unless in transit. Lincoln lost the case, yet, it is not easy to explain why he actually took it. Many of his critics have pointed out that there was no financial pressure on him any more to take such cases, but historical sources suggest that Lincoln was simply not at the point when his approach towards slavery had developed to be systematic and consistent enough.<sup>13</sup>

The very same year Lincoln became member of the House of Representatives and he moved to the nation's capital. This was the first time that he had lived in a city where slavery, especially slave trade, was an integral part of everyday life. As historian Mary Beth Corrigan put it, "Washington offered [slave] dealers a convenient transportation nexus between the Upper and Lower South, as the city connected to southern markets via waterways, overland roads, and later rail".<sup>14</sup> Nevertheless, with the presidential elections approaching, Lincoln, the loyal Whig party politician, decided not to talk about slavery, although the abolition of the peculiar institution in general, or slave trade in particular, had been hotly debated in the capital for some time. What is more, he made sure that he would not be associated with any abolitionist sentiment in Washington, D.C.: when Joshua Reed Giddings (1795–1864), Ohio's

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<sup>12</sup> Doris Kearns Goodwin, *Team of Rivals: The Political Genius of Abraham Lincoln* (London: Penguin Books, 2009), 108–118.

<sup>13</sup> Eric Foner, *The Fiery Trial: Abraham Lincoln and American Slavery* (New York: Norton and Co., 2010), 48–49.

<sup>14</sup> Mary Beth Corrigan, "Imaginary Cruelties?: A History of the Slave Trade in Washington, D.C.," *Washington History: Magazine of the Historical Society of Washington, D.C.* 13 (Fall/Winter 2001–2002): 5.

Representative introduced a bill to abolish slavery in the capital, Lincoln was one of the 6 Whigs who opposed it. Giddings accused Lincoln of actively seeking appointment from the new administration, and therefore not supporting any radical ideas. Still, during his term, Lincoln frequently met Giddings and his abolitionist acquaintances in Mrs. Sprigg's boarding house on Capitol Hill, where they all lodged.<sup>15</sup> It is not quite clear what influence his discussions with them had on Lincoln's thinking, but to the surprise of many, in 1849 he came up with his own proposal for emancipation. In the District of Columbia he called for a referendum of free white male citizens, and if supported by the majority, slavery would be abolished in the District. Those who were currently slaves would remain in bondage, but the United States Treasury would compensate the owners willing to free them. Children born of slave mothers after 1850 would become free. At the same time, Lincoln offered a more "active and efficient" fugitive slave act for the slaveholding states.<sup>16</sup> Lincoln had worked very hard behind the scenes to gain support from both pro- and anti-slavery Congressmen, but eventually his bill received no support from anyone when it went public, consequently, Lincoln backed down and did not even introduce the bill. However, the issue was placed on the agenda very soon with the Compromise of 1850.

It seemed that 1849 would be the termination of Lincoln's political career as well. He received no political appointment, so he had no other option but to return to Springfield. He devoted all his time and attention to his law practice in partnership with William H. Herndon, about whom Lincoln said, "He was my man always above all other men on the globe".<sup>17</sup> Although he was not involved in national politics, in 1852 Lincoln was invited to deliver one of the eulogies at the funeral of Henry Clay, the "Great Compromiser", one of the leading figures of the Whig Party. Lincoln truly admired Clay and later referred to him as his "beau ideal of a statesman".<sup>18</sup> Lincoln, unlike the numerous other eulogists, talked about Clay's opinion concerning the future of slavery. He shared his view that it could not be "at once eradicated, without producing a greater evil" just yet, and he identified with his support for the idea of colonization, that is, liberating the slaves and transporting them back to Africa.<sup>19</sup>

Colonization, as advocated by the American Colonization Society, which was founded in 1816, offered a solution to the problem: what would happen following the emancipation of slaves? For the overwhelming majority of Americans, a biracial society, in which blacks and whites were equal in all respect, was unimaginable and they feared the seemingly unavoidable social tensions. Colonization offered a way out: it promised to liberate African-Americans, at the same time guaranteed that the United States would not have to cope with post-emancipation shock and racial animosity.

It was in his eulogy of Henry Clay that Abraham Lincoln first publicly expressed his support of colonization, which was to apply to both free and emancipated African-Americans. Lincoln considered this a way of "restoring a captive people to their long-lost fatherland [in Africa]", regardless of the fact that the majority of blacks in the country were second or even third-generation (forced) immigrants who had no other attachment to Africa than some remnants of their folk traditions. Nevertheless, Lincoln did believe that they had more opportunities outside the United States "with bright prospects for the future".<sup>20</sup> Lincoln,

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<sup>15</sup> Charles O. Paulin, "Abraham Lincoln in Congress, 1847-49," *Journal of the Illinois State Historical Society (1908-1984)* 14, no. 1/2 (Apr-Jul 1921): 85.

<sup>16</sup> Donald, *Lincoln*, 136.

<sup>17</sup> David Herbert Donald, *We Are Lincoln Men* (New York: Simon and Schuster, 2011), 69.

<sup>18</sup> Basler, ed., *Collected Works* 3:29.

<sup>19</sup> Donald, *Lincoln*, 165.

<sup>20</sup> Basler, ed., *Collected Works* 2:132.

following the footsteps of Clay, embraced the idea of colonization and during the next decade it served as the ultimate “escape route” for him whenever he was accused of turning a blind eye on the possible consequences of emancipation, immediate or gradual, with or without compensation. At this point, however, Lincoln viewed them, as historian Eric Foner points out, “as people who had been violently and unnaturally removed from their homeland”, thus no part of American society.<sup>21</sup>

### **Lincoln, the Republican**

The 1850’s proved to be one of the more turbulent decades in American history. The sectional conflicts between North and South resulted in the first major secession crisis, which could be avoided only through the Compromise of 1850. However, the controversies were past beyond remedy and the compromise was by far not as effective as the Missouri Compromise of 1819, and the end of the decade saw storm clouds gathering over the nation. For Lincoln, these ten years were a most transformative period, as from an obscure local politician and Frontier lawyer he became one of the most prominent national politicians who soon found himself in the White House.

Despite the complex nature of sectional conflicts, the central issue, of course, was the future of the institution of slavery. It was this issue, or rather the debates surrounding its territorial expansion that prompted the political reactivation of Abraham Lincoln. In 1854 Democratic Senator Stephen A. Douglas of Illinois designed a bill creating the territories of Kansas and Nebraska which included the proposition that people living in the territories could decide whether slavery would be allowed or not. This principle of “popular sovereignty” was to mean the effective repeal of the Missouri Compromise of 1820 which had closed Kansas to slavery. The bill created a political upheaval among anti-slavery groups all over the North and it actually caused the final disintegration of the Whig Party. Lincoln also deemed the situation grave enough to return to politics and make his opinion heard about the issues involved.

On October 16, 1854 Lincoln delivered a speech in Peoria, Illinois, which was the last of his series of public speeches in the state responding to Douglas. In the longest speech of his life (it was 3 hours long, about 17,000 words) he gave a detailed summary of his objections to the Kansas-Nebraska Act and the principle of popular sovereignty, what is more, reconsidered his anti-slavery arguments as well. He openly attacked the immorality of the peculiar institution: “If the negro is a man, why then my ancient faith teaches me that ‘all men are created equal’; and that there can be no moral right in connection with one man’s making a slave of another”.<sup>22</sup> As Eric Foner points out, this was the first time that Lincoln’s anti-slavery rhetoric was emphatic:

This *declared* indifference, but as I must think, covert real zeal for the spread of slavery, I can not but hate. I hate it because of the monstrous injustice of slavery itself. I hate it because it deprives our republican example of its just influence in the world—enables the enemies of free institutions, with plausibility, to taunt us as hypocrites—causes the real friends of freedom to doubt our sincerity, and especially because it forces so many really good men amongst ourselves into an open war with the very fundamental principles of civil liberty—criticising the

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<sup>21</sup> Foner, *Fiery Trial*, 61.

<sup>22</sup> Tim Davidson, *The Essential Lincoln: Abraham Lincoln’s Finest Speeches and Writings* (Aquitaine Media, 2009), 36.

Declaration of Independence, and insisting that there is no right principle of action but *self-interest*.<sup>23</sup>

However, it is also important to point out that Lincoln did not let his anti-slavery speech become anti-Southerner. In a language that foreshadowed his first inauguration speech as well as his Gettysburg address, he made sure: “I have no prejudice against the Southern people. They are just what we would be in their situation . . . . If [slavery] did now exist amongst us, we should not instantly give it up.” (Lincoln read out the exact same line in his speech at Ottawa, Illinois, during his debates with Stephen A. Douglas in 1858).<sup>24</sup> In what followed, he also admitted that—similarly to many of his contemporaries—he had no elaborate plans for what would happen to the emancipated slaves. This, again, provides an explanation why Lincoln had embraced the idea of colonization, although he also found its practicability questionable:

If all earthly power were given me, I should not know what to do, as to the existing institution. My first impulse would be to free all the slaves, and send them to Liberia,—to their own native land. But a moment’s reflection would convince me, that whatever of high hope, (as I think there is) there may be in this, in the long run, its sudden execution is impossible . . . . What then? Free them all, and keep them among us as underlings? Is it quite certain that this betters their condition? . . . Free them, and make them politically and socially, our equals? My own feelings will not admit of this; and if mine would, we well know that those of the great mass of white people will not. Whether this feeling accords with justice and sound judgment, is not the sole question, if indeed, it is any part of it. A universal feeling, whether well or ill-founded, cannot be safely disregarded. We cannot, then, make them equals. It does seem to me that systems of gradual emancipation might be adopted; but for their tardiness in this, I will not undertake to judge our brethren of the south.<sup>25</sup>

The Peoria speech gave a somewhat unexpected, yet long-needed momentum to Lincoln’s political career, as he soon emerged as one of the major spokesmen of all the forces that believed that climate and geography would not keep slaveholders out of Kansas, and who wanted to hinder slavery’s territorial expansion. This provided the basis for a new political party which grew out of the first “anti-Nebraska” local meetings. The Republican Party, as it was soon called, consisted of anti-slavery so-called “Conscience Whigs” as well as anti-Kansas-Nebraska “Free-Soil” Democrats. Lincoln had already seen that the split of the Whig party was inevitable: “I think I am a Whig, but others say there are no Whigs, and that I am an abolitionist, even though I do no more than oppose the *extension* of slavery”, he wrote.<sup>26</sup> Lincoln played a major role in organizing the Republican Party in his home state and had become one of its leaders by 1856, when the party first entered the presidential elections. Their candidate, John Charles Frémont ran for president with the slogan “Free soil, free silver, free men, Frémont.” Although the Republicans lost, they came in strong second acquiring 33

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<sup>23</sup> Foner, *Fiery Trial*, 66.

<sup>24</sup> Harold Holzer, ed., *The Lincoln–Douglas Debates: The First Complete, Unexpurgated Text* (New York: Fordham University Press, 2004), 60.

<sup>25</sup> Holzer, ed., *The Lincoln–Douglas Debates*, 61.

<sup>26</sup> Richard W. Etulain, *Lincoln Looks West: From the Mississippi to the Pacific* (Carbondale, IL: Southern Illinois University Press, 2010), 16.

percent of the popular votes and 114 electoral votes (as opposed to Democratic candidate James Buchanan's 174 votes). Frémont carried 11 states, dominating in New England, New York and the northern Midwest.<sup>27</sup>

Despite the defeat at the elections, the Republicans gained ground on the political stage of the Antebellum Era and Lincoln also remained active politically. His attention was soon drawn by the Supreme Court's Dred Scott decision of 1857, in which Chief Justice Roger B. Taney, supported by six other members of the court, decided that Dred Scott, a slave who lived with his owner for a longer period of time north of the Mason-Dixon Line, must remain in bondage, furthermore, defined slaves as items of property, being non-citizens of the United States, therefore, having no standing to sue in court. As the Constitution protects the individuals' rights to property, by all means including slaves, the Court's argument went, the Missouri Compromise's limiting slavery south of the Mason-Dixon Line was declared unconstitutional. In his argument, Taney pointed out that African-Americans were "beings of an inferior order, and altogether unfit to associate with the white race . . . and so far inferior, that they had no rights which the white man was bound to respect".<sup>28</sup> It was this argument that made Thaddeus Stevens, Radical Republican and a fierce enemy of slavery, write: "[This infamous sentiment] damned [Taney] to everlasting fame; and, I fear, to everlasting fire".<sup>29</sup>

Lincoln did agree with the more radical fraction of his party. He sincerely believed that the original intention of the founding fathers with the Declaration of Independence was to include all races, which were equal in "certain inalienable rights, among which are life, liberty, and the pursuit of happiness." He added: "They meant to set up a standard maxim for free society, which should be familiar to all, and revered by all; constantly looked to, constantly labored for, and even though never perfectly attained, constantly approximated, and thereby constantly spreading and deepening its influence".<sup>30</sup>

In 1858 Lincoln ran for one of the senatorial seats for the state of Illinois. His opponent was Stephen A. Douglas, who had come up with the principle of popular sovereignty to be used in the Territories. Lincoln and Douglas agreed to hold one debate in each of the congressional districts in the state within a day of each other with joint appearances. The seven debates were held between August 21 and October 15, 1858 and were followed by intense newspaper coverage. The debates, although Lincoln basically summarized his earlier views regarding slavery, made him known nationwide and elevated him to prominence within the Republican Party despite his eventual defeat by Douglas at the election. It was his opening speech delivered on June 17, 1858, at the Illinois State Capitol in Springfield which became one of his most often quoted orations: the House Divided Speech in which he prophesized that the country would soon found herself in a fraternal war over slavery if Douglas's principle prevails:

A house divided against itself cannot stand. I believe this government cannot endure, permanently, half slave and half free. I do not expect the Union to be dissolved—I do not expect the house to fall—but I do expect it will cease to be divided. It will become all one thing or all the other. Either the opponents of

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<sup>27</sup> Richard H. Sewell, *Ballots for Freedom: Antislavery Politics in the United States, 1837–1860* (New York: Oxford University Press, 1976), 254–291.

<sup>28</sup> Jeffrey A. Segal, and Harold J. Spaeth, *The Supreme Court and the Attitudinal Model Revisited* (Cambridge, UK: Cambridge University Press, 2002), 125.

<sup>29</sup> Hans L. Trefousse, *Thaddeus Stevens: Nineteenth-century Egalitarian* (Chapel Hill: University of North Carolina Press, 1997), 178.

<sup>30</sup> Goodwin, *Team of Rivals*, 207.

slavery will arrest the further spread of it, and place it where the public mind shall rest in the belief that it is in the course of ultimate extinction; or its advocates will push it forward, till it shall become lawful in all the States, old as well as new—North as well as South.<sup>31</sup>

It was due to this series of debates that Lincoln gained national fame and was even considered for presidential nomination at the Republican Party's second National Convention in 1860. Although Lincoln appeared to be a "Dark Horse" candidate in comparison with all the other candidates including former New York Governor William H. Seward, Senator Salmon P. Chase of Ohio, former Representative Edward Bates of Missouri, and Senator Simon Cameron of Pennsylvania, it was his being the most moderate of them all concerning slavery that secured him the necessary support at the convention. At the election of 1860 Lincoln carried 17 states and received 180 electoral votes. His election, however, served as the immediate impetus for the secession of altogether 11 states which would form the Confederate States of America, and for the outbreak of the Civil War.

### **President Lincoln**

A detailed discussion of Lincoln and the issue of slavery during the Civil War would go way beyond the scope of this paper. Therefore, I am going to present some of the most important stages in the transformation of Lincoln's thinking regarding the future of slavery and emancipation.

It is a commonplace that the Civil War was fought over slavery. It was not the exclusive cause, of course, but one way or another the conflict revolved around issues connected to the institution of slavery. At the same time, it is essential to emphasize that in the first half of the war abolition was nowhere to be found on President Lincoln's political agenda—on the contrary: he emphasized on all possible occasions that he had no intention to interfere with slavery. The question may arise: why was Lincoln hesitant to strike a blow at slavery?

Firstly, as a Republican, Lincoln was convinced that the Constitution did not give him any authorization to interfere with slavery, even if he had the political will to do so. Secondly, and more importantly, there remained states with significant slave population within the Union—the so-called border states: Delaware, Kentucky, Maryland, and Missouri, and later West Virginia—and Lincoln wanted to make sure that these states stay within the Union. He knew very well that mentioning any form of abolition would immediately alienate these states and they would end up in the embrace of the Confederacy.

There was, however, another aspect of emancipation that was impossible to foresee not only for Lincoln but for military experts of the Union as well. In the first two years of the Civil War, the Union army was doing miserably: instead of the quick military victory anticipated by many, they struggled on all theatres of the war, especially on the Eastern front. Despite the large number of volunteers—which was decreasing as the war progressed at such a rate that the government had to introduce national conscription in 1863—the North could not turn the tide of events, consequently, many political and military leaders started to consider accepting African-American soldiers in the Union army. Two of Lincoln's generals, John Charles Frémont and David Hunter, came up with their own versions of military emancipation in the departments under their command, but Lincoln, still worried about the

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<sup>31</sup> Foner, *Fiery Trial*, 99–100.

border states, nullified both of their proclamations. By the summer of 1862, however, the skyrocketing number of former slaves escaping to Union territory (contrabands) and the Union Army's pressing need for soldiers forced Lincoln to reconsider his position. Congress passed two Confiscation Acts in 1861 and 1862, both of which were signed by Lincoln, although he was still hesitant to give up the cornerstones of his original plan: gradual, compensated emancipation accompanied by colonization.

In July 1862 he was already working on the draft of a preliminary emancipation proclamation, but when on August 14, 1862 he hosted a group of African-American leaders in the White House—for the first time in the nation's history—he still argued for colonization in his welcoming speech:

You and we are different races. . . . Your race are suffering in my judgment, the greatest wrong inflicted on any people. . . . Blacks could never be placed on an equality with the white race . . . whether this is right or wrong I need not discuss. . . . But for your race among us there could not be war.<sup>32</sup>

Lincoln seemed to place considerable blame on the blacks themselves for the Civil War in which “white men [were] cutting one another's throats.” “The only solution,” he concluded, was the complete separation of the two races and added that he expected that African Americans would “sacrifice something of their present comfort” by agreeing to leave, as any other decision would be “extremely selfish”.<sup>33</sup>

These are hardly the words that one would associate with the soon-to-be “Great Emancipator”. Hardly a month passed, when on September 22, 1862 Lincoln presented his Preliminary Emancipation Proclamation in which he gave Confederates time until January 1, 1863 to cease the rebellion and return to the Union, otherwise their slaves would be declared forever free. Gradual emancipation and colonization were still parts of this plan, but the latter was intended as by no means compulsory. The plan was not radical, it was rather a summary of Lincoln's previous schemes: in the border states emancipation was to be gradual and compensated accompanied by volunteer colonization, whereas only in the rebellious states was it to be general. Reading Lincoln's speeches from this period, including his annual message to Congress in December, one cannot help the feeling that Lincoln was hopeful that the Southerners would change their minds: he was still refining his plan for colonization except for talking about the imminent abolition of slavery.

January 1, 1863 came, however, and no Southern states returned to the Union. Lincoln issued his Emancipation Proclamation and he immediately made history. This is true, even if hardly any slaves were freed on that particular day: the proclamation did not apply to the approximately 800,000 slaves in the border states and, of course, the progress of the Union Army was needed to enforce the emancipation in the Confederacy which did not come until well into 1863. Lincoln made it no secret that military necessity forced him to issue the proclamation and as such, it would remain effective until the end of the Civil War, otherwise it would be unconstitutional. That is why, Lincoln worked very hard in the upcoming months, particularly following his re-election, to secure pushing through Congress the constitutional amendment that would do away with slavery once and for all.

The Emancipation Proclamation did mean a major turning point in Lincoln's policy regarding slavery. This time he no longer sought the cooperation of slave-owners in

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<sup>32</sup> Basler, ed., *Collected Works*, 353.

<sup>33</sup> Basler, ed., *Collected Works* 354.

emancipation, it was immediate and non-compensated, all of which had been the cornerstones of his policy concerning the future of the peculiar institution since his days as a local politician, back in Illinois. What is more, he never mentioned the idea of colonization again, which indicated that he was accepting the idea of the United States becoming a biracial society in the future.

### **Conclusion**

What is the historical validity of the myth of the “Great Emancipator”? Based on historical facts, probably as much as presenting Abraham Lincoln as a racist “Arch Villain”. The truth is somewhere in between, as no segment of history is ever black and white—not even in the history of slavery. Lincoln’s views regarding race went through a significant transformation during his career from a minor local politician up to his days in the White House, yet, some elements remained remarkably unchanged throughout the decades.

Some of the elements, such as his long-time support of colonization, seem hardly compatible with the image of the friend of blacks, especially when taken out of historical context. Nevertheless, when one looks at it as a way to avoid the long-standing problems of a biracial society, Lincoln appears in a different light. Therefore, when attempting to take the measure of Lincoln as the friend of African-Americans, the best approach is probably that of historian Richard N. Current, who described Abraham Lincoln as “the symbol of man’s ability to outgrow his prejudices”.<sup>34</sup>

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<sup>34</sup> Richard N. Current, *The Lincoln Nobody Knows* (Westport, CN.: Greenwood Press, 1958), 80.

## **John Stuart Mill Revisited: James Fitzjames Stephen's Criticism and Interpretation of Liberty**

ÁGNES BERETZKY

The present paper focuses on John Stuart Mill, the philosopher and moral theorist, indisputably one of the most influential writers in the course of the nineteenth century and James Fitzjames Stephen, a lawyer, legal historian and essayist, twenty-three years Mill's junior. Both are self-claimed liberals, utilitarians and rationalists, on the face of it, the teacher and the disciple; however, Stephen turned out to be the fiercest critic of Mill, and thus of a major trend in Victorian thought.

After due introduction to John Stuart Mill and James Fitzjames Stephen's background, which is unusually significant in the shaping of their ideas, the present paper aims at highlighting and analysing the chief arguments in the latter's *Liberty, Equality, Fraternity* against Mill's sweeping concept of liberty. Its chief object is to prove that the judgement of posterity and Stephen's present-day neglect is rather unfair, and his remarkable insights into the nature and limitations of liberty are under-appreciated, as they anticipated most of the ideas of 20<sup>th</sup>-century conservative thought.

To begin with, both philosophers enjoyed illustrious company either by birth or by choice. As for James Fitzjames Stephen, his grandfather was the chief architect of the 1807 *Slave Trade Act*, which famously abolished slave trade in the British Empire (though not yet slavery itself). His father-in-law, the reputed William Makepeace Thackeray, and his niece, Virginia Woolf, should also be mentioned here. As regards Mill, the influence of his father, James Mill, was quickly overshadowed by John Stuart's godfather and spiritual instructor, Jeremy Bentham. Bentham, the outstanding philosopher and social reformer, was the father of utilitarianism, the most significant ethical theory to originate in Britain, represented overwhelmingly by British thinkers. Benthamite utilitarianism maintains a form of consequentialist moral ethics arguing that "actions are right in proportion as they promote happiness, wrong as they produce the reverse of happiness".<sup>1</sup> In contradistinction with hedonism, a central tenet of the utilitarian creed is to maximize the good, thus aiming at the greatest happiness of the greatest number, shifting the focus from the individual to the collective.

Unlike Bentham, John Stuart Mill's father had lowly origins, and his forceful mother with iron-determination embarked on assisting his son to advance in life.

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<sup>1</sup> John Stuart Mill, *On Liberty*, ed. Gertrude Himmelfarb (Harmondsworth: Penguin Classics, 1974), 137.

Therefore, uniquely among his peers, he never helped in his father's business, his "sole occupation" being "study" for endless hours. (However, later, when he earned his living tutoring children in noble families, a returned but unfulfilled love towards one of his students still served as a reminder of his original social status.)<sup>2</sup> By 1808, when he met Bentham, James Mill had already become an influential thinker in his own right; nevertheless, he quickly endorsed Bentham's utilitarian principles, and as a better writer and abler advocate, determined to devote all his energies to popularize them.

According to Bentham, one of the greatest fields awaiting utilitarian reform was education. "The common end of every person's education is happiness", he argued.<sup>3</sup> As a child prodigy himself, and according to recent psychological research most probably an egocentric Asperger-case with some obsessive and narrow preoccupations,<sup>4</sup> Bentham set out to copy his own beginnings and educate the model of the prefect utilitarian by becoming as "demanding and insensitive" a (God)father as his father used to be.<sup>5</sup> However, as he had no family of his own, the guinea pig of this long experiment turned out to be his eager secretary's firstborn three-year old son.

Thus, unlike Stephen's Eton and Cambridge education, which made him a judge, a leading historian and scholar of English criminal law, and an expert of criminal responsibility, John Stuart Mill never crossed the threshold of a school. He was instead submitted to an accelerated home-instruction by the two utilitarians, his strenuous and demanding father in person and the equally demanding Bentham, in spirit. At the age of three he started learning Greek, and by the time he was twelve, he had tackled most of the Greek and Latin classics, had made a wide survey of history, logic and mathematics, and to a great extent economics.<sup>6</sup> Nevertheless, after all the years of absorbing facts, carefully excluding any "contagion of vulgar modes of thought and feeling",<sup>7</sup> that is, a close personal relationship with his peers, the "experiment" as Mill called his own education,<sup>8</sup> went wrong: the perfectly rational man he was to become suffered a nervous breakdown at the age of 20 and became severely depressed for about half a year. He regarded himself an intellectual machine without any self-respect. The way out of his wretched state was to rebel against his father's absolute authority and Bentham's influence by broadening his outlook: he began to read poetry, flirted with the ideas of socialists, and questioned and rethought the universal applicability of the utilitarian doctrine. A quickly enfolding affection towards Harriet Taylor and their marriage also helped him throw off his father's authority.<sup>9</sup> It was during their marriage when his (their) most significant work, *On*

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<sup>2</sup> Alexander Bain, *James Mill: A Biography* (Longmans, Green, and Co., 1882), 5–7.

<sup>3</sup> F.A. Cavanagh, "Jeremy Bentham on Education," *International Educational Review* 1 (January 1933), 412.

<sup>4</sup> Philip Lucas and Anne Sheeran, "Asperger's Syndrome and the Eccentricity and Genius of Jeremy Bentham," *Journal of Bentham Studies* 8 (2006), 5–6.

<sup>5</sup> John Dinwiddy, *Bentham* (Oxford & New York: Oxford University Press, 1989), 17–18.

<sup>6</sup> Jonathan Riley, *Routledge Philosophy Guidebook to Mill On Liberty* (London: Routledge, 1998), 7.

<sup>7</sup> John Stuart Mill, *Autobiography* (London: Longmans, Green, Reader and Dyer, 1873), 39.

<sup>8</sup> Mill, *Autobiography*, 33.

<sup>9</sup> Jo Ellen Jacobs, *The Voice Of Harriet Taylor Mill* (Bloomington: Indiana University Press, 2002), 13–14.

*Liberty* was produced, which many still believe to be the gospel of the nineteenth century.<sup>10</sup>

Contemporary acclaim was not less reserved either:

I do not know whether then or any other time so short a book instantly produced so wide and so important an effect on contemporary thought as did Mill's *On Liberty* in a day of social and intellectual fermentation. . . . the little volume belongs to the rare books that after severe criticism has done its best are still found to have somehow added a cubit to man's stature.<sup>11</sup>

Thus wrote John Morley, the editor of *Fortnightly Review* in his *Recollections*. But Mill's former student, James Fitzjames Stephen had a different opinion. He and Mill were meeting regularly as members of the Political Economy (debating) Club founded by Mill himself. Their cordial relationship, however, ended suddenly when in 1871 Stephen informed Mill about his criticism, an intensive and exhaustive attack, which appeared in book form in the volume *Liberty, Equality, Fraternity*.

Stephen read Mill's *On Liberty* (and *Utilitarianism*) as part of his travelling library on his way back from Bombay to Paris, leaving behind his post and three years of intensive law-making as a legal member of the Colonial Council in India. After "firing broadsides" into Mill for hours, he could not help the conclusion: "It is curious, that after being, so to speak, a devoted disciple and partisan (of Mill) up to a certain point I should have found it impossible to go on with him. His politics and morals are not mine at all, though I believe in and admire his logic and his general notions of philosophy."<sup>12</sup>

Upon arriving home from India, Stephen re-engaged in politics. He had already attempted to achieve election to the House of Commons in the liberal interest (in 1865) for the seat of Harwich and again in 1873 for Dundee. The result of the latter was all the more disastrous as he was virtually the government's candidate in a safe liberal seat, and yet received about ten percent of the vote. The failure was partly due to the newly extended franchise (in 1867), and at least as much to his series of (anonymous) letters to the recently founded conservative newspaper, the *Pall Mall Gazette*, on Mill's *On Liberty*, a clearly "awkward burden for a Liberal candidate to carry".<sup>13</sup>

The Dundee defeat was a "blessing in disguise", for Stephen had already distanced himself from the Liberal Party.<sup>14</sup> More than that, disgusted with the whole idea of active politics, he returned to the bar becoming a great authority on legal and Indian affairs. He was appointed Secretary of a Royal Commission on education in 1858, a position he held until 1861. He also sat on Royal Commissions on copyright

<sup>10</sup> John C. Rees, *Mill and his Early Critics* (Leicester: University College, 1956), 3.

<sup>11</sup> John Morley, *Recollections*, Vol. 1 (New York: Macmillan Company, 1917), 60.

<sup>12</sup> Leslie Stephen, *The Life of Sir James Fitzjames Stephen* (London: Smith, Elder, & Co., 1895), 299.

<sup>13</sup> Stephen, *James Fitzjames Stephen*, 340.

<sup>14</sup> Stephen, *James Fitzjames Stephen*, 349.

(1875 and 1876) and on fugitive slaves (1876) and extradition (1878) and was heaped with academic honours, both English and European, as well as state.<sup>15</sup> Thus he reinvigorated his main objective to reform the government to make it more effective with regard to the betterment of the society along the utilitarian lines of the “greatest happiness of the greatest number”.

The dying Disraeli, however, saw it differently: in 1881 he told Lord Lytton, Governor-General of India, incidentally Stephen’s friend: “It is a thousand pities that James Fitzjames Stephen is a judge; he might have done anything and everything as leader of the future Conservative Party”.<sup>16</sup> At the same time, Mill became “the Saint of Rationalism”,<sup>17</sup> in Gladstone’s epithet, as well as “the most *open* mind of his generation”.<sup>18</sup>

However, despite the excellent recommendation and other invitations, Stephen turned away from practical politics for good. With renewed interest, he returned to his former criticism of Mill’s *On Liberty*, among others.<sup>19</sup> In the first chapter of *Liberty, Equality, Fraternity*, he praised Mill lavishly, arguing that there is “no writer of the present day who has expressed himself upon these subjects with anything like the same amount either of system or of ability. In the second place, he is the only modern author who has handled the subject, with whom I agree sufficiently to differ from him profitably.”<sup>20</sup> But praise is cut short, as Stephen directs his attack exactly to the part of Mill’s book which was its greatest innovation and attraction among his rational Victorian contemporaries. Abstract, absolute, yet easy and understandable, its thesis, its “one, very simple principle” looked perfect. It stated that “the only purpose for which power can be rightfully exercised over any member of a civilized community, against his will, is to prevent harm to others. His own good, either physical or moral, is not a sufficient warrant.” At the end of the paragraph, for the sake of further clarity and simplicity, Mill added his equally famous epigram, which became the liberal credo: “Over his body and mind, the individual is sovereign.”<sup>21</sup> The vigour of Mill’s language makes clear that he did value liberty as an end in itself and not simply as one among many possible ways to achieve a Utilitarian’s conception of happiness.

Stephen, however was not impressed, but expressed profound scepticism about the applicability of a simple one-fits-for-all principle:

I do not believe that the state of our knowledge is such as to enable us to enunciate any “very simple principle as entitled to govern absolutely the dealings of society”. . . We must proceed in a far more cautious way, and

<sup>15</sup> John D. Heydon, “Reflections on James Fitzjames Stephen,” *University Of Queensland Law Journal* 29 (2010), 43–65.

<sup>16</sup> Heydon, “Reflections,” 20–21.

<sup>17</sup> Nicholas Capaldi, *John Stuart Mill: A Biography* (Cambridge: Cambridge University Press, 2004), 363.

<sup>18</sup> Henry Colin Gray Matthew, *Gladstone 1809–1898* (Oxford: Clarendon Press, 1997), 576n.

<sup>19</sup> Stephen acknowledges in his first chapter that he argues equally against Mill’s *Utilitarianism* and *Subjection of Women*, as well as against *On Liberty*. The first two works, however, are not part of the present essay.

<sup>20</sup> James Fitzjames Stephen, *Liberty, Equality, Fraternity* (New York: Holt & Williams, 1873), 3.

<sup>21</sup> Mill, *On Liberty*, 14.

confine ourselves to such remarks as experience suggests about the advantages and disadvantages of compulsion and liberty respectively in particular cases.<sup>22</sup>

This statement is seemingly utilitarian, owing to its consequential moral reasoning and empirical basis; however, it bears a striking resemblance to the conservative self-definition: the most non-ideological ideology, devoid of any utopian programme or master plan. Following a similarly conservative line of argumentation, Stephen poses his *simple* transcendentalist *question* against Mill's simple principle that he believed was "the true centre, not only of Mr. Mill's book upon liberty, but of all the great discussions of our generation, upon [which] hang all religion, all morals, all politics, all legislation—everything which interests men as men. . . . Is this world all?"<sup>23</sup>

Stephen also maintained the view that by offering a negative definition of freedom, stripped of coercion either by the state (avoiding totalitarianism) or by others (not resulting in social tyranny or paternalism), Mill's "very simple principle" made the concept of freedom absolute, an end in itself that it should not be.

Although Stephen also shared the classical liberals' negative definition of liberty, he further disagreed with Mill in two aspects. First, he argued that, as no man can live and survive isolated, all individual actions must have social consequences, therefore separate "self-regarding actions" cannot occur.<sup>24</sup> Secondly and more importantly, liberty cannot be understood to involve an absence of all restraint. "Liberty means not the bare absence of restraint," he explained, "but the absence of injurious restraint."<sup>25</sup> In the background lay the fact that by 1873 he had fully endorsed the Hobbesian axiom that social order (and thus personal safety) required the restraint of personal freedom. The years Stephen had spent in India, which he boldly labelled "a sort of second University course", could only reinforce this view.<sup>26</sup> He claimed to have learnt, along with most conservatives, that it was force (authority) and not discussion that bound societies together. Moreover, the results of the 1873 Dundee election based on the extended franchise, which he interpreted as the result of granting freedom to the uneducated, further strengthened this belief.<sup>27</sup> Thus he could argue:

Discussions about liberty are in truth discussions about a negation. Attempts to solve the problems of government and society by such discussions are like attempts to discover the nature of light and heat by inquiries into darkness and cold. The phenomenon which requires and will repay study is the direction and nature of the various forces, individual and

<sup>22</sup> Stephen, *Liberty, Equality, Fraternity*, 49.

<sup>23</sup> Stephen, *Liberty, Equality, Fraternity*, 74.

<sup>24</sup> Capaldi, *John Stuart Mill*, 278. Mill's answer to Stephen was that he did not deny that no isolated human action can occur, but the decision still has to be made whether and to what extent external control is necessary (Capaldi, *John Stuart Mill*, 180).

<sup>25</sup> Stephen, *Liberty, Equality, Fraternity*, 193.

<sup>26</sup> Stephen, *James Fitzjames Stephen*, 299.

<sup>27</sup> Stephen, *James Fitzjames Stephen*, 351.

collective, which in their combination or collision with each other and with the outer world make up human life. If we want to know what ought to be the size and position of a hole in a water pipe, we must consider the nature of water, the nature of pipes, and the objects for which the water is wanted; but we shall learn very little by studying the nature of holes. Their shape is simply the shape of whatever bounds them. Their nature is merely to let the water pass, and it seems to me that enthusiasm about them is altogether thrown away.<sup>28</sup>

In Stephen's understanding, therefore, the character and value of liberty resides precisely in the restraints that frame it. Each individual may only unfold his character within the context of a web of restraint provided by the moral, political, legal, and religious institutions that form the social arrangements in which each and every human being can pursue their own ends in concert with one another. Therefore, in contrast to Mill's concept of liberty in his "simple principle", morality, law, and religion do not constitute an infringement upon individual liberty, as being non-injurious. Moreover, it is these very restraints that allow liberty, *ordered liberty*, to be realized, partly by averting the necessary conflict of moralities. In spite of being a self-confirmed utilitarian liberal, Stephen here echoed Edmund Burke, the conservative icon: "Men are qualified for civil liberty in exact proportion to their disposition to put moral chains upon their own appetites."<sup>29</sup>

The conservative preference for traditional authority systems is clearly revealed in Stephen's above argument. The urgent need for authority and for the maintenance of social order is premised upon the idea that humans are basically selfish, unreasonable and even violent, whereas liberals maintain the belief in the perfectibility of man if only the right environment is created. Although seemingly both authors are liberal utilitarians, Mill's and Stephen's antagonistically opposite ideas of human nature lead to conflicting views about the essence of liberty. According to Heydon, "[t]here was a puritan side to Stephen; and his Puritanism derived viability from an almost physiologically reasoned acceptance of the survival of the fittest. He was convinced of the damned unworthiness of mankind and of their incurable apathy towards salvation."<sup>30</sup> Stephen's deepest convictions about mankind were not only formed by Bentham's Utilitarianism, but to a greater extent by Hobbes's psychological egoism and the anti-utilitarian Carlyle, whom he preferred to Mill and the other humanitarian positivists with all their 'feminine' sentimentalism.<sup>31</sup> Stephen read Carlyle's *French Revolution* during his formative years, and the fiery jeremiads in *Past and Present* also played their part, together with the regular Sunday

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<sup>28</sup> Stephen, *Liberty, Equality, Fraternity*, 189.

<sup>29</sup> Edmund Burke, "Letter to a Member of the National Assembly," in: *The Works of the Right Honourable Edmund Burke*, Vol. 4 (London: John C. Nimmo, 1887), 51–52.

<sup>30</sup> John D. Heydon, "Reflections on James Fitzjames Stephen," *University Of Queensland Law Journal* 29 (2010), 31.

<sup>31</sup> Russel Kirk, *The Conservative Mind from Burke to Santayana* (Washington: Regnery Publishing Inc, 2001), 304.

walks in the early seventies which Stephen claimed had made him “increasingly gloomy”.<sup>32</sup>

In *Liberty, Equality, Fraternity* he maintains the sober view that

Men are so constructed that whatever theory as to goodness and badness we choose to adopt, there are and always will be in the world an enormous mass of bad and indifferent people—people who deliberately do all sorts of things which they ought not to do, and leave undone all sorts of things which they ought to do. Estimate the proportion of men and women who are selfish, sensual, frivolous, idle, absolutely commonplace and wrapped up in the smallest of petty routines, and consider how far the freest of free discussion is likely to improve them. The only way by which it is practically possible to act upon them at all is by compulsion or restraint.<sup>33</sup>

Owing to the corruptibility of human nature, Stephen argued, a society with the widest possible freedom against moral, political, legal and religious restraints would not function properly as Mill had dreamed, but would turn into a nightmare: a licentious society with the self-destructive cult of self-gratification in the centre, a moral *laissez-faire*.<sup>34</sup>

Mill died three months after *Liberty, Equality, Fraternity* was published and made no extensive reply, and it remains unclear if he ever had any intention to do so. The book—apart from some fairly vehement critics from the positivist school—wielded no profound influence. As Mill himself had correctly anticipated, its puritan worldview and gloomy ideas, “were more likely to repel than to attract”,<sup>35</sup> contradicting the Victorian reality of both self-satisfaction and an emerging new humanistic creed. At the same time, *On Liberty* was and is still regarded as one, if not the most, prominent book among Victorian “intellectual explosions”.<sup>36</sup>

But as it is in life, the debris explosions leave behind need to be cleared away, and some eighty years later Stephen was also singled out for praise for his *Liberty, Equality, Fraternity*, which was called, much against the author’s own intentions, “the finest exposition of conservative thought in the latter half of the nineteenth century”.<sup>37</sup>

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<sup>32</sup> Stephen, *James Fitzjames Stephen*, 305.

<sup>33</sup> Stephen, *Liberty, Equality, Fraternity*, 39.

<sup>34</sup> Mill, *On Liberty*, 39.

<sup>35</sup> Kirk, *The Conservative Mind*, 305.

<sup>36</sup> David Ross, *England: History of the Nation* (Oxford: Oxford University Press, 2005), 209.

<sup>37</sup> Kirk, *The Conservative Mind*, 304.

## A Special Friendship of Bankers: Harry Siepmann and Lipót Baranyai

ZOLTÁN PETERECZ

In the interwar years, but especially in the period between 1924 and 1931, Anglo-Saxon financial circles played a significant role in the financial reconstruction of Hungary and its related events. A key player in these moves was the Bank of England, whose outstanding Governor, Montagu Norman, did everything in his power to establish a close-knit community of central banks on the continent, naturally with the Lady of the Threadneedle Street in the lead. Norman made a charismatic effort to integrate the central banks of the newly independent countries in Central Europe into his “system.” Hungary was no exception. In fact, Hungary could not have been an outside party, since at the launch of the financial reconstruction of Hungary in 1924, the Bank of England and its Governor were the crucial and all-defining players.<sup>1</sup> As a result, the relations between the Bank of England and the National Bank of Hungary were close, and the association was watched and strengthened by various Bank of England officials serving in Hungary as advisers to the Hungarian central bank. One such person was Harry Siepmann.<sup>2</sup>

Harry Arthur Siepmann was born in 1889, and after graduating at New College, Oxford, he entered the Public Service. He joined the Treasury in 1912, but soon after his governmental career took a break when during World War I, he joined the Army and fought until the Armistice at various places, such as Egypt, Italy, or the Western front. After the war, Siepmann took part in the Paris Peace Conference, and later in various financial gatherings on the continent in the first years of the 1920s. After trying himself as a stockbroker in a company in the City, he worked as Assistant to the Finance Member of the Viceroy’s Council in India, 1923–24, following which

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<sup>1</sup> The main works dealing with the financial reconstruction of Hungary are the following: Ormos, Mária, *Az 1924. évi magyar államkölcsön megszerzése* [Raising the Hungarian State Loan of 1924] (Budapest: Akadémiai Kiadó, 1964); György Péteri, *Revolutionary Twenties. Essays on International Monetary and Financial Relations after World War I* (Trondheim: University of Trondheim, 1995) and *Global Monetary Regime and National Central Banking. The Case of Hungary, 1921-1929* (Boulder, Colorado: Social Science Monographs, 2002); Miklós Lojkó, *Meddling in Middle Europe* (Budapest: Central European University Press, 2006), Zoltán Peterecz, *Jeremiah Smith, Jr. and Hungary, 1924–1926: the United States, the League of Nations, and the Financial Reconstruction of Hungary* (London: Versita, 2013).

<sup>2</sup> Aside from Péteri’s, Lojkó’s, and Peterecz’s works, two Hungarian scholars have written about Siepmann in connection with Hungarian financial issues toward the end of the 1920s and up to the mid-1930s. On Siepmann’s work concerning the Hungarian financial crisis between 1929 and 1931, see Katalin Ferber, “Lépéshátrányban: a magyar kormány kölcsönszerzési kísérlete 1930–1931-ben” [Handicapped: The Efforts of the Hungarian Government for a Loan in 1930–31], *Gazdaság* 22, no. 1 (1988.): 89–108. Concerning Siepmann’s work about Hungary and relations to the major Hungarian monetary figures in the first half of the 1930s, see Ágnes Pogány, “Válságok és választások” [Crises and Elections], *Aetas* 15, no. 4 (2000): 32–49.

he became advisor to the National Bank of Hungary, 1924–26. Upon the conclusion of the work in Hungary, he joined the Bank of England in the Central Banking Section. He became an advisor to the Governor, mainly on Central European questions, then, after the establishment of the Bank for International Settlements, it was his main responsibility to keep contact with those circles as well. In 1945 he became Executive Director from which position he retired in 1954. Siepmann died in 1963.<sup>3</sup>

If one wants to call the Peace Conference a milestone for young Siepmann, where he got his first taste of international milieu and famous persons, then the sudden invitation to Hungary as an advisor to the American Commissioner-General, Jeremiah Smith, Jr., must be termed a game changer for the young Briton. He became planted as the foreign advisor to the National Bank of Hungary, a center piece of the whole reconstruction effort on Hungary's part, in which capacity he basically served as Montagu Norman's eyes and ears, a confessedly "willing disciple."<sup>4</sup> From May 1924 until the end of June 1926, Siepmann was a major architect of the central bank of Hungary, and a key liaison to the Bank of England.<sup>5</sup> This was the time that he first met Baranyai.

Lipót Baranyai was born in 1894 and, after finishing his legal studies, started to work in the financial sector and to climb the career ladder rung by rung. From legal advisor in 1928 he became president of the National Bank of Hungary ten years later, from which position he resigned in 1943 in protest to German demands during World War II. After the German occupation of Hungary in March 1944, Baranyai was arrested and first taken to a concentration camp, then back to Budapest. The closing six months of the war in Hungary found him in constant hiding, which he survived. After the war, he was not in a position favored by the new political leadership in Hungary, and with the looming communist takeover in late 1947 he decided to flee the country. He immigrated to London, England, and later moved to the United States, then back to Europe, to Germany. He worked in various financial intuitions, such as the World Bank, and died in 1970.<sup>6</sup>

After the financial reconstruction of Hungary had been accomplished, Siepmann officially joined the Bank of England, but the two men remained in a relatively strong connection, often exchanging letters with each other, mainly relating to financial questions. Since Siepmann became the British Central Bank's first and

<sup>3</sup> The biographical data are from Siepmann, *Memoir*, Siepmann Family Archive of Private Papers of H. A. Siepmann, Bexhill, Great Britain, 1944, and Harry Siepmann, *Echo of the Guns. Recollections of an Artillery Officer, 1914–18* (London: Robert Hale, 1987), 8–9.

<sup>4</sup> Siepmann, *Memoir*, 30. As for Siepmann's appointment to the National Bank of Hungary and his powers, see Articles 121–127 of Chapter XIV, Temporary Appointment of an Adviser, in The Basic Laws of the National Bank of Hungary, *Hungarian Parliament Documents* vol. X, (Budapest, Pesti Könyvnyomda Rt., 1294), 27–29; and Articles VII and XIII of Protocol 2, League of Nations. *The Financial Reconstruction of Hungary. General Survey and Principal Documents* (Geneva, 1926), 86, 91. Also, see Lojtkó, *Meddling in Middle Europe*, 114–118, and Peterecz, *Jeremiah Smith, Jr. and Hungary*, 132–37.

<sup>5</sup> On account of travel cost and the amount of work in Budapest, however, Siepmann informed Norman mainly in long letters, and managed to meet the governor in London only about once in a quarter year.

<sup>6</sup> The biographical data are from Tamás Gusztáv Filep, "'Homo historicus' és 'Homo oeconomicus'," *Ufi* 8, no. 2 (February 2006), 33–35.

foremost expert on Hungarian and Central European issues, he had to maintain his various relations in this region. His literary vein helped him pour out letters whose length competed only with their style. Aside from Baranyai, his main contact persons in Hungary were former Minister of Finance Baron Frigyes Korányi, director and later president of the National Bank of Hungary, then from 1938 Prime Minister Béla Imrédy, the eminent newspaper editor Géza Ottlik, and, naturally, Sándor Popovics, President of the National Bank of Hungary until his death in 1935. Two foreigners imbedded in Hungary who also helped him a lot in understanding the unfolding situation in Hungary, both from the political and financial aspects, were Royall Tyler and Henry Bruce. The former was an American, who served for many years as the League's financial advisor to the Hungarian government, while the latter was a British adviser to the National Bank of Hungary.

In January 1930, the Bank for International Settlements was launched and it became Siepmann's main job to travel to the new financial center's headquarters in Basel, Switzerland, regularly and, consequently, the bulk of his energies was invested here and not in Hungary. Siepmann, despite the changed circumstances in his working environment, still looked with a keen interest to Hungary, and whenever he could, he lent a helping hand. With his new responsibility with the BIS, he had enhanced influence and he played an important role in the acceptance of Hungary as a member in that Bank, almost in the last possible minute.<sup>7</sup> As he explained to one of the members of the League delegation sent to Hungary in the fall of 1931, "I have more affection, perhaps, than I should have for that unhappy people, and I like to know that they are in good hands."<sup>8</sup> Still, during the 1930s, Hungary and Great Britain drifted far from each other, which with the commencement of World War II came to an open break.

As during World War II Hungary and Great Britain found themselves relatively soon on the opposing sides (Great Britain declared war on Hungary in December 1941 after severing diplomatic relations in the spring of that year), the relations between the Bank of England and the Hungarian National Bank, understandably, came to an all-time low. This was despite the fact that the president of the Hungarian central Bank had been Lipót Baranyai since 1938. Siepmann knew Baranyai well and they were on good terms. Baranyai was a person with a deep faith in the force of humanity, of a Western outlook politically, a good central banker, and he possessed a proficient level of English—characteristics that made it easy for these two people to become friends. The last real link that connected Siepmann to Hungary was his friendship with Lipót Baranyai.

Due to the wartime circumstances, Siepmann could only watch from the sidelines what was happening in Europe and Hungary. He did not know how bravely Baranyai stood up to the Germans in the face of ever growing financial demands. Possibly he knew that Baranyai, in the end, found it more honest to resign his post at the National Bank rather than accept the level of servitude that German and

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<sup>7</sup> Ferber, "Lépeshátrányban," 94.

<sup>8</sup> Siepmann to Rist, October 1, 1931, OV 33/7 – Hungary from 1.8.1931 to 31.10.1931, Bank of England Archives (hereafter cited as BoE).

Hungarian powers would have required of him. Baranyai was also an active figure in the futile efforts of Hungary trying to leave the German alliance and join the Anglo-Saxon powers. The half-hearted and badly executed attempt to leave the German camp was finally brought to an end by the German occupation in March 1944.<sup>9</sup> Baranyai was arrested and sent to a concentration camp, which he survived and was taken back to Hungary in 1944. After months of hiding, the conclusion of the war found Baranyai in bad conditions. He tried to make ends meet, but he found it ever more difficult to live in the new environment—both in political and financial aspects. The political climate in the new Hungary did not favor people who had worked in important positions under the Horthy regime. Also, the everyday task of staying alive was very difficult, because jobs did not pay well and inflation was skyrocketing.

Connections to outside Hungary, especially with the Western world, were precious in these years. Baranyai was fortunate to have a friend in England in whom he had confidence and with whom he could share his thoughts and plight. Mail service in the two years following the war was still relatively free between Hungary and the countries of Western Europe and the United States, therefore it caused little problem to write to Siepmann and inform him about the current situation. In a long letter of February 1946, Baranyai gave a detailed description of what had happened to him since 1944, why he chose to retire from public life, and how he was coping with the new conditions. The picture he painted was gruesome: “I have a pension, but [...] it is impossible to live on it;” “The standard of living is exceedingly low, people are in poor physical condition, output per worker is very small, and the death-rate is rising;” “the national income was 55% of the pre-war era;” “we are in a state of economic bankruptcy.”<sup>10</sup> He said that he accepted things as they were but he was hungry for information, in particular concerning his field of expertise. He asked for any such publications that Siepmann was able to send him, especially BIS reports. He wished there were resumed good relations between the two central banks, although probably he felt that this was wishful thinking given the new circumstances. His longing for the close relations with the Bank of England stemmed from not only the personal perspective but also from what the Norman-led institution meant in the interwar years: “a sort of moral cover for our currency.” As he put it, “These connections are quite unforgettable for me.”<sup>11</sup>

Siepmann took up the issue of Baranyai. Not only was the Hungarian banker a long-time trusted friend and a valuable colleague, but seeing that Hungary was inevitably being sucked into the Soviet political zone, Siepmann hoped to help his intellectual comrade. Perhaps, here was the chance to prove that the British people were not selfish and did care about other peoples at large. Maybe it was only the personal connection between the two men. Other factors may have also played a role. At any rate, Siepmann found it one of his personal duties from 1946 on to try and help

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<sup>9</sup> On Hungary’s efforts to leave the German bandwagon in 1943 and 1944, in which undertaking Baranyai had some role, see Zoltán Peterecz, “Sparrow Mission: A US Intelligence Failure during World War II,” *Intelligence and National Security* Vol. 27, No. 2 (April 2012), 241–260.

<sup>10</sup> Baranyai to Siepmann, February 12, 1946. G 17/2, BoE.

<sup>11</sup> *Ibid.*

Baranyai in some way. In the fall of 1946 he wrote his first such letter. He asked his acquaintance whether it was possible that Standard Oil could pay some extra money for Baranyai for the next one or two years. That was a workplace for Baranyai, but they paid him only nominal money, because he was not willing to accept any more.<sup>12</sup> Baranyai proved to be a difficult case to help. He had bowed to his fate and wanted to accept what life dished out for him. As Siepmann sardonically wrote, "I am afraid the poor man is a saint and not easily induced to have anything but a bad time."<sup>13</sup> But Siepmann made up his mind. He decided that he would rescue his friend from Hungary and bring him to London. A crucial step in reaching this decision was the information that Baranyai might be arrested soon and even executed.<sup>14</sup> Now it was a matter of life or death to get Baranyai out of Hungary.

Aside from the political danger and Baranyai's perceived martyr-like behavior, another aspect that complicated things was the condition of his wife. Although Baranyai seems to have understood that he might need to flee Hungary, he definitely wanted to do so only accompanied by his wife. His wife, however, was in a very poor state of health, basically an invalid, who could not have been left alone for more than a few hours without someone watching over her. So, even if Baranyai was grateful for Siepmann's helpful intervention, which he called "the greatest and most pleasant surprise of my life," the actual travel appeared not possible.<sup>15</sup> This was not only on account of the condition of Baranyai's wife, but simply because Baranyai was not granted permission to travel outside Hungary. Indeed, the first such attempt to leave Hungary, under the disguise of an invitation to a conference held at The Hague in the fall of 1947 fell through on this account.

Soon enough, however, Baranyai managed to secure a passport and clearance both for himself and his wife for a trip to England. They arrived in London on December 18, 1947. In those days it was not so easy to have someone from Eastern Europe brought to England. It was both a question of visa, which belonged to the Foreign Office, and of the permission to stay in England, which fell under the authority of the Home Office. Siepmann tried to pull the strings in order to smooth in advance any bumps that might arise. Since the issue was a sensitive one, he assured everybody that the Bank of England "would gladly accept the moral responsibility for bringing him."<sup>16</sup> Taking care of Baranyai for an interim period, which was thought to last about two years, did not mean that the Hungarian banker could be a member of the Bank of England, not even on the payroll. His position was practically that of an outsider who, though could be provided with a room of his own, and might have been entrusted with broader rather than special subjects, but he was definitely not to have access to confidential documents of the Bank.<sup>17</sup> As for his salary, he was to have £2,000 a year, which seemed sufficient to make ends meet, and, compared to the £10

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<sup>12</sup> Siepmann to Porters, September 24, 1946. G 17/2, BoE.

<sup>13</sup> Siepmann to Porters, January 28, 1947. G 17/2, BoE.

<sup>14</sup> Memorandum on Baranyai, by Siepmann, July 15, 1947. G 17/2, BoE.

<sup>15</sup> Baranyai to Porters, August 9, 1947. G 17/2, BoE.

<sup>16</sup> Siepmann to Rowe-Dutton, August 27, 1947, G 17/2, BoE.

<sup>17</sup> Memorandum by Siepmann, December 10, 1947, G 17/2, BoE.

the Baranyais arrived with, was a small fortune. Still, in light of the present financial circumstances, despite the fact that Siepmann provided him with some advance, Baranyai found it necessary to move out of the hotel he was put up in at first and move to cheaper accommodation.<sup>18</sup>

Given the exceedingly modest, sometimes almost self-effacing style of Baranyai, it was not easy to make him accept what, to him, seemed like a miraculous offer. He just found this “charity” beyond what he should be entitled to. It was Bruce who came up with a solution to this predicament. He told Baranyai that this was practically a way of paying him a pension from the central banks’ fund for his earlier work for that “League,” an idea that Baranyai could accept and Siepmann was “extremely grateful” for.<sup>19</sup> In the meantime, Siepmann had the problem of Baranyai’s wife on his hand. Since they wanted Baranyai to be able to concentrate on his work, whatever it might turn out to be, it was essential to solve the question of someone looking after his wife. Siepmann took on himself to do what he could “to multiply personal contacts and to arrange for the invalid to be taken care of.”<sup>20</sup> This was indeed a key point, which Siepmann well understood. He personally undertook to inform the physician of the conditions before he was to visit the Baranyais. Obviously, the fee would be more than what Baranyai could pay without incurring further financial hardship, so Siepmann pleaded with the doctor “to make exceptionally favourable terms for him,” and offered to pay a part of it in case it did prove too expensive for Baranyai.<sup>21</sup>

For a few weeks it was not clear in what capacity the Bank of England could employ Lipót Baranyai. Since he was outside the establishment, he was obviously not to deal with sensitive questions; rather he ought to deal with some theoretical issue. He was thought of as a consultant, and as a sign of the measure of intricacy that bore on the situation, he was explicitly told not to refer to himself as an advisor to the Bank of England.<sup>22</sup> Then, toward the end of January 1948, Siepmann came up with an idea as to what would be best for both Baranyai and the Bank of England. After the death of Sir William Goode, long-time financial advisor to Hungary, his daughter presented Siepmann with a large amount of papers dealing with Hungarian affairs. Siepmann, who knew Goode and the period he worked for Hungary, originally did not want to touch the papers for another five to ten years, but the unexpected arrival of Baranyai changed his mind. Now he became convinced that the documents might be “of some historical interest (and even importance),” and, in addition, the Bank could “be able to clear some space, to pulp a considerable volume of paper,” always important angles for the organized Siepmann.<sup>23</sup> He suggested letting Baranyai “loose” on the documents, which, in his estimate, contained almost exclusively “rubbish,” but also a little percentage of it “could be usefully worked up into one or more short financial

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<sup>18</sup> Memorandum by Siepmann, December 20, 1947, and G. Noakes to Baranyai, January 6, 1948. G 17/2, BoE.

<sup>19</sup> Bruce to Siepmann, December 20, 1947, and Siepmann to Bruce, December 23, 1947, G 17/2, BoE.

<sup>20</sup> Siepmann to Bruce, December 23, 1947, G 17/2, BoE.

<sup>21</sup> Siepmann to Ian McPherson, January 2, 1948. G 17/2, BoE.

<sup>22</sup> Siepmann to Niemeyer, January 3, 1948, G 17/2, BoE.

<sup>23</sup> Siepmann to the Secretary, January 24, 1948, G 17/2, BoE.

studies of some historical but little practical interest.”<sup>24</sup> Siepmann’s idea gained approval and in a few days’ time Baranyai began working on Goode’s documents.

For some time, the workplace and task seemed to have been well worked out. He moved into a room in the Libraray of the Bank of England and commenced what turned out to be a hermit-like occupation. He worked on Goode’s papers, but for a long time he did not produce any report on it despite Siepmann’s request to that nature. Instead, he immersed himself in various throretical issues and studies concerning the Bank’s position and prospects and the postwar situation in Central Europe, neither of which met Siepmann’s enthusiasm and approval. The reclusive style apparently was maintained in Baranyai’s social life as well, and he had no circle of friends or interests outside his work aside from the condition of his wife. A conversation between the two left the Englishman with the distinct impression that Baranyai “was suffering from the severest mental strain” and the verbal communication that he produced was “so contorted and confused by emotional cross currents that it borders on the insane.”<sup>25</sup> Siepmann’s description was in harmony with that of Bruce’s, who observed that Baranyai played the role of “Hamlet, Quintus Fabius Maximus and others” while speaking without any break for a protracted time.<sup>26</sup> Siepmann also formulated anxiety on account of Baranyai’s involvement in immigrant Hungarians’ political activities in London lest this would take his attention away from any useful activity he might be doing at the Bank.<sup>27</sup>

Henry Bruce’s opinion was not only welcome but crucial to draw a more complete picture of Baranyai, since it was Bruce who saw the Hungarian immigrant on the most frequent basis. He disagreed with his friend that Baranyai would be intellectually impaired, at least as long as it was about the professional domain. In his private affairs, Bruce admitted, Baranyai tended to show sometimes bizarre features, but he was glad that his old-time friend had been given a lifeline at the Bank.<sup>28</sup> Baranyai’s private affairs were mainly restricted to his wife’s condition, which did not show signs of improvement. The maintenance of continuous surveillance and medical costs took up half of Baranyai’s salary at the Bank.

Clearly, the future of Baranyai was of a major concern to his benefactors at the Bank of England. The two-year period the Bank undertook to look after him was already at half time, and neither Siepmann nor Bruce could come up with any promising possibility as to the future. Although Siepmann had been trying for some time to find help in this relation, the United States, a possible route, so far showed closed doors. Thus it was exceptionally good news that Baranyai was invited to Basle to the Bank for International Settlements for a month’s stay. The main aim, however, was not the welcomed change of location that might have positive effects on Baranyai’s mind, but the short visit to Frankfurt during that stay. His name had come

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<sup>24</sup> Ibid.

<sup>25</sup> Siepmann’s Minute on Baranyai, September 23, 1948, G 17/2, BoE.

<sup>26</sup> Ibid.

<sup>27</sup> As for Baranyai’s work in England as the representative of the Hungarian National Committee, see Folder, 35, Roll 1, MF 53671, György Bakách-Besseney Papers, Hungarian Archives. Baranyai finally produced his work on the Goode papers in late October 1948, which was quality work.

<sup>28</sup> Bruce to Siepmann, October 5, 1948, G 17/2, BoE.

up as a possible advisor to a local bank in that German city, and he carried out fruitful discussions with the president of the Bank der Deutschen Länder in terms of his possible future employment there.<sup>29</sup> The German bank would have been ready to employ Baranyai right away and the Americans in general looked with favor to Baranyai's such activity. This was important, since usually the occupying American forces had the final say in almost everything carrying even a slight degree of importance. However, it seems that those who expressed approval of Baranyai's employment at the German bank were lower or, at best, medium ranked persons. Once the appointment came up for approval to General Lucius Clay, the American military governor of Germany, he vetoed this idea on account of his fear of some central bank scheme being carried out in Germany under his jurisdiction. Only days after the rejection, however, transition from the military aspect to the civilian began, which meant a more cordial reconsideration of various cases. Still, Baranyai's case was approved by the Allied Bank Commission only in the summer, months after Clay had resigned from his post.<sup>30</sup> The good news was conferred on Baranyai by Siepmann, and, in addition, in a few months' time Baranyai's niece, Catherina, was admitted to England, which was great help since she was supposed to look after Baranyai's wife from then on, thus saving money. Once again, the various obstacles that arose in connection to her being granted permission and visa were cleared to a large degree thanks to Siepmann's tenacious knocking on the right doors, both at the Home Office and at the Treasury.<sup>31</sup>

Siepmann did not cease to be the practical angel on Baranyai's shoulder. When the Baranyais had to leave their place at Sevenoaks, it was Siepmann who tried to help find a new place and took responsibility with the owner for the new prospective tenants. Also, when, after some haggling, Catherine's parents were granted permission to come to England, it was at Siepmann's relatives that they could find employment as butler and cook.<sup>32</sup>

The altered circumstances made significant changes in Baranyai's prospects. On the one hand, he was not very happy at the German bank, where he suspected he was employed only "as an act of reparation for what the Germans did" to him during the war.<sup>33</sup> On the other hand, new openings appeared at which Baranyai was eager to try his luck. In the end these efforts were not in vain, and from 1951 he was put on the staff of the International Bank for Reconstruction and Development, and he moved to the United States of America. It was characteristic that when in August Siepmann informed him that he did not need to worry about the validity of his travel permit (this

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<sup>29</sup> Baranyai to Siepmann, January 15, 1949, G 17/2, BoE.

<sup>30</sup> D. H. Macdonald to Niemeyer, March 1, 1949, Niemeyer to Siepmann, March 14, 1949, James W. Riddleberger to Royall Tyler, April 5, 1949, and D. H. Macdonald to Siepmann, August 6, 1949, G 17/2, BoE.

<sup>31</sup> Siepmann to Macdonald, August 12, 1949, Siepmann to W. S. Murrie, September 7, 1949, Siepmann to Wilfrid Eady, October 15, 1949, Siepmann to Eady, January 10, 1950, G 17/2, BoE.

<sup>32</sup> Siepmann's Memorandum on Baranyai, August 22, 1950. G 17/2, BoE.

<sup>33</sup> Siepmann's Memorandum on Baranyai, August 22, 1950. G 17/2, BoE.

was important because Baranyai's wife was left behind for the time being), it was the first letter to reach Baranyai in the new world.<sup>34</sup>

This episode brought Siepmann's connections to either Hungary or Hungarians to an end after a quarter of a century. The political changes made it quite impossible that there could be any official contact between the two central banks given the fact that Great Britain and Hungary found themselves in opposite political camps. Moreover, Siepmann was not a social animal in any sense, and he did not wish to foster contacts with the Hungarian immigrant circles in England. As for his friendship with Baranyai, though honest, it meant a strain on Siepmann, so he did not mind getting this altruistic and humanistic burden off his shoulders. To this very day, however, these two persons can be seen as playing a defining, or a mediating, role in the history of the National Bank of Hungary in the interwar years.

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<sup>34</sup> Siepmann to H. A. Strutt, August 3, 1951, Strutt to Siepmann, August 11, 1951, Baranyai to Siepmann, August 18, 1951. G 17/2, BoE.

## Obama's Birth Control Mandate v. Religious Liberty

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In March 2010, Congress passed and President Obama signed the Patient Protection and Affordable Care Act, commonly known as “Obamacare.” The landmark healthcare reform, the biggest since Medicare and Medicaid were signed into law in 1965 by President Johnson, enacts numerous provisions aimed to make health insurance accessible and affordable primarily for two groups of people: (1) for tens of millions of Americans and legal residents, without any health insurance,<sup>1</sup> as well as (2) for those already ‘covered’ but without access to needed healthcare due to ‘loopholes’ in their insurance plans. Perhaps the two most controversial and contentious issues in connection with Obamacare have been the individual mandate and the birth control mandate. The individual mandate requires all uninsured Americans (with some exceptions) to purchase health insurance that meets minimum standards or else pay a fine. The contraception mandate requires all employers—even those with conscientious objections—to provide a set of preventive services for their employees without any out-of-pocket costs as part of their health insurance starting on 1 August, 2012—with a narrow exemption for houses of worship. This paper deals with the latter of the two and intends to argue that the contraception mandate not only violates the Religious Freedom Restoration Act, but it is also contentious on constitutional grounds under First Amendment protections.

A 2008 study published by well-known scientists claims that nearly half of all US pregnancies (over 3 million per year) are unplanned.<sup>2</sup> The average American woman wants to have 2 children, and spends about 5 years of her reproductive years trying to get pregnant, being pregnant (and postpartum), while in contrast she spends about 30 years trying to avoid pregnancy.<sup>3</sup> Over 5 in 10 American women will have had an unintended pregnancy by the end of their reproductive age, and 3 in 10 will have had an abortion.<sup>4</sup> Unintended pregnancies pose numerous risks both to the physical and emotional health of the mother, not to mention the baby.

During his campaign for presidency Barack Obama had repeatedly promised to work towards decreasing the number of unwanted pregnancies and abortions performed in the US. On his second day in office, which happened to be the anniversary of *Roe v. Wade*, Obama issued a statement, saying that “no matter what

<sup>1</sup> Especially those with pre-existing conditions, children, young adults, and small business owners.

<sup>2</sup> James Trussell, Anjana Lalla, Quan Doan, Eileen Reyes, Lionel Pinto, Joseph Gricar, “Cost effectiveness of contraceptives in the United States”, *Contraception* 79/ 1 (2009): 5–14. <doi:10.1016/j.contraception.2008.08.003> Jan 17, 2013.

<sup>3</sup> RB Gold et al., *Next Steps for America's Family Planning Program: Leveraging the Potential of Medicaid and Title X in an Evolving Health Care System* (New York: Guttmacher Institute, 2009).

<[http://www.guttmacher.org/pubs/fb\\_contraceptive\\_serv.html#1](http://www.guttmacher.org/pubs/fb_contraceptive_serv.html#1)> May 19, 2013.

<sup>4</sup> *Ibid.*

our views, we are united in our determination to prevent unintended pregnancies, reduce the need for abortion, and support women and families in the choices they make.”<sup>5</sup> A week later contraception funding, proposed as part of a Medicaid provision, was already on the tables in Congress. Then, just as fast, it was dropped by House Democrats (persuaded by the President), in order to secure the support of Republicans for the stimulus bill.<sup>6</sup> In May 2009 at Notre Dame, the top Catholic University in the US, President Obama yet again called for common ground on the issue of abortion, “Let us work together to reduce the number of women seeking abortions, let’s reduce unintended pregnancies”.<sup>7</sup> The President’s speech served not only to ensure Catholics that he holds their many social and educational services in high regard, but in it Obama promised to give a robust exemption to all religious institutions on every policy he would introduce. “The president [said] that he expects an ongoing review of conscience clause regulations will result in a continuation of protections that have long existed, allowing people who are morally opposed to abortion or contraceptives to decline to provide them in the line of work without repercussions.”<sup>8</sup>

The Affordable Care Act requires employer provided health insurances to include a set of preventive services to be determined by the Health and Human Services and the Institute of Medicine. The Obama Administration has had to face very tough opposition from the Conservative side who were (and continue to be) concerned that the new healthcare reform would not only raise the cost of healthcare further, but would also increase government involvement in the lives of Americans. On the other hand, there were important allies, such as the Catholic Health Association which raised awareness and considerable support for the bill. Sister Carol Keehan, President of the CHA, argued that the Affordable Care Act was a bill that every Catholic believer needed to support because it “matched our Catholic faith and our national values: the core values of human dignity, concern for the poor and vulnerable, justice, the common good and stewardship as the optimal foundation of a system that creates and sustains a strong, healthy national community”.<sup>9</sup> Some say that without Sister Keehan’s support the Affordable Care Act might not have even

<sup>5</sup> Michael Falcone, “On 36th Anniversary, Obama Praises Roe v. Wade Precedent,” *New York Times* Jan. 22, 2009. <<http://thecaucus.blogs.nytimes.com/2009/01/22/on-35th-anniversary-obama-praises-roe-v-wade-decision/>> April 30, 2013.

<sup>6</sup> “Contraception Funding Dropped from Stimulus,” *National Journal.com*, Jan. 28, 2009. <<http://promises.nationaljournal.com/abortion/work-to-reduce-unintended-pregnancies/>> April 15, 2013.

<sup>7</sup> “President Obama’s Address at the Commencement Ceremony at Notre Dame,” *National Journal.com*, May 17, 2009. <<http://promises.nationaljournal.com/abortion/work-to-reduce-unintended-pregnancies/>> April 15, 2013.

<sup>8</sup> N. Hunter, “Obama promises ‘robust’ conscience clause exemption for health care workers,” *Hunter of Justice*, July 3, 2009. <<http://hunterofjustice.com/2009/07/obama-promises-robust-conscience-clause-exemption-for-health-care-workers.html>> April 28, 2013.

<sup>9</sup> Carol Keehan, “Our Catholic Faith & the Affordable Care Act,” *Catholics in Alliance.org*, July 25, 2012. <<http://www.catholicsinalliance.org/cgf72512keehan.php>> April 20, 2013.

secured the necessary support in the House for it to pass.<sup>10</sup> Following the enactment of the ACA Sister Keehan was among the few distinguished guests at the official signing ceremony whose efforts the President honored by presenting them one of the pens he had just used to sign the landmark legislation with.

Then in June 2011 the Obama Administration released the first National Prevention Strategy ever to be issued in the US. The strategy revolved around four main goals: (1) to build healthy and safe community environments, (2) to help Americans improve their health at lower health care costs by expanding quality preventive services, (3) empowering people to make healthy choices, and (4) eliminating health disparities.<sup>11</sup> On its heels, on August 1 2011, the Department of Health and Human Services issued a provisional federal mandate,<sup>12</sup> the so-called contraception mandate, requiring all new health plans<sup>13</sup> to include a set of “preventative health services” to their female customers at no extra charge. The HHS said that the rule should be seen as a working paper soliciting public opinion and that they would only produce a final version of the regulation sometime in the coming months.

The contraception mandate was designed as the vehicle by which the National Prevention Strategy could make a real difference in the actual lives of women in America.<sup>14</sup> It requires all group health insurances to provide their clients “the full range of the Institute of Medicine’s recommended preventive services, including all FDA-approved forms of contraception without charging any co-pay, co-insurance or a deductible”.<sup>15</sup> While the list of preventive services contains some much-needed and generally commended healthcare services for women, such as “well-woman visits, preconception counseling and routine, low-risk prenatal care”,<sup>16</sup> it also covers

<sup>10</sup> “Women for Freedom,” The Catholic Information Center and Catholic Voices USA, Panel Discussion, June 20, 2012. <<http://www.youtube.com/watch?v=xdH6maEKeKs&feature=g-upl>> March 15, 2013.

<sup>11</sup> “Obama Administration releases National Prevention Strategy”, United States Department of Health and Human Services, News Release, June 16, 2011.

<<http://www.hhs.gov/news/press/2011pres/06/20110616a.html>> Jan. 6, 2013.

<sup>12</sup> “Affordable Care Act Ensures Women Receive Preventive Services at No Additional Cost”, United States Department of Health and Human Services, News Release, Aug. 1, 2011.

<<http://www.hhs.gov/news/press/2011pres/08/20110801b.html>> Jan. 6, 2013.

<sup>13</sup> This preventive services provision applies only to people enrolled in job-related health plans or individual health insurance policies created after March 23, 2010. If you are in such a health plan, this provision will affect you as soon as your plan begins its first new “plan year” or “policy year” on or after September 23, 2010.

<<http://www.healthcare.gov/law/features/rights/preventive-care/index.html>> May 18, 2013.

<sup>14</sup> Beginning on August 1, 2012, about 47 million women gained guaranteed access to additional preventive services without paying more at the doctor’s office. (Ibid.)

<sup>15</sup> Ibid.

<sup>16</sup> Breast-feeding support, supplies, and counseling, including costs for renting or purchasing specified breast-feeding equipment, domestic violence screening and counseling, FDA-approved contraception methods, sterilization procedures and contraceptive counseling, Gestational diabetes screening for all pregnant women, HIV counseling and screening for all sexually active women, human papillomavirus DNA testing for all women 30 years and older, sexually transmitted infection counseling for all sexually active women annually, well-woman visits including preconception counseling and routine, low-risk prenatal care. “List of women’s preventive health care benefits that start August 1, 2012, courtesy of Obamacare,” *African American Reports*, July 31, 2012. <<http://aareports.com/2012/07/list-of-womens-preventive-health-care.html>> April 28, 2013.

sterilization services, free access to birth control pills, and the potentially abortifacient drugs, ‘The Morning After Pill’ (*Plan B*) for women and girls 15 and above without a prescription, and the ‘week after pill’ (*Ella*).<sup>17</sup>

*Plan B* and *Ella* are products that can ensure a woman does not remain pregnant even if fertilization has occurred. But while pro-choice groups use words such as ‘preventing’ and ‘avoiding’ unwanted pregnancies, pro-life people believe that life begins at conception, therefore, in their view, the morning-after pill is not a drug that prevents life, but one that possibly destroys life.<sup>18</sup> Since these pills act to “prevent embryos from being implanted or, if already implanted, cause them to die from lack of nutrition”,<sup>19</sup> the most common expression used by conservatives is the term abortifacient or abortion-inducing drugs.

It is no secret to anyone in the government that artificial sterilization, contraception and abortifacient drugs are inconsistent with the central tenets of the Catholic Church on the sanctity of life.<sup>20</sup> Therefore, based on previous high-level dialogues between Catholic bishops and the Administration, and on assurances given by the President himself on numerous occasions, everybody had expected the proposed legislation on the contraception mandate to provide a robust exemption to all (or most) faith-affiliated non-profit organizations. Instead, the proposed bill (Aug. 2011) only offered protection to a religiously-affiliated institution if

it has inculcation of religious values as its purpose, and if  
it primarily employs persons who share its religious tenets, and if  
it primarily serves persons who share its religious tenets, and if  
it is a nonprofit organization.<sup>21</sup>

<sup>17</sup> While pregnancy tests cannot detect so early on whether the conception of a baby has in fact taken place as a result of the sexual intercourse, Plan B or Ella are to be made available upon demand by teenage girls over age 17. In December 2011, in a highly controversial move the Food and Drug Administration was about to lift the age limit, to make Plan B the first over-the-counter emergency contraceptive available free of charge (if the person is covered by a group health plan) for *anyone of any age* without a prescription. HHS Secretary Katherine Sebelius, however, had personally decided against allowing the usage of the strong hormone pill so early on. “It is common knowledge that there are significant cognitive and behavioral differences between older adolescent girls and the youngest girls of reproductive age,” Sebelius said. “I do not believe enough data were presented to support the application to make Plan B One-Step available over-the-counter for all girls of reproductive age.”

Apparently, in an amazingly rapid fashion, (within 15 months) by April 30, 2013, the necessary data had been presented to the Secretary, because on that day she proceeded to lower the age limit to 15.

<sup>18</sup> Michelle Boorstein, “Antiabortion March for Life gets a new head and, perhaps, a new focus,” *Washington Post*, Jan. 24, 2013.

<[http://articles.washingtonpost.com/2013-01-24/local/36527564\\_1\\_antiabortion-march-nellie-gray-largest-antiabortion](http://articles.washingtonpost.com/2013-01-24/local/36527564_1_antiabortion-march-nellie-gray-largest-antiabortion)> March 15, 2013.

<sup>19</sup> Michael Foust, “New HHS rule on abortion mandate ‘inadequate’”, *Baptist Press*, Feb. 1, 2013. <<http://www.bpnews.net/bpnews.asp?id=39628>> Retrieved April 28, 2013>

<sup>20</sup> The Catholic Church teaches that “each and every marital act must of necessity retain its intrinsic relationship to the procreation of human life.” Pope Paul VI, *Humanae Vitae: Encyclical of Pope Paul VI on the Regulation of Birth*, Rome, July 25, 1968.

<[http://www.vatican.va/holy\\_father/paul\\_vi/encyclicals/documents/hf\\_p-vi\\_enc\\_25071968\\_humanae-vitae\\_en.html](http://www.vatican.va/holy_father/paul_vi/encyclicals/documents/hf_p-vi_enc_25071968_humanae-vitae_en.html)> (Consequently, the use of artificial contraception to prevent new human beings from coming into existence is not permitted by the Church.)

<sup>21</sup> *Ibid.*

This was a new and a shockingly narrow definition of what the Administration would acknowledge as a religious organization. The underlying factor behind the religious uproar in the country following the announcement of the interim mandate was that it essentially declared that religious exemption would only apply to churches (houses of worship), and would not include hospitals, charitable organizations, religious schools, or colleges run by a church. “Ironically that could mean that many of the nation’s leading pro-life organizations—despite being non-profits—won’t qualify for the accommodation because they’re technically not religious organizations”,<sup>22</sup> thus they will be required by law to provide their female employees new preventive services that—among other services—freely cover abortifacient drugs.

The Catholic Health Association together with most Catholic institutions decided to reverse their stand on the National Health Strategy and withdraw their support, saying that even though overall the Strategy went “in the right direction”, owing to the regulation’s extremely constricted religious exemption Catholic educational institutions, hospitals, and other non-profit organizations would still be required by law to provide a number of highly objectionable services contrary to their religious convictions.<sup>23</sup> The conservative media and most Christian churches in America stood in disbelief. Never before in the history of the United States has “the federal government required private, faith-based employer health insurance plans to cover contraceptives if they cover any other prescriptions”.<sup>24</sup> However, as everyone would point out at this point, this interim rule was just that, interim. The final version would certainly address any rightful grievances.

“This proposal strikes the appropriate balance between respecting religious freedom and increasing access to important preventive services”<sup>25</sup>—said Kathleen Sebelius, confidently announcing the final version of the interim HHS mandate on Jan. 20, 2012. And yet, instead of a robust religious exemption the mandate merely grants non-profit employers ‘with religious beliefs’ an additional year to comply with the law. The fine for not complying is \$100/day/non-covered female employee starting on Aug 1, 2013.

There was immediate and vehement opposition to the mandate with all 181 Catholic bishops in the US publicly denouncing it<sup>26</sup> and calling on President Obama

<sup>22</sup> Michael Foust, “New HHS rule on abortion mandate ‘inadequate’”, *Baptist Press*, Feb 1, 2013. <<http://www.bpnews.net/bpnews.asp?id=39628>> April 29, 2013.

<sup>23</sup> As the U.S. Conference of Catholic Bishops (USCCB), citing numerous medical studies, has reported, there are at least seven modes by which emergency contraception can “prevent the implantation or survival of the embryo.” “Bishops Renew Call to Legislative Action on Religious Liberty”, *United States Conference of Bishops*, Feb. 10, 2012. <<http://usccb.org/news/2012/12-026.cfm>> May 17, 2013.

<sup>24</sup> Chelsea Langston, “The Contraception Mandate Violates Religious Freedom”, The Center for Public Justice, 2011. <<http://www.capitalcommentary.org/conscience-protection/contraception-mandate-violates-religious-freedom>> April 19, 2013.

<sup>25</sup> Kathleen Sebelius, “A statement by U.S. Department of Health and Human Services Secretary Kathleen Sebelius”, Washington D.C., Jan. 20, 2012. <<http://www.hhs.gov/news/press/2012pres/01/20120120a.html>> April 28, 2013.

<sup>26</sup> Michael Chapman, “100% of Catholic Bishops Oppose Obama’s Contraceptive Mandate,” CNSNews.com, Feb.17, 2013. <<http://cnsnews.com/news/article/100-catholic-bishops-oppose-obama-s-contraceptive-mandate>> May 17, 2013.

to rescind the new regulation. The Catholic Church is a profoundly institutional church that operates through its institutions.<sup>27</sup> To insinuate, as does the HHS mandate, that religion is only what goes on within the four walls of the churches is first of all hypocritical, since Catholics exercise their religion through their schools, colleges, hospitals, and social service agencies.<sup>28</sup> Secondly, as Kim Daniels, a Catholic attorney points out: “This definition by being imbedded in federal law could ultimately serve as a precedent for other laws in a way to define faith down into something very minimal, such that only a small amount of activity would receive protection from government enforcement of mandates that violate people’s beliefs.”<sup>29</sup>

Giving a one year safe-harbor to religious institutions before they have to start paying immense penalties is nothing more than—as Cardinal Timothy Dolan put it—telling them to go spend a few months to figure out how to violate their consciences. The convictions of Christian believers (but also that of Orthodox Jews, Islam believers, Buddhists, etc.) with regards to the immorality of ‘emergency contraceptives’ which can abort even an established pregnancy (such as the drug *Ella* can do) will not fade or just go away with the passage of time or under the incredible fine looming over these employers. To imply that would be highly offensive.

To placate Catholics, on Feb. 10, 2012, Obama came forth with an ‘accommodation’ which was crafted to ensure that no religiously affiliated employer would have to pay for contraception, sterilization and abortifacient drugs. Instead, it was decided that the insurance companies will have to automatically enrol all female clients on separate accounts and provide them with free ‘preventive care’. This way religious employers would not be *the ones* who enrol or pay for these objectionable services. The administration seems to have ignored at least two significant details here. One, the employers with religious objections will still be the ones to facilitate these new contraceptive and abortion-inducing services to their female employees, even if through an ‘accounting gimmick’ it will be paid for by the insurance companies from a separate account. The Conference of Catholic Bishops issued a statement making it clear that “such accounting gimmicks are wholly inadequate to deal with the serious moral problem the mandate has forced upon religious groups”.<sup>30</sup> Two, the insurance companies are private, profit-based companies which are not about to give their religious (or non-religious) clients a ‘free lunch’. They will duly

<sup>27</sup> “Women for Freedom,” The Catholic Information Center and Catholic Voices USA, Panel Discussion, June 20, 2012. <<http://www.youtube.com/watch?v=xdH6maEKeKs&feature=g-upl>> March 15, 2013.

<sup>28</sup> The HHS plan treats these Church-run institutions as if their work was separate from the religious mission of the Church, “rather than accepting the fact that these ministries are integral to our Church and worthy of the same exemption as our Catholic churches”—said Cardinal Dolan. “HHS mandate ‘compromise’ still not acceptable,” *CatholicCulture.org*, Feb. 7, 2013. <<http://www.catholicculture.org/news/headlines/index.cfm?storyid=17013>> May 5, 2013.

<sup>29</sup> Kim Daniels on “Women for Freedom,” The Catholic Information Center and Catholic Voices USA, Panel Discussion, June 20, 2012. <<http://www.youtube.com/watch?v=xdH6maEKeKs&feature=g-upl>> March 15, 2013.

<sup>30</sup> “Bishops Renew Call to Legislative Action on Religious Liberty”, United States Conference of Bishops, Feb. 10, 2012. <<http://uscbb.org/news/2012/12-026.cfm>> May 17, 2013.

raise premiums to cover the cost of the new services, thus ultimately making the religious employers subsidize goods and services that they object to.

Those who oppose the mandate hold that the concept of religious liberty is not merely “the right to do what you want, but the right to do what you must”.<sup>31</sup> They will either have to comply with the mandate and purchase certain preventive services that violate their conscience, or will have to drop their employees’ health insurance altogether and pay a horrendous fine each and every year in the foreseeable future.

For many people of faith this callous requirement by the Obama administration is a clear violation of our nation’s commitment to liberty of conscience and a flagrant violation of our constitutional protection to freedom of religion. Clearly, the Free Exercise Clause of the First Amendment protects people from such trampling of their religious convictions.<sup>32</sup>

The Catholic Church has been very outspoken against the contraception mandate and has launched numerous court cases to challenge the mandate in courts. 43 Catholic organizations announced a challenge of the Obama administration’s contraception mandate at the courts in May 2012, following in the footsteps of 11 previous lawsuits filed earlier in the spring.

The president of the University of Notre Dame, Fr. John Jenkins, C.S.C. said that they filed the lawsuit “neither lightly, nor gladly. We do not seek to impose our religious beliefs on others. We simply ask that the Government not impose its values on the University when those values conflict with our religious teachings.”<sup>33</sup> “Time is running out, and our valuable ministries and fundamental rights hang in the balance, so we have to resort to the courts now,” explained the president of the US Conference of Catholic Bishops, Cardinal Timothy Dolan. John Boehner, the House Speaker called the mandate “an unambiguous attack on religious freedom” in an uncommon House floor speech and promised Congressional action to reverse the directive. “If the president does not reverse the attack on religious freedom, then the Congress, acting on behalf of the American people and the Constitution we are sworn to uphold and defend, must,” Boehner said. “This attack by the federal government on religious freedom in our country must not stand and will not stand.”<sup>34</sup>

Lawsuits filed by religiously affiliated plaintiffs have indicated religious freedom as the ‘Nature of the Action’. They claim the HHS mandate violates religious

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<sup>31</sup> Yuval Levin, “A New Round of Intolerance,” *EPPC.org*, Feb. 1, 2013.

<<http://www.eppc.org/publication/a-new-round-of-intolerance/>> April 29, 2013.

<sup>32</sup> Duke Barrett and Richard Land, “On the Obama administration’s abortion rule”, *ERLC.com*, Feb 7, 2012. <<http://erlc.com/article/on-the-obama-administrations-abortion-rule/>> Jan. 5, 2013.

<sup>33</sup> Michelle Bauman, “Forty-three Catholic organizations file lawsuits against HHS mandate,” *Catholic News Agency*, May 21, 2012. <<http://www.catholicnewsagency.com/news/forty-three-catholic-organizations-file-lawsuits-against-hhs-mandate/>> May 18, 2013.

<sup>34</sup> John Parkinson, “Boehner Calls HHS Contraception Mandate an ‘Attack on Religious Freedom,’ Pledges Congressional Action,” *ABC News*, Feb.8, 2012.

<<http://abcnews.go.com/blogs/politics/2012/02/boehner-calls-contraception-rule-an-attack-on-religious-freedom-pledges-congressional-action/>> May 18, 2013.

liberty and therefore is anti-constitutional based on the Free Exercise and Free Speech Clauses of the First Amendment, as well as on the Religious Freedom Restoration Act. (A third argument is that the mandate also violates the Administrative Procedure Act. This argument, however, will not be addressed here.)

The First Amendment provides: “Congress shall make no law respecting an establishment of religion, or prohibiting the free exercise thereof; or abridging the freedom of speech”. The plaintiffs claim that they are compelled to violate their freedom of speech and their freedom of religion at the same time when under the HHS mandate they are required to pay for/provide information and counseling about contraception services which are against their most deeply held religious convictions.

The Free Exercise doctrine holds (based on *Employment Division v. Smith, 1990*) that a federal law will not be held unconstitutional if it is both generally applicable and neutral. A law is neutral if it does not intentionally target or discriminate against a certain religious group, and it is generally applicable if it applies across the board without making exceptions. Religious plaintiffs claim that the contraception mandate is not a generally applicable regulation. They cite the large exemption scheme within the Affordable Care Act that also applies to the contraception mandate.<sup>35</sup> The Act has a “scheme of exemptions but it does not exempt this particular group of people, the Catholics, who have this particular religious objection to these goods and services”.<sup>36</sup> It exempts millions of people with grandfathered health plans,<sup>37</sup> or those who employ 50 or fewer employees, or the Amish who object to enrolling in any health plan to begin with.<sup>38</sup> It also exempts certain teachers’ unions, and through commercial waivers has given exemption to McDonalds.

Under the Religious Freedom Restoration Act (RFRA, 1993) the federal government “may substantially burden a person’s exercise of religion only if it demonstrates that application of the burden to the person (1) is in furtherance of a compelling governmental interest; and (2) is the least restrictive means of furthering that compelling government interest”.<sup>39</sup> The plaintiffs, therefore, at the outset need to establish that the HHS mandate places a substantial burden on religious employers, then they have to demonstrate that the HHS mandate either does not achieve a compelling government interest or that the mandate does not use the least restrictive means to achieve that interest.

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<sup>35</sup> Kim Daniels on “Women for Freedom,” The Catholic Information Center and Catholic Voices USA, Panel Discussion, June 20, 2012. <<http://www.youtube.com/watch?v=xdH6maEKeKs&feature=g-upl>> March 15, 2013.

<sup>36</sup> Ibid.

<sup>37</sup> The Affordable Care Act exempts most plans that existed on March 23, 2010—the day the law was enacted—from some of the law’s consumer protections. This preserves consumers’ rights to keep the coverage they already had before health reform. Unlike other health plans, job-based plans and grandfathered plans are not required to: provide certain recommended preventive services at no additional charge to you. HealthCare.gov.

<<http://www.healthcare.gov/law/features/rights/grandfathered-plans/>> May 17, 2013.

<sup>38</sup> Ibid.

<sup>39</sup> 42 U.S.C. § 2000bb-1(b) (1993).

Requiring religious employers, such as Catholic schools and universities to buy health plans (including the new preventive services package for women) for their students and employees that directly contradicts their moral teachings on sexuality and the sanctity of life is very likely to qualify as a substantial religious burden since these employers either violate their sincerely held religious beliefs or face severe fines that would ultimately lead to financial bankruptcy.<sup>40</sup> As of April 2013, out of 24 cases filed by Catholics challenging the HHS mandate 18 have been granted preliminary injunction on the ground that the mandate imposes a substantial religious burden on the employers who are trying to avoid facilitating their employee's (or student's) wrongful action.<sup>41</sup> Another alternative for the religiously affiliated institutions (schools, hospitals, social service providers, etc.) is to apply for and receive religious exemption status (under the present HHS mandate). However, this would have to be carried out by restricting their ministry to people of their own denomination/religion, which, in turn, would severely limit their ministry and thus their freedom to exercise their religion.<sup>42</sup>

With regard to compelling government interest, the administration claims that its compelling interest is to increase women's access to contraceptives "to reduce the adverse health events associated with unintended pregnancy". We know that nine out of ten employer-based health plans already cover contraceptives<sup>43</sup> so access to these goods (through job-based insurance which the HHS mandate prescribes) had been profuse even before the introduction of the mandate. Basic contraceptives are widely accessible to people of all ages, they are also considered inexpensive yet highly effective in preventing unwanted pregnancies.

A question to pose is whether the rate of unexpected pregnancies can verifiably be expected to go down as a result of the federal contraceptive mandate or not. About half the states have already introduced contraception mandates requiring

<sup>40</sup> In *Sherbert*, for instance, the Court stated that the "substantial burden" test is not limited to situations in which a law "directly compels" a person to act in a way that is contrary to his religious beliefs; it extends to "indirect burdens" too, adding that "governmental imposition of such a choice puts the same kind of burden upon the free exercise of religion as would a fine imposed against appellant for her Saturday worship." *Sherbert*, 374 U.S. at 404.

<sup>41</sup> "Astoundingly, most or all of the six outlier courts that have denied relief have done so on the ground that the HHS mandate doesn't impose a substantial burden. But as I explained of one such ruling (by the Tenth Circuit in the *Hobby Lobby* case), what those courts are really ruling, without understanding what they are doing, is that an employer's refusal to provide health insurance coverage for contraceptives or abortifacients *cannot be* an exercise of religion. Such a ruling is patently wrong, as the only relevant question for purposes of the *exercise of religion* element is whether the objector is acting from a sincerely held religious conviction. As the Supreme Court has made clear, it is not the proper business of the courts to impose their own view on what constitutes improper complicity in immoral conduct." Ed Whalen, "Explaining the Basics on the HHS Mandate and 'Substantial Burden'," April 23, 2013. <<http://www.nationalreview.com/bench-memos/346416/explaining-basics-hhs-mandate-and-%E2%80%9Csubstantial-burden%E2%80%9D>> May 18, 2013.

<sup>42</sup> Archdiocese of St. Louis, *The Case for the Church: Why the Contraceptive Mandate Violates Religious Liberty* (St. Louis. N.d.).

<<http://archstl.org/files/field-file/MCC%20legal%20background%20Tyler%20McClay.pdf>>

<sup>43</sup> Guttmacher Institute, *Contraceptives in the United States: Fact Sheet*.

<[http://www.guttmacher.org/pubs/fb\\_contr\\_use.html](http://www.guttmacher.org/pubs/fb_contr_use.html)> May 19, 2013.

job-related health insurance to include contraceptive coverage.<sup>44</sup> “These states experience rates of unintended pregnancy that are actually higher than in the states without such mandates. In the states with mandates, the average rate of unintended pregnancies in 2006 was 52.58%; the average rate in states without mandates in 2006 was 50.38%.”<sup>45</sup> Clearly the above data is merely a quick glance at the efficacy of contraception mandates; nonetheless, it is difficult to argue that such mandates enforced on all 50 states would usher in the significant decrease in the number of unintended pregnancies. It appears that increased access to free contraceptives does not necessarily amount to a reduction in unplanned pregnancies. The Supreme Court has in previous cases argued that “marginal increases in compelling government interest do not amount to compelling government interest in themselves”.<sup>46</sup> As for the small gap in access to free contraceptives that the HHS mandate could deliver (at its present form without a robust conscientious exemption scheme) it would come at a very high price either if religiously affiliated institutions were compelled to suspend their prescription coverage altogether, or, even worse, to shut their doors and cease their healthcare, educational, or social services should worse come to worst and the horrendous fines cripple these institutions.

Concerning the issue of whether the government has decided on the least restrictive means to promote its compelling interest of increasing women’s access to contraceptives, it is apparent that the answer is negative. Instead of forcing religious Americans to violate some of their deeply held beliefs by mandating them to fund certain immoral services for their employees, the Obama administration could have directly provided such services to employees employed by religious employers through something similar to the Title X Family Planning program<sup>47</sup> that already provides \$2.5 billion per year worth of birth control.<sup>48</sup>

January 20, 1012 serves as a watershed in providing Catholics and evangelical Americans with common ground on how they perceive the attitude of the Obama Administration to Christianity in America today.<sup>49</sup> “Before the announcement (of the

<sup>44</sup> As of July 2012, some 28 states have laws in place requiring insurers that cover prescription drugs in general to cover the full range of FDA-approved contraceptive drugs and devices. *Ibid.*

<sup>45</sup> Gregory Baylor, “The HHS Mandate: Trampling Conscience for What?” *Alliance Defending Freedom*, Oct. 24, 2013. <<http://blog.alliancedefendingfreedom.org/2012/10/24/the-hhs-mandate-trampling-conscience-for-what/>>

<sup>46</sup> Eugene Volokh, *Freedom of Speech, Permissible Tailoring and Transcending Strict Scrutiny*, 144 U. Pennsylvania L. Rev. 2417 (1997). <<http://www2.law.ucla.edu/volokh/scrutiny.htm>> May 18, 2013.

<sup>47</sup> Title X of the Public Health Service Act, the only federal program devoted specifically to supporting family planning services, subsidizes services for women and men who do not meet the narrow eligibility requirements for Medicaid. Guttmacher Institute, *Contraceptives in the United States: Fact Sheet*. <[http://www.guttmacher.org/pubs/fb\\_contraceptive\\_serv.html](http://www.guttmacher.org/pubs/fb_contraceptive_serv.html)> May 19, 2013.

<sup>48</sup> Medicaid contributed 37% of all revenue reported by these centers, and Title X provided 22%. The remaining 41% came from state and local governments, other federal programs, private insurance and fees paid by clients. *Ibid.*

<sup>49</sup> More than 600 religious leaders and professors from institutions such as Wheaton College, Baylor University, and the University of Notre Dame signed a Becket Fund letter of protest that labeled the contraceptive mandate “a grave violation of religious freedom.” “What began as a marriage of convenience has blossomed,” said Robert George, a Princeton University professor, who is Catholic. “On this issue, we’re united by common principles and common threat, and that’s a powerful

HHS mandate), Protestant churches and evangelical leaders were largely the only faith groups attacking the administration as anti-religious.”<sup>50</sup> Pro-life conservatives together with Christian churches in general, but also people of many faiths such as those adhering to Judaism, Islam or Buddhism, find the contraception mandate hugely disconcerting.

“The administration fails to understand,” said Gene Rudd of the Christian Medical Association, “that many employers and individual Americans, regardless of a religious label or not, maintain strong conscience objections to participating in any way, shape or form in a plan that promotes pills that the FDA says can cause the demise of a living human embryo—a developing baby in her earliest stage.”<sup>51</sup>

On July 2012, in a surprising partnership, the country’s leading evangelical liberal arts college, Wheaton College, joined with Catholic University of America to file a lawsuit against Kathleen Sebelius, the Secretary of the Department of Health and Human Services in the effort to “defend their constitutional freedom to carry out their mission in a way consistent with their religious principles”.<sup>52</sup> Evangelical pastors and leaders have also been reported to have encouraged their congregations to practice civil disobedience to the mandate in question.<sup>53</sup> Richard Land<sup>54</sup> and Barret Duke<sup>55</sup> wrote in an op-ed:

The Obama administration has declared war on religion and freedom of conscience. This must not stand. Our Baptist forbearers died or went to prison to secure these freedoms. It is now our calling to stand in the gap and defend our priceless First Amendment religious freedoms.<sup>56</sup>

A famous Protestant Pastor, Rick Warren (who is perhaps most well-known as the man who had been hand-picked by Obama to pray on his First Inauguration Ceremony) wrote this to his congregation, friends and fans:

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combination.” Sarah Pulliam Bailey, “Mass Appeal: Evangelicals Copy More of Catholic Playbook to Oppose Contraception Ruling,” *Christianity Today*, April 13, 2012.

<sup>50</sup> Stephanie Samuel, “Newt Gingrich Denounces Obama’s Revised Contraception Rule,” *Christian Post*, Feb. 11, 2012. <<http://www.christianpost.com/news/newt-gingrich-denounces-obamas-revised-contraception-rule-69250/#eU9fPz55cTgIubGD.99>> May 19, 2013.

<sup>51</sup> Ibid.

<sup>52</sup> Becket Fund, *Wheaton College v. Sebelius*, News Release, July 18, 2012. <<http://www.becketfund.org/wheaton/>> May 19, 2013.

<sup>53</sup> Joe Carter, “Evangelical Leaders Call for Civil Disobedience Against U.S. Government,” *The Gospel Coalition.org*, Feb.14, 2012. <<http://thegospelcoalition.org/blogs/tgc/2012/02/14/evangelicals-leaders-call-for-civil-disobedience-against-u-s-government/>> April 30, 2013.

<sup>54</sup> Richard Land is President of The Ethics & Religious Liberty Commission of the Southern Baptist Convention.

<sup>55</sup> Barrett Duke is Vice President for Public Policy and Research and Director of the Research Institute of The Ethics & Religious Liberty Commission.

<sup>56</sup> Richard Land and Duke Barrett. “The Obama Administration’s Abortion Mandate,” *Baptist Press*, Feb. 7, 2012. <<http://www.bpnews.net/BPnews.asp?ID=37127>> April 28, 2013.

I'm not a Catholic but I stand in 100% solidarity with my brothers & sisters to practice their belief against government pressure [...] I'd go to jail rather than cave in to a government mandate that violates what God commands us to do. Would you? "We must obey God, rather than men." (Acts 5:29)<sup>57</sup>

Vice President Joe Biden, a Catholic himself, made it absolutely clear in his Vice-Presidential Debate on October 11, 2012, that religious institutions, not just houses of worship, would be exempt from paying for or providing contraceptives to their staff or employees.

No religious institution—Catholic or otherwise—including Catholic social services, Georgetown Hospital, Mercy Hospital or any hospital—none has to either refer to contraception, none has to pay for contraception, none has to be a vehicle to get contraception in any insurance policy they provide. That is a fact!<sup>58</sup>

The right to a free conscience under God is not granted by the US Constitution, or by the state, rather it is recognized and protected by them. In 2009, President Obama had promised to recognize this sacred freedom by promising to give a robust exemption to all religious institutions on every policy he would introduce.<sup>59</sup> For undisclosed reasons, both President Obama and Vice President Biden, have gone back on their given word, placing a substantial religious burden on millions of Christians in America concerning an issue that may not even qualify as promoting the government's compelling interest, all the while neglecting to select the least restrictive means to achieve that interest. Also, it can be argued that the HHS mandate violates the Free Exercise doctrine since its large exemption schemes do not render it generally applicable. Pro-life conservatives together with Christian churches also find it highly disconcerting that they be compelled to violate their First Amendment right to freedom of speech and their freedom of religion at the same time when under the HHS mandate as employers they are required to pay for/facilitate counseling about contraception services which are against their most deeply held religious convictions.

"It is unprecedented to require religious institutions to pay for something that they regard as contrary to their religious beliefs", said Michael McConnell, a leading

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<sup>57</sup> Steven Ertelt, "Pastor Rick Warren: I'd rather Go to Jail Than Obey Mandat," *LifeNews.com*, Feb. 10, 2012. <<http://www.lifenews.com/2012/02/09/pastor-rick-warren-id-rather-go-to-jail-than-obey-mandat/>> May 2, 2013.

<sup>58</sup> Joe Biden, "Biden Incorrectly Argues Catholic Institutions Do Not Have to Pay for Contraception," Vice-Presidential Debate, October 11, 2012. <<http://www.youtube.com/watch?v=koa9Tozs1e4>> May 2, 2013.

<sup>59</sup> "Expect a 'robust conscience clause', President Obama says," *Catholic News Agency*, Washington D.C., Jul 2, 2009. <[http://www.catholicnewsagency.com/news/expect\\_a\\_robust\\_conscience\\_clause\\_president\\_obama\\_says/](http://www.catholicnewsagency.com/news/expect_a_robust_conscience_clause_president_obama_says/)> April 28, 2013.

religious liberty scholar in the US.<sup>60</sup> And pay they will not. Given that the various religiously affiliated educational and health and social services institutions could be crippled within a matter of weeks or months by the severe fines setting in on Aug.1 this year (2013), most have petitioned for a preliminary injunction at the courts and have filed suit against the Secretary of the Department of Health and Human Services. They claim that the HHS birth control mandate does not strike the appropriate balance between respecting religious freedom and increasing access to important preventive services for women.

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<sup>60</sup> "Women for Freedom," The Catholic Information Center and Catholic Voices USA, Panel Discussion, June 20, 2012. <<http://www.youtube.com/watch?v=xdH6maEKeKs&feature=g-upl>> March 15, 2013.

# Cultural Linguistics



**“Digesting” History:  
The role of metaphors in writing and reading history  
with special focus on U.S. international relations**

BEATRIX BALOGH

The task of the historian is more than making accurate entries of events. The historian would always try to make sense of what happened, how it happened, and why it happened.<sup>1</sup> As history writing is a kind of narrative,<sup>2</sup> it is not surprising that metaphors may be used. However, the paper’s concern goes far beyond the poetic use of metaphors. It is proposed that historians pre-digest the facts through the application of strategic framing and the use of conceptual metaphors. These metaphors then in turn govern not only the presentation of history but also the understanding of it on the part of the reader. The essay focuses on the role of universal and culture specific metaphors in the history of U.S. International Relations and will seek to make a case through examples from famous chapters of American history such as the Spanish-American War, the early Cold War and recent U.S. history. Drawing on scholarship of cognitive linguistics, theories of historiography, and political psychology it will be demonstrated how such metaphors as “the world community is a family” and “states are bodies” govern the thinking about certain events and policies. It will also be pointed out that certain events themselves become metaphors such as The Marshall Plan or the Vietnam War.

After a brief exposition of why metaphors are used and the attendant terminology, metaphors based on emblematic events and persons will be discussed. I will highlight the use of person metaphors in Mead’s taxonomy. It will be followed by the discussion of conceptual metaphors as underlying frames for foreign policy narratives. Most commonly used metaphors derive from the “states are persons” frame. One specific type, the family metaphor will be discussed in detail. The “fairy tale scenario”, although a structural metaphor akin to using the structures of drama or comedy as a skeleton for a story, is also a typical understanding of foreign policy measures. Through these examples it will be proposed that historical and conceptual metaphors affect understanding of history both on a heuristic and on a cognitive level. The last section will ponder the problems of frame selection. With all this in mind, the primary aim of the present study—limited both in scope and depth—is to highlight a phenomenon and raise awareness.

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<sup>1</sup> See, for example, Humboldt’s classic speech “on the Historian’s task” (Humboldt 57–60).

<sup>2</sup> David Carr made a case for continuity between literal and historical narratives in a 1986 article “Narrative and the Real World” that he later developed into a book, *Time, Narrative, and History*. In “The Revival of Narrative: reflections on New Old History” Lawrence Stone points out that history writing was long considered a form of rhetoric, and that even “scientific historians” (the Annales school, cliometritians, and analytical historians) would use narrative elements (3, 5–8).

Metaphors form an inherent part of language use and of the thought process, very simply, because abstract notions can only be understood by the use of metaphors. It is a means of understanding one domain of one's experience in terms of another: time in terms of money, life in terms of travel, or as the title of this essay suggests, learning in terms of eating. They are conventional, widespread and automatic (Lakoff, *Metaphorical Thought* 6–7). In this process structural elements of the source domain are projected onto the target domain. With presupposed structural similarities mapping is a systemic set of correspondences that exist between constituent elements of the source and the target domains (Kövecses, *Practical Introduction* 7). Entailment is an inference drawn within the source domain and applied to the target domain.<sup>3</sup> The conceptual metaphor consists of a set of mappings between elements of the source domain and elements of the target domain (Lakoff 4).

Since metaphors are the primary means of conceptualizing the world, “there is no area of human interaction free of metaphorical thinking and language” (Schimko 655). International Relations and Foreign Policy are inevitably understood and reasoned about via metaphors. Certain conceptual metaphors can “frame” a story and function as a thought organizer, and yet go undetected. The frame is a theme that provides an overarching framework for input and processing data. The choice of the source domain is often automatic, but it can also be a tool for what Lakoff refers to as Strategic Framing.<sup>4</sup> The choice of frame has an impact on interpretation.

As to the heuristic and cognitive levels of metaphors it is highly instructive to follow Stambovsky's study in which he outlines three ways metaphors function in historiography: depictively, heuristically, and cognitively (125). Heuristic techniques facilitate the process of problem solving via mental shortcuts. Heuristic imagery, Stambovsky concludes, “advances deliberate, analytic understanding and falls within the domain of explanatory discourse” (134). Cognitive imagery, on the other hand, “operative on the metahistorical plane, orchestrates interpretive discourse and thereby governs the way that events (or actions) may be known in and of themselves” (ibid). Awareness of these processes is essential for both writers and readers of history.

When talking about American Foreign policy we often use such labels as Domino Theory, Good Neighbor Policy, New Frontier, Carter Syndrome, or Containment Policy, with little attention paid to the metaphoric nature of these expressions. Scholars and columnists enlist phrases such as “Vietnamization of Afghanistan”, “unipolar moment”, “global sheriff”, “scolding Iraq” or “reconciling

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<sup>3</sup> In digesting history, for example, reading would be the intake of ideas and understanding ideas occurs through the process of digestion. Mappings include swallowing is accepting, chewing is considering, and digesting is understanding. In this framework nourishment would be mental well-being. The conceptual metaphor underlying such linguistic expressions as “that is just too many facts to digest,” or “this idea needs more cooking” is *Ideas are Food* (See, for example Kövecses, *Practical Introduction* 73). What we know about cooking can be transferred to the target domain as an entailment, which enables us to put a theory “on the back-burner” to “simmer for a while”.

<sup>4</sup> Depending on the time and the aim of the Strategic Framing I would draw fine lines of distinction between pre-framing, a tool of the policy advisor or politician selecting a frame to “package and promote an idea” or justify a policy; real-time framing of the journalist commenting on current events; and the post-framing of the political analyst, or the historian making an attempt at providing a coherent frame for a series of events.

his Jacksonian self.” American foreign policy trends, or their ideological frameworks, have passed into everyday vocabulary by their metaphoric use. Their source domain may reveal some understanding of international relations, and is accessible to general readership, or may reflect an expert knowledge of a precedent that has become emblematic enough to use it as a metaphor. For the purposes of this essay an illustrative sample of expressions are placed into three categories. The first column lists such linguistic expressions that reveal a specific understanding of the world and international relations. The second contains labels that refer to former U.S. Presidents. The third category calls attention to a few events that are used in a metaphoric way. In the analysis of the last two columns these will be referred to as *president metaphors* and *event metaphors*,<sup>5</sup> respectively.

Metaphors in U.S. Foreign Policy discourse by category <sup>6</sup>		
Reflecting on the nature of IR	Presidents	Events
<ul style="list-style-type: none"> <li>▪ Scolding Iraq</li> <li>▪ Rescuing Cuba</li> <li>▪ Balance of Power</li> <li>▪ Good Neighbor Policy</li> <li>▪ In the U.S.’ backyard</li> <li>▪ Containment Policy</li> <li>▪ Domino Theory</li> <li>▪ Zero-sum game</li> <li>▪ Unipolar Moment</li> </ul>	<ul style="list-style-type: none"> <li>▪ Hamiltonian</li> <li>▪ Jacksonian</li> <li>▪ Jeffersonian</li> <li>▪ Wilsonian</li> <li>= Mead’s Taxonomy</li> <li>▪ The Truman Doctrine</li> <li>▪ Carter Syndrome</li> </ul>	<ul style="list-style-type: none"> <li>▪ Vietnam</li> <li>▪ Vietnamization</li> <li>▪ Marshall Plan</li> <li>▪ Another Kosovo</li> <li>▪ Rwanda</li> </ul>

Going in reverse order from convenient expert usages to deep-seated notions, the first category to examine enlists cases when certain events themselves have become metaphors. Usually neither their origin nor their utility is difficult to detect. Certain well-known, often infamous attributes of events are taken and applied to a new

<sup>5</sup> Although similarities can be detected, the use of term here is distinct from Event Structure Metaphors in cognitive linguistics that refer to those metaphors in which different aspects of events such as state, change, cause, action and purpose are comprehended in terms of such physical concepts as location, force, and movement (Kövecses, *Metaphor in Culture* 43–44). For example, in expressions like “they are in love”, or “he went crazy”, the mental state is a location, and change in a state is a movement (43). These are distinguished from conceptual metaphors that are grounded in bodily experience.

<sup>6</sup> The lists are not exclusive, only a few illustrative examples were drawn. There will be numerous other examples mentioned throughout the essay. The first column includes labels or linguistic expressions reflecting on the existence of those meta-frames that will be discussed to some extent, while there will be reference made to other frames including conceptual metaphors not discussed here, or such myths as the Manifest Destiny, the Frontier, or the City Upon the Hill that often serve as overarching meta-frames of explaining U.S. foreign policy.

situation, or new experience. Thus there may be talk of the “Vietnamization of Afghanistan”, referring not to Vietnam but to Nixon’s policy that entailed the progressive withdrawal of U.S. forces from South Vietnam along with transferring responsibility onto the local forces. Other headlines alluding to Vietnam reflect a different set of attributes. In such turns as “Afghanistan haunted by ghost of Vietnam”, or “Afghanistan will be Obama’s Vietnam”<sup>7</sup> the war’s protracted nature, loss of American lives and a no-winner situation, in essence the lay understanding, is projected. The war in Iraq was also sometimes referred to as another Vietnam. All these expressions call on the readers’ knowledge of history and activate a set of analogies. They may, of course, be used for dramatic effect as a rhetorical device. There are, however, two other benefits: condensing information and framing an event. Dropping a phrase as a shortcut for a complex set of information would, in most cases, also frame the event in the sense that any new information is then first comprehended within this frame. Since many of these labels are loaded, the unfortunate side effect is that value judgment may also be communicated.

When a (new) Marshall Plan was called for in Eastern Europe to facilitate democratic changes, or there was one planned for Africa, the same strategy was used. Although the Marshall Plan was a complex program of economic and political objectives with not all of them fulfilled, most readers would easily recall text-book knowledge of a success story, roughly along the lines of economic help that brings about democratic change and peace. However, based on various analyses the phrase “Marshall Plan” has become a metaphor not only for political-economic crises but for any large-scale government program that is designed to solve a specific social problem.<sup>8</sup> Hidden are in this metaphor the different political and social realities, or the structural problems. Yet again, by the use of an event as a metaphor for a new situation, the writer communicates a whole set of information in just a few words. Iraq has replaced Vietnam as metaphor for tragedy, and there is talk about another Rwanda, or another Kosovo.<sup>9</sup>

Former U.S. presidents are also used consciously or unconsciously to talk about certain policies, or about approaches to foreign policy issues. Sometimes, as with the Truman Doctrine, or the Monroe Doctrine, it is a well-formulated policy that is referred to a new experience that may be far removed from the parameters of the situation in which they were devised. There are overreaching attitudes and tendencies compressed into simple formulae and have become underlying principles of American foreign policy. The “Carter Syndrome”, on the other hand, refers not to a specific

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<sup>7</sup> These phrases were used in an article by Ed Hornick on CNN Politics.

<sup>8</sup> For the debate on the metaphoric use of The Marshall Plan see, for example, Agnew; Agnew and Entrikin; and “Demise of a Metaphor” in *The Washington Post*, a highly instructive book-review by Niam Moises.

<sup>9</sup> Shimko warns that historical analogies may be dangerous in the sense that “people might move from the identification of similarities to the assumption of identity” (666). It should be noted that while both involve understanding a concept in terms of another, metaphors (between domain comparisons) and simple analogies (within domain comparisons) work slightly differently. Comparing two foreign policy crises in a clear-cut way may define a set of policies, Shimko also notes, while metaphors provide orientation only (666-668). I contend that the examples mentioned here can be treated as metaphors because their use reflects between-domains references.

event or principle, but a perceived weakness of President Jimmy Carter when it came to diplomatic crises.

There is a special set of these metaphors that deserves a brief discussion, partly because they are widely used to label foreign policy courses, past and present, and partly because their metaphoric nature is largely ignored. What I refer to as “Mead’s taxonomy” is the categorization of approaches to foreign policy under the names of four U.S. presidents.<sup>10</sup> We talk about Hamiltonian, Jacksonian, Jeffersonian, and Wilsonian traditions. What is meant by these labels is a specific combination of priorities and ideals that the four presidents’ approach to the role of the United States and foreign policy reflected. There are two prominent traits for each president that provide the basis for metaphoric use. Hamiltonian is termed as realist-internationalist, Jacksonian as realist-nationalist, Jeffersonian as idealist-nationalist, and Wilsonian as idealist-internationalist. Out of these, the Wilsonian tradition, or simply Wilsonianism is probably easiest to conceive, while, unfortunately, Jeffersonian is sometimes used to describe weak presidents by their opponents. Mead remarked that “Fox News watchers are suspicious of Wilsonian do-gooding and Jeffersonian Weakness” (1). These labels have thus become one dimensional. It would be more instructive to highlight what is the real source of the metaphoric use. Mead’s argument is that “[i]n general, US Presidents see the world through the eyes of four giants: Alexander Hamilton, Woodrow Wilson, Thomas Jefferson, and Andrew Jackson” (1). He asserts that

Hamiltonians share the first Treasury Secretary’s belief that a strong national government and a strong military should pursue a realist global policy and that the government can and should promote economic development and the interests of American business home and abroad. Wilsonians agree with Hamiltonians on the need for a global foreign policy, but see the promotion of democracy and human rights as the core elements of American grand strategy. Jeffersonians dissent from this global consensus; they want the United States to minimize its commitments and, as much as possible, dismantle the national security state. (1)

Mead indeed uses two prominent attributes of the source domain to formulate a coherent attitude, but there is an underlying philosophy for each name.<sup>11</sup> Only with

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<sup>10</sup> Walter Russell Mead is Professor of Foreign Affairs and Humanities at Bard College. He first formulated his theory and categorization of US foreign policy traditions in “The Jacksonian Tradition” published in 1999. His book *Special Providence: American Foreign Policy and How It Changed the World* (2001) describes the four major philosophies which influenced the formation of American Foreign Policy.

<sup>11</sup> Mead makes two other remarks on the Jeffersonian worldview that should also be considered when labeling. Later in the same article he writes that “[a] pure Jeffersonian wants to conserve the shining exceptionalism of the American democratic experience and believes that American values are rooted in U.S. history and culture and are therefore not easily exportable”. At the same time “[a] Jeffersonian policy of restraint and withdrawal requires cooperation from many other countries, but the prospect of lower American profile may make others less, rather than more, willing to help the United States” (5).

awareness of the source domains can certain texts become intelligible. A case in point is the very title of Mead's recent article: "The Carter Syndrome. Barack Obama might yet revolutionize America's foreign policy. But if he can't reconcile his inner Thomas Jefferson with his inner Woodrow Wilson, the 44<sup>th</sup> president could end up like No. 39."

These metaphors both compress information and provide a frame of reference. If a new experience is called another Vietnam, a foreign policy initiative another Marshall Plan, or a president's stance Wilsonian, a frame is drawn around the story, or a part of it. Depending on the readers' understanding of the source domain, new information is often automatically placed into this frame and brings about an interpretation that is consistent with it. It must be noted that talking about *dovish* and *hawkish* approaches, attributing some perceived characteristics of the birds to foreign policy is also widespread. This reveals a different realm of metaphor use. What should also be pointed out is that those falling into one of these categories have a particular conception of the world and America's role in it that may be traced back to a few conceptual metaphors that provide the frame for thinking about and talking about foreign relations.

Unlike event or president metaphors that require familiarity with the attributes that are borrowed and projected onto a new experience, and their full understanding may require expert knowledge, the basic conceptual metaphors are part and parcel of language use: they are widespread, often universal means of understanding a typically abstract concept in terms of another, more concrete source domain. There are cultural varieties in their structure and use that will be briefly treated, but they are usually shared by writers and readers alike. Looking at the first column of the previous chart one can arrive at the conclusion that these metaphoric expressions have something to do with understanding how the world is and how International Relations works. There are numerous ways of looking at and analyzing the behavior of countries in peace and in international conflicts. Based on Lakoff's sketchy but compelling analyses of underlying metaphorical structures (*Metaphorical Thought*; "Foreign Policy by Metaphor" with Paul Chilton), the most typical conceptual metaphors applied to Foreign Policy are the "states are persons," and "the international community is a family" (11). He also discusses "the fairy tale scenario" in sweeping terms as a narrative structure that he treats as a metaphor for Foreign Policy (23–34). Another typical understanding is the "international conflict is a game", based on the "war is a game" metaphor. In contrast, the essentially realist conception of "states as billiard balls" proposed by Waltz conceives states as physical objects (91). Discussion of the basic conceptual metaphors should enjoy primacy for our purposes for two reasons. Since they are rooted in first-hand human experience they operate with convenient source domains to reason about countries' behavior and thus are often applied automatically. And this is why they are more likely to be used as frames.

The first and foremost metaphor for international relations is the "State is a Person" (Lakoff and Chilton 6). The states thus acquire some personalities and may be "trustworthy, . . . aggressive, strong or weak . . . , stable or paranoid" (6). We also speak of them as belligerent or benevolent. As persons, they have a house, have a

backyard, and live in a community. They have personal interests, body-politic, health and wealth. It does not require expert knowledge to understand such notions as, for instance: the United States does not want a European power, an enemy, or a politically unstable country with potential unrest “in its backyard”, the Caribbean, for example. If the person-states’ community is conceived as a “frontier town, with law abiding citizens and outlaw states,” a “global sheriff” is needed (7). With a stretch of imagination one could even argue that while the Frontier theory explains the desire for expansion, explanation and understanding of countries’ behavior assumes a conceptualization of the world as a community of person-states. If countries get “sick” and the disease is deemed “contagious”, their disease and the state itself must be contained just like a “can of worms”.<sup>12</sup> This powerful imagery might be one reason why Kennan’s Containment Policy proved to be so effective an underlying metaphorical structure for the United States’ anti-Communist policies. Should one use or detect the ‘state is a person’ metaphor, the following mappings are plausible:

- A state is a person
- National interest is self-interest
- Sovereignty is personal independence
- Economic health is physical health
- Military power is physical health

Thus, since it is in the person’s self-interest to maintain personal independence, it is in a state’s self-interest to maintain sovereignty (Lakoff 19).

A long-entrenched variety of this metaphor lends an animal character to states and “given the folk understanding of what animals are like”, people used to think of Russia as a bear or England as a bulldog (Chilton and Lakoff 6). America is often seen as an Eagle. In line of this logic, if a country pursues hawkish foreign policy or behaves as a dove in the international arena, the state itself is seen as a bird with specific characteristics. Or more often, there is a complex interplay of metaphor and metonymy whereby foreign policy practitioners, secretaries, presidents, or their advisors, and their policies stand for a whole nation. Once in the realm of the animal world one can translate self-interest and independence into survival, and survival of the fittest is just one step away. Thus faux Darwinism and Social Darwinism are also potential frames for the treatment of international relations. However, in contradiction to the animal derived understanding of state personalities, it is usually assumed that states are rational actors. This is a common premise when analyzing or predicting policies, or writing historical accounts of international affairs. The United States’ entry into wars is usually explained by pursuing its national and economic interests.

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<sup>12</sup> Containing a sick body, or a disease, and containing a can of worms use different source domains and have different entailments. Chilton and Lakoff explain the Containment concept relative the state-in-a-container metaphor (11). One interesting turn on this metaphor is Susan Sontag’s analysis of the war on diseases. She writes that war is “defined as an emergency in which no sacrifice is excessive,” but in a war against diseases the illness is perceived as an alien other, and “the move from demonization of the illness to the attribution of fault to the patient is an inevitable one” (qtd. in Shimko 658).

The assumption that states are firms is a derivation that is used deliberately by Kenneth Waltz in his theory on international relations (Lakoff 20–22).

What Lakoff's study does not explore is the philosophical undercurrents that by and large divide International Relations theorists and discourse into Hobbesian and Kantian camps. Without drowning in details of the two distinct worldviews, we may state that Hobbesians assume an anarchy where every actor pursues self-interest and strives for more power, while the other group believes in development and the ultimate cooperation of democratic countries.<sup>13</sup> Classical Realism and the Liberal Democratic Peace Theory are the most prominent manifestations. If states and their actions are understood in the framework of a world community of persons, adherence to one or the other philosophy would largely determine how their behavior is interpreted and what policy measures are desirable. Readers of American history are often presented with these frames in subtle ways that are difficult to detect.

Another metaphorical frame is possible because societies in western cultures are perceived as a large family. Projecting the "Society is a Family" metaphor onto the international arena results in 'the World Community is a Family' conceptual metaphor. As in a family there are different roles, duties, and power relations, and the structure of these may be mapped onto the international community. Ideal behavior, morality, and even race relations can be reasoned about and understood within this convenient framework. Although the basic model of a family may certainly differ across cultures, it is a metaphor that is accessible to the general readership. Since the discussion centers around the discourse on American Foreign policy it is prudent to analyze how Americans think about the ideal family. This cultural understanding provides what cognitive linguists call ICM, the Ideal Cognitive Model (Kövecses, *Practical Introduction* 214). Americans use the family model to reason about both morality and about international relations. As Lakoff pointed out in *Moral Politics: How Liberals and Conservatives Think*, conservatives tend to apply the Strict Father model, while liberals more often think in terms of a Nurturant Parent Model (see also Kövecses, *Metaphor in Culture* 118, 175, 291). Lakoff makes a case for applying the same models to international politics with the US as a parent (6). Within this frame America is above other nations and Western culture is above other cultures. It may follow that if non-western nations are inferior "it is to everyone's benefit for western culture to be brought to them" (7). There is a rich set of other potential mappings and entailments that explain policies, and frame stories: strong nations are male, weak

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<sup>13</sup> There is extensive literature on the impact of Hobbes and Kant on modern political thinking and International Relations theories. For a quick overview see, for example "Democratic Peace Theory" in Oxford Bibliographies (Reiter 1). It is just one theory under the not even remotely unified Liberalism umbrella. Classical Realism is very fittingly termed by Mearsheimer as human nature realism. "It is based on the assumption," he writes, "that states ... have an insatiable appetite for power, ... [and] they constantly look for opportunities to take the offensive and dominate other states. All states come with an 'animus dominandi'." It follows that all states are aggressive. He adds that human nature realists perceive the world as an anarchy "with the absence of governing authority over the great powers". In essence, "[t]he principal driving force in international politics is the will to power inherent in every state in the system, and it pushes each of them to strive for supremacy" (19). Mearsheimer makes a distinction between classical and defensive realism. The latter theory (see Waltz, for example) does not see states as inherently aggressive. They "merely aim to survive" (19).

nations are either female or children, strong nations are parents, development is growing up; rogue nations would be perceived as misbehaving children, and misbehavior would entail reprimand;<sup>14</sup> responsibilities are possessions or children. Such understanding of world affairs lends a convenient and accessible, albeit not always transparent explanation about U.S. intervention, or the aspiration to spread democracy. The family understanding would even provide justification for colonization, where the act is deemed almost altruistic, with total disregard to realist perspectives. Lakoff claims that the Strict Father model is more ingrained in American culture en large, irrespective of ideological inclination or party membership. However, as most cognitive linguists Lakoff also points out, that when there are more than one potential frames, we usually carry multiple ones and activate one or another depending on the context.

It does matter which one is chosen because new information falls into its place in the given framework. While gender ideals are constantly negotiated, family ideals seem to be more persistent. Although today’s patchwork families may have an impact on the model, it still reflects the American household of a nuclear family. As a cultural institution it is accessible for both the elite and the politically ignorant. This is one reason why it can be used to package political messages, to rationalize policies, and to give coherence to a foreign policy narrative. It is important to note again that the prevalence of one or the other model as a metaframe shows personal and temporal differences.

So far two ICM’s have been analyzed. There are two alternatives, or expansions of these models (not discussed by Lakoff) that should be noticed in relation to American foreign political thought. One derivative, the “USA is a benevolent uncle” has been a long-standing metaphor, the use of which may be detected even in contemporary works. The other, “the federation of states is a sisterhood” is perhaps little used today—simply because the thinking about the states has changed—, but was at some point an ingrained metaphor that easily gave rise to

<sup>14</sup> Most of the conclusions were drawn based on the Strict Father Model (See chart below). Its counterpart, the Nurturant Parent model is less used by Americans as a metaphoric frame. Structural elements of both ICM’s are drawn into charts based on Lakoff’s detailed description (5-10).

Family Models and Roles		Family Models and Morality	
<p><b>Strict Father Family</b></p> <ul style="list-style-type: none"> <li>▪ Father is the leader of the family</li> <li>▪ He is the moral authority</li> <li>▪ His task is to teach kids right from wrong</li> <li>▪ By disciplining</li> <li>▪ Only punishment works</li> <li>▪ Tough love is the means of internalization</li> <li>▪ Once the children reach maturity, parents should not meddle with their lives</li> </ul>	<p><b>Nurturant Parent Family</b></p> <ul style="list-style-type: none"> <li>▪ The job of the parents is to nurture their children</li> <li>▪ Empathy and sympathy are values</li> <li>▪ Children should learn how to be responsible for themselves and for others</li> <li>▪ Protect children from dangers</li> <li>▪ Restitution rather than retribution</li> <li>▪ Cooperation over competition</li> </ul>	<p><b>Strict Father Morality</b></p> <ul style="list-style-type: none"> <li>▪ People are made good through self discipline and hard work</li> <li>▪ Everyone is taken care of by taking care of themselves</li> <li>▪ Morality is being upright (evil is a force in the world)</li> <li>▪ Morality is obedience</li> <li>▪ The moral is those in power</li> <li>▪ Everyone seeks their own well-being</li> </ul>	<p><b>Nurturant Parent Morality</b></p> <ul style="list-style-type: none"> <li>▪ People are made good by being helped by those better off</li> <li>▪ Everyone is taken care of by helping each other</li> <li>▪ Morality is fairness to others</li> <li>▪ Help don’t harm</li> <li>▪ Empathy and responsibility</li> </ul>

specific interpretations of foreign policy measures. Both use the conceptual metaphor of the family, albeit with slightly diverse structural mappings. The main difference is what is included in the source domain, or more precisely, what elements of the source domain are in the focus. This would define the potential entailments. For demonstrative purposes, this essay would show the use of the alternatives in connection to the Spanish American War and the ensuing annexation of Caribbean islands. Cartoons encapsulate the idea best.<sup>15</sup> Although space considerations prevent a full analysis of the complex system of metaphoric and metonymic representations in the pictures, each exhibits a variation of ‘the World community is a family’ metaphor.

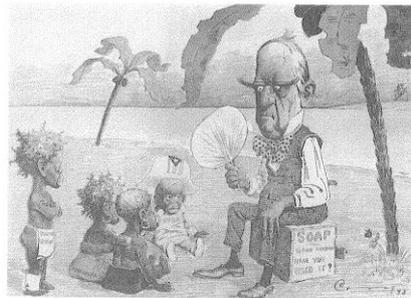
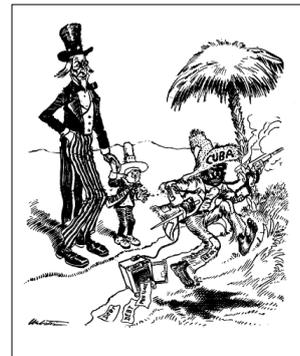


Figure 20. *The Cares of a Growing Family*

In the first cartoon, published in 1901 in the *Chicago Record-Herald*, “Miss Cuba receives an invitation”. At the time Cuba was under U.S. military occupation, half way between Spanish rule and freedom, a limbo state that should eventually be resolved by Cuba voluntarily joining the United States as the forty-sixth sister. The fair lady was soon forgotten and was replaced by a misbehaving child, and a black one at that. In the cartoon published in 1905 the basic framework of the family is more articulate. While Puerto Rico, already in proper care, is abiding and well-mannered, Cuba is visualized as the ungrateful chagrined who does not deserve the proper care of its guardian, Uncle Sam. The third picture takes us back to May 1898

<sup>15</sup> Cartoons are used for demonstrative purposes to visualize the argument (as metaphors often do), but the multimodality, the interplay between visual and verbal information is not explored here. Note that the reason why cartoons may be used is that they represent ‘folk understanding’ of institutions, and as best worded by Janis L. Edwards “they are the implicit expressions of societal norms and values in the conceptual lenses and commonplaces they employ” (1). Editorial cartoons are also historical documents.

before the conclusion of the war. The president standing metonymically for the whole of the United States, McKinley is portrayed sitting among its charges with a quizzical look on his face. At the time, the fate of these lands, uniformly depicted as black children, was not decided yet, their relationship with the United States was uncertain. Thus, although McKinley appears to be teaching them, and taking a good care, the whole scene suggests guardianship rather than close family ties. The children appear to be well-behaving, trustful of their caretaker, but somewhat sullen. The cartoons have little regard for the actual racial makeup of the populations. Depiction of countries varied reflecting the actual or desired political relationship, and they were literally painted black or white depending on the metaphor applied.

Michael Hunt who chose these cartoons to illustrate a chapter in *Ideology and U.S. Foreign Policy* had a different angle. He argues that the perceived *hierarchy of race* provided one justification for entry into war with Spain. The view of Latin Americans as “infantile” or “feminized Latin” allowed the United States to assume benevolent roles. It rationalized “Uncle Sam’s tutelage and stern discipline” on the one hand, and made the United States appear as “gallant savior” on the other (62). Although no word is written about the family metaphor, yet, family roles derived from the strict father model appear to be possible underlying mappings that provide a cognitive explanation. Hunt continues asserting that “[t]hese images, which had already helped rationalize the drive to expel Spain from North America and then to push the Mexican border south, also supported the ripening claim of the United States to the role of natural leader and policeman of an American system of states” (62). He even claims that the Monroe Doctrine was the embodiment of this claim, and the “inherited pretensions to superiority over Latinos”, along with the increasing power at disposal pointed into “making the hemisphere a U.S. preserve” (62). Even though Hunt’s analysis is restricted to race relations, a systematic correspondence of family roles, assumptions on morality, and watching over the backyard can be conceived in the same meta-frame. Any new piece of information becomes intelligible within this frame. What was colonization a hundred years ago is replaced by exporting democracy today. Further, democracy-building or peace-keeping may be narrated as if the United States, in the position of moral superiority, was a guardian assuming responsibility for children left behind.

The same event can be explained by, or interpreted with, a different metaphor: “the fairy tale scenario.” A cartoon (not shown above) depicts the U.S. as a gallant savior who rescues Cuba from the Spanish Brute (Hunt 66). This reflects a culturally understood narrative structure. It is also one way to frame the event. The structure has a cast of characters: a villain, a victim, and a hero. If the victim and the hero are the same actors it is self-defense narrative (Lakoff 23–24). The other version is the rescue narrative in which the hero fights the villain to free the victim. There are certain entailments of the structure that are projected onto states, or non-state actors. It is assumed that the villain is inherently evil. The hero usually undergoes difficulties or makes sacrifices; gathers help or goes alone. The hero defeats the villain, rescues the victim and saves the community. It is a familiar scenario in the Western World that has become a cultural commonplace through ancient myths and folk tales. It is also

one rationale of the just war. War against weak nations, feminized by the family model, is often depicted as rape. The “rape of Belgium” or the “rape of Poland” used the same formula. Of course, narratives of these events do not always have a direct reference to the metaphoric structure they use. More recently, the “rape of Iraq” applied this version of the fairy tale scenario.

It is a model of the sequence of events with inherent cause-result elements that allow its application as a tool of interpretation. It can be detected in non-violent scenarios such as the EU, or Germany rescuing Greece, that follows the pattern of the very Marshall Plan that “rescued” Germany. While it may seem that such linguistic expressions belong to sensational journalism, the structure is often applied by historians and analysts to treat an event, most likely to frame an entry to war. Seldom is it transparent at the first sight. Yet systematic analysis would reveal the existence of the frame even if there is no mention of hero and victim. It is a conceptual structure that is automatically applied when telling a story, and retrieved when reading it.

Lakoff, in his study on Strategic Framing lists a number of contemporary examples that use this model as frame (25–32). In the case of Iraq, for instance, the messages were framed, and reframed, typically using two models (Lakoff’s main concern is how these frames influence the discourse on specific foreign policy measures). Iraq was seen as a dependent child, also one that ill-behaved and deserves punishment. Saddam Hussein standing for the whole of Iraq was taught a lesson. Other analyses highlighted the health of a nation endangered by the stranglehold on the oil pipelines that evoked the self-defense metaphor. There was talk of the “rape of Kuwait”. Alternatively, towards the end of the war, communication focused on the rescue of the legitimate government (25–30). Few asked if there was a legitimate government at all in Iraq, because this information fit a preexisting frame. Postwar analyses are often very critical, but they could not get rid of these frames altogether. Yergin, in his epic history of oil and politics warns against any such clichés. He notes that the “public debate in the West was marked by a continuing search for a single factor to explain the response of the Bush administration. But, as it is usually the case in great events, there is not the luxury of any single explanation.” He asserts that “aggression, sovereignty, and the shape of the post-Cold War order were all central considerations” (773).

As opposed to the previous frames that are derived from deep-seated cultural understandings, scholars often use other metaphors to explain international politics. The “Domino Theory,” “Unipolar Moment” or the “Balance of Power” reflect the conception of states in the international system as physical objects. The first is based on perceived similarities between falling dominoes and a specific geopolitical situation. In itself, it has limited use. However, as Shimko points out, strategic interdependence is at its core. It reflects the idea, that “the events in one country . . . will have an impact on those around it” (666). Bipolarity evokes the magnet image, a special case of physical system (Lakoff 17). Its origin goes back to the 1940s and the imagery was used throughout the Cold War. Unipolarity, as conceived by Charles

Krauthammer in 1990<sup>16</sup> is what was left after the fall of communism. In the “Balance of Power” frame states are physical objects, and power is conceived as physical force (Lakoff 16). Morgenthau conceives international stability as a balance, where “the equilibrium must aim at preventing any element from gaining ascendancy over the others” (185). Foreign policy strategies of “buck-passing” and “bandwagoning”, albeit with imagery borrowed from other domains, operate within the “balance of power frame” (Mearsheimer 159, 139). Framing a conflict in an “international politics is a game” metaphor gave rise to the notion of “zero-sum game” or a “win-win” situation. A “Profit and Loss” analysis is borrowed from economics. These latter two would involve states as rational actors, an inherently human characteristic.

Having seen how conceptual metaphors frame foreign policy narratives, four aspects need to be revisited: temporality, their tendency to hide information, and cultural and personal variation. Expert metaphors tend to change over time. They lose prominence and are replaced by others. When discussing recent conflicts, Lakoff notes that certain facts “simply [do] not jibe with the old metaphors” (32). In a *Foreign Affairs* article summary outlining America’s Edge in what she calls a “networked century”, the author briefly refers to the “billiard-ball world,” a system of self-contained states, as the outdated paradigm of the twentieth century (Slaughter 1). New slogans are constantly added to the list. “Imperial Overstretch”, “the grand chessboard”, or “the clash of civilizations” are just a few Odom and Dujarric name in the introduction of a book that aspires to explain *America’s Inadvertent Empire*.<sup>17</sup> No word is mentioned of metaphors, yet all these are potential frames for interpreting world politics and the United States’ role. Even the title itself suggests a metaphoric frame within which facts and tendencies are interpreted. The book focuses on all the factors in which *America* enjoys primacy, and which prompt other countries to revere the United States. It ignores factors that do not fit the frame.

When applying a metaphor as a frame certain aspects of reality remain hidden. Shimko criticizes Lakoff for suggesting metaphors may hide reality in beneficial or harmful ways (667). The primary aim of the present paper is to call attention to meta-frames and strategic framing exactly because they highlight certain aspects and ignore or hide others. The “billiard ball” metaphor hides what is going on within a state. In fact, “states are persons” metaphors ignore individuals and have difficulties treating transnational actors. The “Domino Theory” highlights certain aspects of international relations and underscores the notion of strategic interdependence. At the same time, Shimko warns, it draws “attention away from those factors which work against interdependence.” The same imagery encouraged the tendency “to look for external causes of regional instability and revolution” (667). Frames influence interpretation.

One way to look beyond the frame is to explore the roots, the cultural varieties and the personal preferences. Cultural varieties have been briefly touched upon. Family models across cultures show differences. Although carrying multiple frames, Americans tend to reason about foreign policy within the Strict Father Model. Their

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<sup>16</sup> The lead article of the Winter 1990/1991 edition of *Foreign Affairs* bore the title “Unipolar Moment”.

<sup>17</sup> The authors refer to the works of Paul Kennedy, Zbigniew Brzezinski, and Samuel P. Huntington.

conception of a community, a one-family house, or what constitutes neighborhood and what landmass is called home underpin thinking and writing about foreign policy. When Gorbachev proposed a new system for a “common European home”, the picture in his mind might have been a Russian apartment house (Chilton and Lakoff 16). Growing up in certain cultural institutions and exposure to particular historical examples, literature, or myths entail different conceptualization of how the world is, or how it should be. James Schlesinger’s acute observation on the different worldviews of Russians and Americans reveals an ironic twist whereby it was the Russian understanding of America’s geopolitical interests that put an end to dismantling the military force at the close of World War II., and lured the U.S. into its role for the next forty years (938–939). This paradox was rooted in the fact that the Russians did not understand the “rhythm” of American democracy, and “Americans had not read Lenin or Clausewitz, or Machiavelli”. Realpolitik was alien to Americans at the time (939).

Yergin also touches upon the effect of experience on how the world is seen. Continuing the description of the debate on reasons for decisive action against Iraq he ventures that “[w]hile George Bush himself was determined to avoid ‘another Vietnam’”, one analogy that was current at the time, “he was the product of his generation and his experience” and with Hitler, and the millions of lives lost in the ensuing conflict in mind, he saw another totalitarian dictator whose aspirations were unlimited with the potential for nuclear power, and who should be stopped at the earliest possibility (773). There are several frames at interplay. Past events are evoked to provide analogies for a new experience. The hypothetical scenario of a rescue narrative may be applied on two levels: saving weak nations, and saving the whole world community. Yergin’s own frame is embedded in the title of the book: *The Prize*. He also asserts that “petroleum remains the motivating force of industrial society and the lifeblood of the civilization that it helped create” (779). This lifeblood is a scarcity person-states vie for.

What do recalcitrant children and billiard balls have in common? Countries can be seen as one or the other. What is assumed about their ideal behavior largely depends on the underlying metaphor. Policies may be devised to fit this view and be consistent with the meta-frames: International Relations seen as the family or in terms of the laws of physics. Equally important impact is made on understanding historical narratives. Discourse on foreign policy would inevitable involve metaphor use. What has been discussed is the use of emblematic events and persons as metaphors. Serving as a rhetorical device, easy access for a complex set of information, or a strategic frame for analyzing a new experience, they usually require expert knowledge or at least some familiarity with American history. The author’s choice reflects his interpretation of a segment of history. New metaphors are created based on past events. When author and reader place the frame slightly differently, it may give rise to misinterpretation. However, metaphors are not dangerous *per se*. Metaphor use is a natural part of thinking, speaking and writing.

Certain conceptual metaphors work as meta-frames. They are useful exactly because they provide a frame. “Facts never speak for themselves—they take on their

meaning by being embedded in frames, themes which organize thoughts” (Gamson 2). This makes the story intelligible with a narrative structure and inner casual nexus. Universal metaphors as frames keep the readers focused and provide coherence even if the analysis is multi-level or fragmented, even if there is hardly any analysis. At the same time frames not only guide readers but also influence them by what they highlight and what they hide. They literally serve as a frame around a cloud of data. The choice of frame determines what is included, what is highlighted, and what is ignored. Strategic framing pre-digests history to a certain extent. The choice can be the result of conscious design or automatic retrieval from the cultural commonplaces we possess. No one is urged to drop his metaphors or replace them with others. However, it is important that both writers and readers of history be aware of them.

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**Illustrations:**

- Cartoon 1. "Miss Cuba Receives an Invitation" *Chicago Record-Herald* 1901. (Hunt 67)

Cartoon 2. "The Cares of a Growing Family" J. Campbell Corey. *Bee*, May 25, 1898.  
(Hunt 86)

Cartoon 3. From the *Chicago InterOcean* 1905. (Hunt 68)

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# Metonymies in Colors and Color-related Phrases in the Chinese Language

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## 1 Introduction

Color words and phrases are a very important and active part of vocabulary nearly in all languages. Research about color seems to follow two major lines: one is focused on color coding and development of color terms; the other is centered on color words in translation, intercultural communication, language teaching and dictionary compilation. Comparative studies of colors across languages are welcomed and inspired by advances in cognitive linguistic theories of metaphor and metonymy. More and more researchers are paying more attention to the role culture plays in the application and creation of color terms and color-related phrases.

Chinese scholars are relatively new in systematic color research, but they have already produced hundreds of papers on this subject with many outstanding results, especially in comparative color studies between Chinese culture and other cultures. However, discussions dedicated to color metonymies in Chinese are very few. Grounded in previous research, this paper will explore five basic colors: red, yellow, green, white and black in the Chinese language, with an aim of revealing the underlying working mechanisms of metonymy in Chinese color terms and color-related phrases, and giving a general overview about the role culture plays in defining the interpretations of these Chinese color metonymies.

### 1.1 Theoretical Framework

For cognitive linguists, color is not an objective, abstract property that is independent of the human mind: just as other categories, it is also the result of an on-going interaction between human beings and the objective world. Once humans master the primary and basic-level characteristics of colors, they can assign more meanings to a specific color.

Metonymy and metaphor are two very important tools for human beings to develop new meanings of colors and coin new phrases with colors. Metaphors are cross-domain mappings, which are a set of systematic correspondences between the source and the target in the sense that constituent conceptual elements of concept B correspond to constituent elements of concept A (Kövecses, *Metaphor* 7). Metonymy involves a single domain, within which an element of the domain stands for another element of the same domain. It allows people to give mental access to an element through another element related to it – where the relationship is either conventional in

the conceptual system or can be easily figured out in a given context (Kövecses, *Language* 98–99).

The color domain is one of the basic domains in human cognition. When people use colors to understand other abstract, colorless domains, color metaphors are born. When people use colors to describe elements in the same domain, color metonymies appear. In order to give a clearer explanation of this process, cultural study is absolutely necessary, and my research will offer a colorful cultural investigation of how Chinese people use colors to make sense of themselves and the world around them.

## 1.2 Methodology

In this research paper, I use the method of introspection in conjunction with theoretical analysis (Talmy). Bearing in mind the fact that introspection is more dependent on individual reasoning and might be too subjective, I also employed a language corpus in my study to offer more objective support to the research findings. All Chinese color words and color-related phrases are from a Chinese corpus freely available on-line at <[www.cncorpus.org](http://www.cncorpus.org)>, which includes modern Chinese corpus data of 20 million words and ancient Chinese corpus data of about 100 million words. The paper is dedicated to the discussion of color metonymies in the modern Chinese language. The five basic color words were used as keywords to search for the relevant color phrases in the corpus, and then classifications were made to list color metonymies. Discussions and cultural analysis were provided for a better understanding of the role figurative tools play in the meaning construction process. Given the fact that many color metaphors have a metonymic basis, I will also mention color metaphors when it is necessary. All color metonymies will be analyzed with specific examples in the Chinese language with English translation and *pinyin* for pronunciation. Every metonymy identified in the research is written down in boldface type, with the first letter capitalized in each word.

## 2 Metonymies in Color

### 2.1 Red

In the Chinese language, red is usually called 红 (hong), but 朱 (zhu), 赤 (chi) and 丹(dan) can express the same color too. For modern Chinese people, 红 is the typical word for the color red. The categories of red color metonymies are listed as follows:

#### A Characteristic & Entity

In this category, the following examples seem to fit in a more specific subcategory: **the Color of the Entity for the Entity.**

- (1) 万紫千红(wan zi qian hong): ten thousands of purple and a thousand red
- (2) 落红 (luo hong): the fallen red
- (3) 刺刀见红 (ci dao jian hong): the bayonet sees red
- (4) 红人 (hong ren): red people
- (5) 朱紫 (zhu zi): red and purple
- (6) 丹青 (dan qing): red and green
- (7) 红粉 (hong fen): red powder

The Chinese character 红 in example (1) and (2) means red flower, in (3) means blood, in (4) means red skin, in (5) means red-color robe, in (6) means red pigment, in (7) means the rouge. The color red is the most salient impression on people's mind for red flowers, blood, rouge, red clothes, red pigment and the skin color of Indian people, therefore, the color is used to represent these entities.

On the other hand, the color-related phrases in the list below seem to be good examples of the **Characteristic for Entity** metonymy:

- (7) 红粉 (hong fen): red powder
- (8) 红豆 (hong dou): red beans
- (9) 红事 (hong shi): red event
- (10) 红叶 (hong ye): red leaves
- (11) 红十字 (hong shi zhi): red cross
- (12) 红灯区 (hong deng qu): red light district
- (13) 红头文件 (hong tou wen jian): red-titled documents
- (14) 赤字(chi zi): red characters

红 or 赤 in the examples only means the color red. However, all phrases above are used metonymically to represent the most salient characteristics of the entities they stand for.

Example (7) 红粉 (red powder) is originally the chemical compound used as a medicine. However, metonymically it refers more often to all the cosmetic products Chinese women applied to their face as make-up in the past. Besides, 红粉 (red powder) can also refer to gunpowder during war time. The color and the powder shape facilitate Chinese people to use it in so many metonymical ways.

Example (8) 红豆 (red beans) actually refers to a kind of tree growing in Southern China. But people usually call it red-bean tree because of its special seeds, which are a good choice for jewelry decoration, and the shiny color and heart shape of the seeds also make people connect it with love and the yearning between lovers. In the past, 红豆 (red beans) served as a symbol for love and a good gift between couples in love. Even today, it is still associated with love. Example (9) 红事 (red event) metonymically stands for marriage. Chinese people

love the red color and in a traditional Chinese marriage, red is everywhere. The bride has to wear a red dress and red shoes with a red handkerchief covering her face and head. The wedding room is also decorated with red candles, red beddings, and the bridegroom has to wear red with a big red flower, too. Therefore, people usually use 红事 (red event) to refer to marriage.

Example (10) 红叶 (red leaves) is the red leaves of trees. In China, there are certain kinds of trees that their leaves will turn into flaming red color in autumn. So people use 红叶 (red leaves) to metonymically refer to the tree. Example (11) 红十字 (red cross) is the name of a medical service organization because a red cross always appears on the buildings of modern hospitals or on people's clothes in medical service. Example (12) 红灯区 (red light district) is the area for prostitution. Such places usually have red lights to attract customers, and that is the reason for having the Characteristic for Entity metonymy in its name. These two phrases do not originate from ancient China, but come from foreign cultures.

Example (13) 红头文件 (red-titled documents) refers to formal documents issued by governmental organizations, and the reason for the term is that the titles of the documents are usually printed in red color. Example (14) 赤字 (red characters) means deficit. People use red ink to write the numbers if the expenditure exceeds the income. So 赤字 (red characters) becomes a customary term for deficits. The characteristic of writing numbers in red stands for the deficit itself.

## **B Possessor & Possessed**

(15) 红唇(hong chun): red lips

(16) 红颜(hong yan): red face

These two phrases usually metonymically stand for beautiful women, making them nice examples for a more specific metonymy of **Possessor & Possessed: A Body Part of the Person for the Person**.

红 in both phrases means the red color and refers to a body part when it is together with the second Chinese character. From life experience, healthy, beautiful women have red lips and if women apply cosmetics such as rouge, their faces are going to be reddish too. Men do not wear make-up, so 红唇(red lips) and 红颜(red face) are used to indicate women, especially beautiful women. Since young people often have a healthy reddish face, 红颜(red face) can sometimes refer to a young person as well.

## **C Controller & Controlled**

(7) 红粉(hong fen): red powder

(17) 红妆(hong zhuang): red make-up

As mentioned above, 红粉(red powder) can metonymically stand for the cosmetic products used by women, and it can further metonymically stand for the women who use cosmetics. With the same logic, 红妆(red make-up) also metonymically stands for the women who wear red make-up. These two phrases contain **Controlled for Controller** metonymies.

### **D A Piece of Clothing & Person**

The phrases below are examples of **A Piece of Clothing of the Person for the Person** metonymy:

(5) 朱紫 (zhu zi): red and purple

(18) 红装(hong zhuang): red dressing

(19) 红领巾(hong ling jin): red collar scarf

In the previous part, 朱紫 (red and purple) was interpreted as the red and purple robe people wear. In fact, Chinese people also used this phrase metonymically to refer to higher-ranking officials in feudal times, when there was a rule that only government officials could wear colored clothes, and each color indicated a specific official rank. A person might get himself killed if he wore a wrong color.

红装 (red dressing) is used metonymically to stand for young women because they prefer to wear rouge and red clothes. 红领巾 (red collar scarf) has a political meaning in socialist countries. Wearing a red collar scarf is the symbol of being a Young Pioneer member for children in elementary school and middle school. People also call the student who wears it a 红领巾 (red collar scarf).

### **E Effect & Cause**

The following phrases are **Effect for Cause** metonymies, and they are the basis for color metaphors about emotions:

(20) 脸红(lian hong): red on face

(21) 飞红(fei hong): flying red on face

(22) 红脸(hong lian): red face

(23) 面红耳赤 (mian hong er chi): red-faced and red-eared

(24) 眼红(yan hong)/红眼(hong yan): red-eyed

(25) 红光满面(hong guang man mian): red light all over the face

红 in all examples above means the red color, which is the result of strong emotions. Chinese people have realized that when a person is having strong feelings or desires, the blood will run faster inside the body. As a result, he tends to show these emotions on his face through change of the color in the eyes or the skin. Example (20) and (21) metonymically refer to shame or shyness by highlighting the blush appearing on the face. (22) and (23) mainly refer to anger, but sometimes mean shame too. (24) indicates envy while (25) means being in a state of good health or happiness, since healthy, excited people often have a shiny pink face.

## F Container & Contained

(26) 红尘(hong chen) : red dust

(27) 红包 (hong bao): red envelope

The origin of (26) comes from old times when the roads were dirt tracks, and the horse-drawn carriage was the fastest transportation tool. 红尘(red dust) at first means the reddish dust after a horse-drawn carriage has driven by, but later on metonymically refers to flourishing capital cities, since in such cities there are more roads full of horse-drawn carriages passing by. In Buddhist teachings, it metaphorically means the world of the mortals or the present human society, which I think is also based on this metonymic interpretation. It is an example of **the Contained for the Container** metonymy.

红包 (red envelope) originally means the money given to children by their parents at the Spring Festival as a way to celebrate the New Year. The money is put into a red envelope because red is considered a lucky color in the Chinese culture. This custom is passed down to the present day. Now, 红包 (red envelope) has more metonymic meanings, including reward money, bonus money, gift money at weddings or even bribe money. However, from the very beginning, people did not mention the money inside the red envelope, but only mentioned the cover. Modern people may not use a red envelope at all, even the content inside could be anything other than money. With the development of the Internet, people can send 红包 (red envelope) on line. This kind of virtual 红包 (red envelope) can be nothing but a series of digital data. Anyway, the phrase stays a good example of **the Container for the Contained** metonymy.

## G Material & Object

(6) 丹青 (dan qing): red and green

This phrase is the only example I could find to demonstrate that there is a **Material for Object** metonymy in itself. Except for referring metonymically to the red and green pigments, 丹青 (red and green) can also stand for the Chinese paintings drawn

with these two pigments, which are very vivid in color and not easy to fade. So the materials (the red and green pigments used in the painting) of the object (the Chinese painting) stand for the object.

## 2.2 Yellow

Yellow in Chinese is called 黄 (huang), and considered to be the color of the land. I list yellow metonymies as follows:

### A Characteristic & Entity

In the phrases below, the color 黄 stands for an entity that is yellow in color, so they are examples of **the Color of the Entity for the Entity** metonymy:

- (1) 枯黄 (ku huang): withered and yellow
- (2) 茶黄 (cha huang): tea and tobacco
- (3) 乘黄 (cheng huang): ride a yellow horse
- (4) 黄陇 (huang long): the field ridges when the crops are yellow
- (5) 黄熟 (huang shu): yellow maturity
- (6) 牛黄 (niu huang): calculus bovis
- (7) 治黄 (zhi huang): harness the Yellow river
- (8) 扫黄 (sao huang): anti-pornography activities
- (9) 花黄 (hua huang)/额黄 (e huang): yellow make-up on the forehead
- (10) 黄疸 (huang dan): jaundice
- (11) 雌黄 (ci huang): orpiment
- (12) 黄种人 (huang zhong ren): yellow-skinned people

The color yellow (in Chinese 黄) refers to withered plants in example (1), tobacco leaves in (2), a yellow horse in (3), matured crops in (4) and (5), bezoar in (6), the Yellow River in (7), the porn stuff in (8), which is a borrowed meaning from foreign culture. It is a special kind of yellow make-up in (9), yellow skin in (10) and (12) and a mineral in (11). The yellow color is the obvious characteristic of these entities, so the color is used to stand for these entities.

The phrases in the next section will show the examples of **Characteristic for Entity** metonymy:

- (13) 黄帝 (huang di): the Yellow Emperor
- (14) 黄昏 (huang hun): dusk
- (15) 黄土 (huang tu): yellow soil
- (16) 黄泉 (huang quan): yellow spring
- (17) 黄汤 (huang tang): yellow liquid

- (18) 黄页 (huang ye): yellow pages  
(19) 面黄肌瘦 (mian huang ji shou): yellow face and skinny body  
(20) 明日黄花 (ming ri huang hua): yellow flower of tomorrow

In example (13), 黄帝 is the leader of the ancient tribes in China and the first person to unite the country. He had many useful inventions in agriculture and daily life, so people named him after the color of the land, the emperor of the land. 黄昏 refers to the time between sunset and dark night. During this period of time, the sun is setting down, leaving yellowish light on the earth. 黄土 is a kind of soil called loess in English. It is said that loess topography develops best in China and China has the widest distribution of such land form. If people dig deep to find water, they will discover that the waters are in yellow color because of this kind of yellow soil. As a result, Chinese people name loess as 黄土, a color phrase that metonymically stands for the landscape, and springs or wells deep underground are called 黄泉, a color phrase that metonymically stands for the yellow soiled water and metaphorically refers to netherworld for the dead.

黄汤 (yellow liquid) is pejorative way of saying liquor made from grains, and there is also a kind of liquor in yellow color called rice wine. Nowadays, it can be used to refer to beer as well, since the color of beer is also yellow. 黄页 (yellow pages) is a borrowed phrase through translation from American English. The characteristic of the telephone book printed on yellow paper stands for the telephone book itself. In example (19), 黄 means the yellow skin color of the face and the whole phrase is used metonymically to describe a sick person. When people are unhealthy, the face will be yellow without a pink glow and the body will become thinner.

Example (20) 明日黄花 (yellow flower of tomorrow) needs a detailed explanation because 黄 here means yellow color, but 黄花 in this phrase means yellow chrysanthemum. 花 is a general category containing all kinds of flowers, and yellow chrysanthemum is only one subcategory of flower. Except the **Characteristic for Entity** metonymy, there is a **General Category for the Subcategory** metonymy involved too. This phrase has a Chinese cultural element behind the surface meaning, and Chinese people use it to indicate the yellow chrysanthemum after Double Ninth Festival in late autumn on the lunar calendar, a festival for respecting the old and commemorating the ancestors. People go out to view yellow chrysanthemum flowers with their family members at the festival, and those flowers will wither gradually soon after the festival. So the phrase 明日黄花 (yellow flower of tomorrow) has a metaphorical meaning of something being out of date and useless, a meaning widely used in daily communication.

## **B Possessor & Possessed**

- (21) 黄口 (huang kou): yellow mouth

- (22) 黄发 (huang fa): yellow hair  
 (23) 黄毛丫头 (huang mao ya tou): yellow-haired girl  
 (24) 黄花闺女 (huang hua gui nü): yellow flower girl

Example (21) 黄口 (yellow mouth) originally refers to the beaks of baby birds, because there is yellow color on the corners of their beaks, and then it is metaphorically mapped onto the human domain with a metonymic base to mean children under age ten. In example (22) 黄发 (yellow hair) metonymically means old people with a long lifespan, because old people's white hair will gradually turn into yellow color. Example (23) 黄毛丫头 (yellow-haired girl) is a joking way to describe a silly little girl. 黄毛 (yellow hair) refers to the hair color that is lighter than the normal black color Chinese people usually have. Girls often have a lighter hue in their hair at the time when they are very young. So the whole phrase is usually used to stand for very young and innocent girls. In modern times, 黄毛 (yellow hair) can also mean the people who dye their hair yellow, or can be used as a nickname to refer to blond foreigners. These color-related phrases are examples of the **Body Parts for the Person** metonymy.

黄花闺女 (yellow flower girl) is a phrase only for an unmarried girl, and 黄花 (yellow flower) is the flower-shaped yellow make-up girls wear on their forehead. It was a customary make-up for girls hundreds of years ago, but modern girls do not wear it any more. However, the phrase stays to present times as a way to talk about young unmarried girls, which represents a **Possessed for the Possessor** metonymy.

### C A Piece of Clothing & Person

- (27) 黄冠 (huang guan): Taoist priest's hat

In ancient China, Taoist men often wore a yellow hat, and at the time of the Sui and Tang dynasties, people began to call those Taoist men 黄冠, which is an example of **A Piece of Clothing of a Person for the Person** metonymy.

### D Sub-event & Complex Event

- (28) 黄袍加身 (huang pao jia shen): to be draped with the imperial yellow robe by one's supporters; to be acclaimed emperor

The custom of wearing 黄袍 for emperors dates back from the Tang dynasty (618–907 AD), and yellow color is considered to be the imperial color in old China. Later in the Song dynasty (960–1279 AD), 黄袍 became the symbol of imperial power. So the phrase 黄袍加身 indicates that the person has claimed the throne by wearing the imperial yellow robe, which is the most symbolic act, and one of the sub-events that

constitute the complex event of taking the absolute control of a country. This is an example of **Sub-event for Complex Event** metonymy.

### E Material & Object

(15) 黄土 (huang tu): yellow soil

As mentioned above, 黄土 (yellow soil) means loess originally, but it also metonymically stands for the tomb. As the major kind of dirt that covers China's land, it is the major material for building up tombs as well. This phrase is a perfect example of **Material for Object** metonymy.

### 2.3 Green

Chinese characters 绿 (lǜ) and 青 (qīng) are the color terms for green. Compared with 青 (qīng), 绿 (lǜ) is more often used by modern Chinese people to describe the prototypical green color. Chinese green metonymies fit into the following categories:

#### A Characteristic & Entity

Green is the color of nature, so 绿 (lǜ) and 青 (qīng) in Chinese compound phrases often stand for trees, grass or things that are naturally green in color. They are examples of **the Color of the Entity for the Entity** metonymy.

- (1) 绿地 (lǜ dì): green land
- (2) 绿肥 (lǜ fēi): green manure
- (3) 绿篱 (lǜ lí): hedgerow
- (4) 绿荫 (lǜ yīn): shade (of a tree)
- (5) 绿洲 (lǜ zhōu): oasis
- (6) 绿营 (lǜ yíng): green military camp
- (7) 橄榄绿 (gǎn lǎn lǜ): olive green
- (8) 青山 (qīng shān): green hill
- (9) 踏青 (tà qīng): have an outing in spring when the grass has just turned green
- (10) 青冢 (qīng zhǒng): green tomb
- (11) 青史 (qīng shǐ): the annals of history
- (12) 青黄不接 (qīng huáng bù jiē): When the new crop is still in the blade and the old one is all consumed.
- (13) 鼻青脸肿 (bí qīng liǎn zhǒng): with a bruised nose and a swollen face

绿 in example (1) to (5) stands for green plants such as grass and trees. Example (6) is a military camp during the Qing dynasty (1616–1911 AD), with the soldiers coming

from surrendered Ming armies and soldiers of Han nationality. 绿营 got its name because this military camp used a green flag as its symbol, and 绿 here stands for the green flag. In Example (7), 绿 stands for the military uniform worn by Chinese armed police troops, because the color of the uniform is olive green.

青 in example (8), (9) and (10) stands for green plants as 绿 in example (1) to (5). In example (11), 青 is the bamboo slips, a tool Chinese people used to write books before paper was invented. Since bamboo slips are usually green in color, people call those history books written on them 青史. In the section of yellow color, I have already shown that 黄 refers to the matured crops, and similarly, 青 can refer to the green, immature crops in the phrase of 青黄不接, which metaphorically means a temporary shortage in money or human resource. Example (13) is a phrase to describe a badly battered face, and 青 stands for the green bruises left on the nose.

## B A Piece of Clothing & Person

The three phrases below demonstrate **A Piece of Clothing of a Person for the Person** metonymy:

- (7) 橄榄绿 (gan lan lü): olive green
- (8) 绿头巾 (lǜ tóu jīn): green head scarf
- (9) 绿帽子 (lǜ mào zi): green hat

橄榄绿 (olive green) is the unique color of the uniform of Chinese armed police troops, so people who wear this kind of uniform are simply referred as olive green, a color phrase to indicate their profession.

In feudal imperial China, the green color was regarded as a color for people of the lowest social class, and 绿头巾 (green head scarf) was worn by humble people such as servants or slaves. During the Yuan (1206–1368 AD) and Ming dynasty (1368-1644 AD), it was a rule that all male relatives and husbands of prostitutes had to wear a green head scarf. Later on, 绿帽子 (green hat) is also introduced with the same connotations, and wearing a green hat becomes a phrase to describe a man who has a disloyal wife.

## 2.4 White

White is called 白 (bai) in Chinese, and phrases with this color are abundant both in number and in meaning. The metonymies with white belong to the following categories:

## A Characteristic & Entity

- (1) 白人 (bai ren): white people
- (2) 白条 (bai tiao): white slip
- (3) 白粉 (bai fen): white powder
- (4) 白灰 (bai hui): white ash
- (5) 白果 (bai guo): white fruit
- (6) 白眼 (bai yan): white eye
- (7) 白头 (bai tou): white head
- (8) 白事 (bai shi): white event
- (9) 白皮书 (bai pi shu): white book
- (10) 白色污染 (bai se wu ran): white pollution

Example (1) is a metonymy of **Color of the Entity for the Entity**. 白 here stands for white skin. Example (2) refers to an informal receipt written on a white slip of paper that doesn't have red or blue seals. Example (3) and (4) are different names for heroin and lime respectively. (5) means the fruit of ginkgo trees, and can also stand for ginkgo itself. (6) refers to the white part of human eyes, so it metaphorically means a disdainful look. (7) stands for a white haired head, a symbol for old age.

Example (8) is funeral arrangements. In China, the white color is used in funerals. It is the decoration color of the place for coffins before they are buried. White candles are lit up for the dead spirit. Direct relatives of the dead have to wear white clothes. White paper flowers are worn by people who attend the funeral. Therefore, Chinese people usually call a burial event a white event.

Example (9) refers to the white-cover books, which contain important documents or reports issued by the government. Example (10) refers to the white plastic waste pollution. As explained above from (2) to (10), a **Characteristic for Entity** metonymy is shown in every example.

## B Possessor & Possessed

- (11) 白刃 (bai ren): white knife
- (12) 小白脸 (xiao bai lian): little white face
- (13) 白面书生 (bai mian shu sheng): white-faced scholar
- (14) 唇红齿白 (chun hong chi bai): red lips and white teeth
- (15) 白手起家 (bai shou qi jia): start white-handed

The original meaning for 白刃 is a sharp knife or sword with a white blade, and it stands for a person who takes a knife or sword with him. In a war, people fight with sharp knives, so it can stand for the war as well. Example (12) refers to a kind of young man who is comparatively handsome in appearance, but lazy and idle in nature.

Such men never work outside on a job or inside with family chores, and they take advantage of their looks and sweet words to live on the economic support from their girlfriends or wives.

白面书生 is a phrase to describe young people who spend more time on reading books and studying as an intellectual. Such people stay indoors reading all the time, so their face color is not as tanned as that of people who work outside. So people call these scholars 白面书生 (white-faced scholars). It can also refer to an inexperienced young scholar metaphorically. 唇红齿白 is also a phrase for describing a person's beautiful appearance. If someone has red lips and white teeth, his or her looks could not be very ugly. Example (15) is often used metaphorically to mean being successful from scratch. However, I think it has a metonymy base in that when we have nothing in our hands, we can see the white color on the palm if we open our hands. The phrase stands for people who can set up an empire with their own bare hands, a good example of **Possessed for the Possessor** metonymy as can be seen in the previous four phrases as well.

### C A Piece of Clothing & Person

- (16) 白丁 (bai ding): white-clothed people
- (17) 白领 (bai ling): white-collar workers
- (18) 白衣天使 (bai yi tian shi): white-clothed angel

白丁 stands for common people in feudal China. 白领 is quite a new borrowed word from western culture to indicate non-physical laborers, who are well-educated and smartly dressed with a clean, white collar. In modern China, white collar jobs are welcomed by young collage graduates, and people who hold such work posts in companies are called 白领. Nurses wear a white robe, and they help patients like angels, so 白衣天使 is used both metonymically and metaphorically to mean nurses. These three examples all belong to **A Piece of Clothing of a Person for the Person** metonymy.

### D Sub-event & Complex Event

- (19) 白骨 (bai gu): white bones
- (20) 白旗 (bai qi): white flag

白骨 is the skeleton left after the flesh of a dead body is corrupted and gone. In China, this phrase metonymically stands for death, a complex process that includes the white bones at the last stage. A white flag is the symbol for surrender, and raising a white flag is a symbolic sub-event for the aim of surrender or truce, which may contain many other activities or events. Example (19) and (20) are **Sub-event for Complex Event** metonymies.

## E Location & Located

(21) 白宫 (bai gong): White House

This phrase is the word-by-word Chinese translation of the original English phrase White House, so the metonymy of **Location for the Government Located** remains in this Chinese version of American government, which is located in a white building.

## F Effect & Cause

(22) 面色苍白 (mian se cang bai)/脸色惨白 (lian se can bai): pale white face

These two phrases share the same meaning, and they are **Effect for Cause** metonymies, which lay a foundation for color metaphors of emotions. When people are very scared, blood will run to the four limbs to prepare for escaping, and the face color will naturally turn pale because of lack of blood. On the other hand, if a person is very sick, the healthy pink glow will vanish from his or her face, leaving pale skin as a symbol of being in an unhealthy condition. The effects of the causes are stated in the phrases to metonymically stand for the causes.

## 2.5 Black

黑 (hei) is the Chinese character for color black, and sometimes 青 (qing), 乌 (wu) and 黛 (dai) can refer to the same color in certain phrases. The metonymies of black color are classified into following categories:

### A Characteristic & Entity

- (1) 起早贪黑 (qi zao tan hei): work from dawn to dusk
- (2) 黑人 (hei ren): black people
- (3) 黑匣子 (hei xia zi): black box
- (4) 黑皮书 (hei pi shu): black-covered book
- (5) 青眼 (qing yan): black eye
- (6) 垂青 (chui qing): look upon somebody with black eye
- (7) 白纸黑字 (bai zhi hei zi): black words on white paper

黑 in example (1) means dusk when the sky starts to turn dark, and in example (2) means black skin. These two phrases are examples for **Color of the Entity for the Entity** metonymy.

Example (3) is the nickname for flight recorder, which gets its name as black box because it was originally put into a very stable black box to keep the records even

in a plane crash. However, the modern black box is painted orange to make it easily seen after a crash. Example (4) refers to commercial photography almanacs published with a black cover. 青 in example (5) and (6) stands for the black part of human eyes. Chinese people have black irises, and when you see other people's black iris, it means that this person is looking at you attentively. This is the basis for the metaphorical usage of example (6), which can indicate a favorable look from other people, a sign of appreciation. Chinese people often write with black ink on formal occasions, so example (7) 白纸黑字 (black words on white paper) can stand for the solid proof that is written down in black ink on white paper. From example (3) to (8), black color-related phrases represent the characteristics of certain entities, which make them nice examples of **Characteristic for Entity** metonymy.

### B Possessor & Possessed

- (8) 黑手 (hei shou): black hand
- (9) 青丝 (qing si): black silk
- (10) 粉黛 (fen dai): white powder and black dye used in make-up

黑手 as a phrase refers to a vicious person manipulating somebody or something behind the scenes. Hands are parts of a human body, so the phrase is used metonymically to stand for a person with the black color metaphorically mapped into the domain of evil. 青丝 refers to black hair, and can metonymically stand for young people who have black hair, especially beautiful young girls. 粉黛 actually contains two metonymies. One is the color metonymy, which the color black stands for the black cosmetic product women apply to their eyebrows; the other is that the phrase itself can stand for a beautiful woman, especially in ancient China. Both phrases are examples of **Possessed for the Possessor** metonymies.

### C A Piece of Clothing & Person

The phrases below show color metonymies of **A Piece of Clothing of a Person for the Person**:

- (11) 青衣 (qing yi): black clothes
- (12) 乌纱帽 (wu sha mao): black yarn hat

After the Han dynasty (206 BC–220 AD), black color clothes were worn by people from a lower social status, so 青衣 can metonymically stand for the people who wear it, such as servants or maids. Besides, it also refers to a role in Chinese opera. 乌纱帽 was originally a kind of black hat worn by men of all walks of life during the Sui (581–618AD) and Tang dynasties (618–907AD), but became a part of formal official clothing for higher ranking officials from the Ming dynasty. Since

then, it began to stand for the person who wore it as another way of saying that this person had a position in government organizations.

### **C Effect & Cause**

(13) 脸黑下来 (lian hei xia lai): a darkening face

This phrase is an example of **Effect for the Cause** metonymy, in which the color black is used as a verb, and the effect of a blackening face metonymically stands for the cause of the effect – anger or unhappiness. When people are unhappy or angry, the brightening glow will disappear from the face, and black shades will take their place and make the face color darker than before. Emotions are involved in this phrase, so it can be interpreted as a metaphor as well.

## **3 The Cultural Roots of Color Metonymies**

This section of the paper will focus on unveiling the cultural roots that help to shape the color metonymies. Culture here takes a broader sense that it includes all the shared concepts, social beliefs, doctrines, values, governing principles, ethnic customs, history as well as geographical environment. These elements of culture all play an important role in forming various color metonymies.

### **3.1 The Origin of Five-Color Preference**

Ancient Chinese people developed a philosophical theory called “Five-Element Theory” to interpret the origin of all the things on earth. These five elements were: metal, wood, water, fire and earth, serving as the basis for explaining changes in nature and in the constitution of the universe and the world. The corresponding colors of the five elements were white, cyan, black, red, and yellow, which were considered to be preferred pure colors, while green, purple and other colors were disdainful secondary colors. Among these five preferred colors, yellow was the predominant color and was situated in the center. This five-color theory can help to explain how those color metonymies come into being.

### **3.2 The Red Power of Ancient Worship**

According to explanations in *Modern Chinese Dictionary*, red is considered to be the color of fire and blood. Chinese scholars’ research shows that the intense admiration for red comes from ancient worship of the Sun God, which is conceived as being red. Fire, blood and the sun are all red in color, so red becomes their symbol and also takes on the symbolic meanings of them.

However, red was not so highly praised by the ruling class until the Zhou dynasty (1046–256 BC), when the emperor began to wear red clothes. The turning

point came during the Han dynasty (206 BC–220 AD), when red became a favorite color advocated by both the emperor and common people. Then preference for red stayed on as a social custom and passed on through history.

In modern times, preference for red is still intense, and red almost becomes a symbol of modern China. Red represents authority, fortune, wealth, happiness, prosperity, success, and popularity, and it is also connected with politics, appearing in the names of the Communist party, the army and the political power to show the strong vitality of the socialist revolution. Such feverish love for red color provides a fertile ground for nurturing numerous red metonymies and metaphors.

### **3.3 The Dominance of Imperial Yellow**

There is no definite answer to the question why Chinese people advocate yellow, but one of the reasons may lie in the geographical environment. Chinese ancestors, the Hans originated in the Yellow River Plateau, a region where yellow was the prevailing color. Another explanation comes from the “Five-Element Theory”, in which yellow is put in the center and considered to be a “middle” color that represents honor and respect. It is also believed that China is an agricultural country and yellow is the color of the earth and good harvest. So Chinese people shift their respect for the earth to its color yellow, and later give it a meaning of sacred, supreme authority to represent imperial power.

According to history, yellow was established as the authoritative color representing the Emperor in the Han Dynasty more than 2000 years ago. During the Sui Dynasty (581–618 BC), yellow was officially designated as the exclusive color for the imperial family. But it was still a popular color for common people to wear. In the Tang dynasty (618–907 BC), the rule became stricter that only the Emperor could wear yellow, and common people were prohibited to wear it.

Due to historical and cultural reasons, yellow remains to be a favorite color for modern Chinese people, and appears together with red on national flag and decorations for major events. As a symbol for imperial power, yellow has been a noble color for the aristocracy, not for common people. Compared with red, yellow doesn't have the meaning of good fortune, but only a solemn and respectable connotation. There are many Chinese expressions with yellow to indicate lofty power and dignity, which preserve the admiration and ancient beliefs about the color.

### **3.4 The Low Status of Green**

In feudal China, colors were always closely related to social class. The color people wore was the outside symbol of a person's social status. As a tool of expressing people's cultural concept of class hierarchy, colors began to refer to class hierarchy in themselves, and application of colors to clothing based on social ranks started to appear in the Sui dynasty (581–618 AD).

As a secondary color, green was always a low and humble color, and Chinese people never had a special preference for it. As early as the Spring and Autumn

Period (770–476 BC), green clothes and green headscarf were worn by husbands of prostitutes and musical performers as a symbol for low status and humiliation. In the Tang dynasty (618–907 AD), green official robes were for lower-ranking government officials, and wearing a green headscarf was a humiliating punishment for criminals. During the Yuan (1206–1368 AD) and Ming (1368–1644 AD) dynasties, the green headscarf became the fixed rule for husbands of prostitutes. Modern men wear hat instead of a headscarf, so “green headscarf” becomes “green hat” to refer to men with disloyal wives. As a result, Chinese men never buy or wear a green color hat except army uniforms. This meaning of green is so culturally unique that Western people won’t understand it unless they know the underlying cultural concepts.

However, Green metonymies and metaphors in the modern Chinese language do contain the world-wide shared notions about the color, such as life, hope, peace, spring, nature and vitality.

### **3.5 The White Taboo**

In Chinese culture, opposite to red, white means being dried up, colorless, and lifeless. White is always an ill omen and symbolizes death, arousing a feeling of misfortune. In superstition, people believe white is the symbol for disaster.

In the Tang dynasty (618–907 BC), white was the color for common people who neither had a post in government nor a scholar honor. Their clothes couldn’t have any color to indicate their much lower social status. It is also a long time custom for Chinese people to use white in funerals, where this color is used for clothes and decorations.

Even though white also means light and purity in Chinese, it has more meanings of low intelligence, failure, blankness, diseases, fruitless efforts and disdain. In politics, it means reactionary activities and groups. White metonymies and metaphors with negative connotations are abundant in the Chinese language.

### **3.6 The Rise and Fall of Black**

In primitive times, black was associated with mysteries, witchcraft and magical powers. People worshiped the color in order to have good fortune. In the first dynasty Xia (2070–1600BC), black color was highly respected as the color of the nation, appearing in all solemn, divine occasions such as funerals, military events, offering sacrifices to god and ancestors and so on. As the color of water, black was still preferred and worn by emperors in the Qin dynasty (221–206 BC).

With the development of society and changes in cultural concepts, red and yellow gradually gained favor and enjoyed a higher respect than black. The medieval preference for the black color in mainstream belief started to fade. In modern society, under the influence of foreign culture, people wear black suits or dress to attend very formal meetings and receptions to give a professional and serious look. Except for this positive usage, black is often associated with darkness, evil, illegality, sorrow, death and misfortune, and bunches of modern black metaphors and metonymies are there to

show that black has fallen from a blessing, lucky color into a filthy, unwelcomed color, with derogatory connotations that are the opposite of those in ancient times.

#### 4 Conclusion

This paper focused on Chinese color metonymies of five basic color terms: red, yellow, green, white and black within a theoretical framework of cognitive linguistics. From the study, we can see that (1) color is usually the most salient characteristic of entities for humans, so it is used more often than other characteristics to stand for the entity. (2) Metonymy is a very productive and useful tool to create color phrases in Chinese, with certain phrases containing more than one metonymy. (3) Sometimes, the metaphors in color phrases can have a metonymic basis. In other words, metonymy and metaphor can co-exist in color phrases. (4) Culture plays an important role in creating culturally unique meanings of colors and color phrases. Learning culture is very necessary in the process of acquiring a decent understanding of metonymies and metaphors in colors and color-related phrases.

As a small scope research, it is open to any new findings concerning the topic. Even though I tried to discuss all relevant color phrases of the five colors in Chinese, there are still possibilities that some important examples were overlooked or not analyzed in the present paper, which I think further research in the future might provide a better understanding on the topic.

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# Linguistics



# Constraining the Grammar of APs in English and Hungarian: Challenges and Solutions in an LFG-based Computational Project

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## 1 Introduction\*

In this paper, we discuss illustrative parallel English and Hungarian phenomena as they arise as issues in the computational implementation of *adjectival phrases* (henceforth: APs). The research that we report here forms part of the *HunGram Project*, a computational linguistic initiative launched and upheld by the *Lexical-Functional Grammar Research Group* at Department of English Linguistics at the University of Debrecen. The morphology and the syntax of APs in the two languages present some comparable and some unique challenges, and we intend to show here how these challenges can be tackled in the computational linguistic environment that we use in the project.

The structure of the paper is as follows. In Section 2, we provide a brief overview of our own HunGram project and the international grammar development project that we are part of. In Section 3, we discuss some challenges that arise from variation in the morphology of adjectives in English and Hungarian, and in Sections 4 and 5 we elaborate on certain issues in the internal and external syntax of APs. Each section contains a brief roundup of the pertinent solutions that we have worked out for Hungarian, and we compare our approach to what has been developed in the implementation of the English grammar. Section 6 provides a summary of the paper and it sketches the directions for planned future research.

## 2 The HunGram project and its background

### 2.1 The ParGram Project and XLE

The *Parallel Grammar Project* (ParGram) was launched and organized by the Palo Alto Research Center of Xerox. The fundamental aim of the project has been to develop a computational tool for grammar development that allows for a maximally convergent analysis of a multiplicity of languages. The resulting platform is the *Xerox Linguistic Environment* (XLE for short). This initiative has become a truly international enterprise, and various research groups across the world have worked on the development of XLE-based computational grammars for a number of languages,

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including English, German, French, Norwegian, Japanese, Chinese, Urdu, Malagasy, Arabic, Vietnamese, Spanish, Welsh, Indonesian, Turkish, Georgian, and *Hungarian*.<sup>1</sup>

The ParGram project in general, and XLE in particular, capitalizes on the general linguistic and computationally implementable architecture of *Lexical-Functional Grammar* (LFG). LFG is a non-transformational (non-derivational), parallel constraint-based generative framework that was developed in the late 1970s by Joan Bresnan and Ronald Kaplan. Like most generative grammars, LFG is a modular theory of language. The two central syntactic modules of the architecture are *c(onstituent)-structure* and *f(unctional)-structure*. The former models “surface” constituency relations, including precedence and dominance information, and the latter is a level where the grammatically relevant feature content of a construction is represented in the form of an attribute-value matrix (designed to capture invariant properties across languages). We use LFG-based representations in this paper, but we only comment on those aspects of the formalism that are directly relevant to our concerns and which might not be evident for the reader in and of themselves.<sup>2</sup>

The *XLE Web Interface* is a publicly available achievement of the ParGram initiative. It was designed and implemented within the framework of the *INESS project* (Norwegian Infrastructure for the Exploration of Syntax and Semantics), which aims at providing an eScience laboratory for linguistic research.<sup>3</sup> The interface is an XLE-based tool for parsing with LFG grammars, which allows the user to parse sentences of their choice in a range of languages. The result of the parse is a pair of richly annotated c- and f-structures. Since this tool provides easy access to the English XLE-grammar for any user without a license, we employ it for expository purposes to generate the c- and f-structures for the English constructions we discuss below. The English grammar is the most advanced and the best developed of all the available XLE-grammars, and provides efficient and reliable parses.

## 2.2 The HunGram Project

The HunGram Project is the main research and development enterprise of the Lexical-Functional Grammar Research Group at the Department of English Linguistics at the University of Debrecen. This research group was founded at the Department of English Linguistics at the University of Debrecen in July 2008. Its fundamental goal is to provide an appropriate and efficient formal setting for teaching and research activities based on Lexical-Functional Grammar. Its members are interested in both theoretical and (computational) implementational issues, concentrating on two languages in particular: English and Hungarian.<sup>4</sup>

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<sup>1</sup> For more information about the ParGram project, we recommend the reader to consult the following web page: <<http://pagram.b.uib.no/>>.

<sup>2</sup> Bresnan (2001) and Dalrymple (2001) provide comprehensive overviews of LFG.

<sup>3</sup> The XLE Web Interface can be accessed at <<http://iness.uib.no/iness/xle-web>>. See also Rosén et al. for a general description of this project.

<sup>4</sup> Currently, the members of this project are: Tibor Laczkó (project leader), György Rákosi (researcher), Ágoston Tóth (researcher), Éva Kardos (researcher) and Gábor Csernyi (PhD student). Our webpage at <<http://hungram.unideb.hu>> contains an overview of the activities of our research group.

The HunGram Project aims at developing an XLE-based computational grammar of Hungarian. In fact, we have developed two such grammars: a truly deep version that we use for purposes that require more linguistic sophistication (HunGram 1.0), and a less deep (or shallower) version that we use in contexts that require wider coverage with a high level of accuracy (HunGram 2.0). Most importantly, we have used HunGram 2.0 to create a corpus of 1.5 million words of automatically analyzed sentences collected from the Hungarian Webcorpus.<sup>5</sup> The result is the HG-1 Treebank, available for free public access at <http://corpus.hungram.unideb.hu>.<sup>6</sup> The HG-1 Treebank has been designed to be a linguistically reliable representative of contemporary Hungarian, covering both the spoken and the written colloquial varieties of the language. Its search interface allows for lemmatized search and for the specification of a variety of morphosyntactic features functioning as filters.

It is the shallower grammar version (HunGram 2.0) that serves as the framework of the subsequent discussion of the grammar of Hungarian APs. The two grammar versions do not differ radically in terms of how they cover this domain of the language, and some acquaintance with HunGram 2.0 will help the interested reader to find treebank examples of the grammatical phenomena we discuss here in an easy and straightforward way.

In what follows, we briefly overview and compare the XLE-based treatment of three parallel English and Hungarian phenomena that pose challenges in the computational implementation of the grammar of APs. These examples serve to illustrate what features of language may or may not present issues in the implementation, and the concomitant discussion will also introduce us to the basics of our grammar development framework (XLE).

### 3 Degree morphology

#### 3.1 English: variation in comparative and superlative marking

Variation in the morphological coding of grammatical features represents one frequent challenge in computational implementations both on the parsing and on the generation side. One well-known instance of such variation in English concerns the morphosyntactic realization of the comparative and superlative features. A suffix-based, synthetic strategy co-exists with a periphrastic (or analytic) strategy, and the same stem is frequently compatible with both. Consider the following examples:

- |     |    |                                       |           |
|-----|----|---------------------------------------|-----------|
| (1) | a. | <i>She is <b>cleverer</b>.</i>        | [BNC: 74] |
|     | b. | <i>She is <b>more clever</b>.</i>     | [BNC: 21] |
| (2) | a. | <i>She is <b>the cleverest</b>.</i>   | [BNC: 48] |
|     | b. | <i>She is <b>the most clever</b>.</i> | [BNC: 2]  |

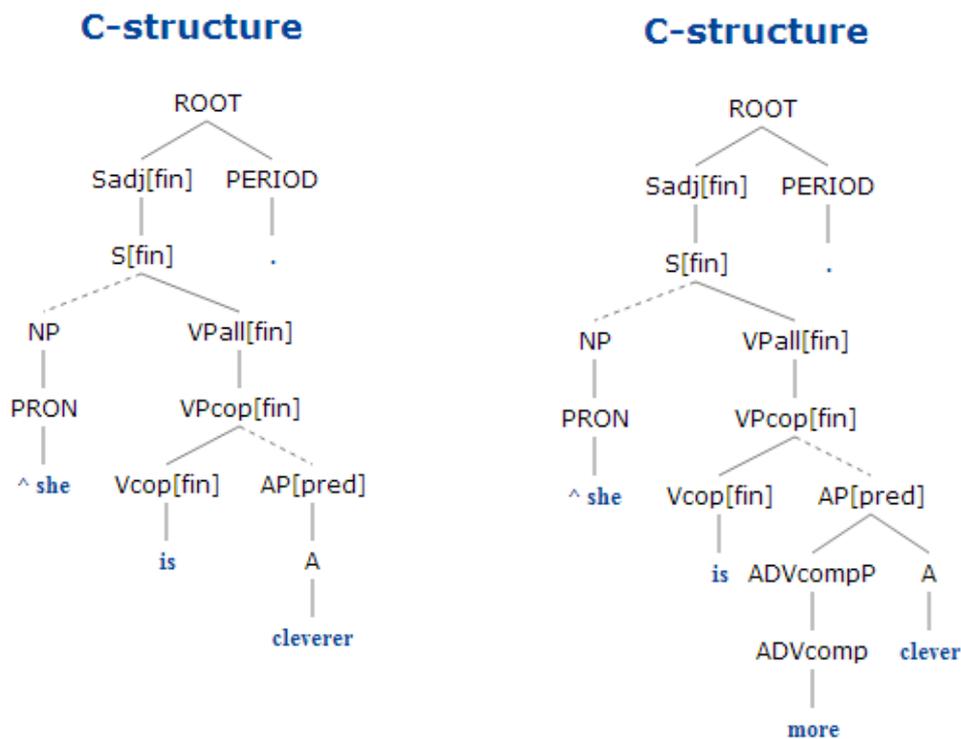
<sup>5</sup> See Kornai et al. for a description of the Hungarian Webcorpus.

<sup>6</sup> Laczkó et al. provide a summary of the most important design features of this treebank.

The numbers added in brackets are the raw frequencies at which the bold-marked form occurs in the *British National Corpus* (BNC, for short: Davies 2004- ). The suffix-based strategy is more frequent in the BNC, but the periphrastic strategy is also non-marginal in the case of the comparative marking of this stem. Any adequate treatment must account for the existence of the (b)-examples whether or not it also captures the frequency difference between the two strategies at the same time.

From a linguistic perspective, this is a case of many-to-one mapping from surface morphosyntactic form and grammatical feature content: the two strategies code exactly the same degree features. The LFG architecture allows for an easy and elegant treatment of such phenomena, inasmuch as surface variation is relegated to c-structure, but the matching pairs of examples are mapped onto the same f-structure.

Consider first the c-structures of (1a) and (1b) in Diagram 1 below.<sup>7</sup>



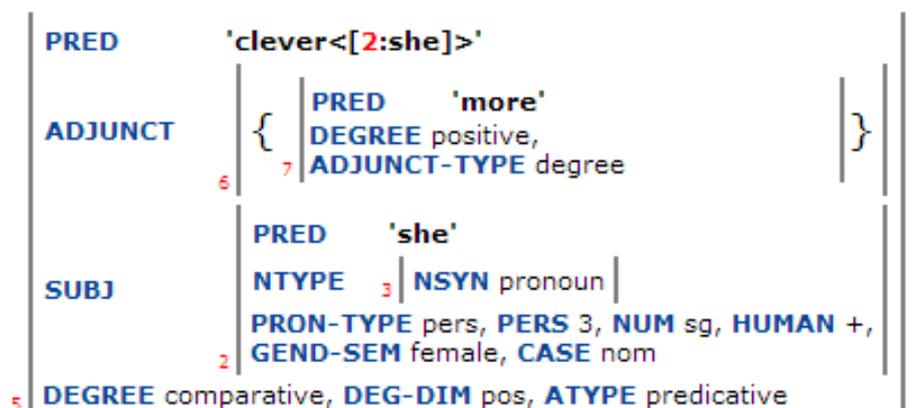
**Diagram 1.** The c-structures of *She is cleverer* and *She is more clever*.

The morphologically complex form *cleverer* is treated as a syntactic atom, a word of category A. This complies with the design principles of LFG, according to which syntax does not decompose morphology (unlike in many contemporary approaches). The English XLE-grammar treats the analytic form *more clever* as a syntactic complex, wherein *more* acts as an adverbial modifier of the ADVcomp sort. This typing allows the grammar writer to constrain the grammar of this special formative to comparative contexts only, and this treatment captures the intuition that *more*

<sup>7</sup> The c-structures and the f-structures included in the paper have been generated with the XLE Web Interface discussed in 2.1.

*clever* is a unit of two independent words (even if *more* as an independent word has a very constrained syntax). Both *cleverer* and *more clever* are predicative APs and thus are expected to show the same syntactic distribution, as is exactly the case.

The two c-structures in Diagram 1 map onto the same f-structure, given in Diagram 2:<sup>8</sup>



**Diagram 2.** The common f-structure of *She is cleverer* and *She is more clever*.

This representation treats the lemma *clever* as a one-place predicate in both examples. It takes a subject argument: the pronoun *she*. The formative *more* is treated as an (adverbial) adjunct of the clause. It itself has a positive degree feature, but it adds a comparative feature to the clause in which the form *more clever* occurs. The developers of the English grammar decided to treat the synthetic form *cleverer* the same way. As Diagram 2 shows, the analytic and the synthetic examples map onto the same type of f-structure. First, this might sound a marked choice in the case of the latter, but note that f-structure is the component for encoding information concerning grammatical feature content, and not for representing constituency information. Thus, the fact that the grammatical content associated ultimately with the suffix *-er* is represented as an adjunct at the level of f-structure makes no claim with respect to how this content is realized in morphosyntax. The ultimate issue here is how to implement the relation between the analytic and the synthetic forms, and the developers of the English grammar decided to bias the (f-structure) solution towards the analytic mode of expression.

What motivates this choice linguistically is the fact that the analytic mode of expressing comparative and superlative degree seems to be the unmarked choice in English, inasmuch as every degree-marked adjectival stem may license this coding in certain contexts or dialects. The suffix-based strategy is not available for stems that do not meet certain morphophonological criteria. However, in the particular case of *clever* that we discuss here, the analytic mode seems to be more frequent according to the BNC data, especially in the superlative. Such frequency differences may be reflected in XLE-based LFG grammars by lexically typing the analytic solution to be

<sup>8</sup> What we quote in Diagram 2 is only a part of the whole of the f-structure of (1a) and (1b). We focus here on what is directly relevant for our concerns.

more optimal. In generation mode, such lexical entries will produce analytic comparative and superlative forms, other things being equal.

### 3.2 Hungarian: complex morphological challenges

Hungarian degree morphology represents a challenge of a different sort. Consider the following paradigm for illustration:

- |     |    |   |                    |
|-----|----|---|--------------------|
| (3) | a. | <i>okos</i><br>clever<br>'clever'                     | <i>positive</i>    |
|     | b. | <i>okos-abb</i><br>clever-comp<br>'cleverer'          | <i>comparative</i> |
|     | c. | <i>leg-okos-abb</i><br>sup-clever-comp<br>'cleverest' | <i>superlative</i> |

Positive degree is unmarked, just like in English (3a). Comparative degree is marked only by a suffix, so there is no competition in Hungarian between an analytic and a synthetic manner of coding. Compare (3b) with (2). The problem case is the superlative form (3c), which includes both a superlative prefix (*leg-*) and the comparative suffix (*-abb*).

This represents a challenge for the parser, since the morphological analyzer component will assign the feature COMPARATIVE DEGREE to both the comparative and the superlative forms. This is so because the morphological component of the grammar is blind to the context in which a particular morpheme occurs.<sup>9</sup> Given this empirical setting, the resolution of the degree feature can proceed along the following algorithm:

- (i) In the presence of the superlative prefix *leg-*, resolve the degree feature of the adjectival head as SUPERLATIVE.
- (ii) In the presence of the comparative suffix *-(a)bb*, resolve the degree feature of the adjectival head as COMPARATIVE unless it is already specified as SUPERLATIVE.
- (iii) In the absence of a particular degree specification, resolve the degree feature of the adjectival head as POSITIVE.

We now turn to a brief description of how we have implemented this in the Hungarian grammar.

<sup>9</sup> See Laczkó et al. for a description of the finite-state morphology that we use in the Hungarian grammar.



## 4 Internal syntax: non-canonical modifiers

### 4.1 The construction

Both in English and Hungarian, a set of colloquial modifiers of nominal origin can modify the adjectival head to express a higher degree of the property denoted by the head. Some English examples are given in (6), and a corresponding Hungarian example is presented in (7):

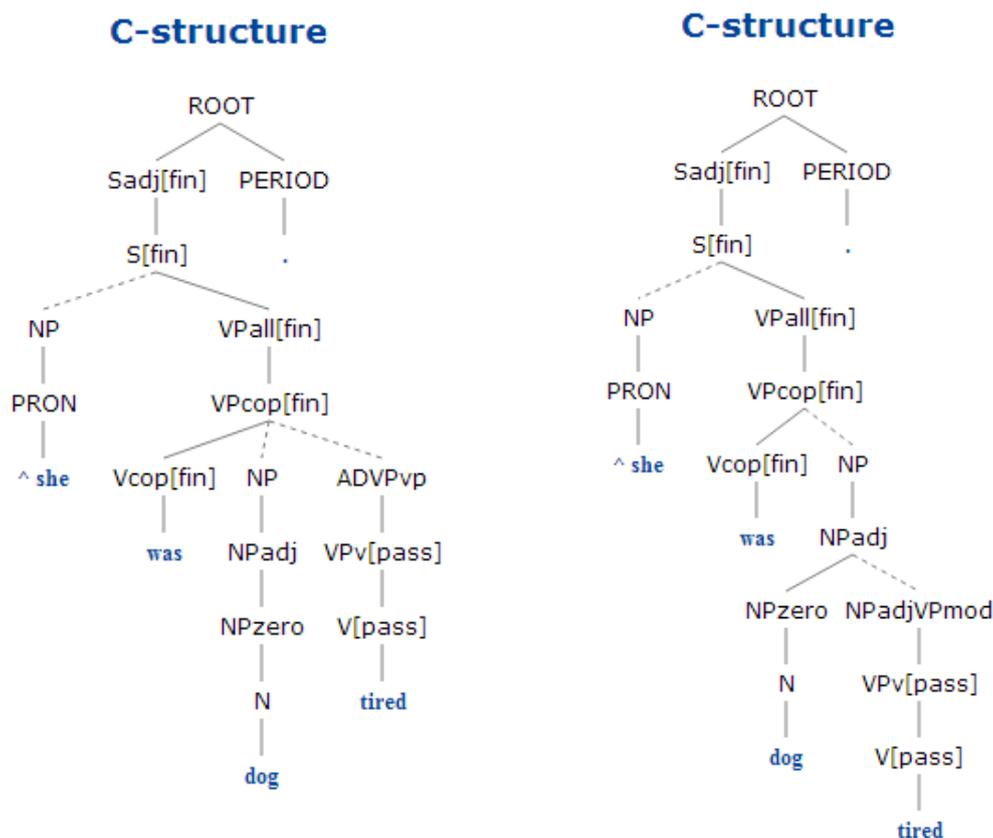
- (6) a. *dog tired*  
b. *bone tired*  
c. *hara-kiri tired*      BNC
- (7) *Kutya fáradt vagyok.*  
dog tired am  
'I am dog tired.'

The challenge these examples present for the parser is that adjectives do not combine productively with nouns, and allowing the syntactic component to license N+A combinations on the fly would result in massive overgeneration. One possible solution could be to treat each such case as an idiosyncratic collocation, and list them one by one in the lexicon. There indeed exist observable collocational restrictions in English, but the construction itself shows some productivity. Example (6c) from the BNC, for example, is unlikely to be listed as a canonical collocation in any lexicon, and there are many examples of this sort in the corpora. Furthermore, the corresponding Hungarian examples are quite productive and are subject to fewer collocational restrictions.

In the forthcoming two subsections, we briefly overview how the two grammars can cope with this construction.

### 4.2 The English grammar

The English grammar produces the following two parses for the sentence *She was dog tired*:



**Diagram 3.** Two c-structures for *She was dog tired*.

It seems that no special allowances have been made for this construction in the English grammar, as the parser tried to combine the nominal modifier and the adjectival head in the syntax – which creates non-trivial results given that nouns do not modify adjectives in English (or in Hungarian). In both trees in Diagram 3, the noun *dog* is treated as the head of a predicative NP (resulting in a barely grammatical construction, given that predicative count nouns require a determiner in English). The word *tired* is treated as a passive participle in both analyses. Accordingly, the c-structure on the left reads as ‘While she was being tired (by someone), she was dog’, and the one on the right means ‘She was dog that is being tired (by someone)’. Neither is a likely reading, and the only acceptable reading, the one in which the noun is a degree modifier of the adjective, is absent.

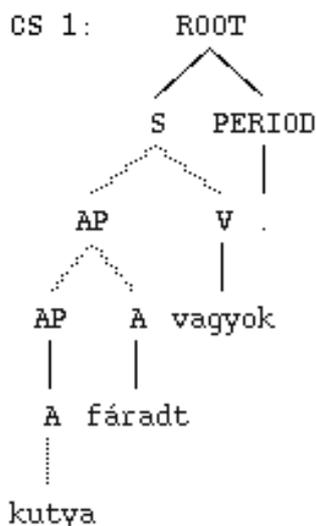
### 4.3 The Hungarian solution

In the implementation of the Hungarian grammar, we have decided to provide a lexicalist account of this construction. The idea is simple: nouns that can modify adjectives have an optional lexical specification which types them to be adjectives of a special sort. The following is the lexical entry for *kutya* ‘dog’:

- (8) kutya N XLE @(NOUN %stem);  
 A XLE @(PRED %stem)  
 (^ ATYPE)= adverbial.

The first line takes care of the nominal use. The second line licenses the alternative analysis of this word as an adjective that is of the adverbial type. The underlying intuition is that this modifier is essentially of the same type as the English *pretty* in *pretty tired*: both modify the adjectival head the same way.<sup>10</sup> Further syntactic constraints take care of licensing such special “nouns” only as premodifiers of adjectives.

The resulting c-structure for (7) is in Diagram 4 below.



**Diagram 4.** The c-structure of example (7)

There is nothing special about this c-structure (or about the corresponding f-structure, which we do not insert here). It is a regular AP that shows an internal complexity that exists independently of the construction under discussion. The only trick that is needed to capture this productive phenomenon of adjectival grammar is to provide the required lexical specification for any noun that can also be used as an adjectival modifier. Given that the list of such items is not infinitely long, this solution requires relatively little amount of time to implement and it will not result in overgeneration.

## 5 External syntax: predicative uses of adjectives

Our final case study concerns the external syntax of predicative APs. How do such APs come to be integrated in clause structure? In particular, what is the syntactic

<sup>10</sup> Notice that in Hungarian certain adjectives can have exactly the same adverbial premodifying function: *szép/jó nagy* ‘pretty/good big’.

relation between the AP and the copula in examples like the English (9) and the Hungarian (10)?

- (9) *John was clever.*
- (10) *János okos volt.*  
 John clever was  
 'John was clever.'

There are some important syntactic differences between the two languages in the syntax of predicative APs. For example, such APs precede the copula in Hungarian (10) and they follow it in English (9) by default. We do not discuss these issues here but focus instead on a more pressing implementational issue: what is the f-structure relation between the copula and the AP? In principle, we do not expect significant differences between the two languages as far as the comparison of (9) and (10) is concerned, but the two grammars have chosen two different paths, both choices being rooted in the history of LFG-specific discussions of these constructions. Now we briefly present the gist of the two approaches.

The intuition behind the English analysis of (9), given in Diagram 5, is that copula constructions can essentially be treated on a par with raising constructions that contain small clause complements. That is, modulo the difference in the choice of the matrix verb, *John is clever* is the same construction as *John seems clever*, and both realize a kind of biclausal structure.

### F-structure

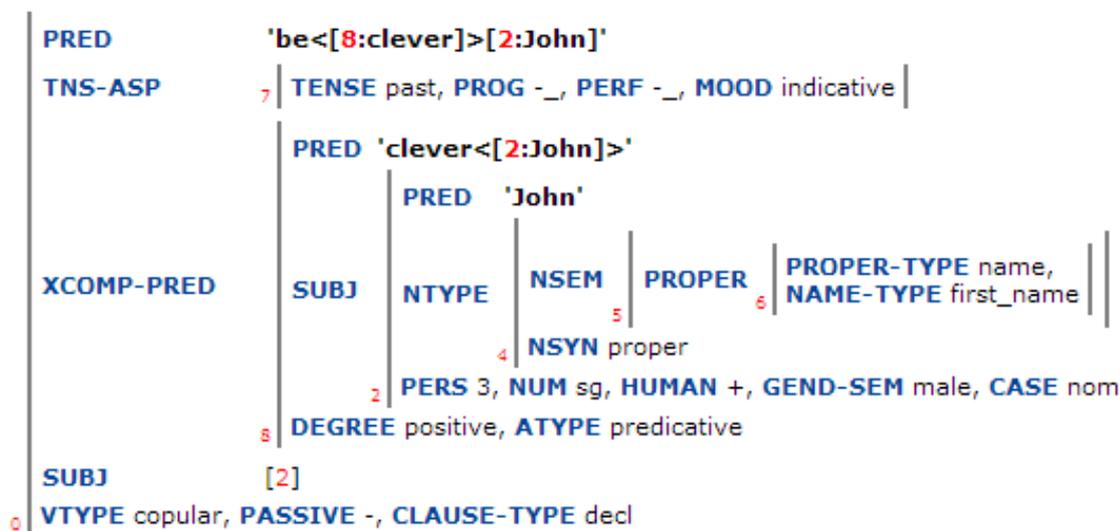


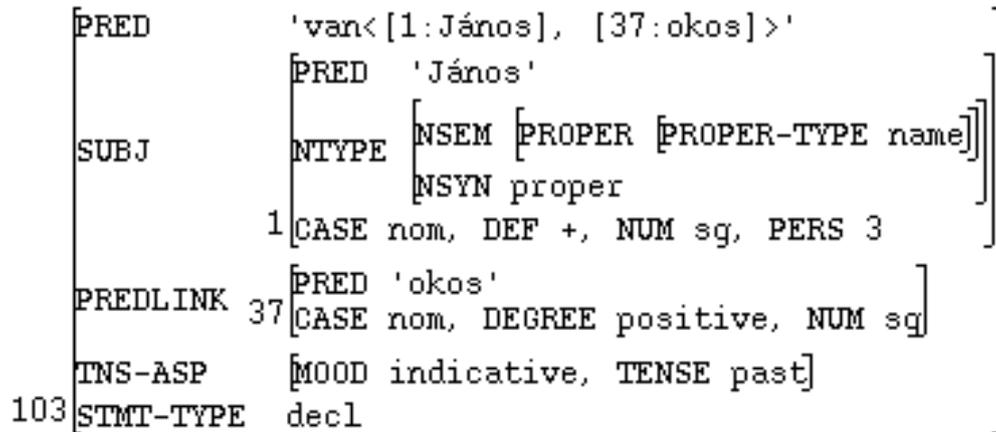
Diagram 5. The f-structure of example (9)

In this analysis, the copula is a two-place predicate. It has one semantic argument (the AP complement), and a syntactic argument (the nominative subject). The predicative AP, in turn, also builds a kind of reduced clausal structure, or an XCOMP in LFG

terms. This predicative AP takes the subject (*John*) as its semantic argument, which is then “raised” into the syntactic subject position in the matrix clause.

In the Hungarian grammar, we have opted for a different analysis, one that rests on the intuition that the construction is monoclausal. In this analysis, the copula is a two-place predicate, and it has two semantic arguments: the nominative subject and the predicative AP. Consider Diagram 10.

"János okos volt."



**Diagram 6.** The f-structure of example (10)

The only extra or non-conventional step that this analysis requires is the postulation of a special syntactic function for predicative APs: we treat them as bearers of the function PREDLINK, see Butt et al. (1999).

For the purposes of automated parsing, the choice between the two analyses does not seem to be important in and of itself. One reason why we decided on the PREDLINK analysis is that it produces a simpler structure where there does not appear a need for a more complex one. That makes the parser more efficient, and it may also render the analysis more digestible for the users.

## 6 Summary

In this paper, we have given an overview of how certain designated issues in the implementation of adjectival phrase grammar are addressed in the international framework provided by the ParGram initiative. We specifically compared the solutions that exist in the English grammar with the ones that we have applied in the development of the Hungarian grammar within the HunGram project. We hope to have been able to show that the linguistic framework of Lexical-Functional Grammar and its computational implementation XLE serve as useful tools in building computational grammars of Hungarian that are directly parallel to English grammars

at the appropriate level but that can also capture the linguistically relevant differences where this is needed.

We have used our grammar to generate a Treebank of 1.5 million words (the HG-1 Treebank). The most important challenge that lies ahead of us is to make this grammar more efficient by increasing its coverage (that is, increasing the level of recall during automated parsing) while maintaining the level of precision that we have managed to reach. This requires more work both in the lexicon and in the syntactic component of our grammar. This case study of AP grammar implementation will hopefully also serve as an illustration of what challenges are waiting for grammar developers in this process.

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# On Proximal and Distal Demonstratives in English and Hungarian<sup>1</sup>

ENIKŐ TÓTH

## 1 Introduction

The aim of this article is to compare the use of demonstrative noun phrases in English and Hungarian. Many linguists claim (see Green) that demonstratives form the core of deictic issues. Deixis is extremely widespread in everyday speech, hence it has been widely studied crosslinguistically. However, it has rarely been explored with the help of experimental and corpus techniques, which may allow us to gain new insights regarding the nature of deixis. This article presents a corpus based quantitative study comparing already existing English and novel Hungarian data on demonstratives.

Derived from the Greek word *deiktikos* ‘pointing/indicating’, deixis “refers to the way in which speakers orientate both themselves and their listeners in relation to the context of conversation. Deixis enables interlocutors to refer to entities in context, thereby allowing them to identify people and things in relation to the space they are operating in at the moment at which they are speaking.” (O’Keeffe et al. 36) Deixis is a language universal, demonstrative noun phrases, such as ‘this/that book’, ‘these/those books’ can be found across all languages. Moreover, deixis is an interesting phenomenon from a cognitive point of view, too, since it provides a direct relationship between language and reality.

Crosslinguistically, there are at least two types of demonstratives, *this*, *these* are called proximals, whereas *that*, *those* are distals. The terms themselves are based on the traditional view of demonstratives, namely, proximals tend to refer to things that are relatively close in space, while distals refer to things that are not so close, depending on the speaker’s point of view (Fillmore; Levinson; O’Keeffe et al.). Taking as a starting point Piwek, Beun and Cremers’ work on Dutch I intend to show that the choice of proximal and distal demonstratives is influenced not only by plus/minus proximity to the speaker, but other cognitive factors, such as ‘accessibility’ and ‘relative importance’ also have to be taken into consideration.

## 2 Different types of demonstratives

In the following sections the term demonstrative will be used to refer to a noun phrase containing a demonstrative (*this/that/these/those* in English, *ez/az/ezek/azok* in Hungarian) functioning either as a determiner in English (e.g. *this book*) and as the

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<sup>1</sup> Special thanks to Anikó Borbély, Hermina Kiss and András Földesi for their help in recording the experiment, and to Péter Pelyvás for his helpful comments.

head of the DP situated in [Spec, DP] in Hungarian (*ez a könyv* ‘this book’) or a pronoun constituting a full NP/DP, respectively (É. Kiss). Demonstratives can be used both deictically and non-deictically.<sup>2</sup> I will classify a given use of a demonstrative as deictic, if the expression in question refers directly to the extra-linguistic context. Demonstratives allow the interlocutors to ‘point’ to something in the extra-linguistic context, thereby enabling them to orientate themselves spatially (O’Keeffe et al.).

The deictic usage of *this* is illustrated by the following example (adopted from O’Keeffe et al.):

- (1) Will I give him this bottle? (O’Keeffe et al. 38)

As O’Keeffe et al. note this utterance is probably accompanied by a pointing gesture, indicating that the speaker is referring to one given bottle (O’Keeffe et al. 38). A relevant Hungarian example is the following, taken from the corpus of the task-oriented dialogues (“→” indicates a pointing gesture). (2) illustrates a deictic use of *az* ‘that’:

- (2) Instructor:  
 Az-t a kék-et (→) leveszed, majd kelleni fog.  
 that-ACC the blue-ACC PV.take later need will  
 ‘Take that blue one, you’ll need it later.’

The non-deictic use of *this* below is classified as non-deictic, since it is part of a fixed phrase, a vague category marker, meaning various, unspecified or trivial matters:

- (3) I mean the post office is one of our meeting places where the people would go along and inquire about this and that or another thing. (O’Keeffe et al. 38)

Non-deictic usage of *ez* ‘this’ is illustrated by (4), also taken from the corpus:

- (4) Builder: Várjál, ez-t most nem vágom.  
 wait this-ACC now not get  
 ‘Wait a minute, I don’t get it.’

Within deictic cases, a further distinction can be made between indexical or gestural uses and non-indexical or symbolic ones (see Levinson; Piwek et al.; O’Keeffe et al.). Indexical demonstratives are those that are accompanied by a pointing gesture, while non-indexical demonstratives are not. According to Lyons the genuine case of deixis is when the deictic term is accompanied by some sort of extra-linguistic gesture (Lyons). Hence, indexical demonstratives may be treated as prototypical cases of demonstratives, and accordingly, indexicals are in the scope of the following analysis. Please note that the same expression can be used both deictically and non-deictically,

2 Non-deictic uses include endophoric, anaphoric and cataphoric cases.

and non-indexical deictic uses also exist, when the speaker and the addressee understand each other without explicit pointing.

In order to examine the use of indexical demonstratives in Hungarian, taking as a starting point Piwek et al.'s work on Dutch, I designed an experiment. The findings of this experiment will be compared to existing quantitative analyses of the use of demonstratives in English.

### 3 The experiment

#### 3.1 Hypothesis

As it was mentioned earlier, traditional studies of deixis often classify deictic expressions in terms of relative distance from the speaker. The idea that deictic expressions encode basic semantic notions of relative distance has been challenged by various authors (see Enfield; Sidnell). The starting point of the present analysis was the assumption that other cognitive factors<sup>3</sup> also play an essential role in the choice of indexical demonstratives. Following Piwek et al.'s work on Dutch, I examined two such factors, namely, accessibility and relative importance. Accessibility has been analysed by a number of authors (see Gundel et al.; Strauss; Ariel). For instance, Ariel describes accessibility in terms of topicality, distance and competition. She notes that „mental entities corresponding to discourse topics are highly accessible. So are representations of entities recently mentioned (short distance) and ones that have no competing candidates. Entities that are not topical, that were mentioned a while ago, and that have to compete with other candidates ... are entertained at a lower degree of accessibility.” (Ariel 100) Unfortunately, as Kahneman notes, there is no unique theoretical account of accessibility. Thus, relying both on Ariel's and Strauss's work, accessibility as a working notion will be defined as follows:

- an entity is associated with *low accessibility* if, according to the speaker's assessment, the addressee is invited to consider it to be new, unexpected or important, i.e. an effort is required on the part of the addressee to identify the referent;
- an entity is associated with *high accessibility* if it is already known to the addressee, i.e. no effort is necessary on the part of the addressee.

With regard to importance, it also lacks a general theory. However, it can be argued that importance is goal-dependent, i.e. „a fact, object, or event is important for an agent, if it is perceived to be relevant by the agent for the attainment of her or his goals/desires” (Piwek et al. 703). Hence, in the experiment an entity was labelled as follows:

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3 Other cognitive factors may also have an effect on the choice of demonstratives, for instance, Gundel et al. differentiates six factors that are relevant to the form of referring expressions. Taking into consideration other possible factors is left for future research.

- an entity is *important* at time *t* if the instructor tells the builder to manipulate it at *t*, all other entities at *t* are labelled as not important.

Relying on the factors defined above, the following hypotheses were to be tested (Piwek et al.):

*Hypothesis 1*

Indexical proximal demonstratives are selected by speakers to refer to entities that are associated with low accessibility, while distal demonstratives are selected to refer to entities associated with high accessibility.

*Hypothesis 2*

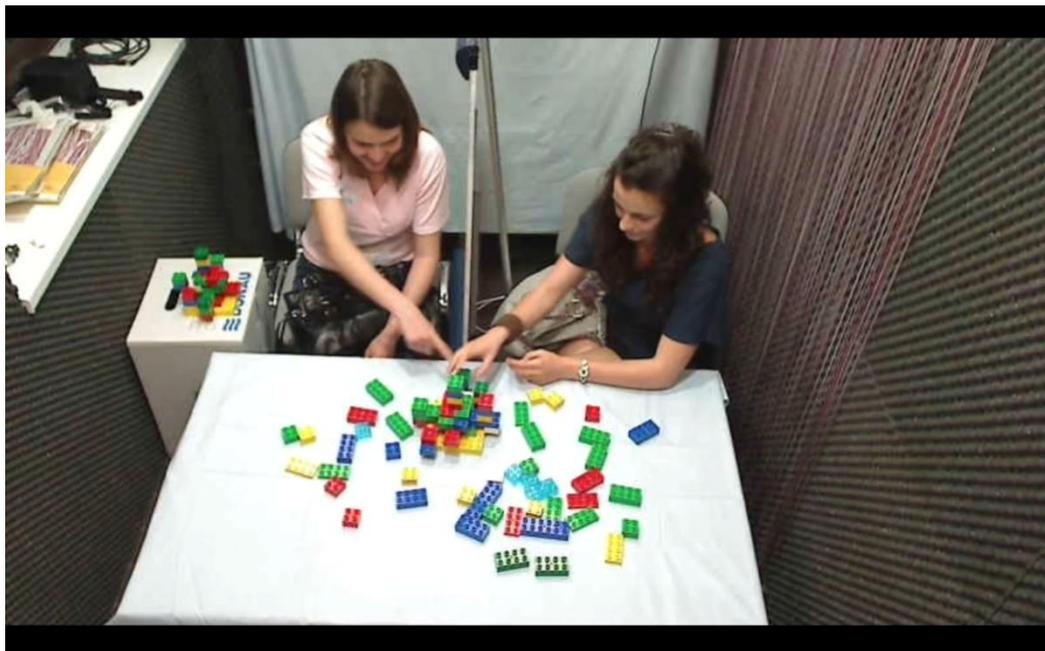
Indexical proximal demonstratives are selected by speakers to refer to entities that are important from the speaker's perspective, while indexical distal demonstratives are preferred by speakers to refer to entities that are not important.

In order to examine these hypotheses I carried out an experiment.

### **3.2 Materials and methods**

There were 10 pairs participating in the experiment, all native speakers of Hungarian, their average age was 20,5. The subjects were randomly selected; there were 11 male and 9 female subjects. The participants were asked to engage in a so called controlled dialogue game (see Piwek et al.), where they worked with LEGO blocks of the DUPLO series. Participants were asked to rebuild a construction, one of them acted as instructor, the other as builder. The instructor had visual access to an example building, and with his help the builder had to rebuild a construction that was visible to both (see Figure 1). Their common goal was to set up a building that is identical to the example. The dialogue games were recorded on video and subsequently transcribed.

Figure 1: The experimental layout



### 3.3 Results

In the dialogues obtained there were 727 demonstrative expressions, out of these 566 were deictically used. Deictic terms were further divided into indexicals (456 instances) and non-indexicals (110 instances). Their distribution over proximals and distals is represented in table 1.

Indexicals				Non-indexicals	
456				110	
Proximals		Distals		Proximals	Distals
350		106		26	84
HA	LA	HA	LA		
175	175	46	60		
+IMP	-IMP	+IMP	-IMP		
89	261	56	50		

Table 1: Distribution of Hungarian deictic demonstratives

The distribution of indexical proximals and indexical distals over high and low accessibility (HA and LA) and over importance (+IMP, -IMP) is also represented in table 1. The data were analysed computing chi-square statistics. Regarding

accessibility, there is no significant difference between high or low accessibility and the choice of demonstratives (proximal vs. distal), hence the first hypothesis is refuted. Turning to importance, there is a significant difference, however, not in the expected way, i.e. indexical proximals are associated with negative importance, see figure 2. ( $\chi^2(1) = 28,168, p < 0,001$ )

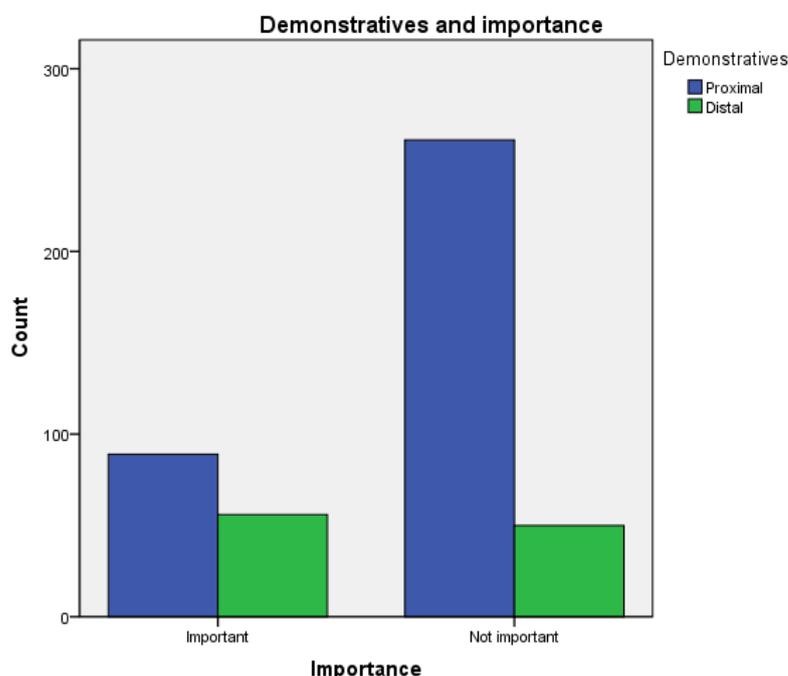


Figure 2: Distribution of indexical demonstratives over importance in Hungarian

### 3.4 English data

The choice of English indexical demonstratives will be analysed along the same lines, however, the data come from an experiment carried out by Luz and Van der Sluis. They used a different experimental design, a data elicitation study, where subjects were given a furniture shop scenario and a scripted dialogue between the seller and a buyer. Participants had to choose among given demonstrative phrases. In all cases use of a pointing gesture was assumed on the part of the agent, i.e. their experiment also focused on indexicals. I believe that in such experiments participants' behaviour may be too reflective, therefore the obtained results may slightly differ from those gained from spontaneous discourse. However, Luz and Van der Sluis' experiment also relied on the notion of accessibility, thus we can compare their findings with the results above, i.e. Hypothesis 1 can be tested with respect to English. Unfortunately, there is no data available concerning importance. 91 adult native speakers of English participated in the experiment (60% male, 40% female). Luz and Van der Sluis examined five contexts, three out of these contained referents with high accessibility. The results are shown in table 2.

Contexts	Distals	Proximals
1 (HA)	39	24
2 (LA)	11	47
3 (HA)	8	10
4 (LA)	55	25
5 (HA)	21	43

Table 2: Distribution of English indexical demonstratives (Luz and Van der Sluis 184)

Using the chi-square test again to analyse the data above,<sup>4</sup> it is shown that there is no significant difference between high or low accessibility and the choice of demonstratives (proximal vs. distal), hence, Hypothesis 1 is rejected with respect to English, too.

#### 4 Discussion

Based on the results of the experiments above it seems to be the case that, contrary to expectation, the choice of proximals versus distals is not dependent upon the accessibility of the referent neither in Hungarian nor in English. Turning to Hypothesis 2, importance seems to be a relevant factor, however, further investigation is required relying on a more general definition of importance. The definition used above might be too task specific. To sum it up, experimental data can help to differentiate and specify the exact factors influencing the use of deictic terms. In relevant literature one can find controversial data about the role of the traditional ‘near/far’ hypothesis. The controlled dialogue game described above is not really suitable to test the traditional view, since all objects were relatively close, at arm’s distance, to the instructor and to the builder. Nevertheless, both proximal and distal indexicals were selected, which indicates that other factors must play a role besides (or instead of) proximity and relative distance from the speaker.

Finally, I intend to point out an interesting parallel between Hungarian and English. The discussion so far has been restricted to indexical demonstratives. However, when focussing on deictic terms in general, a remarkable relationship between proximals and pointing gestures might be worth mentioning. Carrying out the same quantitative test for the relevant Hungarian data, we find that there is a significant relationship between proximals and pointing/indexicality, while distals may also be used non-indexically, see figure 3. ( $\chi^2(1) = 112,129$ ,  $p < 0,001$ ).

<sup>4</sup> Luz and Van der Sluis analysed the data case by case, I first summarized the data. Both methods yield the same result, i.e., rejection of the hypothesis.

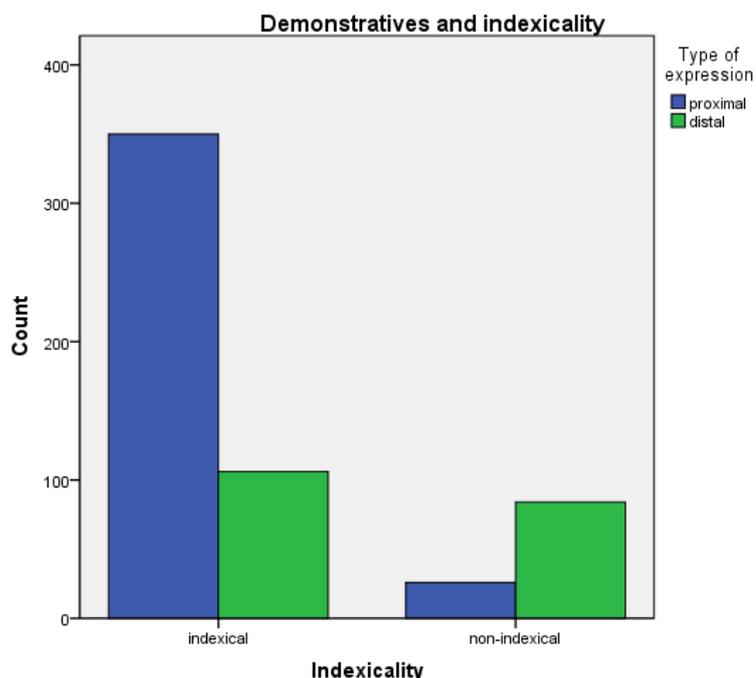


Figure 3: Distribution of demonstratives over indexicality in Hungarian

Piwek et al. argue that the same findings hold for Gundel et al.'s English data (Piwek et al. 713). Gundel et al. examined various spontaneous data (casual conversations, TV talk shows and novels) and found that distal demonstratives tended to refer to activated rather than familiar referents, while all but one proximal demonstratives referred to activated referents. According to Piwek et al., Gundel et al. used pointing as a marker of higher cognitive status (i.e. activated), hence, his findings also strengthen the claim that in English proximals tend to be indexical, i.e. they are accompanied by a pointing gesture, whereas distals can also be non-indexical (Piwek et al. 713). Thus, this pattern holds not only in Hungarian, but in English, too.

## 5 Conclusion

In this paper the results of two experiments were presented and compared concerning the use of deictic demonstratives in Hungarian and English. Experimental data seems to be helpful in differentiating and specifying the factors influencing the choice of deictic demonstratives in various languages and it is clear that experimental studies make a valuable contribution to current international research on demonstratives. However, further experiments are called for, so far only the tip of the iceberg has been scratched.

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## *The Urban Dictionary:* Collective “meaning-making” meets bad dictionary making

PÉTER A. LÁZÁR

This paper is about the *Urban Dictionary* (UD), supposedly an online *slang* dictionary, a *bottom-up* attempt at meaning-making. I will claim and argue that it is so unorthodox as far as dictionaries go that it is best seen as something else—not necessarily inferior to, but certainly not on a par with, a dictionary.

This claim is guaranteed to incur the anger of those who think that dictionary making should be some kind of “*democratic*”, bottom-up, user-generated—as opposed to professional (probably “undemocratic”)—activity. This paper (i) illustrates, very briefly, the joys of the UD for users at large, and its potential use to professionals; (ii) argues that the standard slogans of collaborative, bottom-up meaning-making (whatever it means) mean little, and are probably just exercises in lip service to some imagined democratic ideal. *Professional* as opposed to user-generated should not be a taboo word. The UD convincingly shows that the products of this kind of *pluralistic* authorship, while they may make fun reading and even prove valuable sources to experts, are simply not worthy of the dictionary name. To be sure, the UD may be commended as a joyful toy for the native speaker or as a useful tool for language professionals, even if it does not merit the *dictionary* label.

### 1 Slang?

The UD, an online dictionary (OD) with almost 7mn entries is hailed as a new kind of dictionary that can be updated every day, has no *size limits*, and is *user-driven*. The era of the trusted paper dictionary is supposedly over: for the tracking of dynamic changes in languages, it is way too slow. Cyberspace offers this speed *free* of charge, and the UD is seen as pioneering this trend.

There is no consensus on what exactly the good news is that the UD brings: the more sanguine critics of traditional lexicography *politicize* the issue claiming that it is not democratic enough; more moderate analysts just note the technological aspect the online mode offers. So, what does the UD actually deliver?

Lew’s discussion of the UD in his analysis of English online dictionaries does not mention slang. It offers a slang example,<sup>1</sup> **bootyism**, but considers the UD as a *general* dictionary, along with *Wiktionary* (<<http://www.wiktionary.org>>) and *Wordnik* (<<https://www.wordnik.com>>).

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<sup>1</sup> The more bulky examples have been placed in a separate *Illustrative Materials* section at the end.

## 2 Online dictionaries

When it comes to speed of updating, OD's are usually obviously far superior. If one wants newly minted words, colloquialisms, or any item that will not likely be in paper dictionaries yet, they are the repositories to turn to. The question is whether OD's have features that detract from their merits. (In the case of user-controlled ones like the UD, whether the drawbacks far outweigh the advantages).

The two OD's most similar to the UD are *Wordnik* and *Wiktionary*. *Wordnik*, however, adds a professional "core" to the user-generated, collaborative content, and does not encourage unbounded user participation. *Wiktionary*, by contrast, has been found to contain items with radically different treatments, to lack internal consistency, and to contradict the *Wiktionary* guidelines (Fuertes-Olivera 107–130). It turns out that these are even more relevant in the case of the UD.

The UD welcomes one with an interface boasting so many features that it is strikingly *more* than a dictionary: it is complemented by a host of features that come with a typical dictionary site. That it is *less* than a dictionary will not become apparent for a while, and it may never become obvious to a lay person, but if/when it does, it does with a vengeance.

## 3 The UD classified as a dictionary

For this, a classification of print dictionaries (Landau 7–42) will be used as a starting point<sup>2</sup>: (a)–(j) below. These will later be complemented by those of Lew for OD's: (k)–(m).

The UD, accordingly, is (a) monolingual (b) world English (c) native speaker (d) alphabetical (e) semasiological (f) adults' (g) synchronic (h) unabridged (i) non-special-field (j) non-special-purpose. The UD is a new and relatively untried lexicographic venture, itself in constant change, for the recording and storing of a moving target, slang or some otherwise unconventional English.

## 4 Product to service

Information experts have long been prophesying what is seen as a transition of the dictionary from product to service (Adams 9, quoting Dodd 87). Users indeed seem to have a new notion of the dictionary, expecting to "participate in the public construction of knowledge, contributing . . . content whenever they feel competent to do so". Writing about user-involvement dictionaries, Lew puts this as follows: "In the democratic world of the internet, users can play lexicographer as well and create their own online dictionaries". In Coleman's tongue-in-cheek wording: "A wide range of online slang dictionaries testify to the perennial faith that anyone who uses slang is qualified to document it" (Coleman 335). According to Lew, with the advent of OD's, new criteria must be added to the existing ones for classification. Three of these

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<sup>2</sup> Just the starting point, because Landau's framework is both too restrictive and too detailed to be used in its entirety.

criteria for online works, which have not been inherited from the *treebook*, are as follows:

(k) *institutional vs collective*<sup>3</sup>:

collective or “bottom-up” involves collaborative efforts by non-professionals. That “collective” may exclude the maintainers of a dictionary, or indeed there may exist no such professional editor-maintainers.

(l) *free vs paid*:

pay-per-view modes, or subscription-based access are obvious types; when a service is sold to schools/libraries, it is not the end user who bears the costs.

(m) *one standalone dictionary vs. a set of dictionaries* from a single landing page.<sup>4</sup>

Summing up: the UD is a (k) collective, (l) totally free, (m) standalone dictionary.

## 5 Promotion for the UD

### 5.1 Wikipedia

*Wikipedia* is neutral and balanced, but projects, on the whole, a positive image of the UD. As of April 2009, an average of 2,000 definitions<sup>5</sup> were submitted daily. The site receives about 15 million unique visitors per month (in 2013). Its entries are those of slang or ethnic culture words, phrases, and phenomena *not found in standard dictionaries*. Most have multiple definitions, usage examples, and tags. Visitors to the UD submit definitions without registering, but must provide valid email addresses. To be included, all new definitions must be approved by editors, who are volunteers, and follow guidelines. Editors *vote in* or reject new items. There may be hundreds of conflicting entries for one and same word. Definitions already in the UD may be voted thumbs up/down (but not *out*) by any visitor. A definition may be removed by editors if it is against the Guidelines (which it does have), but those that have proven popular by voting cannot be removed.

Note that *editor* here does not signify a professional, so their existence does not suggest a mixed, half-professional-half-amateur staff.

- Guideline No2 warns to reject racist and sexist (and presumably otherwise offensive) entries, but does not discourage racial and sexual slurs. I have no idea how this distinction makes sense. Illustrative Materials **A (Negro)**, **B (squirrel)** and **C (holy shit)**, **D (bent wrist)** and **H (red stater)** suffice to

<sup>3</sup> This is a simplification, for predictably, there are in-between cases: the institutional vs collective distinction is blurred, as the example of Wordnik above shows.

<sup>4</sup> Lew mentions two other arrangements: dictionary *portals* with mere hyperlinks to multiple dictionaries, and dictionary *aggregators*, which “past[e] together the content of various dictionaries and serv[e] them on a single page” (Lew 2).

<sup>5</sup> Because of the confusion between ‘definition’ and ‘entry’, it is not obvious what is involved here. What is submitted, and what gets voted down/up or deleted: whole entries or indeed just some of the definitions therein? The UD numbers given clearly do not indicate *definitions* but *entries*—one entry typically contains several definitions.

show whether the UD observes this.

- Guideline No5 says not to reject non-slang words (taking granted users' ability to demarcate slang from non-slang); it warns that "[s]wearing, misspelling, or presence of words in an ordinary dictionary are not reasons for rejection". We do not have to separately illustrate misspellings and/or typos because the UD is awash with them: this can also be observed in the Illustrative Materials.
- Guideline No8 has this: "Reject nonsense. Be consistent on duplicates, reject nonsensical, circular, unspecific entries", and this advice is offered in the similar
- Guideline No10: "Publish if the definition appears to be plausible". Now these two—No8 and No10—are pretty general, and **B (squirrel)**, **C (holy shit)**, **D (bent wrist)**, **E (gay)**, **F (Budapest cookie)**, all the five "definitions" in **G (Budapest)**, some of **H (red stater)**, and last but not least **I (slang)** offer a taste of how badly indeed the UD fares in this area. These "definitions" are a long cry from the helpful, comprehensible, *explanatory* definitions that one expects from a dictionary.
- There is no guideline against theft and plagiarism. One reason why there may be so many conflicting definitions is that many come from different dictionaries (most online, some "traditional"), with no indication of the source. Those definitions that are popular by voting simply cannot be removed. This way there really could not be a ruling against plagiarism: if theft is actually endorsed by popular vote, no steps can be taken to stop it.

The UD has three entries for **garbivore**, the first of which runs as follows:

A fourth classification of animal in the food chain behind Carnivore, Herbivore and Omnivore that eats only garbage.

*Every time I put my garbage outside in the garbage can, my dog knocks the can over to eat the garbage inside. I never see him eat anything but the garbage, he must be a Garbivore.*

Seeing this careful wording in standard English, one suspects that it does not come from an average teenage contributor. The word and its definition appear on many sites (Google has 2,480 hits), and there is no easy telling which of these has priority, and which are the pirated ones.

Contrary to what the descriptions suggest, the thumbs up/down arrangement does not guarantee adequate definitions; neither, apparently, the observing of the Guidelines. In **IM/A**, where the Thumb Ups dominate with a small margin, this just suggests prejudice. In **IM/B**, which is offensive enough, **squirrel** is claimed to be a "code word", and **bent wrist syndrome** is used in the "definition". This has pretty little value because this expression is not featured even in the UD, and **bent wrist** features with a single example, in a grammatically unreliable entry.

Incorrect spelling, typos and all kinds of mistake, incidentally, characterize the majority of entries. The blasphemous and silly **IM/C** appears to be greatly liked (presumably for 1. not 2. since there is nothing special about 2.), and is supposed to have two meanings (definitions?), which it clearly does not have. **IM/E** is certain to

baffle the reader, and surely is unhelpful. Why Latin America? At this point, one hastens to add—lest one seems stick-in-the mud red pen police<sup>6</sup>—that **Holy shit**, along with all sorts of taboo expressions as well as ethnic and racial slurs, surely ought to be included in the (appropriate kind of) dictionaries, with their appropriate labelling or with a translation equivalent which makes its style obvious.

Wikipedia commends the UD's bonus services such as the Forum feature, where "registered members can discuss enhancements or problems . . . , and vote for changes to be made. Forums are places for lively discussion. Recent subject include:

*Allow users to upload sounds and images . . . Get rid of stupid definitions from being first on lists (sic) [...] and Allow editors to delete more than 5 bad definitions per day*".

I am not sure about images and sounds. The proposal, however, that something should be done about stupid and bad definitions (or entries?) is good news to the worried professional. If it is a typical remark: users apparently bemoan the lack of quality control.

## 5.2 Online media: DIY spells RIP for OED?

### 5.2.1 *The Guardian*

Davis<sup>7</sup> says that the UD is a "rambling free-for-all largely compiled by teenagers making stuff up". He argues that traditional dictionaries struggle because of the technological challenge. Davis quotes lexicographer Jonathon Green, who not only explains why the OED must be more careful—"The OED deals with hard evidence. With slang there's a strong element of ephemera"—but he also makes no bones about the UD being highly problematic: "It's amateur hour. They set themselves up as an authority and I don't believe they are. There aren't 2,000 new slang words a day [...]. It undermines the whole point of a dictionary."

Despite Green's warning, users share this view: "Who needs Encyclopedia Britannica or the OED, when we have Wikipedia, Spellcheck, and the UD?" (a comment after Davis). This question confuses dictionary and encyclopaedia, and it also fails to see the distinction between *online* and *open-source*. The UD has a fair number of *encyclopedic* entries (quite decent ones among them). It has individuals' names, which goes against some of the Guidelines. No1 allows celebrity names, but bans friends' names. "Definitions of first names are acceptable. Names of bands and schools should be published only if they are popular". Guideline No4 has this: "Publish place names, nicknames and area codes of geographic entities". **IM/G** in the Illustrative Materials displays the item **Budapest Cookie**, which, although it has just one thumb down (and so ought to have been removed), has been on the UD for

<sup>6</sup> **Red Pen Police** means 'people who preoccupy themselves with correcting the spelling and grammar of others—normally out of some self-esteem issue or desire to prove some value from their otherwise useless thirty-grand education.' Yes, one can learn a lot from UD.

<sup>7</sup> *Online media: DIY spells RIP for OED?* Quoted by Davis without the source.

months. **Budapest** itself has 6 entries: #6 (with 45 thumbs ups, 180 down)—for the greater glory of democratic lexicography—is as follows:

“To be budapest is to be extremely hungry, afterall [sic] Budapest is the calpital [sic] of Hungary!”  
*I'm so f\*\*\*ing hungy [sic] I'm Budapest!*

In Davis, the UD's founder Aaron Peckham reminisces about how it all began, making valuable comments on what he sees as the site's merits. Comments will be made on his claims one by one. Peckham and friends talked about

“how different our language was, depending on what part of the country we were from, and how there wasn't a dictionary that captured those differences”.

There *were* such dictionaries, and they would not have been hard to find. They treat the lexicon, pronunciation, even grammar. The UD, which was initiated by someone with no knowledge of such work, offers none of those. Note that contributors' pronunciation, age and location would indeed be *very useful* in an otherwise genuine dictionary. If it used a consistent system of date and region tags, the UD could be a more reliable repository for unconventional English.

Peckham also informs us that

“The Urban Dictionary is completely subjective. It's not presented as fact, [but] as opinions. I think that can be a lot more valuable.”

How the requirement of capturing dialectal differences may be met subjectively, as opinions, is not clear to me. Also, that

“There is little intellectual rigour about the Urban Dictionary; it is often coarse, profane and offensive, and it goes unchecked for accuracy, even spelling—which for a dictionary must be a first.”

It is quite unfair, of course, to contrast intellectual rigour to coarseness, profanity, and offensiveness: these can all be handled with huge amounts of intellectual rigour. The UD may be just what one commenter thinks:

“[...] Wik and U Dic are nothing more than scribble pads for the general population of capricious speakers of amusing but stupid fashionable lingo who want to be cool”.

Fortunately, this commenter also belongs to *the people*—otherwise even quoting them might make one seem a retrograde purist.

### 5.2.2 *New Scientist*

Giles argues that “word nerd sites help the dictionary pros”, and discusses the UD as a great resource for professional lexicographers. This sounds a rather unexpected claim to me, given that at the UD

“[a]nyone can submit a word [...], and as its editors do not verify new entries there’s no way of knowing whether a term that appears in [it] is used by anyone other than the person who sent it in”.

Giles says if you want to check up on claims about a new word, the UD is a first port of call. This seems to be true: it indeed has one overwhelming strength, the sheer volume of its material—even if the proportion of idiolectal one-offs, nonce-words, hapaxes, etc., will never be known. The UD provides up-to-the-minute updates and includes lexicon that traditional dictionaries miss.

The UD does not, however, question the future of traditional, professionally edited dictionaries, for language at large moves much more slowly. The value of huge amateur listings is the possibilities they add to word hunting. Grant Barrett writes on his blog that “no savvy lexicographer ignores the UD”. A first port-of-call the UD surely may be—but certainly no one-stop.

### 5.2.3 *Damaso and Cotter*

Damaso and Cotter also contrast traditional lexicography, where editors have control over selection, meaning and illustration, with an emergent type of lexicography, born of the collaboration of untrained users. In the UD, authoritative editors get replaced by a large-scale usage panel. The UD is supposed to capture ephemeral spoken language, and represent popular and *divergent* (as opposed to authorized and *uniform*) views of meaning. The UD has the express aim of “challenging the authority paradigm of lexicographic tradition”. To which the serious user can only say: uniformity and lexicographic tradition have, alas, been beaten with major success: spellings are variant and inconsistent, as are punctuation conventions. The definitions follow no formatting or content-related guidelines. The examples often do not even use the headword.

It is openly acknowledged that the UD entries are often used as an instrument of competition or intimidation. “Battles erupt, manifested whenever a UD user fights another for meaning-making rights.” Users rank the existing ones with Thumbs Up/Down, and post their own definitions (Damaso and Cotter 24). UD entries use bullying and name calling, or flaming. There are “trouble-seeking trolls”, i.e. “self-appointed online saboteurs” (Damaso and Cotter 25). Even more tellingly, they quote the UD (24), where it is admitted that it is a “convenient tactic often employed by debaters on the high school circuit to put a definition that they want on the site so that they may quote it in round”.

These, and many similar problems do not discourage users, or, more likely,

they are not aware of them. The following entry was not simply added by a troll. It is a bona fide contribution, relatively popular, by someone not ignorant of German accent, so probably deemed to be entitled to *meaning-making*—but completely unfamiliar with *dictionary-making*. It has **liederhosen** for **lederhosen**, which would indeed be ‘song trousers’. The example offered is obviously not authentic.

#13 out of 45 entries for **moof** (15 up, 40 down)

A German with bad english attempting the word: move.

*Moof your goddamn liederhosen (song trousers) off ze stuhl (chair)!*

It is paradoxical that ordinary people should turn to the UD if they know that it is exactly as described above: *conflicting* definitions; *fights* over “meaning-making rights”; *made-up* definitions and examples *alleged to be genuine*; entries *never removed* even if they have a majority Thumbs Down vote; obvious *fakes*; spellings which make words *unrecognizable*, so their existence is impossible to verify, etc.

Damaso and Cotter (20) stress the following novelties of the UD. It places an (i) emphasis on democracy and equal access to meaning-making. They claim that by relying on users to select and define words for a dictionary, it (ii) equalizes access to, and formulation of, the lexicon. The UD is said to (iii) authorize usage, (iv) store vocabulary, (v) improve communication, (vi) strengthen the language. Also, it (vii) affords metalinguistic reflections on it. While (iv) can hardly be denied (being so trivial), (v) is hard to take seriously, and (vi) does not seem to me to make much sense, the issues involved in (i), (ii), (iii) and (vii) may be worth looking into.

## 6 Democratization?

The following is a wonderful illustration of how badly amiss something may be with the interpretation of *democracy*. One wonders how meaningful discussions of “bottom-up lexicography” are possible on such premises.

“Wiktionary offers very simple grammatical data, comprehensible for most users in accordance with its *democratic* nature.” (Fuertes-Olivera 120)

By that logic, democratically conceived medical textbooks contain just the outwardly visible parts of the human body, and teach you some *folk notions* of the parts of the body. A *democratic* maths book presumably only treats ordinary whole numbers, omitting even the zero.

The UD is often acclaimed as a *democratic* dictionary, by two authors in particular: Kirchner 2009 and Smith 2011. They claim that the UD challenges *dominant ideologies*. There are supposedly people who wield, while others contest, definitions—in the service of power relations. Kirchner contends that “classificatory decisions range from the threshold question of which words or phrases should be included at all”. Smith also treats this issue of “word or not word”: she presents the

case of **meep**, which was actually banned from several US schools. Surely a stupid move. But does it have to do with lexicography? A student thought it unfair to “ban a word that’s not even a real word”, and another thought that **meep** “doesn’t mean anything in particular” (Smith 43). Smith claims that dictionaries draw lines between acceptable words and those that “aren’t even real”. According to Smith’s bloated wording

the case of **meep** illustrat[es] the evolving processes that lie behind verbal signification and its presupposed boundary between language and non-language, between sense and nonsense.

[...] the internet has provided users with a new domain in which to challenge such language hierarchies. [...] young people are using the internet to seize the rights to lexicographic meaning-making and redefine the process of definition (Smith 44).

No matter how hard Kirchner and Smith try to make *traditional* dictionary appear a swearword, no “traditional” dictionary embraces language ideologies that license “some linguistic forms as meaningful, while denouncing others as nonsense” (Smith 47).

“Word or no word?” “Already lexicalized?” “Already dictionary-worthy?” “Include or not?” “How to define in a semantically/pragmatically adequate way?” These are genuine lexicographic problems,<sup>8</sup> but no-one can seriously suggest that English dictionaries purposefully (possibly with a hidden agenda) exclude anything said that speakers are observed to use. Kirchner and Smith both miss their targets. These issues cannot be solved by fighting the supposed *hegemony* of dictionary makers or theoreticians. It may be true that *some* dictionaries do standardize to *some* extent. No dictionary foists upon speakers grammatical forms, although schools often do, and prescriptivists do promote elite preferences—if only because no-one is obliged to use one. Talk about the “hegemonic potential of dictionary definitions” is surely far-fetched.

No-one today doubts that word senses<sup>9</sup> come not from *dictionaries* but speech situations. No-one can seriously suggest that people learn their words and their senses from dictionaries? One feels that the anti-lexicography revolutionaries really want to defeat their own misconceptions. Smith writes that the “online, democratic scriptorium where neologisms and slang are explicated, tried and rated” produces mostly entries that fade away, but some “reveal themselves as *mots justes*, moving from the UD to the OED” (Smith 47). This image of the route of words from the UD to OED is clearly mistaken. Slang has been used for centuries—but surely *without* user-created definitions in “bottom-up” dictionaries (these have not existed), and

<sup>8</sup> Bauer (34ff), discussing productivity, shows that the notions of *existing/actual/occurring/established word*, *new word*, *potential word*, *attested word*, *nonce-word* and *probable word* are all fraught with difficulty, partly because they mean radically different things from the point of view of the individual speaker, some idealized speaker, and the speech community.

<sup>9</sup> To the extent that they exist—but that is a totally different issue.

*despite* traditional definitions in the “top-down” scapegoats. Words proceed from speakers to speakers, not from one dictionary to another. The route is *speakers to dictionaries*. Quite predictably, the UD includes some of these faster, and practically wholesale, because it can react—does *not mind* reacting—promptly, and because it is not bothered by subjectivity, fictionality, and outright errors.

Rundell (80) summarizes current trends in the world of (possibly: after) dictionaries, mentioning *user-generated content* and *crowd-sourcing*, a salient feature on the Web,<sup>10</sup> and claims that a similar scene is evident in lexicography. Of the UD, Rundell’s forty-five page article says this much: “[it] has high entertainment value and its coverage of colloquial American English is unrivalled. But when a single term like *Republican* includes 256 (sic) subjective and often scatological ‘definitions’, we know we are *not dealing with an entirely serious dictionary*.” (italics mine) This, I think, is putting it very mildly.

Macmillan’s crowd-sourced Open Dictionary shows that the most fruitful areas for users to contribute are neologisms, regional varieties, and technical terminology. It should not be forgotten, though, that the *general vocabulary* is best left to the expert. The *crowd* may be an expert in several scientific domains, “but not on **decide**, **limitation**, or **dull**” (Rundell 80–81).

Pure user-generated content raises many questions. Nor does it solve any problem that it creates. It produces a heterogeneity of entries, which is something that professional dictionaries have taken a lot of trouble to get rid of.<sup>11</sup> Wiktionary at least—unlike the UD—provides entry templates to ensure some consistency (which templates then may or may not be used by contributors: if this aspect is not consistently checked, then the product is again at the mercy of the *crowd*. To my mind, Rundell’s view (81) that the community of contributors will self-regulate to ensure the best practice is much too optimistic.

## 7 The potential in the UD

Word creation processes at work would be an exciting area of study in the UD. This is now impossible because the site provides no linguistic statistics whatever: most entries do not have a part of speech label, and within one and the same entry several POSs are typically listed. It is impossible to find out, e.g. the proportion of initialisms and abbreviations, blends and compounds, shortenings/clippings and doublings that do get included.

One wonders what percentage of these almost 7 million items are meant-to-be-funny blends such as **prolebrity**<sup>12</sup> and **garbivore**. It is a shame that such innovative blends—or any other linguistic object—cannot specifically be investigated. If one knows how to separate the wheat from the chaff (if and where this is possible in the

<sup>10</sup> This ranges from people sending in photos to ‘citizen journalists’ providing documentary evidence of human rights abuses—but crowd-sourcing seems to be associated with business rather than volunteer projects.

<sup>11</sup> Adding, however, in the same breath, that this may not matter to end-users.

<sup>12</sup> ‘Professional athlete that achieves celebrity status’

first place), the UD would be well suited for several kinds of academic searches. One example will suffice: having argued that

[i]f the productivity of **-ette** in PDE was restricted to this type of disparaging, non-PC nonce words, [...] would probably be right in predicting the imminent end of the suffix as a personal marker. But the latest additions to the OED suggest that this versatile element has found a new field of application: **modette**, **punkette** and **ladette** stand for an innovative type of “antagonistic terms”, which flourishes in colloquial registers and slang.

Kornexl (253) points to the UD, which advertises itself as the “democratic guide to street slang”, as a rich source for such formations (e.g. *chavette*, *chumpette*, *dudette*, *playerette*, *pimpette*).

There has ever been a market for slang; neologisms have always been followed with interest; and the mass market for “the language of marginal social groups” has been growing. A popular dictionary such as the UD, enjoyed and used at several levels, may be good fun for the majority of users. If suitably employed, it may be a vast hunting ground for the linguist, an undepletable, constantly expanding corpus, a “reliable barometer of social currents and a fascinating expression of contemporary anxieties and interests (Coleman 335). In the *more democratic* wording of a comment on Davis’ article in *The Guardian*: “[The UD] is great at what it does and the OED is great at what it does. Happily we live in a world where both co-exist”.<sup>13</sup>

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### Illustrative Materials<sup>14</sup>

#### IM/A

#12 out of 23 entries for **Negro** (64 up, 48 down)

Term used to describe a disadvantaged colored folk usually from the south who refuses [sic] to assimilate into society, finish school, goto college, and get a job without complaining.

*That Negro Teraminisha has thirty three kids and no job and buys her drugs off her welfare money*

#### IM/B

# 26 out of 131 definitions for **squirrel** (5 up, 2 down )

Code word for “gay” men. Squirrels like nuts, so do “gay” men. Squirrels have the bent wrist syndrome, so do some “gay” men.

#### IM/C

#1 out of 27 entries for **holy shit** (1137 up, 265 down)

1. God’s poop
2. An expression yelled at something bad and/or surprising
  1. *If God ever took a dump, I guess it would be holy*
  2. *Holy shit! Those drugs came out of nowhere, officer. You know more about them than me.*

#### IM/D

#1 out of 1 entries for **bent wrist** (11 thumbs up)

code word for a male thats very girly or gay

*Wow their are so many bent wrist males in here*

#### IM/E

#1 out of 264 entries for **gay** (5075 up, 1007 down)

A type of squirrel that lives in Latin America.

*Look at that gay scampering across the way!*

#### IM/F

#1 out of 1 entry for **Budapest Cookie** (1 thumb down)

<sup>14</sup> These texts are presented exactly as in the original in terms of spelling and punctuation, without warnings (*sic*); these would clutter up the text too much.

The Budapest Cookie, sometimes known as the Buda and often mispronounced as Huda, is a cookie that tends to make mountains out of molehills. Occasionally this mountain is doubled, becoming a mountain range.

*Oh no, those oreos are turning into a Budapest Cookie. Watch out, I hear it's deadly.*

**IM/G: Budapest** – 6 entries (of which three are presented below)

#1 (114 up, 26 down)

capital of Hungary

*anything about Budapest..*

*your impression, experience, and so on*

#2 (44 up, 10 down)

Budapest is the capital of Hungary. Danube river flow through and separates the city to Buda side (western) and Pest side. Regarded as one of the most beautiful cities in Europe, its extensive World Heritage Site includes the banks of the Danube, the Buda Castle Quarter, Andrassy Avenue, Heroes' Square and the Millennium Underground Railway. Marvellous scenery from the hills of Buda. Dohány Street Synagogue is located in Erzsébetváros, the 7th district of Budapest. It is the largest synagogue in Eurasia and the second largest in the world. Lots of spas and bath. For example Széchenyi, which is the biggest bath complex of Europe. Don't miss bathing. Only the 1/3 of hungarians speak any foreign language. Avoid tourist specificated hyenas.

It can be hard to find marijuana cause it is stricly illegal (but they won't send you to prison for a joint.)

You can drink hungarian fruit spirit = pálinka. Not a costly place at all.

I met a wonderful women in Budapest's night, but I can't recall her name, because I was drunk.

1/7 of hungarians live in and around Budapest.

People of Budapest always complaining.

#3 (12 up, 7 down)

Capital of porn.

*John: Did you know, that Sabrina Sweet is hungarian?*

*Mike: Man, I told ya Budapest is the capital of porn!*

**IM/H: red stater**<sup>15</sup>

This expression with its four entries (of which two are presented below) is an excellent example of how the UD can(not) be used. A useful tool if used as a corpus, with the words appearing in their natural habitats, useless as a dictionary.

The entries are a typical flame war, from #1 to #4. #1 and #2 are nothing but prejudice, #2 probably even worse. #3 is not at all informative, and does not even pretend to be a dictionary entry. Told in 2nd person singular, it is a denial of the accusations in #1 and #2, a fight between users, and as such should go to the Forums. Finally, #4 launches a counterattack.

#1 (80 up, 44 down)

A citizen of any state whose electoral votes went to a republican in the last election. So-called because of network news' electoral maps. Interestingly, the populations in red states have lower than average IQs, lower than average earnings, underfunded public schools, higher rates of poverty, homelessness, disease and crime; and every "red state" in the country recieves more federal funding than it pays (read:welfare).

Red staters are easy to spot. They drive 30 miles to Wal Mart to save .08 on a jar of mustard. That is, when they're not burning a cross on their neighbor's yard because he didn't go to church this week; or beating up n\*ggers, gays or jews. They believe they're God's chosen even though they're lucky if they make more than \$6.00/hour working the drive through at Hardee's.

<sup>15</sup> Atkins and Rundell (429–430) warn of the difficulty of achieving neutrality (even in a type of professional definition), who call attention to **red starter** in UD.

#2

(38 up, 18 down)

A deeply Christian white person, married young and then divorced. Has a lower than average level of knowledge and intelligence, prone to primitive suspicions regarding supported scientific theories such as greenhouse gases and evolution. Has had a poor education, and is less likely to hold a high school, college, or graduate degree than their blue state peer. Income is proportionate to their educational level. Prone to archaic displays of tribalism, manifested by chewing tobacco, driving a pickup truck, and owning a shirt with a confederate flag.

Always votes republican, for reasons unknown to them, but rationalized post hoc as having something to do with a mixture of self reliance, not giving tax money to black people, being able to shoot guns and discriminate against gays, and preventing the abortion they wish their ex-wife would have had. None of the ideals about being self reliant or keeping their hard earned money (it is, due to low education levels most form skilled and unskilled labor pools) prevents them from using and abusing liberal government programs like Social Security, Welfare, and Medicare should the situation present itself.

“I’m a proud red stater, voted for Bush twice cause he’s gonna keep me safe. Course America got problems. After I got laid off after I hurt my back cause the doctors said my spine can’t take all that weight, we’ve had to cut down. But at least we’re mostly a Christian nation of god fearing folks.”

**IM/I**

#1 out of the 35 “entries” for **slang**

(4876 up, 1581 down)

“the only reason Urbandictionary.com exists”



# Language Pedagogy



# Using a Virtual Learning Environment to Augment Classroom Learning at University

FRANCIS J. PRESCOTT

## 1. Introduction

In 1971 the visionary educational thinker Ivan Illich wrote of using new technology to form learning networks that would give motivated students access to “educational objects” and allow them to find educators who would give them the knowledge and skills they wanted in “a world made transparent by true communication webs” (104). However, it was not until the advent of the world wide web in the 1990s that Illich’s vision of a networked world facilitating a transformation in educational methods and opportunities really began to take substance. In the new millennium the pace of technological change and the influence that it has had on all aspects of society has grown exponentially. With the arrival of Web 2.0, which allowed users to interact with the web and add their own content to it or modify existing content, Illich’s ideas of reference libraries of educational objects, skill exchanges and educators-at-large became realities that began to be exploited at all levels of education. The aim of the study this paper describes was to investigate the effectiveness of a particular Web 2.0 technology designed specifically for use in higher education (HE) when it was implemented in the English department of a large Hungarian university. The study focuses on the experiences and opinions of the students’ using the new technology as part of their studies.

### 1.1 Web 2.0 tools and HE

In the new millennium the effect of accelerating technological change on the nature of HE has been increasingly noticeable, especially in highly developed countries. Larreamendy-Joerns and Leinhardt speak of “a remarkable moment” in the history of HE in the US, with “[e]ducators have[ing] at their disposal sets of tools in the form of the Internet and a science of learning and teaching that permits the alteration of the nature of instruction at the university level” (567). Other economically and technologically developed countries have not been slow in following the US. However, this rapid change and an increasing focus on the importance of online education at university has created feelings of insecurity and a loss of control (Hornik and Cagle 4), as well as raised a number of questions about how best to exploit the new digital tools available to educators.

Along with the power to radically reshape the nature of instruction, there is a growing realisation that effective use of online tools with Web 2.0 capabilities needs to be based on sound pedagogical principles. As Larreamendy-Joerns and Leinhardt put it,

if educators are going to engage in the practice of online education in a thoughtful fashion, then they need to understand two things: first, that online education has evolved from previous conceptions of education; and second, that there are social, political, economic, and ethical assumptions and implications in what appear to be simple actions of design and instruction (567)

Ziegenfuss also draws attention to the need to learn new skills when incorporating new technology into teaching, stressing the need to link established learning theory with instructional practices (22). Drawing on Instructional Design theory for course planning, a theory originally derived from behaviourist pedagogy, she points out that “[t]he planning, organization, and pedagogical issues associated with teaching and learning effectiveness become even more important when technology tools are introduced into the teaching and learning process” (23). Mark Pegrum, of the University of Western Australia, thinks that with the increasing use of Web 2.0 tools in education a new approach to teaching literacy is required. In addition to traditional print literacy, he identifies a number of new digital literacies that students need to be coached in, such as search literacy, information literacy, and participation literacy (36–46). By implication, teachers also need to be versed in these new digital literacies and indeed, the topic of digital literacy is increasingly becoming a focus of research for educationalists (see, for example, Carrington and Robinson, and Jones and Hafner).

The integration of digital tools into HE has broadly followed two different tracks in the US depending on whether the aim is to have the students’ learning take place entirely online or have online learning as a complement to classroom learning. At one end of the scale are initiatives which have developed from traditional models of distance learning and are designed to give a wide audience access to educational materials. The Massive Open Online Course (MOOC) is the latest variant of such approaches and its promotion by several prominent universities prompted Time magazine to coin the phrase “Ivy League for the Masses” (Ripley). An obvious example is the educational technology company Coursera, which presently offers 375 free MOOCs from 70 partners, the majority of which are US institutes of learning, but which also include universities from 15 other countries around the world (Ng and Koller).

The alternative approach to completely online courses is the use of online tools to complement traditional face-to-face learning in classrooms, either during the class or at another time. Garrison and Kanuka make a distinction between enhanced classroom learning using online tools and the integration of face-to-face learning with asynchronous online learning outside the classroom, which is known as blended learning (96). For the present research it is the blended learning approach which is relevant, since this most closely describes the learning situation under investigation. According to Garrison and Kanuka, universities need to exploit the “transformational potential” (96) of blended learning to prepare students to meet the needs of new forms of communication and ways of managing information by utilizing the strengths of

face-to-face and online learning (97). They identify the key strength of such an approach as “the ability of asynchronous Internet communication technology to facilitate a simultaneous independent and collaborative learning experience. That is, learners can be independent of space and time—yet together” (97). In addition they point out that writing is also central to internet communication and therefore there is a clear educational potential if exploited thoughtfully (97).

Both approaches, completely online and blended learning, make use of proprietary online learning platforms, also referred to as Virtual Learning Environments (VLEs) or Course Management Systems (CMSs), to deliver their content. Dillenbourg lists the following necessary characteristics in an attempt to define what a VLE is:

the information space has been designed; educational interactions occur in the environment, turning spaces into places; the information/social space is explicitly represented. The representation varies from text to 3D immersive worlds; students are not only active, but also actors. They co-construct the virtual space; virtual learning environments are not restricted to distance education. They also enrich classroom activities; virtual learning environments integrate heterogeneous technologies and multiple pedagogical approaches; most virtual environments overlap with physical environments. (2)

The particular VLE which features in this study was Moodle (Modular Object-Oriented Dynamic Learning Environment), an open source software platform developed by Martin Dougiamas “to support a social constructionist epistemology of teaching and learning within Internet-based communities of reflective inquiry” (Dougiamas). The system, now in its 16<sup>th</sup> release, was developed from an aborted PhD thesis project the aim of which was to find an answer to the question “How can the Open Source model be used to successfully support social constructionist epistemologies of teaching and learning?” (Dougiamas). Under the pedagogical features of Moodle, Dougiamas listed the following ten features:

1. Publishing content (Resource, SCORM)<sup>1</sup>
2. Provide a passive Forum
3. Use interactive Quizzes and Assignments
4. Wikis, Glossaries, Databases (collaboration)
5. Facilitate discussions in the Forum. Questions!
6. Combine the activities into sequences
7. Introduce external activities and games
8. Use Survey tools and logs to study / reflect
9. Give students more power (structure/grades)

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<sup>1</sup> Sharable Content Object Reference Model (SCORM) is a system of technical specifications for software designed for e-learning.

## 10. Active research, communities of practice!

It should be pointed out that Dougiamas is clearly aware that his VLE, despite being based on sound pedagogical principles, in this case social constructionist theories of learning, still needs “skilled facilitators” to make it effective, just like any other VLE (Dougiamas).

At the university this research was done in, Eötvös Loránd University in Budapest, teachers in the School of English and American Studies (SEAS) were given access to an e-learning system in 2010 that included a Moodle site for each one of their courses. It is the experience of the students in SEAS while using these Moodle sites for their courses which forms the focus of the small scale research study which will be described in the rest of this paper.

## **2 Research Design**

The research was carried out at Eötvös Loránd University in the May and June of 2012 at the end of the second semester of the academic year which began in 2011. The main aim of the research was to find out what were the students’ experiences of using Moodle sites in their courses and how they felt about using virtual learning applications as part of their studies. A short description of the key aspects of the research design will now be given.

### **2.1 Participants and Research Context**

Since the aim was to investigate the feelings and experiences of students in connection with e-learning at the university, second and third year BA students were chosen as they were more likely to have used the e-learning applications which had been available to teachers for the previous two years. From this target group, I asked students from six of my own seminar courses that all used a Moodle site to supplement the classroom meetings. The reason for asking my own students was firstly one of opportunity but also because that way I could be sure that all of them would have experience of using Moodle, even in just the one course that they were doing with me.

Of the six courses, there were two introductory applied linguistics seminars, one advanced academic writing course, and three English for Specific Purposes (ESP) media courses. In all of these courses, I used the Moodle site every week to post homework readings and links to the topic that had been covered in the previous class. In addition, I posted pictures related to the current topic and students uploaded work for the course on the Moodle forum. Occasionally I also encouraged the students to use the forums to discuss an issue that had come up in the classroom or to comment on each other’s writing. I also communicated with the class through the mail function which was part of the Moodle site, reminding them of the tasks for the following week.

In the six seminars there were altogether 90 students, but since several students attended more than one of the seminars, there were actually only 75 individual students involved. Of these 75, 29 filled in the initial questionnaire and 24 agreed to do a short interview.

## **2.2 Research Instruments**

An initial questionnaire was sent electronically to all the students in the six seminars, using the mail function of the course Moodle. This consisted of six closed or short answer questions and could be filled in very easily (the questionnaire had first been tried out with a couple of students not involved in the research to check for ease of understanding). The first question asked whether the student had enjoyed using a Moodle site with a simple “Yes/No” option and a request to underline the appropriate response. Question 2 asked for the student to say why they had enjoyed or not enjoyed using a Moodle site and question 3 asked if they would like to use a Moodle site on other courses, again with a “Yes/No” answer. The fourth question was an open one, asking how often they had checked the Moodle site during the course. Questions 5 and 6 asked the student to say what, in their opinion, were the advantages and disadvantages of using a Moodle site. The seventh item in the questionnaire asked whether the student would be willing to take part in a 10 to 15-minute interview about using Moodle for their courses and gave them 10 possible dates and times for the interviews and a contact email if none of the options were good.

The purpose of the questionnaire was to gather some initial basic information about how students had experienced the Moodle sites in the courses and what they felt about it, as well as seeking further information through the interview. It was also a way of providing some data triangulation. It should be noted that the questionnaire asked principally about the Moodle site that was used in the particular seminar, whichever of the six it was, that the student had attended; it did not ask about any other Moodle sites the student had experienced, although students were asked to consider the advantages and disadvantages of using Moodle for university courses in general. One other point worth mentioning is that the questionnaire offered students the chance to be kept informed about the research outcomes if they so wished, thereby giving them a stake in it. The questionnaire finished by thanking the student for their time and cooperation, another way of showing respect and gratitude to research participants.

Following the administering of the questionnaires, which took place in the week following the end of the semester, 24 of the students came for an interview. The interviews took place over a period of two and a half weeks in May and June in the office of the interviewer. This was somewhere the interviewees were already quite familiar with. All the interviews were recorded using a small digital voice recorder with the permission of the interviewees and they were given access to the recording on request.

There were 22 interviews (two of them were with pairs of students) and the average time was around 18 minutes, but one interview was much longer than the

others, lasting over 42 minutes, so this skewed the average somewhat. The shortest interview recording lasted 10 minutes 38 seconds.

The aim of the interviews was to explore the students' experiences with and feelings about using Moodle sites for their courses in much greater depth than was possible in a questionnaire. To this end, a simple interview schedule consisting of nine open questions (the first question was a simple closed question and was intended to function as an easy "starter" to get the interviewee relaxed) was created following basic principles for qualitative interviews as described in Maykut and Morehouse and Cohen, Manion and Morrison. The questionnaire data was also used to help in the construction of the interview schedule. The questions were as follows:

1. *Have you used Moodles on other courses?*
2. *Could you tell me a little bit about your experiences with Moodles on those courses? [any bad experiences?]*
3. *To what extent do you think Moodles have helped you to learn what you had to learn on your courses?*
4. *How much do you think Moodles have affected your motivation in your courses?*
5. *How would you feel about doing courses that were only given through a Moodle?*
6. *If there is a good way and a bad way to use a Moodle, what is it? [What's the good way?; What's the bad way?]*
7. *How much attention do you pay to what other students put on the course Moodle?*
8. *What else could Moodles be used for? What changes would you make?*
9. *If you had a choice of any online tool to help you learn during a course (Facebook, blog, social network, Google group etc.) or not having anything at all, what would you choose?*

### **2.3 Interview schedule for the short interviews**

It is important to mention that while all the interviewees were asked these questions, the order of the questions was flexible depending on what topics came up naturally in the conversation, and if the interviewees brought up other topics or issues, those were discussed as well. In this way the direction of the interviews was unpredictable and

was a joint construction of the interviewer and the interviewee as is typical of qualitative interviews (Patton Ch. 7).

### **3 Data Analysis**

The closed questions from the questionnaire were simply tallied and the responses to the open questions were collected and examined for recurring ideas, particularly regarding the advantages and disadvantages of using a Moodle site. Later on these frequently occurring ideas were compared with the data from the recordings.

The interviews were transcribed by the author and the verbal data was broken up into small parts according to the ideas present in them, following the approach known as the constant comparative method for qualitative data analysis first described by Barney Glaser and Anselm Strauss in 1967 and later further developed by many other researchers. In the present case the data was coded more or less at sentence level, but with some larger extracts as well, using a simple word processor to organise codes. Similarly coded data was then grouped together to form broader concepts, and these concepts formed the main descriptive categories that are presented in the results. No attempt was made to build a theory or to further refine the data, although this is a possible direction for future research involving further data gathering. The principle descriptive categories present in the data will be discussed with illustrative extracts in the next section.

## **4 Results and Discussion**

### **4.1 The Questionnaire**

Before looking at the main categories that emerged from the analysis of the interview data, the findings from the questionnaire will be briefly summarised. There were unanimous responses to questions 1 and 3: all the students indicated that they enjoyed using the course Moodle and that they would like to use Moodle sites for future courses. Their reasons for doing so overlapped to a large extent with the advantages they mentioned, and while these were quite varied, the most common ideas were to do with the increased convenience of following the tasks for the course and accessing the materials; as one student put it, “there was a large amount of reading and other materials linked, and the Moodle site served as a static, stable, and logical repository for all of it” (Questionnaire, ET<sup>2</sup>, Question 2). Having everything connected to the course in one place was seen as a big advantage by many students.

There was a wide variety of disadvantages mentioned but only a few were mentioned by more than one student. The drawback that was most frequently mentioned was the obvious need to have access to the internet in order to see what was on the Moodle site, but this was not seen as a serious hindrance since internet

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<sup>2</sup> In all data extracts and discussion of data extracts, individual students are referred to by their initials, which have themselves been altered so as to preserve the students’ anonymity.

access is now seen as an automatic requirement for students: “you need a computer and internet connection to be able to access it, but that’s pretty much a basic requirement for university studies today anyway” (Questionnaire, MH, Question 6). However, there was acknowledgement that access was easier for some students than others and there were also cases when students had experienced problems because of temporary lack of access: “Once I had to take an online test, and I could not access the Internet, and it was horrible” (Questionnaire, CE, Question 6).

Another disadvantage mentioned by a few students was that, because automatic updates of new content were not sent to the users, students had to keep checking the Moodle site to see if new material had been uploaded yet. The surveillance aspect of Moodle, the fact that it could monitor student activity, made some students uneasy, too, and they were worried that this feature was not always accurate. One student mentioned on the questionnaire and in her interview that her teacher had accused her of not watching a set video when in fact she had: “Allegedly, the teacher is able to see how many students saw a video posted on Moodle, and can pester them to watch it if they didn’t. I don’t really know how it works, but one of my teachers told us we haven’t clicked on the video, whereas we did. Maybe the problem was that we didn’t watch the whole one hour long video at once” (Questionnaire, UB, Question 6).

Several students mentioned that there was a temptation to cheat when taking tests on the Moodle site and a couple felt that it might make students more lazy. One even said that the ability to take effective notes in class could be threatened by the use of a Moodle site with a course. Despite the variety of potential disadvantages, what was most noticeable from the questionnaires was the general agreement about how helpful the Moodle sites were in making the task of studying easier, as already mentioned, and this concept of making learning easier was also present in all the interviews and therefore forms the first and biggest category in the data analysis. Most of the difficulties were seen as being potential rather than actually present or were related to very infrequently experienced problems.

One last point relating to a disadvantage mentioned by several students was the fact that they could not get access to Moodle sites from courses they had done in past semesters: “The only disadvantage with Moodle is that the courses and their materials from last semester or year, or even earlier documents are no longer available” (Questionnaire, LF, Question 6). This actually shows that the Moodle sites continued to be a valuable resource to many of the students even after the end of the course, with the potential to further promote learning. Unfortunately, this potential was not being realised because of the restricted access.

For question 4 about frequency of checking the Moodle site, 16 of the students said that they checked it more than once a week and the other 13 said that they looked at it weekly. This indicated that if nothing else the Moodle site was effective in encouraging the students to keep up with what was going on in the course, although it should be pointed out that this also required the teacher to regularly post new material. This issue of frequency of interaction of teachers and students with the Moodle site will be discussed as an important aspect of some of the main categories to

emerge from the interview data, and some of the other responses from the questionnaires will also be used in discussing other key concepts.

## **4.2 The Interview Data**

The interview data in its entirety is too extensive to discuss in a short paper but the most significant categories related to the students' experiences and feelings can be presented and briefly discussed. In what follows, several of these core categories will be looked at in turn, beginning with the practical strength of a Moodle course site as a tool to assist learning.

### **Moodle Makes Learning Easier**

Without exception every student mentioned either in the questionnaire or the interview, but nearly always in both, the way that using a Moodle site made the everyday business of learning for a course much easier, and they did so primarily in terms of the more effective organisation of their studies that was made possible. Student LD was typical: "I didn't have to waste my time searching [for] the homework, searching [for] the appropriate articles, everything was at one place. So it was good and easy to handle it" (Interview 12, LD 1). Generally students spoke of it making the logistics of learning much easier, providing access to course materials in one place and keeping them informed of current tasks and homework. It also meant that printing could be done at home or was sometimes not necessary at all, thereby making the student's life less complicated and cheaper: "I also had another class where we used Moodle and it was like 30 or 50 pages for each week, and I have this tablet computer (...) and that was really helpful because I didn't have to print it each week" (Interview 6, TB 6).

Some students also mentioned that it was very convenient to be able to do tests at any place and time of their own choosing, using the timed test function of the Moodle: "I just got up at home, I don't have to go to school, I was just there sitting. I'm a computer person as I said before so it was really comfortable" (Interview 16, CB 4). There were students, as already noted, who felt that taking tests at home made it tempting to cheat (this will be discussed in a later section), but this depended on what form the test took, and it was clear that students appreciated being able to take tests in the comfort of their own home:

Well, I had one other class other than applied linguistics where we used Moodle a lot. It was academic writing, I think, and we had some tests on Moodle and we had to upload a lot of files and compositions on Moodle so, yeah. I liked it because I like writing tests in the comfort of my home so it's just better; you're more comfortable, it's more relaxing and I didn't cheat and we couldn't because there was a punctuation test and something else and you can't cheat on those kind of tests. (Interview 7, QT 1-2)

It also seemed that the general use of Moodle sites was becoming more widespread in the university, with most students reporting using Moodle for more than one course. In interview 18, student LF made an interesting observation: “actually I think this was the first semester when the majority of my classes had a Moodle” (Interview 18, LE 1) and it was clear that those students who had become used to using a Moodle site as part of a seminar course greatly appreciated this way of working. Again, it was the way that the Moodle site made the general business of learning much easier that seemed to be the primary advantage:

I am always relieved when I find out we use Moodle for a course. I love that material is being provided online, it is a lot easier and more convenient for me this way. Other ways teachers usually provide materials is through Tigrā [the photocopying shop], which is irrelevant now [because it has closed], or course-mails; those become cluttered and hard to follow sometimes. I prefer Moodle over all of these. (Questionnaire, NB, Question 1)

Several other students mentioned being happy or relieved when a seminar made use of a Moodle site, as well, and this underlined the general feeling that Moodle made learning much easier.

### **The Importance of the Teacher**

The students’ experience of using Moodle sites in their courses was directly dependent on the way the teacher used Moodle. In this respect there were a number of features which could be said to constitute either good or bad practice. One of the most important things for the students was that if the teacher started to use the Moodle site, they should do so consistently:

I think the key is consistency. . . . I think the good way to use such a tool is when the teacher is very clear about what they want to put on this Moodle, and what they require from the students. So how often the teacher wants the students to open the Moodle and if they, if the students have to contribute to the Moodle, so upload things. So I think it’s really important for the teacher to be clear about it, and make it a part of the course’s requirement. And, if it’s used consistently, then I think that /?/ is good if the students know what to look for and when to look for it then it can only be useful because it’s another tool, aside from the physical appearance in classes. (Interview 3, EN 2)

The student quoted above and several others spoke of courses where teachers failed to be consistent in their Moodle using habits, and this could lead to difficulties for the students sometimes, such as when they needed to revise the course content before an exam:

Maybe at one particular course where (pause) which was a lecture slash seminar, so we could either take it up as a seminar or as a lecture and then, well the teacher is really busy so it's understandable, but it's always better if we can look at the slides during the actual course as well, not only at the end before the exam. . . . So there were examples when the students had to remind her that "We still can't see the slide so please upload them."  
(Interview 11, QB 4)

There was a recognition by many of the students that using a Moodle site involved more work for the teacher, as well. This can be seen in the comment above, when the student says that it is "understandable" that the teacher sometimes forgot to post the slides for the course because she was very busy. In Interview 4 student SH also acknowledged this: "I'm sure that it requires a lot more effort from them, from the teachers' side" (1). However, at the same time this student felt that the failure to use the Moodle site at all when it was available was also unsatisfactory: "I had courses that had this Moodle connection, and, for example, the professor hasn't uploaded anything. So it was fully empty. And, you know, it seemed quite interesting to me, if he could use it, why he wouldn't. So I would say that that's the bad way. If, you know, if you have access to it and you still don't do anything with it" (Interview 4, SH 3). Other students also mentioned this non-use as being bad or even "the worst case" (Interview 17, IU 3).

This basic expectation seems to show once more how familiar the use of Moodle was becoming in the School of English and American Studies. Even when a Moodle site was used in a course, students often seemed to expect something more than just the uploading of materials, and this may also have been the result of having Moodle experience across several courses: "So some teachers just upload the material and nothing special can be found there. So no picture, no address to the students. So nothing special" (Interview 1, MS 1). Several students mentioned that they appreciated it when teachers added visual elements or used other techniques to make the Moodle more interesting, and in Interview 14, student AQ pointed out that some teachers failed to exploit the opportunities that Moodle provided as an online learning platform: "I like it when a teacher would provide a picture or make it more fun instead of just a boring, just one course material. Some teachers wouldn't really exploit the opportunities that it provided and it was sort of boring and grey for them" (Interview 14, AQ 1). Another student also spoke of exploiting the communicative potential of Moodle and finding a balanced way to use it with the course (Interview 21, UU 4).

What students seemed to find the most effective use of Moodle was one that complemented what went on in the classroom and built upon it, in the style described in much of the literature on blended learning:

A good way is to complement things that you do at class, you share links, documents, pictures, videos, I don't know, you share. And you get students together, you can organise stuff. If there is some sort of group work, it can be used, I don't know, to help with that. It's easier to organise a meeting

on Moodle than it is [to] organise a meeting in real life. We can be all there at our computers; we are always there. (Interview 2, SW 4)

Several students also hinted that an imaginative use of the Moodle site to add elements to the course could also offer interested students the opportunity to go further and learn more about topics. Two examples will suffice to show this. Student IU made exactly this point when talking about the good ways to use a Moodle site: “it can make the course more interesting because additional supplements can be added and if somebody, one of the students, are a bit more interested in the topic then he or she could use these kind of sources to go after his or her interests” (Interview 17, IU 3). Student TE made a very similar point about additional materials made available on the Moodle site:

So it's a good thing that you can put stuff up that people can check out on their own, or not check out if they are lazy, and then they might actually gain something extra, not necessarily something that you have to learn but maybe a video that you couldn't have seen otherwise. So I think that's a good way to just put some stuff up there and let it organically be watched or seen by the students. (Interview 20, TE 7)

Such imaginative use of Moodle to complement classroom learning and engage motivated students in further exploration of topics would seem to be exactly what the online platform was originally designed for.

### **Test Taking and Moodle: A Chance to Cheat or a Learning Opportunity?**

The idea that doing tests on Moodle encouraged students to cheat has already been mentioned. Since this issue came up quite frequently in the research, both in the questionnaires and in the interviews, it seems worth examining in more detail, as it highlights how important it is to consider the best way to use any new technological tool.

There were certainly cases where students had been given regular online tests on the Moodle site as part of the assessment procedure for a course and had themselves felt that these tests were open to abuse. Student UC felt this to be the case for an exclusively online course she had taken: “And we had to take the tests through the Moodle classroom so. And I think it was great but it also had disadvantages. I mean, I guess because you could easily cheat if you wanted, but I didn't do that” (Interview 7, UC 1). For her online journalism course taken through a Moodle site, Student QB was also fully aware of how easy it was to cheat the test:

And there was a time limit . . . So we had one week to take the test online and then we could choose any time, even the middle of the night (laughs). That was more convenient and, there were, I think, about 20, 25 questions, and there was a clock which, you know, so we had about one minute for

each question but if we skipped it then we could later go back and use the time that remained. . . . And, well, since we could choose the time and place it was convenient, but (pause) since there was no authority or the teacher who was looking at us at the moment, the temptation to cheat was quite big (laughs). . . . So it's kind of an unresolved issue. That it's more convenient but it's unauthorised. (Interview 11, QB 1-2)

The question of the weight which should be given to online tests was raised by another of the students:

If the teacher takes it too seriously and wants to base students' evaluations too much on those tests, that's probably not a good idea because there are endless possibilities of doing those tests a bit differently, a bit unorthodox I guess. Working together, I don't know, using google. And I'm not saying these are cheats because people, that's what you do when you get out of university. You find other people you have to do the same stuff with and you do that stuff together. If you don't know something, you turn to Google, you turn to Wikipedia. So it's not the same as in-class tests. You are not looking at how much a student knows stuff, you are (pause) you have a student who is faced with a problem, and you're looking at, in a short time, how well he or she can do that. It's a different thing. You are not looking at knowledge, you're looking at performance. (Interview 2, SW 3)

This seems to get to the heart of the matter: the credibility of tests taken on an online platform such as Moodle depends on what the teacher expects and what sort of test is given. If the test put on the Moodle site is simply an online version of a traditional paper and pen test, which would normally be supervised, then this is probably not a good use of Moodle since it is clearly open to strategies designed to circumvent the testing process, and resourceful students will always be alive to such strategies. However, as with other aspects of learning, if Moodle is used imaginatively other kinds of testing are possible, and here too, the student above makes a very good point. It is possible to use an online platform for collaborative learning tasks (indeed, this is exactly what Moodle was designed for, among other things) and these may apply to test assignments, too. Such collaborative learning has been the focus of more recent theories of learning derived from Lave and Wenger's 1991 treatise on situated learning in communities of practice, and it is notable that Wenger went on to apply his theory of situated learning to collaboration in the workplace, exactly the scenario outlined in the quote above.

### **Effect of Using Moodle on Learning Habits and Motivation**

Although some of the students found it difficult to say whether using a Moodle site had an effect on their motivation when they were asked directly, there was a feeling

that the consistent use of a Moodle site to complement a course did have an effect on learning habits. From the answers to question 4 on the questionnaires it was noticeable that all the students visited the class Moodle at least once a week and in the majority of cases several times a week. Two students, SH and LE, spoke of checking it virtually every day. In some cases it was clear that this had become a routine and that using the Moodle had actually provided the student with an impetus to engage with the learning materials: “Well (pause) in a way I think it motivated me because, so on each week, every week, we had the material, and we knew the exact time, I think, because you always put it [up] just a couple of hours after the class. So we knew what to expect, and I’ve been checking it, I was checking it every week, right after the class” (Interview 5, ON 2). Even students who regarded themselves as having very low motivation, such as student MH, felt that this routinisation had an effect on their learning habits: “Well, that’s a tricky one because usually I, my motivation level is somewhere below zero all the time so it’s not really affected by it, but (pause) again, I can only repeat myself that it sort of helps that you know if you have to do something then at least you have this sort of aid for it. So, yeah, it makes your job easier and maybe that’s, that could serve as a bit of motivation” (Interview 9, MH 1).

There were students who went much further than this and assigned a very positive role to the Moodle site in providing motivation to engage with learning:

I would say that, you know, as long as it required a certain energy and effort from the student’s side to go online, it, basically, it made us work and it made us stay up to date in, you know, for our classes. And I think that the thing that it actually, you know, it got us to use those materials, and, as long as we went up there online, it sort of forced us to learn. And, you know, I think that’s the main point; that, as long as you are willing and sort of forced to work, you will work and I think, you know, that’s the main point, so. (Interview 4, SH 2)

In addition to this effect of using the Moodle site regularly, there were students who felt it motivated them in other ways. The reassurance that some students felt because they knew that they could always find what they needed has already been mentioned, and this could affect mood and motivation positively. Student NB felt that this might be the case: “If mood and motivation is connected then it definitely helped because I prefer using this interface” (Interview 19, NB 1), and she went on to say she was “pretty sure there is [a connection] – if you feel better you are more motivated” (ibid).

The appreciation felt by several of the students of the visual and multimedia elements of some Moodles has also been mentioned earlier, and it seems likely that this too could affect their motivation positively. In the questionnaire, student CE wrote that “the additional pictures and info helped me to get excited about the topic” (Questionnaire, CE, Question 2), and student UB wrote that “with the illustration provided for each date it looks like an electronic textbook” (Questionnaire, UB,

Question 2). In her case it was clear that the way the Moodle looked had had a big effect on her response to using it:

Well, at first I hated it because the first teacher with whom I used it didn't really organise it like, schedule like. We just got our marks on Moodle and I just hated the surface; it was too dry for me and . . . But now, with these media specialisation courses, when you and also the other teachers always put a picture on for each date, so that, yeah, I began to like it very much. (Interview 15, UB 1)

Here again a critical factor is what the teacher does with the Moodle site.

The interactive capability of Moodle was also felt to be a motivating factor by some students:

I think it can motivate if it's really used for sharing information, so by students. So, for example, if a forum is open then a student is motivated to have something written on it so the teacher sees that he or she did something . . . We had a forum about Twitter and that was quite interesting how the students see it and there were really different opinions. And it was an interesting conversation. (Interview 18, LE 2).

Many students mentioned that it was easy to share files but not all of them were impressed by the forum function. A couple of the more technically adept students found the design quite basic and Student UB found the forums boring to look at and felt they did not encourage students to read and comment on each other's posts. However, other students thought they could be used effectively: "I just can say that it's very easy to use. So I never found any difficulties when I tried to comment on something. And I think it's also very interesting that I can look at other people's essays; I really like that. And, yeah, I never had any difficulties to comment on something so I think it's working good" (Interview 6, TB 3).

Since Moodle is designed expressly to promote cooperative learning in online communities, the interactive aspect of the VLE is very important. Although there were mixed opinions, it did seem to be the case that all students had experienced the interactive potential of Moodle and were mostly positive about it. Here again, it needs to be pointed out that the teacher has an important role to play in setting up interesting activities and fully exploiting the capabilities of any VLE.

## **5 Conclusion**

Although this was only a very small scale study relying principally on short interviews, some conclusions can be drawn from it. What emerges most clearly from the data is the fact that all the students enjoyed using Moodle sites as a constituent part of their courses and wanted to continue using them. All the students indicated they would like to use a Moodle site for other courses and it was clear from the

comments of many of them that they now expected an online component in their learning; as one of them put it in the questionnaire, “usually I actually missed the use of a Moodle from other classes because it’s (=computers and the internet) really becoming a part of education as well” (Questionnaire, LB, Question 6).

From the frequency with which the students checked the Moodle site in their courses and from their positive comments about those Moodle sites they enjoyed using, it appears that blended learning at tertiary level can be a very effective approach. In particular, there are clear indications that a VLE such as Moodle which is specifically designed for the purpose can be a powerful tool to promote collaborative learning and encourage greater student involvement in learning processes. The present study gives some indication that student learning habits were positively reinforced by a consistent and imaginative use of Moodle by the teacher. Such an outcome is echoed in much of the current literature on blended learning at tertiary level.

However, a VLE, or any other online learning device for that matter, is merely a tool, and therefore it can be used effectively or ineffectively. The students’ responses concerning the use of a Moodle site in their courses, though generally positive, were clearly dependent on the way the teacher implemented the VLE. This would seem to indicate that educators need to carefully consider the best ways to implement web 2.0 tools in their teaching and not just use them as electronic versions of activities and techniques used in a face to face classroom. In order to fully exploit a VLE like Moodle, teachers need to understand its potentials and the pedagogic principles on which it is based. Any new tool takes some time to get used to and adequate training is also necessary to help teachers understand how to use it.

Unfortunately, in the spring semester of 2013 a new e-learning package replaced the existing one at SEAS, apparently for reasons of cost effectiveness. The new package does not have Moodle but instead provides teachers with access to a very basic and much less user friendly VLE. This means that those teachers who wish to continue using a blended learning approach in their courses are now faced with the choice of using a very restricted VLE or seeking out an alternative tool on the web which they must then set up for themselves and learn how to use. It is questionable how many teachers are sufficiently motivated to do this and so the loss of Moodle represents a step backwards in terms of online provision for courses at SEAS.

It is to be hoped that this situation proves to be only a temporary setback since this research, along with an increasing amount of studies from other institutions, provides clear evidence of the effectiveness of implementing online tools designed specifically for the purpose to augment classroom learning in a blended learning approach.

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# Investigating English Majors' Individual Differences Through Their Argumentative Essays\*

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## 1 Introduction

It is a longstanding truism in language teaching that students' individual differences (ID) contribute to the learning process, which has spurred the investigation of a number of variables, such as aptitude, motivation, anxiety, learning styles and strategies in order to find out how they influence students' learning behaviour (Dörnyei, *The Psychology of the Language Learner*, *The Psychology of Second Language Acquisition*; Schmitt, *Applied Linguistics*). However, there are markedly fewer studies that set out to investigate how these individual variables influence actual language learning achievement (Dörnyei, *The Psychology of Second Language Acquisition*). Therefore, in the present study we aimed to measure those ID variables that might shape students' argumentative writing achievement and to investigate how ID variables influence writing achievement.

The study involved first year English language majors in Budapest. The standardised questionnaire collected data on students' motivated learning behaviour, language learning selves, anxiety, self-efficacy and self-regulation. The questionnaire data was matched by variables measuring students' achievement on a short argumentative writing task written as part of a test battery designed to measure the language learners' reading and writing skills. The main results show significant but weak relationships among the investigated variables, indicating that students mostly stress the importance of producing grammatically correct texts.

This paper provides a brief review of individual difference research in applied linguistics as well as of the major concepts in discourse analysis relevant for the reported research. This is followed by the description of the research procedures and the presentation of results. Next, we present the conclusions and implications based on our findings and formulate suggestions for academic writing skills teachers.

## 2 Background to study

ID and discourse analysis focusing on written argumentation have generated a considerable body of literature. However, in the next sections we present a review of only those contributions that directly informed our investigation.

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## 2.1 Individual differences in L2 learning

Research in applied linguistics has traditionally investigated how individual differences might influence second or foreign language (L2) learning outcome in an attempt to account for the fact that some students learn a number of L2s with seeming ease while others suffer long to learn the basics of a single L2. In the course of the past decades, several variables have been defined to explain these differences, the most important of which are age, gender, language learning aptitude, motivation, learning style and strategies, anxiety, self-efficacy, and self-regulation. In our study, we investigated the effect of four groups of variables, namely, motivation, self-regulation, anxiety, and self-efficacy on writing for academic purposes. A short summary of each is given next.

L2 motivation is seen as one of the key variables affecting success in language learning (Dörnyei and Ushioda *Teaching and Researching* 4; Gardner, 10) because it explains how much effort students are willing to invest into language learning. As a result, a number of theories have been put forward to explain what influences students to become motivated to learn a given language and in what ways motivation might affect achievement. Traditionally, students' disposition towards the language and its speakers (Gardner), classroom-centered issues concerning language learning, and self-related concepts contributing to learning have been researched thoroughly (Dörnyei and Ushioda, *Teaching and Researching* 79). In the present study, we adopted the latter perspective and used Dörnyei's L2 Motivational Self System (*The Psychology of the Language Learner*) to assess students' motivation. This theory hypothesises that students' motivated learning behaviour will be largely affected by three variables: their Ideal L2 self, that is, to what extent students can imagine themselves as highly proficient users of the given foreign language; their ought-to L2 self, which describes what outside pressures students acknowledge throughout the learning process that make them invest an increased amount of energy into language learning; and finally, language learning experience, which indicates positive attitudes towards the classroom processes (Dörnyei and Ushioda, *Teaching and Researching* 75–79). Based on several empirical studies (Dörnyei and Ushioda, *Motivation*), this theory received empirical support in various contexts; therefore, we hypothesised that the L2 Motivational Self System will also provide an adequate measure for the present study.

The second variable, self-regulation, is an umbrella term used to describe to what extent students are able to regulate their learning process and in what ways they are capable of taking responsibility for their own learning (Forgas, Baumeister and Tice 1; Pintrich and De Groot 33; Schunk and Zimmerman 1). One of the most important questions of mapping issues related to self-regulation is what strategies, or, in other words, practical techniques, students might employ to regulate their thinking and behaviour. Kuhl's seminal work suggested that there are three main groups of strategies exerting possible influence on learning, which include cognitive controls (attention, coding and information processing), affective techniques (controlling emotions and motivation), and environment-related strategies.

Furthermore, within the field of L2 learning, Tseng, Dörnyei and Schmitt (78) developed and standardised an instrument measuring how vocabulary learning might be regulated through control variables. Based on their empirical results, they defined five main self-regulatory strategies that seem to contribute to learning. These are as follows: (1) commitment control, that is, to what extent students establish short and long term goals and how they achieve these goals; (2) metacognitive control, describing how students are able to focus and concentrate on learning; (3) satiation control, explaining how boredom might be overcome during long and tedious tasks; (4) emotional control, measuring how students cope with anxiety and other possibly disruptive emotions throughout the learning process; and (5) environmental control, explaining how students might be able to create environmental support for learning. In our study, we adapted these categories to writing in general and to academic writing in particular.

Studies on language learning anxiety, the third variable, have abounded in recent decades (MacIntyre and Gardner 283). They have focused on negative emotions related to L2 learning, such as, language use anxiety and foreign language classroom anxiety (Horwitz, Horwitz, and Cope; MacIntyre). There have been several different constructs measuring various facets of anxiety depending on whether anxiety is seen to be facilitating or debilitating or to be state or trait anxiety. Another classification of different constructs related to anxiety shows that anxious feelings might be linked to different learning skills, and students might experience different levels of anxiety when speaking, listening, reading or writing (Cheng, Horwitz and Schallert 417; Brózik-Piniel). In the present study, we included one skill-related anxiety construct, which intends to measure to what extent students are anxious before, during or after writing in English (Brózik-Piniel) because our study focuses on academic writing and achievement.

However, one of the main criticisms that can be formulated in connection with anxiety research might be its negative viewpoint. Therefore, in the present study we also included a fourth variable, a self-efficacy measure (Piniel and Csizér), which takes into account the positive dimension of anxiety. Self-efficacy beliefs include individuals' own dispositions towards what they think they can do well and what tasks they can accomplish easily in the process of learning (Bandura, *Perceived self-efficacy, Self-efficacy, Guide*; Valentine, DuBois and Cooper 111). Bandura also hypothesised that self-efficacy beliefs affect students' goals, their motivation and anxiety (*Perceived self-efficacy* 117); therefore, it seems crucial to investigate the ways in which students' own attitudes towards their capabilities might influence their actual achievement.

## **2.2 Aspects of written argumentation**

As most written genres, argumentative essays can be analysed in terms of rhetorical structure; argument structure; connectedness; and lexical and grammatical features. An essay subgenre used for educational purposes is the one-paragraph essay (OPE). Henry and Roseberry call this type of essay “minimally structured one paragraph

essay” as opposed to the “full academic essay” (195) consisting of separate introductory and concluding paragraphs and several developmental paragraphs. The OPE is an effective practice genre for essay writing because it reproduces in small the functional constituents of a multi-paragraph essay and can feature various text types. As its name indicates, this essay is a paragraph-long complete text with a title and matches the rhetorical structure of a deductively organised topical paragraph. It contains a central idea, which functions as both the thesis statement and the topic sentence defined as a sentence that is “at a higher level of generality than the surrounding discourse” (Koskinen 249) and that are “expanded into larger units of discourse” (261). In the one-paragraph argumentative essay this expansion is realised with the ideas whose function is to elaborate on and support the claim, the central idea of the essay. The OPE ends with a concluding sentence whose function is to round up the argumentation. Koskinen defines concluding sentences as sentences that “can be deduced from the preceding discourse and have a sentence-relational link to it” (249). The topic sentence, support and the concluding sentence constitute the frame for the argument structure of the OPE.

The Toulmin model of argument has been widely used for the analysis and teaching of written argumentation (Fulkerson). The model is suitable for the description of the structure of everyday arguments with the aim to map their sources of validity. It is most comprehensively described in Toulmin, Rieke, and Janik as consisting of six components that can be grouped into two categories: the basic components (Claim, Grounds, and Warrant) modified by three optional components (Backing, Modal Qualifier, and Rebuttal).

The model has been used widely for a variety of purposes in research studies on argumentative texts. One of the most prominent uses was for the construction of rating schemes for the evaluation of argumentative essays written by students. Connor and her fellow researchers produced a body of research (Carrell and Connor; Connor, “Argumentative Patterns”, “Linguistic/Rhetorical”; Connor and Lauer; Connor and Takala) in which they used the same scale based on the Toulmin model in combination with various other methods in order to identify those variables that can best predict the quality of student writing and to describe differences in the argumentative texts of writers from different cultures.

In addition to an effective rhetorical and argument structure, constructing an effective OPE necessitates the composition of unified, coherent and cohesive text. Unity of meaning is an inherent feature of the text defined by Lemke as follows: a text has the quality of unity if “the meanings expressed in each of its clauses have some specific meaning-relations to those expressed in some or all of the others” (23).

Coherence has been widely researched and it has been defined as a quality inherent to the text; however, Enkvist (14) gives an important role to text-external elements and defines it as “the quality that makes a text conform to a consistent world picture and is therefore summarizable and interpretable”. Cohesion, on the other hand, refers to the overt linguistic signals that mark connections between surface elements of the text. Halliday and Hasan define it as “a semantic relation between an element in the text and some other element that is crucial to the interpretation of it. This other

element is also to be found in the text.” (8) The relationship between coherence and cohesion has also been investigated, and there are conflicting interpretations of the nature of the relationship between them. Whereas for Halliday and Hasan cohesion is a key condition for the well-connectedness of a group of sentences, Brown & Yule contend that by assuming that the sentences are semantically related, a reader is able to perceive two sentences which are not explicitly connected as related constituents of a text. For this reason, human analysis of the coherence and cohesion of texts is arguably still the best method available today.

Purpura defines grammatical ability as “the capacity to realize grammatical knowledge accurately and meaningfully in testing or other language-use situations” (86) and grammatical performance as “the observable manifestation of grammatical ability in language use” (87). These definitions cover grammatical accuracy and grammatical range. The accuracy of texts is typically assessed in a testing situation with the use of human raters. In contrast, grammatical range analysis can be carried out with computers. Lu (*A corpus-based evaluation*) proposes a description of grammatical range in terms of 14 syntactic complexity indicators calculated on the basis of nine structures. He designed a computational system to automate the measurement of syntactic complexity and analysed scripts written by a large number of English as a second language learners. The measures proposed and the computational system created by him allow a systematic and thorough description of the syntactic complexity of texts.

Read defines vocabulary ability as knowing how to use words in context, knowing about words, and being able to use metacognitive strategies. What is typically assessed in language tests in terms of vocabulary ability is the size of vocabulary and knowledge of register. Register can be defined as the variation of words with contexts of use, and although it has been studied with the help of corpora (e.g., by Biber), in testing situations raters are used to assess knowledge of register and accuracy of vocabulary. Contrary to this, computers have proven effective and accurate aids to determine vocabulary size. Various indices can be calculated based on the words in a text to describe its lexical features. Lu (*The relationship*) proposes the use of 25 indices for the description of the lexical complexity of a text that can be subsumed under: lexical density, lexical sophistication and lexical variation. Lexical density is the proportion of content words to the total number of words in a text (Read 203); lexical sophistication is a “measure of the proportion of relatively unusual or advanced words in the learner's text” (Read 203); and, lexical variation refers to the proportion of content words to the total number of content words in the text (Read 203).

### **3 Research questions**

The present study is driven by the following research questions:

1. Which ID variables shape students' argumentative writing achievement?
2. How do ID variables influence writing achievement?

## 4 Methods

The study belongs to a larger scale investigation that draws on the paradigm called mixed methods research in that it combines research methods from quantitative and qualitative research. In this study we focus primarily on quantitative analyses and their results. Therefore, in what follows, we present a brief description of the participants, the questionnaire, the writing task, and data collection and analysis.

### 4.1 Participants

The participants of the study were 223 English majors from a large university located in Budapest. The gender distribution of the sample indicated that females strongly outnumber males at this institution as 171 participants were female (76.6%) and 52 (23.3%) male. The average age of our participants was 20.6 (the youngest respondent was 18 years old and the oldest was 37 years old), and 10% of our participants were older than 23. The students typically started learning English between the ages of 7 and 10, and their level of English ranged from B2 to C2. In addition to English, the majority of them (76.6%) also reported to be learning another foreign language. The most popular third languages, in addition to their native Hungarian and English language, included German, French, Spanish and Italian. At the time of the data collection, all participants were first year BA students who attended one of the compulsory academic skills classes with a special emphasis on academic writing.

### 4.2 The questionnaire

The questionnaire included 73 items, among which five were open-ended items at the end of the instrument, inquiring about students' age, gender and foreign language learning background. All the other items used 5-point rating scales. The items of the questionnaire came from several sources (Bandura, *Guide*; Kormos and Csizér; Brózik-Piniel; Ryan; Tseng, Dörnyei and Schmitt), but all the items asking about language learning in general were adapted to writing in English. The final instrument was piloted with 79 students in the autumn term of 2011 (Csizér). The constructs of the questionnaire are as follows:

- a. Motivated learning behaviour (5 items) describes how much effort students are willing to invest in language learning. Sample item: *I do my best to learn English as well as possible.*
- b. Ideal L2 self (4 items) measures students' vision about their future language use. Sample item: *When I think of my future career, I imagine being able to use English on a near native level.*
- c. Ought to L2 self (7 items) asks about external pressures concerning learning English. Sample item: *I feel that I am expected to speak English like a native.*

- d. Language learning experience (4 items) inquires about the participants' past experience concerning learning English. Sample item: *I always liked the tasks we did in English classes at my secondary school.*
- e. International orientation (4 items) describes students' attitudes towards the global status of English. Sample item: *It is necessary to learn English because it is an international language.*
- f. Writing anxiety (8 items) includes statements about students' anxiety concerning writing tasks at the university. Sample item: *When I hand in a written assignment, I am anxious about my tutor's opinion.*
- g. Self-efficacy (9 items) measures to what extent students think that they are able to complete their writing assignments self-confidently and with ease. Sample item: *I am sure that I can complete any writing tasks in English.*
- h. Self-regulated behaviour (20 items) included five subscales on how much responsibility students are willing to take for their own learning. All scales related to various control measures and they were as follows: environmental control (sample item: *I can concentrate on writing in less than ideal environments as well.*); satiation control (sample item: *If I get bored during a writing task, I can easily overcome this boredom.*); metacognitive control (sample item: *I can control my attention during long writing tasks.*); emotional control (sample item: *I can overcome my anxiety concerning writing in English.*); and commitment control (sample item: *I have my own strategies to complete my writing related goals.*).

### 4.3 The short essay

The writing task the students were administered was a short argumentative essay. In the academic skills course, students practiced constructing written arguments and embedding them into essays. In order to optimise the conditions for multiple drafting and to accelerate peer- and tutor written feedback provision as well as to give students the opportunity to create whole pieces of academic written discourse that have texture (Halliday and Hasan 23) and feature all the core rhetorical components of longer formal texts, the essay type selected for the study was the one-paragraph argumentative essay described in Section 2.2.

The essays were written as part of a centrally administered timed examination. Students were given a topic related to university education with which they were familiar and on which they could take an argumentative stance, formulate a claim based on their stance, and build support for it. Topic familiarity was an important factor in task design because language testers claim that it affects the quality of written production (Weigle 44–45) and has a potential impact on revision (Porte 111). In order to reduce the amount of anxiety induced by the time constraint, which can also have a negative effect on the efficiency of revision (Porte 113), the length for the essay was specified as ranging from 130 to 150 words, which is almost identical with the average length of a paragraph in an English language expository academic text written by an English native speaker expert (Simpson 298–299). Research has also

shown (Bridwell 216–217) that the shorter and less laborious it is to revise a script the more substantial revision student writers perform. Therefore, with the decisions on topic choice, length requirement, and time allotted for the completion of the task, we aimed to optimise the conditions for composing the argumentative essay.

#### **4.4 Data collection and analysis**

The questionnaire data collection took place on two separate occasions in March, 2012. During regular classes students were asked by their tutors to fill in the standardised questionnaire, the completion of which took approximately 20 minutes. Participation was voluntary, but the questionnaire asked for the students' registration codes so that the questionnaire data could be matched with the data generated from the analyses of the essays.

The questionnaire data was computer coded using SPSS 16.0 for Windows. The essays were rated and analysed and the numerical results were also added to the file. The data analysis presented here includes both descriptive statistics and correlational analyses of our scales.

The argumentative essays were written in March, 2012 as part of an academic skills test battery. The test was administered for all first year students and every student took the test at the same time. The time allotted for the completion of the essay writing task was 45 minutes, but students who completed the essay earlier were allowed to start working on the remaining test tasks.

The essays were rated independently by two raters, following a standardisation and a rater-training session. The analytic scale consisting of four subscales (Task Achievement comprising rhetorical and argument structure, Coherence and Cohesion, Grammar and Vocabulary) used for rating was developed specifically for this test based on Tankó (*Into Europe*). The two raters awarded independently four subscores and each calculated a total score for the essays. Following this, they compared their scores and agreed on the final subscores and total score according to the rules specified in the guidelines for raters. The essay scores were used as the first set of discourse variables in this study.

The essays were scanned before the rating stage and typed up. The electronic versions of the essays were double checked for accuracy and a corpus was constructed with an XML based system for corpora development called CLaRK. The essays were then analysed for lexical and syntactic complexity using the software developed by Lu. The lexical and syntactic complexity indices generated were used as the second set of discourse variables in this study.

### **5 Results and discussion**

Table 1 includes the descriptive statistics of our data. Based on the Cronbach's Alpha values, we can conclude that the scales employed in our study are internally reliable measures of the various individual difference related constructs. Descriptive statistics on the scales indicate a high level of motivation (both ideal L2 self and motivated

learning behaviour have mean values over 4), while language learning experience is generally positive but not without possible problems ( $M=3.94$ ). In terms of anxiety and self-efficacy, English majors do not seem to be overly anxious concerning writing ( $M=2.82$ ), and they have a general tendency towards self-confidence, although with room for improvement ( $M=3.67$ ). Most of our participants seem to be able to control their own learning processes, as the mean values for these scales are between the range of 3 and 4 with commitment control scoring the lowest mean value ( $M=3.28$ ), which indicates that students might have problems in either establishing short- and long-term goals for themselves, or, alternatively, persevering in meeting their self-established goals.

*Table 1*  
*Reliability Analysis and Descriptive Results of the Individual Difference Scales*

	<b>Scales</b>	<b>Cronbach's Alfa</b>	<b>Mean</b>	<b>St. dev.</b>
1.	Motivated learning behaviour	.78	4.44	.51
2.	Ideal L2 self	.74	4.65	.41
3.	Ought-to L2 self	.76	3.78	.62
4.	Language learning experience	.86	3.94	.91
5.	International orientation	.72	4.27	.47
6.	Writing anxiety	.82	2.82	.66
7.	Self-efficacy	.91	3.67	.71
8.	Environmental control	.66	3.70	.69
9.	Satiation control	.76	3.59	.75
10.	Metacognitive control	.77	3.74	.83
11.	Emotional control	.82	3.79	.76
12.	Commitment control	.67	3.28	.79

Table 2 presents descriptive data concerning the first set of discourse variables used in the study. Students obtained grade 3 in average on the test with the total score of 10.74 (out of the maximum attainable 15 points). Among the three directly language skills related variables, grammar reached the highest mean value (2.16 on a 0-3 scale), vocabulary and style received the lowest mean value (1.81), and the criterion measuring connectedness in text ranked in between the two. It seems that in writing students paid more attention to and more effectively monitored their grammar than vocabulary or style.

The highest mean value was reached in the Task Achievement category. This is the category where the scripts were assessed for their rhetorical and argumentative characteristics. Given that both the construction of a cogent argument and its embedding into an integral piece of text are cognitively complex tasks, students usually invest more effort into these two substages of the composition process. As the result indicates, these efforts do lead to rhetorically effectively presented

argumentative content, which in turn shows that the use of rhetorical elements and that of argument structure for academic writing purposes can be taught effectively.

*Table 2*  
*Descriptive Results of the Discourse Variables*

	<b>Scales</b>	<b>Mean</b>	<b>St. dev.</b>
1.	Coherence & cohesion	2.07	.75
2.	Grammar	2.16	.70
3.	Vocabulary & style	1.81	.69
4.	Task achievement	2.40	.69
5.	Total score	10.74	2.49
6.	Grade	3.16	1.04

In terms of the relationship between the ID and discourse variables (see Table 3), a number of important and interesting findings can be seen despite the fact that all the significant results seem to be weak. First, we can conclude that those students who are more motivated obtain significantly higher total scores, indicating that motivation indeed leads to better achievement. Second, if we look at the individual achievement variables, we can see that grammar is related to most of the ID variables. It seems that students were most aware of and probably most concerned about the importance of producing grammatically impeccable texts as opposed to texts that are coherent and cohesive or that contain rich and correct lexical items of the appropriate style. Third, satiation and environmental control do not seem to play an important role in writing in English, which can possibly be explained with the circumstances of the data collection; namely, that data was collected in a test situation where the environment was controlled to exclude disturbing instances. Furthermore, boredom is hardly a typical concern during a test because test takers have to complete the set tasks irrespective of how bored they might feel. Fourth, interestingly neither ideal L2 self nor international orientation seem to be important from the point of view of achievement, which might be put down to the overwhelmingly spoken environment of global English; that is, students are not really aware of the importance of writing in communication. Fifth, there are some negative correlations. On the one hand, writing anxiety is negatively correlated with grammatical accuracy, which most probably indicates that those students who are less anxious about writing are able to create texts with fewer grammar errors. On the other hand, the negative correlation between ought-to L2 self and successful task achievement is less straightforward. Based on the data gained from the correlations of essay scores and ID data, it seems that outside expectations concerning language learning hinder task achievement in the present context. We may attempt to explain this with unrealistic expectations from the course, teacher or programme, but in that case there should be no students who achieved top scores. A more plausible explanation could be the lack of internalisation of some of

these expectations; that is, students do not seem to be aware of the importance of the writing task and/or test.

*Table 3*  
*The Summary of the Significant Relationships between ID and Discourse Variables*

	SC	EmC	MC	EnC	CoC	SEff	ISelf	Oself	LLE	IO	WA	MLB
TA	.024	.015	.085	.073	.025	-.035	.069	-.132*	.000	-.056	.024	.117
CC	-.027	.065	.084	.110	.057	.104	.050	-.089	-.008	-.074	-.056	.086
G	.090	.184**	.212**	.003	.182**	.189**	.039	-.010	.160*	-.052	-.228**	.088
V	-.024	.033	.117	.006	.018	.122	.115	-.008	-.034	.008	-.052	.097
Score	.023	.092	.167*	.066	.094	.110	.092	-.106	.044	-.071	-.082	.138*
Grade	.008	.114	.166*	.000	.084	.081	.103	-.132*	-.014	-.081	-.075	.091

Individual Differences variables: SC – satiation control, EmC – emotional control, MC - metacognitive control, EnC – environmental control, CoC - commitment control, SEff – self-efficacy, ISelf - Ideal L2 self, Oself - ought-to L2 self, LLE – language learning experience, IO - international orientation, WA – writing anxiety, MLB – motivated learning behaviour.

Discourse variables: TA – task achievement, CC – coherence and cohesion, G – grammar, V – vocabulary.

Table 4 presents a summary of the relationships between ID and lexical and syntactic variables. Altogether 41 significant correlations were found ( $n = 35$ , Sig. at the 0.05 level;  $n = 6$ , Sig. at the 0.01 level). Strong relationships were found between five and weak relationships between 6 variables. The strong and weak distinction was made in this case based on the number of relationships recorded between the observed variables. No relationship was found with motivated learning behaviour.

The ID variables found to form strong relationships with lexical and syntactic complexity variables were emotional control, self-efficacy, writing anxiety, commitment control, and ought-to self. It appears that students who can handle disruptive emotions and moods, who are more perseverant, and who are influenced by outside pressure or expectations write syntactically more complex texts. Students with better emotional and commitment control also write longer and more dynamic texts.

*Table 4*  
*Summary of the Significant Relationships between ID and Lexical/Syntactic Complexity Variables*

ID	SLC		#
	SyntComp	LexComp	
<b>Emotion control</b>	Complexity of snt. str. (4) Verb phrases (2) Length (1)	Lexical Variation (1)	8
<b>Self-efficacy</b>		Lexical Variation (3) TTR(5)	8
<b>Writing anxiety</b>	Verb phrases (1)	Lexical Variation (2) TTR(4)	7
<b>Commitment control</b>	Complexity of snt. str. (3) Length (1) Verb phrases (1)	-	5
<b>Ought-to self</b>	Complexity of snt. str. (2) Nominals (1)	Lexical Sophistication (2)	5
<b>Metacognitive control</b>	Complexity of snt. str. (2) Verb phrases (1)	-	3
<b>LL experience</b>	Coordinate phrases (2)	-	2
<b>Ideal self</b>	-	Verb diversity (2)	2
<b>Environmental control</b>	-	Lexical word diversity (1)	1
<b>International orientation</b>	-	Lexical Sophistication (1)	1
<b>Satiation control</b>	Nominals (1)	-	1
<b>Total</b>	<b>22</b>	<b>21</b>	<b>43</b>

Lexical variation correlated positively with emotion control and self-efficacy and negatively with writing anxiety. From the perspective of this study, this shows that students who can handle disruptive moods or emotions and therefore do not worry excessively about the test and those who are confident that they can handle the essay employ a richer vocabulary and get higher scores. This is a hypothesised yet plausible relationship. Furthermore, type-token ratio was positively correlated with self-efficacy and negatively with writing anxiety. It can be hypothesised that confidence boosted lexical richness whereas anxiety impeded it.

The fact that strong relations were found between the ought-to L2 self and lexical sophistication as well as with the use of complex sentence structures and of complex nominals is a promising sign. It seems that students do make some effort to meet external requirements: Their writing skills teachers, the model essays used in

teaching, or the sample academic reading passages used in the idea-generation stage all function as reference points for apprentice writers.

## **6 Conclusions and implications**

This paper set as its goals to identify the variables that shape students' argumentative writing achievement and to investigate the nature of this influence. The ID variables were found to be related to writing achievement and all the relationships were significant but weak. A clear relationship was found between motivation and achievement and Grammar was connected to all the ID variables. Some of the established relationships were controversial, such as the connection between ought-to L2 self and achievement.

Based on the findings, some hypothetical statements can also be formulated concerning the nature of the relationship between ID variables and writing achievement. Some of the ID variables were found to be closely related to lexical and syntactic complexity variables, which is an indication that effective control strategy use and high achievement are directly related. The results indicate that the investigation of the relationship between ID and Discourse variables can provide useful insights. However, the uncertainties indicate that further research is needed.

The results also have a number of implications for classroom teachers of academic writing. The discord between task achievement, which is affected by students' motivated learning behaviour positively, and their ought-to L2 self, which correlates negatively with this criterion, indicates that motivated students can learn the rhetorical features and argumentation structure required for argumentative essay writing, but they do not seem to be aware of the need for acquiring these skills. This is probably due to the fact that as novices in the academic discourse community students do not have enough experience with academic writing to see the practical relevance of the skills the academic writing curriculum covers. Teachers therefore need to focus not only on teaching the skills but also on contextualising the skills not merely within the context of the writing course but with regard to the written assignments students shall need to undertake in the course of their studies. If students understand that the skills they learn are transferrable to content courses and shall serve their later academic writing purposes directly, they shall want to acquire them and shall be able to see their future self as a highly proficient academic English writer.

Standardised assessment is a key factor in this process. If teachers have to attend trainings before they start rating, they become familiar with the requirements, and in the course of the consensus building discussions they understand why specific constructs are operationalised in the essay task. They can then mediate this know-how to students.

Grammar, as discussed above, still seems to be the bogeyman of academic writing. Students' attention must be shifted from such lower level concerns as grammatical accuracy to higher level concerns. They should concentrate equally on all the writing sub-skills and be given writing tasks that engage them in knowledge

generating writing processes, such as the ones used in writing seminar papers or BA theses.

The results also showed that the cohesion and coherence of the essays was shaped by students' ability to self-regulate their writing in a weak but positive way. Therefore, it is important to teach students to regulate their own learning (i.e., how to stick to goals, manage boredom, control anxiety, concentration, procrastination as well as their environmental hindrances). The writing teacher must therefore emphasise that composition is a process and take students through each stage of this process several time with different writing activities. Writing without composing is what unskilled writers do. Those who plan, organise, and revise their writing for content and organisation, not only for accuracy, and who consistently adhere to the needs of a specific audience will produce texts that are more coherent and cohesive. Additionally, writers who acquire the healthy routine of going through the stages of the writing process will be less affected by anxiety when they have to write under test conditions.

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# Pre-service Teachers' Beliefs about Language Learning

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Preconceived notions about languages and language learning are known to have a profound influence on all aspects of foreign language acquisition. Research has also shown that the beliefs foreign language teachers hold are deeply rooted in their own experiences as language learners and are often too solid to be changed by methodology training. In a cross sectional study, first year students of three consecutive years were surveyed at the beginning and at the end of the first semester of the MA in English Language Teaching (ELT) program in order to gain an insight into what beliefs they hold upon entering training and how their conceptions about language learning change in the course of the first semester. The responses of the different groups to Horwitz's Beliefs About Language Learning Inventory (127–28) are strikingly similar, suggesting that trainee teachers' beliefs might be quite deeply entrenched. Results show the solidity of beliefs over time as well as across student groups with only some variation on individual items. While some of the trainee beliefs are consonant with current thinking in foreign language pedagogy, others represent rather conservative views and classroom practices.

## 1 Introduction

Investigating *beliefs about language learning* has been on the agenda of second language acquisition (SLA) research since the mid 1980s. A number of researchers have investigated this area of individual differences in order to establish links between learners' beliefs and second language (L2) attainment (for a comprehensive overview see Gabillon). One of the major concerns has been learners' negative preconceptions of themselves, their abilities, or the language itself since such views can easily exert a detrimental effect on learning success (Mantle-Bromley 381). Of particular interest are the beliefs teachers hold about language learning and teaching. When languages are learnt in an instructed setting, such as English in Hungary, non-native teachers are at the same time also learners of the same language and their learning experiences may have a long lasting effect on their beliefs not only as learners but also as teachers of the foreign language (FL).

It follows from the above that pre-service teachers of a FL do not enter the training classroom as a *tabula rasa*: They each bring along their thoroughly developed, though not necessarily articulated beliefs about language learning, which are deeply rooted in their previous experience. If there is a mismatch between those beliefs and the teaching methodology that is practiced during training, experience can easily win over theory and input (cf. Horwitz; Peacock). Teacher educators who want to base their training on solid grounds therefore cannot shy away from bringing their

students' beliefs and convictions into the open: raising awareness of their nature and their sources and assessing their compatibility with current theories in SLA and language education is highly advisable. This is a difficult process that might sometimes look threatening or create frustration in the trainees, but failing to go through with it may result in novice teachers' resistance to training ideas or their copying of teaching recipes without thought or conviction. The realization of this necessity has already led several teacher educators to conduct empirical research in their classrooms with the purpose of discovering and analyzing pre-service teachers' beliefs about FL learning, and there is plenty of room for further investigations.

## 2 Beliefs in SLA Research

Pajares calls *teachers' beliefs* "a messy construct" and a "formidable concept" (307–8), a phenomenon whose importance in influencing learning outcomes is beyond doubt, but whose complexity results in conceptualization difficulties. Opinions as to what the term itself entails vary a great deal. The wide range of definitions identify beliefs as "preconceived ideas" (Horwitz 119), "views" (Bush 320), "cognition" (Mantle-Bromley 373), "understandings, premises, or propositions" (Peacock 178), or "mental constructions of experience . . . that are held to be true and that guide behavior" (White 443), just to mention a few. It is not the aim of this paper to establish a common ground for the conceptualization of the term; for the purposes of the present study a comprehensive definition by Cabaroglu and Roberts is applied according to which beliefs are

a set of conceptual representations which signify to its holder a reality or given state of affairs of sufficient validity, truth or trustworthiness to warrant reliance upon it as a guide to personal thought and action (388).

In SLA research the beliefs teachers hold can be considered just as important as the beliefs of the learners themselves. Researchers agree that teacher beliefs are deeply rooted in the teachers' own experiences as language learners; in fact, they are often too solid to be changed by methodology training.

Horwitz, who was one of the first to direct the attention of applied linguists to the importance of learner beliefs in language learning, developed her Beliefs About Language Learning Inventory (BALLI) with the aim of assessing students' preconceived ideas about learning an L2 so that teachers can be sensitized not only to the beliefs their learners hold but also to their possible consequences (119). These preexisting beliefs are claimed to have an impact on learner's approaches to and behaviors in the learning process (Horwitz; White). A number of researchers have proposed that some beliefs are beneficial to learners while others can lead to negative effects on language learning. For instance, Mantle-Bromley suggested that learners who have positive attitudes and realistic language-related beliefs are more likely to behave in a more productive way in learning than those who have negative attitudes and mistaken beliefs (383). In a study conducted among students of Japanese as a

foreign language, Mori also found a modest but significant relationship between beliefs and FL achievement (398–400).

Although researchers in SLA have developed and used different instruments for assessing language learners' beliefs in the past few decades, it is Horwitz's inventory that has been used most widely in research all over the world among learners of English as an L2 in the USA as well as among students learning foreign languages in various instructed settings or as self study. BALLI, as its name says, is an inventory; it does not yield a composite score. It does not distinguish between learners as good or bad according to the nature of their beliefs; its results can be used for identifying and describing learner beliefs, and also for observing them in the light of the learners' learning outcome.

BALLI was also used in the investigations that gave impetus to the research presented in this study. Training future teachers in Hong Kong, Peacock was interested in the solidity of his trainees' beliefs over time during a three-year teacher training program. In 2001, he used a slightly modified BALLI to carry out a piece of longitudinal research to track changes in the views of trainee teachers. To his disappointment, no significant changes occurred in key beliefs that the participants held very strongly at the beginning of the program regarding the importance of vocabulary learning and grammar rules (186). The author thought these beliefs, which are not consonant with current thinking in foreign language pedagogy, may inform the trainees' future teaching and thus have a detrimental effect on their learners' FL learning progress.

More promising results were obtained by Busch in the USA in 2010. Bush carried out a longitudinal investigation among students taking an obligatory course on SLA theory and research as part of a three-year teacher certification program. Collecting data from 381 students with the help of a modified version of BALLI administered as a pre- and post-test, she found significant changes in beliefs on half of the statements (321). The participants in her study put down their pre-course beliefs primarily to past language learning and other background experiences (324). Among the causes to which they attributed the changes in their beliefs they listed course readings, class discussions, gaining experience in tutoring ESL students, concurrent experience in taking a FL course, as well as comments of the instructor on how beliefs would influence future teaching (324-27).

Rieger in Hungary conducted her research among 109 first-year language majors studying at the English and German departments of one of the universities in Budapest. The instrument that she employed in the study was a Hungarian version of BALLI slightly modified to fit the Hungarian context. She wanted to find out whether learners' beliefs about language learning are global or rather influenced by the given language they are studying. The special feature of her study is that it explores not only the differences in learners' beliefs based on their target language but also looks at gender effect.

Directly prompted by research conducted nationally and internationally (Bush; Kern; Mantle-Bromley; Peacock; Rieger), the present paper reports on a three-year cross-sectional investigation to assess the beliefs students hold about language

learning in the first semester of the MA in ELT program at a Hungarian university. The aim was to gain insight into the nature of these beliefs and how consistently students cling on to them. Therefore, the research questions set for the investigation were as follows:

1. What characterizes the beliefs about FL learning of first year teacher trainees in ELT?
2. How consistent are the beliefs of the participating students across the three years of data collection?

In order to obtain answers to the above questions, a cross sectional investigation was carried out which will be described in detail in the Method section.

### 3 Method

#### 3.1 Participants

The participants of the research were students of the MA in ELT program of one of the major Hungarian universities taking the required introductory lecture into SLA theories in the first semester of the first year of the program. At the time of data collection they were all holders of a Bachelor's degree already and had entered the MA program either from the English major or the English minor track. Cross sectional data collection took place immediately at the beginning of the fall semester in three consecutive years from 2010 to 2012. In order to obtain longitudinal data, in the case of the 2011 and 2012 cohorts data collection was repeated at the end of the course in December. Altogether 146 students participated in the research and 29 students from the 2011 cohort and also 29 from the 2012 cohort filled out the inventory at the end of the SLA course in December as well. Thus a total of 204 completed inventories were collected for analysis (see table 1).

Table 1 Number of Participants

<b>Cohort</b>	<b>Year</b>	<b>September</b>	<b>December</b>	<b>Total</b>
1	2010	54	-	
2	2011	53	29	
3	2012	39	29	
<b>Total</b>		<b>146</b>	<b>58</b>	<b>204</b>

### 3.2 Instrument

The instrument of data collection was Horwitz's BALLI for a number of reasons. First, this is to date the most widely accepted and used inventory internationally. Secondly, research studies that mainly informed the present research (Kern, Busch, Mantle-Bromley, Peacock) also used Horwitz's instrument and this offered an opportunity for letting the participating students compare their results to those of international students as an in-class activity.

BALLI is a 34 item instrument with two forced-choice and 32 Likert scale items that tap into students' beliefs about the following five areas:

- a) foreign language aptitude, e.g. *I have a special ability to learn foreign languages;*
- b) the difficulty of language learning, e.g. *Some languages are easier to learn than others;*
- c) the nature of language learning, e.g. *The most important part of learning a foreign language is learning the grammar;*
- d) learning and communication strategies, e.g. *It is important to repeat and practice a lot;*
- e) motivations, e.g. *If I learn English very well, I will have better opportunities for a good job.* (Horwitz 127–8)

In their responses to BALLI items respondents express their agreement or disagreement with each statement on a 5-point Likert scale, where 5 = Strongly agree, 4 = Agree, 3 = Neither agree nor disagree, 2 = Disagree, and 1 = Strongly disagree. As mentioned before, BALLI does not provide a composite average; however, with the application of appropriate statistical analyses, it gives an overall picture about the participants' beliefs and allows for comparing beliefs across various student groups.

### 3.3 Procedure of data collection and analysis

The questionnaire was administered anonymously in the very first session of the SLA course in September 2010, 2011 and 2012. One of the topics of this lecture series is learner beliefs in language learning, and the completion of the instrument was used as a basis for further exploration and discussion of the issue. After calculating simple descriptive statistics, the students were given feedback on the group's results and their scores were compared to those available in the literature. In the 2011 and 2012 cohorts, data collection was repeated in December to gather information about any changes in beliefs during the intensive training in language development and teaching methodology in the first semester of the MA in ELT program. However, since at this university there is no obligatory attendance in lecture classes, data collection with the same subsection of students in September and December could not be assured, unfortunately; therefore, the September and December data do not come from identical students. Moreover, data collection could not be repeated in the 2010 cohort,

due to the unexpectedly low turnout of the students in the last class. These circumstances limited the possibilities of data analysis as well as the range of conclusions that could be drawn from the results.

The data were analyzed using the statistical package SPSS 15.0 for Windows.<sup>1</sup> First descriptive statistics were calculated to reveal the overall state of beliefs of the participating MA in ELT students. Following that, one-way ANOVA with a post hoc Duncan test for homogenous subsets was performed to discover differences between and within groups. Due to the low number of participants further statistical analyses did not seem feasible.

## 4 Results and Discussion

### 4.1 Descriptive statistics

Descriptive statistics revealed that there is not a single BALLI item that each and every participant would strongly agree with; the highest average (4.56 on a 5 point scale) was calculated for Item 17 *It is important to repeat and practice a lot*. However, steady agreement was found with items 1, 6, 11, 23, 25, and 27 of the inventory as well (see table 2).

Table 2 Top Agree to Strongly agree items

Scale	Item	Mean	Std. Deviation
<b>Difficulty of language learning</b>	1. It is easier for children than adults to learn a foreign language.	4.12	.88
<b>Foreign language aptitude</b>	6. I believe I will ultimately learn to speak English very well.	4.07	.80
<b>Nature of language learning</b>	11. It is better to learn a foreign language in the foreign country.	4.23	.80
	25. Learning a foreign language is different from learning other school subjects.	4.21	.70
<b>Learning and communication strategies</b>	17. It is important to repeat and practice a lot.	4.56	.54
<b>Motivations and expectations</b>	23. If I get to speak English very well, I will have many opportunities to use it.	4.21	.80
	27. If I learn English very well it will help me get a good job.	4.20	.68

Note: 5 = Strongly agree; 4 = Agree; 3 = Neither agree nor disagree; 2 = Disagree; 1 = Strongly disagree

<sup>1</sup> Special thanks to Kata Csizér for her invaluable help with the statistical analyses.

At the other end of the scale, strong to very strong disagreement was found with four statements of the inventory, each from a different scale: items 9, 24, 26, 29 (see table 3). None of the items tapping into the motivations and expectations of the students yielded averages in the *Disagree to Strongly disagree* range.

Table 3 Top *Disagree to Strongly disagree* items

Scale	Item	Mean	Std. Deviation
<b>Difficulty of language learning</b>	24. It is easier to speak than understand a foreign language.	1.99	.87
<b>Foreign language aptitude</b>	29. People who are good at math and science are not good at learning foreign languages.	2.00	.82
<b>Nature of language learning</b>	26. Learning a foreign language is mostly a matter of translating from Hungarian.	1.80	.69
<b>Learning and communication strategies</b>	9. You should not say anything in the foreign language until you can say it correctly.	1.55	.67

Note: 5 = Strongly agree; 4 = Agree; 3 = Neither agree nor disagree; 2 = Disagree; 1 = Strongly disagree

*Foreign Language Aptitude*, covered by the first scale of the Inventory, is considered to play a major role in the successful learning of an L2, especially in formal learning situations “in contrast to the more naturalistic language *acquisitional* processes” (Dörnyei, 42; emphasis in the original). The participants’ opinion regarding the role of aptitude seems to be somewhat inconsistent. Although they believe that everyone can learn to speak a foreign language (Item 28 M=3.84), they also agree with the statement that some people are born with a special ability that enables them to learn a FL (Item 2 M=3.99). In spite of this, they seem to be less strongly convinced of their own foreign language aptitude: their average score on Item 15 *I have foreign language aptitude* came to M=3.71. The students in our sample definitely agree with the widely held belief that for children it is easier to learn a foreign language than for adults (Item 1 M=4.12), and tend to rather agree than disagree that women are better than men at learning a FL (Item 15 M=3.7).

As regards the *Difficulty of Language Learning*, they tend to consider English a language of medium difficulty (M=3.08 on the 5-point scale) that one can become fluent in after 3-5 years of study. They do not think that one of the four skills would be easier to develop than the other, rejecting Item 24 that compares speaking to understanding a FL (M=2.00), while they seem to be undecided or neutral as to whether acquiring reading and writing in the FL would be easier than learning to produce and understand speech (Item 28 M=3.12).

BALLI contains six items which tap into what learners believe about the *Nature of Language Learning*. The first year MA in ELT student participants rejected the idea that learning a FL entailed mainly learning vocabulary words (M=2.66) or

grammar rules (M=2.39), especially that it was a matter of translating from Hungarian (M=1.80), and agreed that it was different from learning other school subjects (M=4.21). They quite agreed that learning a FL was more effective in the foreign country (M=4.23) and were somewhat undecided (M=3.35) whether knowing about the culture of the speakers of the FL was important in order to speak the L2.

The scale of *Learning and Communication Strategies* contained only one item that the majority of the students agreed with: the item that describes a rather conventional strategy in FLL in fact yielded the highest average across all five takes of the inventory: *It is important to repeat and practice a lot* (M=4.56). On the other hand, Item 9, which suggests that one should not say anything in the FL unless it is said correctly was met with the lowest agreement of all (M=1.55). The student-teachers quite agreed with the idea of guessing the meaning of a new word (M=3.96), which is a learning strategy supported by current methodologies. The rest of the items of this scale concerning the importance of an excellent accent (M=3.23), making use of practice opportunities (M=3.39), feeling FL anxiety when speaking in front of others (M=3.30), or the fossilization of uncorrected errors (M=2.71) students on the whole seemed to be undecided about.

The scale of *Motivations and expectations* elicited quite positive responses. The students are convinced of the general benefits of learning English well (Item 23 M=4.21) and hope that good English skills will help them get a good job (M=4.20). There is a moderate indication of integrative motivation on Item 31 *"I would like to learn English so that I can get to know its speakers better"* (M=3.71), and we can also say that the participants tend to rather agree than disagree with the statement that Hungarians on the whole consider speaking foreign languages important (Item 30 M=3.64).

The results of the descriptive statistics provide an overall insight into the multicolored belief system of first year students in the MA in ELT program of the university. The strong or steady agreement with items that reflect popular views about language learning concerning the role of age, aptitude or learning strategies indicate that these students are more under the influence of their own and their environment's experience and are less influenced by research results in SLA they are likely to have learnt about as undergraduate students of English. The items that this student population seems to be undecided about provide plenty of room for awareness raising and development.

Positive previous experience can be suspected behind the rejection of learning/teaching approaches that overemphasize error-free speech production, or put vocabulary memorization, grammar rules, and translation from the first language (L1) into the center. On the other hand, the top score for such traditional learning activities as lots of repetition and practice highlights the prevalence of traditional Hungarian educational values and practice in language teaching. However, some contradiction can be detected between the strong agreement with Item 17 *It is important to repeat and practice a lot* and the undecided overall response given to Item 12 *If I heard someone speaking the language I am trying to learn, I would go up to them so that I*

*could practice speaking the language.* The difference in the responses might come from the interpretation of *practice* not as real life, communicative practice but as rote repetition, doing structural drills or solving written exercises, each a traditional activity frequently applied in present day FL education in Hungary. The results on Item 12 are not quite in line with the high levels of agreement with Item 11 *It is better to learn a foreign language in the foreign country*, since if a student is not actively seeking out opportunities for practicing the language, and is reluctant to take the initiative for speaking with other users of the L2, spending time in the target country might be of little use.

Some responses come unexpected from students in a teaching track and therefore deserve attention. The students in the examined cohorts consider aptitude quite important in language learning, and although they have successfully completed their studies in English up to the 1st semester of the MA in ELT program, many of them do not consider themselves to have high levels of aptitude. In spite of this, they believe that ultimately they will learn the language well, so we can assume they either intend to do it with lots of repetition and practice or by spending time in an English speaking country. Finally, one also wonders why future teachers and successful learners of English as a FL do not demonstrate more confidence or conviction that it is just as possible to learn a FL well in an instructed setting as in a target language environment. Further research into what students mean by learning a language *well* would be necessary for gaining a better insight into the beliefs of the participants regarding this issue.

## 4.2 One-way ANOVA

For examining the differences between the results of the three cohorts for the beginning and for the end of the semester one-way ANOVA was run. The significance level was set at  $p < .05$ . Significant differences between the results were found on only six BALLI items (see table 4):

Table 4 Items with a significant difference among cohorts

Scale	Item	F	p<.05
<b>Difficulty of language learning</b>	-	-	-
<b>Foreign language aptitude</b>	1. It is easier for children than adults to learn a foreign language.	$F_{(4, 198)} = 7.19$	$p = .000$
<b>Nature of language learning</b>	16. Learning a foreign language is mostly a matter of learning a lot of new vocabulary words.	$F_{(4, 199)} = 3.71$	$p = .043$
	25. Learning a foreign language is different from learning other school subjects.	$F_{(4, 199)} = 2.54$	$p = .041$

<b>Learning and communication strategies</b>	7. It is important to speak a foreign language with an excellent accent.	$F_{(4, 199)} = 2.67$	$p = .033$
	13. It is o.k. to guess if you don't know a word in the foreign language.	$F_{(4, 199)} = 2.51$	$p = .006$
<b>Motivations and expectations</b>	27. If I learn English very well it will help me get a good job.	$F_{(4, 199)} = 2.66$	$p = .034$

A post hoc Duncan test for homogenous samples was run to discover between which groups the differences lay.

For Item 1 *It is easier for children than adults to learn a foreign language* we can see that students in each cohort consider children to be more efficient language learners than adults. The average results show agreement in the 4.39–4.22 range in each of the cohorts for September, but are significantly lower both in December 2011 ( $M=3.68$ ) and December 2012 ( $M=3.58$ ) indicating that by the end of the first semester of their training students tend to be less certain about the advantages of children over adults in learning FLs. This decrease in the level of agreement could be attributed to the information students receive in the program either in class or through their readings on research into the role of age in SLA.

A similar observation can be made regarding the changes in the results on Item 7. Although students are undecided whether *It is important to speak a foreign language with an excellent accent*, their opinion seems to be moving towards disagreement. At the first administration of BALLI the first cohort of students was partly undecided; however, the average result ( $M=3.48$ ) was still closer to agreement than disagreement. This low level of agreement gradually seems to be further reduced or even turning into disagreement as indicated by the significantly different average results in the other two cohorts at the end of their first semester: December 2012 ( $M=3.03$ ) and December 2011 ( $M=2.86$ ). This is a desirable change since at the time of English becoming the lingua franca of the world, which is a topic students hear and read about as part of their coursework, the term *excellent accent* is becoming both indefinable and meaningless.

A different tendency is observable in the case of Item 13. The first cohort of students expressed only moderate agreement ( $M=3.66$ ) with the idea that *It is o.k. to guess if you don't know a word in the foreign language*, but the average opinion changed in the positive direction significantly by December 2011 ( $M=4.13$ ), and December 2012 ( $M=4.31$ ).

The degree of agreement with Item 16 *Learning a foreign language is mostly a matter of learning a lot of new vocabulary words* has been getting weaker regardless of the instruction provided by the MA program since the average results at the time of entering the MA program in September 2012 ( $M=2.52$ ) and September 2011 ( $M=2.46$ ) are each significantly lower than in September 2010 ( $M=2.94$ ).

Finally, the reasons why students' beliefs are becoming weaker regarding their chances of getting a better job if they learn to speak English well (Item 27) may not be rooted in SLA theory but could easily be attributed to the general situation on the job market at the time of the research.

## 5 Conclusion

In conclusion, we can say that the beliefs of students in the MA in ELT program of the university are quite consistent since out of the 34 BALLI items significant between group changes could only be observed for six. These changes are modest but made in the right direction. Most of the beliefs students hold are consonant with current methodologies and support positive learning outcomes. Dysfunctional beliefs that might lead to poor achievements in FLs are rejected by our participants even if not always quite as strongly as to fit current theory. Items that students on average seemed to be undecided about require further data collection. Individual interviews could shed light for instance on the reasons why some of the participants feel anxious when interacting with native speakers and are reluctant to communicate when the opportunity is provided.

Some implications for teacher training can also be concluded from the above results. If we want to achieve more fundamental changes in the beliefs of our trainee teachers, lecturing on the results of research is not going to be effective. As Pajares puts it, “[b]elief is based on evaluation and judgment; knowledge is based on objective fact” (313). Researchers present us with facts, but beliefs are derived from the experiences of self and others. In order to shake off old beliefs, students should be provided with new experience. This is confirmed by Bush, whose trainees found a concurrent FL learning experience and the tutoring of ESL learners useful in helping them to get rid of old beliefs (332). The presentation of facts from research must be accompanied by awareness raising and critical thinking activities, which can more effectively be done in small group seminars than in lecture courses. This change, however, presupposes more ideal circumstances at training institutions with more possibilities for small group classes, and trainees who are ready and willing to think.

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# The role of L2 English vocabulary in identifying novel L3 German words<sup>1</sup>

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## 1 Introduction

The field of third language acquisition (TLA) has become a rapidly developing branch of the study of second language acquisition in the past two decades. The establishment of the field can be linked to the end of the 1980s, when the first works devoted solely to the topic were published (e.g. Ringbom, “Cross linguistic influence”, *The role of the first language*; Kellerman; Odlin). Since then there has been a major increase in the number of the published research results and theoretical articles, while at the same time the field has started to develop into several subfields.

Researchers studying third and additional language acquisition agree that both prior language knowledge and the experience gained through learning a previous language or previous languages have a significant impact on the acquisition of a further language (e.g. Boócz-Barna; De Angelis; Gibson and Hufeisen; Groseva; Hammarberg; Hufeisen, “L3–Stand der Forschung”, “A brief introduction”; Hufeisen and Marx; Lindemann; Meißner; Ringbom, “L2-transfer”; Singleton and Little; Tápainé Balla, “Tanuljunk két idegen nyelvet”, “What does an L3 learner”; T. Balla; Winters-Ohle and Seipp). This recognition is particularly important from an educational perspective for learners who are monolingual by birth and who decide to learn second, third and additional languages.

Third language acquisition processes are influenced by a variety of factors. Odlin, Cenoz, De Angelis, Jarvis and Pavlenko, and Hall and Ecke elaborated lists of factors affecting the acquisition of third and additional languages in varying degrees of detail. Some of the factors seem to emerge as crucial ones, such as the cross-linguistic influence between, and the language proficiency in each of the languages involved, as well as the order of acquisition, the age of the language learners and the degree of their language awareness. The present paper focuses primarily on the role of cross-linguistic influence on the vocabulary level. It is important to note that when speaking about cross-linguistic influence, there are two different, although to certain degrees overlapping notions to differentiate depending on whether we mean the concrete, linguistic similarities and differences or the ones perceived subjectively by the individual. The terms “objective similarity (and difference)” to describe the actual degree of linguistic similarity (and difference) between the languages involved versus “subjective similarity (and difference)” to describe the similarity (and difference)

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<sup>1</sup> The present paper is based on Section 5.5 of the author’s doctoral dissertation defended on 6th December 2012.

between the languages perceived by the language learners were introduced by Jarvis and Pavlenko (1977) as a replacement (and clarification) for some of the earlier terminology.

The data presented in this paper is part of a larger longitudinal research project the general aim of which was to gain insight into the third language learning processes that take place while learners with a Hungarian mother tongue and L2 English learn L3 German. During a semester-long longitudinal research period, two groups of secondary school learners participated in special treatment sessions in which they were given comparative instruction on English and German. The treatment groups' own perceptions of their learning process (T. Balla) as well as their objective development were assessed with the help of different data collection instruments and their results were compared with those of two control groups. The present paper is devoted to the analysis of the results obtained from vocabulary knowledge scale tests administered four times during the data collection period in all four groups.

## **2 Research Question**

In general, the broad research question aimed at finding out whether Hungarian language learners' knowledge of L2 English can serve as a point of reference when learning L3 German and whether systematic comparative instruction can enhance some aspects of the learning processes. The sub-questions I aim to answer in the present paper are as follows:

- a) Can learners of L3 German make predictions about unknown L3 German language items based on their comparative knowledge of English and German? In other words, will systematic instruction result in raised foreign language awareness? Will language learners score better at vocabulary tests administered on novel items?
- b) Does the length of time spent on learning languages (both L2s and L3s) as well as proficiency level have an impact on the foreign language awareness and the language learning strategies of learners? That is, is there a difference regarding sub-question a) between more versus less experienced learners?

## **3 Methodology**

### **3.1 Participants**

The participants were all secondary school learners in the first and the third year of their secondary school studies. The learners within the groups were at similar levels of proficiency in German and they studied as German language groups since the beginning of their secondary studies. However, the same learners attended different English language groups, therefore their English language proficiency is more varied.

1. *Treatment group 1, henceforth Group T1*: 15 secondary school learners in the 9<sup>th</sup> grade with English L2 at the start of learning L3 German.
2. *Control group 1, henceforth Group C1*: 14 secondary school learners in the 9<sup>th</sup> grade with English L2 at the start of learning L3 German.
3. *Treatment group 2), henceforth Group T2*: 10 secondary school learners in the 11th grade, who have been studying L2 English and L3 German simultaneously for at least 2.5 years.
4. *Control group 2, henceforth Group C2*: 14 secondary school learners in the 11th grade, who have been studying L2 English and L3 German simultaneously for at least 2.5 years.

### **3.2 Procedure**

The four-month data collection took place in the second semester of the 2009/2010 academic year. The linguistic biographies of the participants were recorded and their initial language proficiency in English and German was assessed with the help of placement tests. During the semester 10–12 comparative sessions were held to the treatment groups designed in a way that English and German were constantly compared and contrasted. As regards the grammatical and lexical contents of the sessions, it was carefully supervised that the material taught was identical with the one taught to the control groups, the difference merely lay in the method of instruction.

### **3.3 Research Instruments**

As regards testing, in agreement with Paribakht and Wesche (cited in Waring), I claim that vocabulary knowledge is a continuum rather than a “precise comprehension, which is operationalized as the ability to translate the lexical items into the L1, the ability to find the right definition in a multiple-choice task, or the ability to give a target language paraphrase” (Henriksen 7; cited in Waring). Therefore, Paribakht and Wesche’s Vocabulary Knowledge Scale (in Waring) was applied when testing the learners both on taught and on novel vocabulary items. De Angelis and Selinker (48) applied a testing method similar to this one for data collection with the difference that they asked the subjects orally, while in my research I applied a written test.

All four groups were tested regularly both on items that had been taught to the groups as well as on novel items not taught to any of the groups, with the help of Vocabulary Knowledge Scale (henceforth VKS) tests. Each test contained 30 items and was designed in a way that it contained known (that is, taught) and novel items as well as words that have an English cognate counterpart and ones that do not. The words with non-cognate counterparts primarily served the purpose of distraction: the subjects were not supposed to recognise that the aim of the test was to find out whether they use English or not. In the case of each item the subjects were asked to make the decision, whether (1) they are not familiar with the item and think that they had never seen it before, (2) they are not familiar with the item but they think they can

guess the meaning of it, (3) they are familiar with the item, know that they had seen it before but cannot recall its meaning, and (4) they are familiar with the item and know what it means. In cases (2) and (4), the subjects were asked to provide their guesses and solutions. The reason why cognates are the basis for the analysis is that it is their recognition that reveals whether English was used while trying to give the Hungarian meaning of the German items. (The pilot test is included in Appendix 1 as an example.)

The four tests were proportionately distributed across the data collection period. Before the first testing session, the test was piloted with the participation of Group T1 subjects, but as no modifications needed to be made, the results were included in the analysis. All the tests were administered by me, and the subjects were free to ask any questions if they had any. It was made clear to the subjects that the test is non-conventional in the sense that—as opposed to the vocabulary tests they are used to writing—they may find words and expressions that they do not know. Also, it was emphasised that the results they achieve have no influence on their school grades.

The VKS tests were originally designed both to assess the knowledge of subjects on items taught to them and on novel items. In spite of the careful preparation of the tests, however, it turned out that the data is only revealing about the novel items, that is, it allows insight into the subjects' thinking process when they encounter expressions that they feel they had not encountered before.

As we will see, the analysis of the test results on the novel items shows whether the instructed groups were developing and using (more and/or more effective) strategies to predict the meaning of language items that they have never encountered.

## **4 Results**

As described above, while analysing the data obtained from the VKS tests I concentrated on the items that the subjects themselves considered to be unfamiliar to them. I counted each item in the first two categories mentioned above in the case of the cognate words under examination, which resulted in the total number of unknown items in each group. Then, as a second step, I counted the items that the subjects considered to be “unfamiliar and do not know the meaning” and the items considered “unfamiliar but guessed the meaning”. The guesses were evaluated on correctness, and the successful guesses were added up to calculate the total number of successful guesses per group. The proportion of the attempted guesses in relation to the total number of unknown items indicates how innovative the subjects were in terms of guessing. The proportion of the successful guesses compared to the total number of unknown items reveals how successful the learners were about trying to find out about the meaning of novel words. A comparison of the two proportions across the groups shows how the treatment influenced the treatment groups compared to their non-treatment counterparts as well as whether there is a difference between more experienced and proficient learners and less experienced and proficient ones. This information will provide us with answers to Research Question (a), namely, whether

learners of L3 German can make predictions about unknown L3 German language items based on their comparative knowledge of English and German, and whether the systematic instruction enables the learners to score better at vocabulary tests administered on novel items and the relevant part of Research Question (b) on whether there is a difference between the less proficient and more proficient groups.

The analysis is based on 18, 16, 18 and 24 items in the case Group T1 and Group C1 and 21, 12, 13 and 24 items in Tests 1, 2, 3 and 4 respectively in the case of Group T2 and Group C2 (see Appendix 2). These items were selected for the purposes of the analysis, because they were all cognates and they were considered to be novel for at least some subjects. Although some items may coincide occasionally, the tests were designed taking the groups' proficiency levels into account. One exception is Test 4, in the case of which all the groups wrote the same test.

As regards the number of the items that served as the basis for the analysis, Table 1 reveals how many items per group fell under the categories "items not known by the subjects", "items guessed correctly" and "items guessed incorrectly". As there are different numbers of subjects in each group, the total number of the items was divided by the number of the subjects in each of the groups to arrive at comparable results. In both treatment groups (N=15 and N=10) and Group C1 (N=14) all subjects wrote all the tests, while in Group C2 Test 1 and 4 were written by all 14 subjects, however, Test 2 was written by 13, Test 3 by 12 subjects only—this circumstance was taken into account and the calculations were made accordingly. Table 1 shows the number of the examined items out of the 76 cognate items in Group T1 and Group C1 and the 70 cognate items in Group T2 and Group C2 per person.

<b>Analysed items per person in each group</b>	<b>Total number of unknown items per person</b>	<b>Items that provoked no guesses per person</b>	<b>Total number of guesses per person</b>	<b>Total number of correct guesses per person</b>	<b>Total number of incorrect guesses per person</b>
<b>T1</b>	36.27	14.93	21.33	15.07	6.27
<b>C1</b>	44.50	27.57	16.93	11.79	5.14
<b>T2</b>	23.50	15.50	8.00	5.70	2.30
<b>C2</b>	28.89	17.17	11.74	6.45	5.07

*Table 1*  
*Figures representing the number of cognate items analysed in each group per person*

The data obtained from the VKS tests is presented in Tables 2 and 3. Table 2 shows the results of the less experienced and less proficient groups, Group T1 and Group C1 across the four tests. The results of all four tests are presented as well as the total proportion of the four tests. It needs to be noted that the VKS tests were not intended as progress tests, therefore, the results do not make an analysis with respect to the length of time spent in instruction possible. Each test needs to be viewed as one

unit and the results can only be compared in a way that Group T1's are contrasted with those of Group C1 in a cross-sectional way.

<b>T1 - C1</b>	<b>T1- Proportion of guesses compared to the total number of unknown items</b>	<b>C1- Proportion of guesses compared to the total number of unknown items</b>	<b>p</b>	<b>T1 - Proportion of successful guesses compared to the total number of unknown items</b>	<b>C1 - Proportion of successful guesses compared to the total number of unknown items</b>	<b>p</b>
<b>Test 1</b>	67.20	37.38		44.80	26.70	
<b>Test 2</b>	79.81	57.63		63.46	49.15	
<b>Test 3</b>	49.62	54.67		34.59	34.67	
<b>Test 4</b>	47.80	21.15		31.87	13.94	
<b>TOTAL</b>	<b>58.82</b>	<b>38.04</b>	<b>0.078</b>	<b>41.54</b>	<b>26.48</b>	<b>0.133</b>

*Table 2*  
*Proportion of attempted translations in Group T1 and Group C1 in the VKS tests.*  
*The results are statistically not significant at  $p \leq .05$ .*

As Table 2 reveals, Group T1 is more ready to attempt to guess the meaning of an unknown item than their control group counterparts are: this is reflected in three of the tests as well as in the total mean result. At the same time, if we compare the successful guesses to the total number of unknown items, we can also see that Group T1 subjects' guesses generally result in higher proportions of correct answers than those of the control group subjects. Although statistical testing does not reinforce significance at the  $p \leq .05$  alpha decision level either in the case of the proportion of the attempted guesses or in the case of the results reflecting the successful guesses, we can observe a tendency that in the case of the younger groups the instruction had the effect that the treatment group members were more inclined to make guesses than control group subjects and their guesses proved more successful than their control group counterparts'.

<b>T2 – C2</b>	<b>T2- Proportion of guesses compared to the total number of unknown items</b>	<b>C2- Proportion of guesses compared to the total number of unknown items</b>	<b>p</b>	<b>T2 - Proportion of successful guesses compared to the total number of unknown items</b>	<b>C2 - Proportion of successful guesses compared to the total number of unknown items</b>	<b>p</b>
<b>Test 1</b>	22.11	38.97		16.84	17.65	
<b>Test 2</b>	50.00	62.37		29.17	27.96	
<b>Test 3</b>	35.38	27.50		27.69	25.00	
<b>Test 4</b>	44.44	30.67		33.33	20.00	
<b>TOTAL</b>	<b>34.04</b>	<b>40.63</b>	<b>0.427</b>	<b>24.26</b>	<b>22.14</b>	<b>0.184</b>

*Table 3*  
*Proportion of attempted translations in Group T2 and Group C2 in the VKS tests.*  
*The results are statistically not significant at  $p \leq .05$ .*

As far as the more proficient and more experienced groups are concerned, as Table 3 reveals, contrary to their less proficient and less experienced counterparts in Group T1, Group T2 showed less initiative as regards guessing than the subjects in Group C2. As the second two columns of the table show, however, even with their lower proportion of guessing it resulted in a higher proportion of successful guesses in the case of three tests as well as overall. Again, these results are not significant at the  $p \leq .05$  alpha decision level. The difference between the results of Groups T1 and T2 was tested for statistical significance, too, and it was found that the difference was statistically significant at the  $p \leq .05$  level in the case of the proportion of the total number of guesses to the total number of items ( $p=0.027^*$ ), while the difference between the two treatment groups was not significant as regards the proportion of successful guesses to the total number of unknown items ( $p=0.184$ ).

Although the administered tests with one exception were different for the two proficiency level groups, we can still draw some more careful conclusions as regards the differences of the more and the less experienced groups. A comparative look at the totals in Tables 2 and 3 reveals that on the whole Group T1 both had the highest proportion of guesses and the highest proportion of successful guesses. At the same time, if we compare the proportion of the successful guesses to the proportion of the total guesses, we can find that Group T2 achieved the highest proportion: this means that 71% of their guesses were accurate, while only 54% of those of Group C2 were. It is interesting to note that the same proportion is very similar to that of Group T2 in

the two less experienced groups (see Table 4), but at much lower rates of both guessing and being successful at guessing in the less experienced control group.

<b>Groups</b>	<b>Proportion of the successful guesses to the proportion of the total guesses</b>
<b>T1</b>	70.62
<b>C1</b>	69.62
<b>T2</b>	71.25
<b>C2</b>	54.49

*Table 4*  
*Proportion of the successful guesses to the proportion of the total guesses*

All in all, the data obtained from the VKS tests indicates that it is Group T1 who endeavours to make guesses at novel items in the largest proportion of the cases with slightly more success than the subjects in Group C1. Both younger groups are almost as successful at guessing as regards the proportion of the attempts compared to the successful guesses as the subjects in Group T2, who were the least ready to attempt guesses, nevertheless, whenever they did, they achieved the highest level of accuracy. As I have pointed out above, however, these results should be taken with caution, since there are many factors influencing the results analysed here. First of all, the data is based on the subjects' own judgement on whether they are familiar with certain items or not, and, second, there is great variation regarding the salience of particular cognates. Therefore it may happen that less proficient subjects find such cognates unknown and guess their meanings correctly that are more salient while these cognates are not unknown to the more proficient subjects any longer.

The findings presented above reveal that the less experienced the L3 learners are, the more they experiment with trying to find the meaning of a novel item, and the more it seems that the comparative instruction has an influence. Even if we cannot maintain with a hundred per cent certainty that the results are attributable to the effect of English, since the examined items are all words that have a cognate counterpart in English, it can be assumed that L2 English played a role in the subjects' guessing. An examination of the incorrect guesses also supports this assumption: some of the attempted incorrect answers can be traced back to incorrect associations with English, e.g. *sauer* 'sour' was mistaken for *zápor* 'shower', *Sack* 'sack' for *zokni* 'socks', *stinken* 'stink' for *csíp* 'sting', *Wurm* 'worm' for *meleg* 'warm'.

These results are reinforced by the data collected on the learners' own perception on their own learning processes within the framework of the same research (T. Balla). The lower guessing rate of Group T2 subjects can be explained, just as in the case of the findings of the questionnaires on the more experienced treatment group subjects' own perceptions of the role of English (T. Balla), by the fact that by the time learners had been learning two foreign languages simultaneously are already in the

possession of comparative knowledge as far as the lexical level is concerned, while this strategy is a new strategy for less experienced learners. As the differences between the two less experienced groups indicate, the learners benefit from instruction on the similarities and the differences of the two languages. The fact that the proportion of the total guesses is the highest in Group T1 is a reflection of the findings in the questionnaire data, namely, that in T1 subjects' own perceptions the facilitating effect of English has increased over the data collection period (T. Balla 66-68), this may explain why the subjects felt more confident to guess. Although the accuracy of their guesses is similar in proportion to their non-treatment counterparts' (because of the much higher number of elements involved), it did result in more successfully guessed items overall: 15.07 per person versus 11.79 (cf. Table 1).

The case of the more experienced groups is reverse in the sense that Group T2 guessed the least, however, their accuracy was the highest, and certainly much higher than that of Group C2.

## 5 Conclusion

In an attempt to answer my research questions, I can conclude that the above results indicate that the comparative instruction had a positive influence on the number of guesses attempted in the less experienced group compared to the control group as shown in Tables 2 and 3, while the more experienced treatment group has higher percentages as regards the accuracy of their guesses, as shown in Table 4, that is, the treatment group subjects achieved better results when trying to guess the meaning of novel vocabulary items compared to their non-treatment counterparts. The data also reveals that the results of the more experienced (older and more proficient) language learners differ from those of the less experienced (younger and less proficient) ones.

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**Appendix 1**

***Vocabulary Knowledge Scale Test, Pilot (in English)***

Please fill in the language test below. It is actually an unconventional vocabulary test. I would not only like to know whether you know these words or expressions or not but, if you do not know them, I am also interested why you do not. I would like to know if you do not know them because you have never encountered them or because although you have met them, you forgot what they mean. I would also like to know whether you can guess the meaning of words you have not met before.

This is a pilot test which will not be graded and there are no negative consequences of not knowing something or making a mistake.

**Please select which category the following words and expressions belong to:**

**1) I do not know this word, I have never seen it and I do not know what it means.**

**2) I do not know this word, I have never seen it but I can guess what it means.**

**My guess is:** \_\_\_\_\_

**3) I have seen this word before, but I do not know what it means.**

**4) I have seen this word before, and I am familiar with its meaning.**

**I think it means:** \_\_\_\_\_

When you give the meaning, you can use the Hungarian equivalent, a German synonym or antonym. You can also choose to use it in a sentence in a way that its meaning becomes clear.

<b>Words/expressions</b>	I do not know this word, I have never seen it and I do not know what it means	I do not know this word, I have never seen it but I can guess what it means.	My guess is:	I have seen this word before, but I do not know what it means.	I have seen this word before, and I am familiar with its meaning.	I think it means:
<i>das Haar</i>						
<i>das Ohr</i>						
<i>der Ellbogen</i>						
<i>das Kinn</i>						
<i>der Daume</i>						
<i>die Wade</i>						
<i>die Kehle</i>						
<i>die Suppe</i>						

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<i>die Butter</i>						
<i>die Milch</i>						
<i>der Tee</i>						
<i>das Salz</i>						
<i>der Pfeffer</i>						
<i>der Sommer</i>						
<i>der Winter</i>						
<i>das Gewitter</i>						
<i>der Wind</i>						
<i>der Sturm</i>						
<i>der Hagel</i>						
<i>der Regenschauer</i>						
<i>die Sonne</i>						
<i>die Lampe</i>						
<i>der Stuhl</i>						
<i>der Teppich</i>						
<i>die Wohnung</i>						
<i>das Regal</i>						
<i>der Tisch</i>						
<i>die Küche</i>						
<i>die Kammer</i>						
<i>der Keller</i>						
<i>das Sofa</i>						
<i>der Koch</i>						
<i>die Pflanze</i>						
<i>arm</i>						
<i>klein</i>						
<i>scheu</i>						
<i>interessant</i>						
<i>lieb</i>						

**Appendix 2*****List of cognates tested in the VKS data*****2.1*****Test 1 (Group T1 and Group C1)***

1. Brust	'breast'
2. Daumen	'thumb'
3. Ellbogen	'elbow'
4. Industrie	'industry'
5. Ingenieur	'engineer'
6. Koch	'cook'
7. Pfeffer	'pepper'
8. planen	'plan'
9. Qualität	'quality'
10. rund	'round'
11. Salz	'salt'
12. Schnee	'snow'
13. Schottland	'Scotland'
14. Schulter	'shoulder'
15. Spinat	'spinach'
16. Sturm	'storm'
17. Suppe	'soup'
18. Wind	'wind'

**2.2*****Test 2 (Group T1 and Group C1)***

1. Bäcker	'baker'
2. Buch	'book'
3. Freund	'friend'
4. Frisör	'hairdresser'
5. Kantine	'canteen'
6. Kurs	'course'
7. lang	'long'
8. laut	'loud'
9. Mechaniker	'mechanic'
10. organisieren	'organise'
11. Plan	'plan'
12. Platz	'place'
13. Sekretärin	'secretary'
14. studieren	'study'
15. süd	'south'
16. Waschmaschine	'washing-machine'

## 2.3

*Test 3 (Group T1 and Group C1)*

1. Bluse	‘blouse’
2. Fuß	‘foot’
3. Haar	‘hair’
4. kalt	‘cold’
5. Käse	‘cheese’
6. Knie	‘knee’
7. kochen	‘cook’
8. machen	‘make’
9. Maus	‘mouse’
10. Mund	‘mouth’
11. nennen	‘name’
12. Notiz	‘note’
13. springen	‘spring’
14. Suppe	‘soup’
15. tanken	‘tank’
16. Tochter	‘daughter’
17. Tomate	‘tomato’
18. werden	‘will’

## 2.4

*Test 1 (Group T2 and Group C2)*

1. Bischof	‘bishop’
2. Daume	‘thumb’
3. drehen	‘turn’
4. Durst	‘thirst’
5. Ellbogen	‘elbow’
6. Feder	‘feather’
7. Keller	‘cellar’
8. Kinn	‘chin’
9. Koch	‘cook’
10. lieb	‘lovely’
11. Ohr	‘ear’
12. Pfanne	‘pan’
13. Pfeffer	‘pepper’
14. Pflanze	‘plant’
15. scharf	‘sharp’
16. scheu	‘shy’
17. Schneeflocke	‘snowflake’
18. Storch	‘stork’
19. Sturm	‘storm’

- |            |        |
|------------|--------|
| 20. surfen | ‘surf’ |
| 21. Wind   | ‘wind’ |

## 2.5

### *A 1.6.6 – Test 2 (Group T2 and Group C2)*

- |                      |              |
|----------------------|--------------|
| 1. Attraktion        | ‘attraction’ |
| 2. Emotion           | ‘emotion’    |
| 3. Experte/ Expertin | ‘expert’     |
| 4. Hut               | ‘hat’        |
| 5. Hütte             | ‘hut’        |
| 6. Oper              | ‘opera’      |
| 7. reiten            | ‘ride’       |
| 8. Sack              | ‘sack’       |
| 9. Schottisch        | ‘Scottish’   |
| 10. starten          | ‘start’      |
| 11. Studium          | ‘study’      |
| 12. Szenerie         | ‘scenery’    |

## 2.6

### *Test 3 (Group T2 and Group C2)*

- |                               |                        |
|-------------------------------|------------------------|
| 1. Blut                       | ‘blood’                |
| 2. Braut                      | ‘bride’                |
| 3. Dekade                     | ‘decade’               |
| 4. kühl                       | ‘cool’                 |
| 5. Lamm                       | ‘lamb’                 |
| 6. Lippe                      | ‘lip’                  |
| 7. Neffe                      | ‘nephew’               |
| 8. Resultat                   | ‘result’               |
| 9. stehlen, stahl, gestohlen  | ‘steal, stole, stolen’ |
| 10. stinken, stank, gestunken | ‘stink, stank, stunk’  |
| 11. Studie                    | ‘study’                |
| 12. Wunder                    | ‘wonder’               |
| 13. Wurm                      | ‘worm’                 |

## 2.7

*Test 4 (Treatment groups T1, T2, Group C1 and C2)*

1. Blut	,blood'
2. Braut	'bride'
3. brechen, brach, gebrochen	'break, broke, broken'
4. hängen	'hang'
5. Kuchen	'biscuit', 'cookie', 'cake'
6. lachen	'laugh'
7. leicht	'light adj.'
8. Licht	'light noun'
9. Mond	'moon'
10. Nachbar	'neighbour'
11. Nacht	'night'
12. Neffe	'nephew'
13. sauer	'sour'
14. scharf	'sharp'
15. Schuh	'shoe'
16. Silber	'silver'
17. Stahl	'steel'
18. stehlen, stahl, gestohlen	'steal, stole, stolen'
19. Stein	'stone'
20. stinken, stank, gestunken	'stink, stank, stunk'
21. Tag	'day'
22. Traum	'dream'
23. Wunder	'wonder'
24. Wurm	'worm'

# The Role of Romanian in Learning English: The case of Transylvania

ZSUZSANNA DÉGI

## 1 Introduction

Recent research in multilingualism has produced mounting evidence that the languages known by multilingual individuals do not constitute discrete entities, but interact and influence each other mutually so that some researchers now view multilinguals as having an integrated multicompetence (see Cook, *Multicompetence*). Many researchers (Cook, *Evidence*; Herdina and Jessner, *A dynamic model*) followed the idea of a holistic bi- or multilingualism introduced by Grosjean in his work *The bilingual as a competent but specific speaker-hearer* and argued for the need of alternative approaches to be used in multilingualism research. One of these alternative approaches is multicompetence, coined as such by Cook in 1991, which describes multilingual learners' dynamic and complex cognitive state and their multiple language knowledge that enable them to use a set of communicative strategies and to be able to function in different social communicative environments. Thus, the term multicompetence can be perceived as an approach to foreign language learning that helps us to understand and evaluate the role of language education in developing such a complex mental state. The Dynamic Model of Multilingualism (DMM) is yet another approach developed by the authors Herdina Philip and Ulrike Jessner in 2002, which attempts to explain individual learner differences in language acquisition and implies that "language is in constant flow, and so are the language systems in a multilingual, depending on the various factors involved in the language acquisition process" (Herdina and Jessner 75). These new approaches to multilingualism in general and to multilingual education in particular describe means and ways to raise students' awareness of other languages in the classroom, how to teach related languages, how to teach learning strategies and how to make use of prior linguistic knowledge in the classroom. Both multicompetence and DMM approaches indicate a positive effect of bilingualism on further language learning—this positive effect being linked to metalinguistic awareness, language learning strategies and communicative ability, in particular in the case of typologically similar languages.

This paper draws on findings from a number of interviews and classroom-based case studies to clarify how far these ideas are influencing current practice in the second/foreign language classroom and to investigate the third language acquisition of Hungarian mother tongue (L1) learners in a context where the students' mother tongue is a minority language not recognized as an official language by the state. The learners' second language (L2) is the state language, Romanian, and their first foreign language (L3) is English.

Investigating codeswitching instances during English foreign language classrooms, the paper aims to explore the type of languages that are used during a foreign language classroom and the purpose of using these languages.

The present paper is based on the hypothesis that Hungarian minority learners when learning English as an L3 rely on their previous language knowledge and language learning experiences gained through learning their L2, Romanian. These experiences and knowledge positively affect their foreign language learning process. At the same time, however, I believe that students do not fully take advantage of their assets gained from the second language learning process, therefore it is important to draw students' attention to the similarities and differences between the languages they have been learning. The guiding role of teachers is emphasized by authors such as Boócz-Barna and Paradowski who claim that relying on students' previously learned languages and pointing out the similarities and contrasts between these already acquired languages and the target language facilitate and accelerate the language learning processes.

## **2 Context: focus on Eastern-European bilinguals**

Third language acquisition (TLA) developed first within the field of second language acquisition (SLA), then it grew out as a separate research field (Jessner, "Teaching" 18). Studies concerning multilingualism and learning languages other than the L2 had a major effect on the shaping of this particular field.

Research areas within multilingual acquisition view the following research groups: early trilingualism—the study of children growing up with three languages from birth—, bilingual children learning an L3 (in many cases English), immigrant communities, monolingual individuals learning an L2 and then an L3.

The present study concerns the multilingual development of bilingual young learners in Transylvania, Romania. In the current literature on multilingual acquisition we can find a considerable number of studies on bilingual children learning an L3, but these studies cluster around a few places or regions—the Basque country (Cenoz and Valencia; Munoz), Catalonia (Sanz) or South-Tyrol (Jessner, *Linguistic awareness*). However, there are almost no data to be found in what regards Eastern-European bilingual communities such as the Hungarian minority groups living in countries neighbouring Hungary.

Similar to studies carried out in the Spanish context by Cenoz and Valencia, Munoz, and Sanz, who adopt an educational perspective on third language acquisition research, I would like to focus on Transylvanian Hungarian bilingual learners' acquisition of English as their first foreign language.

### **2.1 Why investigate the case of Transylvania?**

First my own origin, my language learning and language teaching experiences led me to be preoccupied with issues of third language learning. Secondly, literature on third

language acquisition hardly ever mentions East-European countries, which, I believe, deserve to be investigated.

Transylvania can be considered to represent one of the autochthonous Hungarian minority regions, if we accept the definition that “old” or “autochthonous” regions are those which at one point had their own language(s), but later joined or were forced to join a nation state which had imposed a different language on the indigenous inhabitants of the region (Auer and Wei 10). If we accept multilingualism to mean the ability of individuals or groups of individuals to use more than one language in their everyday life, then Transylvania is a strongly multilingual region.

The Hungarian minority is the largest ethnic minority in Romania, making up 6.5 percent of the total population, according to the 2011 census (National Institute of Statistics 5). Hungarians form a large majority of the population in Harghita (85.2 percent) and Covasna (73.7 percent) counties and a very significant proportion in Mureş county (38.1 percent). The official language of Romania is Romanian. However, persons belonging to national minorities have the right to learn and receive instruction in their mother tongue. Hungarian minority students learn their mother tongue and the state language from kindergarten, foreign languages being introduced from the third grade (if not in kindergarten already). Romanian, the state language, is taught from textbooks designed for minority students at primary level (grades 1–4), later according to the norms and requirements designed for native speakers. Students learn at least two foreign languages, the first being introduced usually from the third grade, while they start learning a second foreign language in the 5<sup>th</sup> or 6<sup>th</sup> grade. As was mentioned earlier, it is not compulsory for Hungarian students to start learning a second foreign language in the 6<sup>th</sup> grade, the matter being decided by the schools. However, they can learn a second foreign language as an optional course. Consequently, by the time students reach their school-leaving exam at the age of 18–19, they have already knowledge in at least three or four languages.

## **2.2 The linguistic repertoire of Transylvanian Hungarian students**

The languages Hungarian students know by the age they leave secondary school are Hungarian (L1), Romanian (L2), English (L3), German/French/Italian (L4) and we can mention Latin (L5) as all learners in Romania learn at least two years of Latin (8<sup>th</sup> grade and 12<sup>th</sup> grade).

Among the languages students speak, Hungarian is the one that is totally different from all the other languages they learn in a school context. All the languages provided by the school curricula include Indo-European Romance or Germanic languages that are different from their Finno-Ugric mother tongue. Thus, the question necessarily arises: when learning further languages which language/s (Hungarian or Romanian) do the students use as their base language and which language can help these learners in the process of acquiring a third or fourth language. Third language acquisition studies mention the influence of prior linguistic knowledge as one of the most important factors that influence third language acquisition processes (see T. Balla 1). These studies suggest that both students’ L1 and L2 can play a role in

learning an L3, but they also stress that choosing a so-called base language or source language depends on the typological similarity between a previously acquired language and the target language (Foote 89–95). Other factors mentioned to have an effect on choosing a source language are psychotypology (Williams & Hammarberg; De Angelis; Jarvis & Pavlenko), source language proficiency, recency of use, exposure to the language, sociolinguistic status of the language and formality of context (De Angelis).

Since the Hungarian mother tongue of the learners is not linguistically similar or close to the target language (English), let us examine the students' second language, Romanian—a language of Indo-European origin with an extensive proportion of Latin based vocabulary—which stands closer to English.

First of all, there are linguistic similarities between the two languages (e.g. the passive, gender, and many cognates on the lexical level). Secondly, beyond the similarities and differences between these languages in a linguistic sense, the importance of the language learners' own perceptions need to be emphasized, since it is the perceived similarities and distances between languages that play a role when recognizing novel elements of a target language.

As was already mentioned before, Romanian is an Indo-European, Romance language, while English is also of Indo-European origin but it is a Germanic language. However, if we look at the lexical level numerous cognates of Latin origin can be found in both English and Romanian. If we consider language typology, then Romanian is closer to English than the students' mother tongue. A study by Iațcu emphasizes the role of Romanian in learning English for Hungarian-Romanian bilingual children. According to Iațcu, during the first classes of primary school Hungarian pupils learn English more slowly than their Romanian peers and with a stronger accent of their mother tongue. This is partly due to the fact that they begin studying both Romanian and English almost at the same time. Comparing their progress in the acquisition of a foreign language, namely English, Iațcu claims that Romanian learners learn faster and more easily at the beginning, which she assumes to be the result of language similarity, while she observed that secondary school Romanian and Hungarian students have the same level of competence in English. Iațcu assumes that same language proficiency in secondary schools is due to the fact that “Hungarian pupils study English more consciously and thoroughly, overcoming the initial handicap in two to three years of study or even less” (1095).

Another study by Molnár focuses on Hungarian-Romanian bilingual learners' ability to recognize cognates and false cognates while learning English vocabulary. Her results show that Hungarian-Romanian bilinguals did better on the cognate tests than their monolingual Hungarian peers; however, the best results were achieved by monolingual Romanian learners. The author also used retrospective interviews where bilingual students confirmed using and relying on their L2, Romanian, more frequently than on their L1 as they perceive it to be closer to the target language (Molnár 158).

In what regards psychotypology (how learners perceive the similarity between two languages), there are studies which focus on learners' beliefs and the language they rely on when learning English. Besides Molnár's retrospective interview results mentioned above, another paper shows the results of student interviews, where learners say that Romanian helps them learn English and translate between the two languages as "the words resemble" (Dégi, "Effects" 307).

Some other factors of cross-linguistic influence besides linguistic typology and psychotypology are related to the learning process of other available languages, such factors as the formality of the learning context, exposure to the second language and language proficiency. Considering Romanian from these perspectives, the school context is given, as it is learned from the first grade, when children start school (if not already in kindergarten) and it is taught from three to six hours a week for at least ten years (compulsory education for all citizens). However, it needs to be mentioned that the methodology of teaching Romanian to Hungarian children is similar to the teaching of Romanian as a mother tongue. Instead of teaching children how to communicate in the language, what is taught in fact assumes that learners come to school with some previous language knowledge (which is not always the case) and thus children learn about the grammatical system and literary works of Romanian (Dégi, "Predarea" 181).

The "exposure to the language" factor proved to be a key element among other factors concerning cross-linguistic influence. As was mentioned above, institutionalized education presupposes an extracurricular exposure to the Romanian language, outside the school context, a need which is not always met because the degree of exposure to the state language of minority Hungarians varies from one locality to the other, depending on the size of the minority population. Thus, the bigger the minority population is, the less the exposure to Romanian.

Romanian is the only official language of the state. However, the findings of a study written by Fenyvesi (2012) show that there is a "very negative rating of the majority language. Romanian, in Transylvania: its speaker's status and solidarity traits have been ranked most negatively among all speakers" (49).

From what has been said about the position of the Romanian language in the repertoire of Hungarian minority learners it is clear that from the perspective of language typology, psychotypology and the formality of learning context Romanian could certainly count as the most possible source language in the learning process of English L3. Nevertheless, the use of Romanian as a source language faces some obstacles from the point of view of teaching methodology, language proficiency and most importantly its sociolinguistic status.

### **3 Codeswitching in the language classroom**

For what regards third language acquisition, codeswitching is considered to be a salient feature of multilingual speech. Codeswitching is said to be the feature that best illustrates the difference between monolingual and multilingual speech production and reflects students' competences in two or more languages (Safont Jorda 36).

In the present study I look at the phenomenon of codeswitching in the foreign language classroom. As the purpose of this study is to investigate the role of Romanian in learning and teaching English and to explore the current trends in multilingual teaching, the best way in which non-target language use can be discovered, I believe, is through observation of codeswitching during foreign language instruction.

In the course of this paper I will speak about codeswitching accepting Edmondson's use of the term as "any use of more than one language in a discourse segment or sequence of discourse segments by one or more classroom participants, either turn-internally or turn-sequentially" (157).

Macaro (4) suggests that there are two types of classrooms in terms of codeswitching functions: 1) classrooms where codeswitching is merely used for language comparison or explanation of lexical and grammatical structures of the target language and 2) communicative classrooms, where codeswitching is used for some communicative purpose, such as topic switch, socializing or expressing emotions. Macaro (20–21) also argues that examining codeswitching in foreign language classrooms is worth only if there is balanced information in L1 and L2, if the predominant language of the classroom interaction is the L2, if the pedagogical goal of the lesson is that of teaching target language communication and, finally, if focus on form is present only to aid the flow of communication.

Investigating multilingual classrooms, where classroom participants share at least three languages and thus codeswitching may occur in more combinations than L1 and L2, I believe that, contrary to Macaro's argument concerning the type of classrooms worth examining, it is worth studying all foreign language classrooms regardless of the scope of the lesson (teaching grammar vs. teaching communicative competence) since they may provide valuable data on current trends in foreign language teaching and on ways of adopting or neglecting a multilingual perspective in education.

#### **4 Research Questions**

The aims of the present study are to examine the current teaching approaches (adopting a target language only or a multilingual teaching method) and the role of the second language, Romanian, in the process of English L3 teaching and learning by investigating codeswitching instances during English foreign language classrooms.

The paper focuses on three main questions:

1. What types of third language teaching approaches/practices are present in today's EFL classes in Transylvania?
2. Are there any tendencies/good practices for using non-target languages in EFL teaching?
3. What functions do non-target languages fulfil in EFL classes?

## 5 Subjects/setting

In order to answer the research questions above, exploratory empirical research was conducted in the Transylvanian school context.

In Transylvania there are three types of schools: a) Hungarian schools where there are exclusively Hungarian sections and the language of instruction is Hungarian. However, this does not entail that the students do not learn Romanian, as it is compulsory to learn the official language of the state at all levels of instruction. Furthermore, until recently (2010) Romanian History and Geography of Romania were also taught in Romanian from the same textbooks as those written for Romanian native-speaker students. b) Romanian schools and c) the so-called “mixed-type” schools, meaning one institution with two separate sections, one Romanian and one Hungarian. Usually both sections have their own teaching staff, except when for economic reasons subjects such as sports, arts or languages are taught by the same teacher in both sections. In these classes Romanian and Hungarian students are not mixed, one exception being the vocational schools where particular subjects are taught only in Romanian, thus only a certain percentage of the students in a class is Hungarian.

For the purpose of this research, fieldwork was conducted in a small Transylvanian town, Miercurea Ciuc (Csikszereda), where the Hungarian minority population constitutes the local majority population. Out of the 38 thousand inhabitants, 81% are of Hungarian nationality, while 17,5% are Romanian. Most of the schools in the town have Hungarian as their language of instruction; there is only one Romanian high school and a mixed vocational school.

For the present study I contacted three schools, one Hungarian, one Romanian and the bilingual vocational school. In order to be able to answer my research questions, I made video recordings of the English classes I visited and paid special attention to code switching and the presence of languages other than the target language.

The subjects for the study were students enrolled in the 12<sup>th</sup> grade (last year of high school) and their English teachers. I visited two classes in each school, so a total number of six classes were visited. I took part in the English lessons and I made video recordings of the classes during two weeks. Depending on the number of lessons each class had per week, I recorded an average of 12 English lessons per school.

The video recordings were transcribed and a comparative content analysis of the lesson transcripts was carried out focusing on code switching and the roles attributed to other non-target languages in EFL classes. In order to get a wider perspective and more insight into the present situation of EFL teaching, besides video recordings, semi-structured interviews were carried out with the teachers and students. Thus, three teachers and two students from each class took part in the interviews.

The interview and the lesson transcript analyses focused on the range of languages used by teachers and students, the relations among the languages used, the functions of the classroom code switching and the development of language awareness.

## 6 Results and discussion

In monolingual schools the language that is used beside the target language during foreign language classes is that of the students' mother tongue (which is also the teacher's mother tongue). As we can have two possibilities for monolingual schools—Hungarian or Romanian—the languages used are either Hungarian (in Hungarian schools) or Romanian (in Romanian schools). In the mixed type vocational school there is a greater variety of language use. The students observed were all Hungarian native speakers; the teachers' mother tongue was also Hungarian. However, the English classes in this school gave room for the use of all three languages during English language teaching.

It seems that the greater the exposure to the Romanian language, the more chance there is to accept and allow a multilingual language mode during EFL classes. When comparing the monolingual Hungarian school with the mixed vocational school there is striking evidence that students in the mixed vocational school use a more varied repertoire of languages, namely English, Hungarian, Romanian, and sometimes even French or Italian. At the same time, in the monolingual Hungarian high school we witness an almost exclusive target language use. In the monolingual Hungarian school, code switching occurring during EFL classes is used only to translate or explain unknown words. Teachers react to children's Hungarian speech in English, and integrate Hungarian learner speech into the English tasks (i.e. learners speak or ask in Hungarian and teacher reacts in English).

In the mixed type vocational school both the teacher and the students are more flexible concerning multiple language use, and learners are aware of the positive effects of Romanian language knowledge on their English language learning process.

The results of the language use during EFL classes and the different functions attributed to each language can be summarised as follows.

Table 1  
*Use of different languages during EFL classes in the monolingual Hungarian school and the mixed type vocational school with details regarding the functions and numbers of code switching phenomena*

Type of school	Teacher/ students	Functions of CSW	Unit of CSW: Word/phrase	Unit of CSW: Sentence/more
<b>Monolingual Hungarian</b>	Teacher (HU)	Outside lesson frame (informal discussion)	-	14
	Students (HU)	Outside lesson frame (informal discussion)	-	6
		Meaning related	8	2
		Off-task interaction	-	3
		Group discussion of task	19	7
<b>Bilingual (mixed school)</b>	Teacher (RO)	Meaning related	11	8
		Vocabulary translation	8RO/2HU	-
		Metalinguistic comment	3	18RO/1HU
		Grammar explanation	-	9
		Eliciting	5	7
		Task related	-	12
		Classroom management	-	6
		Telling off/discipline	4	3
		Evaluation/feedback	8	4
	Students (HU)	Meaning related	7RO/4HU	5RO
		Task related	-	4RO
		Off-task interaction	8 HU	12HU
		Organizational discussion	-	5RO
		Response to teacher's elicitation	7RO	4RO

Teacher's codeswitches in the monolingual school are limited to informal discussions at the beginning of the lesson set outside the lesson frame.

S: Van, aki nem akar jönni/

T: kötelező tevékenység és az lenne a lényeg, hogy utolsó kiránduláson mindenki ott legyen/Okay/Can we start?

["S: There are some who don't want to come/

T: it is an obligatory activity and it would be important that everybody should be there on the last trip/Okay/Can we start?"]

The extract above is taken from a discussion at the beginning of the English lesson. The discussion was related to the organization of the last class excursion, and it was conducted in Hungarian. The teacher closes the Hungarian discussion by using a discourse marker: *okay* signals not only topic shift but also language shift.

In these classes student-talk is characterised by a bilingual English-Hungarian language mode. Student initiated codeswitches appear, on the one hand, when students address the teacher and ask her to translate a Hungarian word into English; on the other hand, Hungarian is used when students are organized into small groups and they have to discuss some topics given by the teacher. Although the teacher requires the use of English during group discussions and walks around the class to check students' language use, students tend to use Hungarian (n=26) when they lack the necessary English vocabulary or when the discussion becomes heated.

With regard to the mixed type school, one salient feature of teacher talk is the use of the Hungarian language, even though the teacher's mother tongue is Romanian. While most of his codeswitching involves Romanian, Hungarian is also used in case of translating unknown vocabulary and giving metalinguistic comments. The majority of codeswitches have the pedagogical function of providing metalinguistic comments (n=22) and clarifying meaning (n=19). In these classes students use Hungarian, their mother tongue, in case of off-task interaction among themselves (n=19), but student-teacher interaction is characterised by a more frequent use of Romanian (n=12) and the presence of some Hungarian words (n=4).

- T: You use the passive when the person who does the action is not important or it is unknown/a magyarban nem nagyon használatos, ha jól tudom, ott többes szám van/ Javítják az utat/deci mai bine gânditi în românește că structura e la fel/ Casa a fost construită în 1890/The house was built in 1890/vedeti că si ordinea e la fel?
- ["T: You use the passive when the person who does the action is not important or it is unknown/it is not really used in Hungarian, if I know it well, the plural is used/The road is being repaired/so it's better to think in Romanian as the structure is the same/The house was built in 1890/The house was built in 1890/can you see the word order is the same?"]

The extract above presents a metalinguistic comment initiated by the teacher. The teacher uses both Hungarian and Romanian to draw students' attention to the use of the passive constructions. The teacher gives a Hungarian sentence which could be translated into English using the passive voice, and he points out that Hungarian language does not use the passive voice. In addition, he recommends that students think in Romanian and provides a Romanian sentence and its English translation to show to students that passive constructions in English and Romanian follow a similar pattern and even word order.

It has been observed that the mixed vocational school shows not only a higher number of code switching instances but also a greater variety of functions attributed

to different types of codeswitching. In this school, not only the students, but also the teacher's practice involves other language use in a higher number of instances than in the case of students. While in the monolingual Hungarian high school English classes are mainly monolingual, teachers adopting a target language only teaching approach, in the mixed vocational school the language of the classroom resembles the language situation of the school—enhancing multilingualism and the language awareness of the learners.

## **7 Conclusions**

First, the linguistic analysis of the position of Romanian in relation to the factors influencing the acquisition of English as a third language showed that there are factors that would be in favour of using Romanian as a source language in learning English for bilingual learners as from the perspective of language typology Romanian is closer to English than the students' mother tongue, Hungarian.

Secondly, there were also factors which at the present moment hinder the use of Romanian as a source language, because the teaching method of Romanian—which is built upon the supposition that Hungarian children go to school with Romanian language knowledge—follows a mother tongue teaching method. The teaching method of Romanian and in most cases the lack of exposure to the language leads to low proficiency in Romanian and thus the question of using Romanian as a source language is to a large extent ruled out.

The empirical analysis of the observed classes shows that using an integrated language teaching method in the EFL classroom highly depends on the type of the school and the methodological beliefs of the teachers.

In the Hungarian school, even if the linguistic repertoire of both the students and the teachers would allow for the use of languages apart from their mother tongue and the target language, it does not happen. Video recordings of the English lessons in this monolingual Hungarian high school show that teachers favour a target language only teaching practice giving no room to other languages. However, as presented at the beginning of the paper, multicompetence and third language acquisition studies point out the problematic aspects of this target-language-only ideology based on the assumption that the language classroom is a multilingual environment, and classroom participants have several non-target languages in their linguistic repertoire which are all involved in the language learning process and thus target language teaching should also integrate these previously acquired languages in order to facilitate and accelerate the learning process.

The type of the school (i.e. greater exposure to L2) has considerable effect in L3 learning. Teachers in mixed type schools encourage the use of other non-target languages besides students' mother tongue and promote a multilingual language mode during English foreign language instruction, thus mixed type schools offer more opportunities for a more flexible language use and a greater variety of languages are used.

Classroom observation conducted in the above mentioned two Transylvanian schools has shown that non-target languages are mostly used for translation or explanation of unknown words, classroom management issues and grammar explanation. The use of non-target languages, however, is rather unsystematic, unplanned and does not reflect a multilingual approach to foreign language teaching as it was emphasized in the literature on third language acquisition and multicompetence.

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# **Interviews with young learners about their vocabulary learning strategies**

JUDIT HARDI

## **1 Introduction**

Learning strategies or more precisely, strategic learning is a serious issue when young learners (YLS) are concerned because the way how children learn a foreign language has not been intensely discussed in literature. This is especially true in a Hungarian setting, where young learners' language learning strategies and strategic language learning have not been investigated. The possibility that early strategies influence the whole language learning process provides another reason for exploring the way how the youngest learn, even though the initial strategies can be changed or even be fossilized in the course of language learning. In order to gain an insight into the way children learn a foreign language the most successful approach is to see how a special part of language learning works. The special field I investigate in this research paper is vocabulary learning, since its importance is indisputable in a communicative language learning approach.

## **2 The goal of the research**

Learners, including young ones, use a range of strategies for learning vocabulary (Pavičič), and research has pointed towards a direction of strategic learning which suggests that besides the utilization of language learning strategies there are other dimensions of strategic thinking which boost the use of strategies, and subsequently facilitate language learning. These dimensions involve not only the use of learning strategies but also motivational and self-motivational factors, metacognitive thinking, and self-regulating behaviour which can encourage learners to employ various strategies for language learning (Tseng and Schmitt).

In view of that, the goal of my qualitative research is to explore and categorize the vocabulary learning strategies used by elementary school children and to find out about the basic motivational and self-motivational factors, metacognitive awareness, and self-regulating capacity in language learning in order to build up the skeleton of young learners' self-regulated vocabulary learning in a foreign language context in Hungary. In accordance with these lines of research, in this paper I intend to find an answer to the question of what kinds of strategies young learners report to use for learning vocabulary. The results provide an initial view of young learners' self-regulated vocabulary learning and give a firm base for further investigation.

### 3 Analytical frameworks

In the following subsections I give a brief overview of the construction of self-regulated learning starting with vocabulary learning strategies which are discussed as basic constituents of the learning process.

#### 3.1 Young learners' self-regulated vocabulary learning

Self-regulated learning refers to the processes by which the human mind controls its functions, states, and inner processes (Vohs and Baumeister, "Understanding"). The notion of self-regulation applied in second language acquisition is adapted from educational psychology and recent interest in strategic learning has found a new way to discuss L2 learning in relation to self-regulation. Therefore, I intend to explore YLs' strategic vocabulary learning in this broader framework which does not restrict language learning to strategy use but enlarges the construction and considers other processes as well (Dörnyei, *Motivational*). In this broader framework the constituents of self-regulated language learning can include self-regulating capacity, self-motivation, metacognition, and learning strategies.

Emphasis from conceptualizing learning strategies has shifted to the issue of how to distinguish strategic learning from ordinary learning. However, conceptualizing the notion of strategic learning is a central problem. It can be goal-oriented, intentionally involved, hard and focused. Cohen emphasizes the element of choice and argues that it is an essential feature of learning strategy use. Strategic learning can be conceptualized based on the notion of self-regulation. Tseng et al. make a distinction between self-regulated learners who apply strategic learning and their peers who do not. They say that strategic learners make creative effort into trying to improve their language learning.

Based on this approach I investigate vocabulary learning in the broader framework of self-regulation, but also include vocabulary learning strategies in the investigation in order to provide a complete picture of vocabulary learning. This analytical framework is supposed to yield rich data about YLs' vocabulary learning. In the following, the primary constituents of the framework are described briefly with the aim of highlighting the basic elements of the construction.

##### 3.1.1 Vocabulary learning strategies

Since there is no universally accepted definition for language learning strategies (LLSs), it is important to outline each strategy group that constructs the main structure under investigation. In order to illustrate what is basically meant by these groups of strategies, a short overview of the main strategy groups, such as cognitive, memory, social, and metacognitive strategies is provided. *Memory strategies* involve relating new words to some previously learned knowledge, while *cognitive strategies* refer to language transformation or manipulation. Both strategies are involved in Oxford's taxonomy of language learning strategies (*Language Learning*). Pavičič, however,

argues that the distinction between cognitive and memory strategies in the case of vocabulary learning seems difficult to maintain, since both groups of strategies are used to recall words through language manipulation. The distinction, as Pavičič continues, can be clarified by relying on Purpura's division of storing and memory strategies (cited in Schmitt). Although this kind of distinction is not entirely satisfactory either, these categories can be applied as working concepts for cognitive and memory strategies. Accordingly, cognitive strategies can be used for strategies not evidently linked to mental manipulation (e.g. repeating, using mechanical means), while memory strategies are used in connection with mnemonic strategies, such as associating, linking, and using imagery. Since *lexical processing strategies* (LPS), which include inference, dictionary use, and ignoring, (Fraser) can belong to cognitive, memory or metacognitive strategies, they form a different subgroup and are discussed separately in literature. *Dictionary use* is understood as a cognitive or metacognitive strategy and *inference* as a memory strategy. *Ignoring* is not involved in the investigation, since this strategy does not assist vocabulary learning. *Social and metacognitive strategies* can be conceptualised as belonging to the broader group of learning strategies, since vocabulary learning relies on the same process as general LLSs in this respect. Hence, social strategies involve cooperation with other language users and metacognitive strategies are used to control the learning process in general and vocabulary learning in particular.

### 3.1.2 Self-motivation

As for self-motivation in vocabulary learning the following aspects are highlighted:

- young learners' self-efficacy and anxiety in vocabulary learning, which formulate self-confidence
- young learners' satisfaction with and skilfulness in vocabulary learning
- young learners' self-rewarding strategies in vocabulary learning.

The Initial Appraisal of Vocabulary Learning Experience (IAVLE) is conceptualized "as the initial motivational level of vocabulary learning, which can be indicated by value, interest, effort, or desire" (Tseng and Schmitt 361). *Learning anxiety* and *self-efficacy* are chosen as the indicators of IAVLE in Tseng and Schmitt's model of motivated vocabulary learning since these two indicators represent learners' overall self-confidence comprehensively. For the same reason, I also focus on these constituents in young learners' motivation.

The terms *satisfaction* and *skilfulness* are used as components of Post-Appraisal of Vocabulary Learning Tactics (PAVLT) by Tseng and Schmitt. *Satisfaction* encourages positive retrospective self-evaluation in the language learner, and therefore it functions as a self-motivating strategy. *Skilfulness* in vocabulary learning includes the ability to learn a lot of words at a time, the ability to remember words for a long time, and the ability to work out difficulties learners face when

learning new words. Overriding difficulties is an ability that contributes to successful language learning (Hardi, “Idegen nyelvi”). *Self-rewarding* can also function as a form of self-regulation and may exert a supportive effect on language learning. Rewards generally encourage students to learn better and self-rewarding is an extrinsic motive that can sustain language learning in the short run.

Attitudes and motivation to learning English vocabulary are explored and analyzed in this research as an individual strategy group.

### **3.1.3 Self-regulating capacity**

Young learners’ self-regulating capacity in vocabulary learning is explored based on Dörnyei’s model of self-regulation (*Motivational*). There are five basic control strategies in learners’ self-regulating capacity. *Commitment control strategies* help to maintain or increase the initial goal commitment in language learners. *Metacognitive control strategies* are in charge of monitoring and controlling concentration, and restraining unnecessary procrastination. *Satiation control strategies* are responsible for eliminating boredom and adjoining extra attraction or interest to a language task. *Emotion control strategies* manage disruptive emotional states or moods, and generate emotions in favour of implementing one’s intentions. *Environmental control strategies* help getting rid of negative environmental influences and taking advantage of positive environmental influences by creating a friendly environment in order to reach a difficult goal (Dörnyei, *The psychology* 113).

The constituents of self-regulated vocabulary learning I outlined in this section are explored, illustrated with examples, and discussed in the research part with the intention of describing young learners’ strategic behaviour in learning vocabulary.

## **4 Method**

### **4.1 Participants**

Twenty-seven pupils from grades 3 to 8 learning in two different primary schools took part in the data collection. Although in the European Union member states there is an agreement that primary school pupils from seven to twelve are called “young learners”, in certain contexts, learners up to the age of fourteen can be included in the “young learners” group (Nikolov and Mihaljevič Djigunovič). In the present research, children between the ages of six and fourteen are treated as YLs because they are all primary school pupils, i.e. they start, continue and probably finish their studies in this specific form of the Hungarian education system. Language learning in Hungary is compulsory from grade 4 (age 9 or 10), and the number of lessons per week varies between schools. Some primary schools, however, provide children with the opportunity to start a foreign language from the first grade. However, the appearance of metacognitive abilities is at the age of 8–10 and they develop with age (Gósy). Therefore, in order to ensure the respondents’ suitability to be able to provide viable data, I started the investigation with third graders, who were 8 or 9 years old.

Twenty-two of the participants started learning English as a foreign language in grade 3 and had three classes weekly on average. Children taking part in the research were equally divided into three major age groups: nine learners took part in grades 3 and 4, nine in grades 5 and 6, and another nine in grades 7 and 8. Since data was collected in January, the youngest learners had been learning the language for 5 months and the oldest for almost 6 and half years in a school setting. Although participation was voluntary, teachers chose the interviewees from those who had the intention to participate. The main criteria of selection were willingness and talkativeness. Learners' language attainment was not the criterion of selection, thus learners with different language abilities could participate in the research. The diversity in the number of lessons and in the level of specialisation contributed to gaining multiple data.

## 4.2 Procedure

To elicit data on young learners' strategic vocabulary learning a semi-structured interview format was designed. This form of qualitative research was supposed to disclose participants' views on their own ways of strategic learning in order to identify some main patterns and possible directions in the development of strategy use and strategic behaviour. To serve this purpose, the questions of the interview were designed based on the most well-known and utilised language learning taxonomy created by Oxford (*Language Learning*), and on the theory of motivation and self-regulation in vocabulary learning (Dörnyei, *Motivational*; Tseng, Dörnyei and Schmitt) discussed above.

When conducting the interviews, the introduction of the researcher was followed by a short group interview with the purpose of tuning children to the research topic rather than gathering data. Children had the opportunity to discuss ordinary topics in connection with language learning, such as using text books, motivation, the liking of the subject, etc. After the group interview children were interviewed personally. The major questions were organized into six groups:

1. Asking for background information (name, grade, age, number of classes per week, other languages besides English, etc.)
2. Gathering general information about learners' attitudes and motivation towards English language and language learning (liking of English, attitude to vocabulary learning, extrinsic and intrinsic, and integrative and instrumental motivation)
3. Investigating vocabulary learning strategies (cognitive, memory, social, affective, and lexical processing strategies)
4. Metacognitive behaviour (plans for learning, organizing, seeking practice opportunities)
5. Asking about learners' self-confidence, satisfaction and skilfulness with their use of strategies and with the learning outcome, including difficulties with vocabulary learning

## 6. Asking questions about learners' self-regulation in vocabulary learning

The interviews were conducted in the participants' mother tongue: Hungarian. Conducting an interview took 10 minutes on average. During this time frame learners were capable to answer all the questions and even the youngest participants were able to concentrate. The transcriptions highly preserve the original form of oral utterances in order to maintain the natural flow of language. Only dots, commas and full stops are marked. Periods mark some seconds of thinking or a short hesitation, while comma use marks rising intonation. The overall validation process of the interview method can be read in detail in Hardi ("Interjú").

## 5 Results and discussion

The primary purpose of interviewing young learners was to elicit a variety of strategies they use when learning vocabulary in a foreign language, and trying to provide a comprehensive view of the strategies applied. Therefore, strategies were identified and grouped after the interviews had been transcribed. The summary of the categories and subcategories that emerged from the personal interviews can be seen in Appendix 1 together with the indication of the number of excerpts.

A number of learners reported the use of rote learning strategies, i.e. memorising wordlists with their L1 translation, when they wanted to memorise a new word. Although repetition strategies seemed to infiltrate into the whole learning process of the primary school pupils, they also reported the use of a wide range of other strategies. Therefore, strategy account cannot be restricted to the basic strategy items used by the interviewees. For this reason, a variety of strategies are specified and illustrated by the examples cited in the analyses. Unfortunately, due to space constraints, the list is not exhaustive.

First, vocabulary learning strategies are exemplified—the classification of VLSs is based primarily on Oxford's language learning taxonomy (*Language Learning*), since the VLSs used by young learners taking part in the interviews highly overlap with general language learning strategies and can be grouped as follows: cognitive, memory, social, and metacognitive strategies. Since strategy use is investigated in a larger context of self-regulated vocabulary learning, self-motivation, metacognition, and self-regulating capacity are also included. Participants' awareness in strategy use is also illustrated.

As for presenting the results, it is important to highlight that "the boundaries are fuzzy, particularly since learners sometimes employ more than one strategy at a time" (Oxford, *Language Learning* 167). Strategies hardly appear isolated in learners' accounts; rather they emerge in combinations with other strategies. Therefore, when classifying the strategies learners mentioned in the interviews, practical decisions had to be made in a number of cases to enlist an utterance in the most characteristic strategy group. Joint appearance is indicated in the discussion, since this feature of strategy use has a positive effect on vocabulary acquisition and can provide a more fertile ground for the investigation of vocabulary learning strategies than the analysis

of individual vocabulary learning strategies would (Gu and Johnson; Nikolov, “Hungarian children”; “Hatodikosok”).

## 5.1 Vocabulary learning strategies

### 5.1.1 Cognitive strategies

In the following excerpts of the interviews are cited and discussed to illustrate the use of different strategies. The classification of vocabulary learning strategies reported by YLs can be seen in Appendix 2.

*Excerpt 1: Verbal repetition (Interview 8, grade 4, male)*

I memorize its meaning too. I repeat several times that, for example, “apple” – “alma”, “apple” – “alma”, “apple” – “alma” . . .

This example shows the application of L1 on the L2 material. Although, the exploitation of word translation can create cross-linguistic mental pegs which can reinforce the learning process, without a context words cannot be memorised in a creative way, only by mindless repetition.

*Excerpt 2: Verbal repetition + social strategy (Interview 1, grade 3, female)*

I get together with my mom and what we have learnt she asks from the dictionary here and I say words in English, and she says them in Hungarian.

This excerpt illustrates how children learn and practice vocabulary together with their family members.

The following excerpts are examples of the importance of visualisation in language learning. Visual and verbal repetition is closely related to learning styles (Kontráné and Kormos). Language learning styles are general approaches to language learning (Cohen, “The learner’s”), which can be characterised by several dichotomous styles of functioning. However, one out of these styles of functioning can be differentiated, including being a visual, auditory or hands-on learner. More visual learners prefer learning by visually representing or reading the learning material. Auditory learners, on the contrary, prefer learning by oral performances and oral explanations, while the hands-on learning style evokes kinaesthetic actions in order to acquire the language. Since language learning strategies vary on a big continuum, there are strategies that coincide with learning styles. Accordingly, auditory learners may prefer oral repetition as a learning strategy, visual learners may preferably utilize visual strategies in language learning, and hands-on learners may prefer mechanical techniques. Unfortunately there is no adequate research on the encounter of learner styles and strategies, but the study of Kontráné mentions these language learning features appearing in connection with each other.

*Excerpt 3: Visual repetition (Interview 2, grade 3, female)*

I usually look at the vocabulary book . . . First we learn it at school . . . my mom asks me in Hungarian, I say it in English. Always in this order, because mom speaks German only.

Although this example is enlisted among the strategies of visual repetition, it illustrates a more complex use of strategies in different settings including oral practise and social strategy use in interaction with a family member.

Examples in which parents do not speak the target foreign language but help their children to learn it are typical in my database. This way of vocabulary learning can be the reason why learners are encouraged to say the word in the target language, while parents rely only on their mother tongue. The advantage of the application of this strategy can be described by the supportive social environment, and the disadvantage by giving inadequate assistance in learning the right pronunciation and other language features.

*Excerpt 4: Written repetition (Interview 8, grade 4, female)*

I write down a word, in a whole line five or six times . . . well . . . I memorize how to write it . . . its spelling.

The focus of written repetition is on the orthographic feature of the lexical item as it is shown in the example above. In this case the strategy of written repetition can help in memorizing the written form but, as other examples illustrated in my database, may not contribute to learning the word or utterance.

*Excerpt 5: Using mechanical techniques (Interview 14, grade 4, female)*

What I know, I frame it like this and then I repeat those above and below several times.

Since the use of mechanical techniques is easy, they can be used together with other language learning strategies.

### **5.1.2 Memory strategies**

*Excerpt 6: Grouping (Interview 1, grade 3, female)*

We have learnt a lot of words in connection with Christmas, for example, we learnt Christmas things together, e.g. “angel” and “Christmas tree”.

Grouping words is a teacher’s teaching technique modelling a learning strategy. It is employed in two different ways in these examples. The example of speaking about Christmas illustrates gathering words in connection with a certain topic, while the next example describes grouping as made up of previously learnt words. The former example informs us about classifying words with the intention of encouraging learning of lexical items at a time in connection with one another, while the latter

example highlights how this strategy serves synthesising already known vocabulary under one subject matter. The learner in the next example reports learning words either in order or randomly, which demonstrates the mother's modelling a new strategy. These examples show how teaching techniques can be utilised in language learning.

*Excerpt 7: Grouping: cognates (Interview 1, grade 3, female)*

We have written numbers . . . , and once we wrote separately, for example, animals but after that we grouped them again, because, well . . . , we could say what animal to learn and then we wrote them down, for example “delfin” and then “dolphin” and it's easy like this.

The following examples show ways learners connect meaning to already known L1 or L2 items in order to memorize meaning.

*Excerpt 8: Using mental pegs (Interview 15, grade 4, female)*

. . . and what I haven't learnt yet, daddy helps me that . . . , for example “golden cockatoo” and then . . . daddy tells how . . . I should remember that “golden retriever” and so on, and then, it should come to mind about something, he compares it to it.

*Excerpt 9: Using mental pegs (Interview 12, grade 8, female)*

There is, for example, that is somewhat similar to the pronunciation of the Hungarian word, then I connect it to that one . . . Hmm . . . , for example, there is a word “purple” and then it is “pörkölt” [‘stew’].

When learners use mental pegs they use word associations and connect meaning or form to already known words or phrases and to L1, such as “triangle – tri”, “student – street”, “golden cockatoo – golden retriever”, “successful – exam”, “clever – smart”, “god – dog”, “purple – pörkölt”. These examples show a number of forms of word association, such as using some letters of new words, using a part of a compound word, creating associations, using synonyms, reverse word order, and employ similarities in cross-language pronunciation. All these examples represent a high degree of complexity in the mental activity on the part of the language learners and demonstrate metacognitive thinking about the language.

*Excerpt 10: Using imagery: mental representation (Interview 9, grade 5, female)*

Yes, I imagine what it can be, and if I know it, I imagine it as well. And we are reading those texts and, let's say, we are not allowed to open the book, I also imagine . . . what is happening . . . there in the book. I also imagine activities, especially in case of dialogues . . . , but I also imagine objects . . . And what is for example, “I have got a dog” and then I imagine that there is a person and he/she has got a dog.

Using imagination is a strategy that greatly facilitates language learning, since mentally representing words is a complex strategy which involves pictorial representation of actions and movements. Complex strategies when employed consciously by the language learner tend to contribute significantly to language knowledge.

*Excerpt 11: Using imagery: visual representation, pictures (Interview 9, grade 5, female)*

And in the dictionary, there are children's drawings, and they make it easier for me to understand that, for example, "he is extinguishing fire", and it is drawn that the fireman is extinguishing the fire. So, if I don't remember a word I think about what was in the picture and I know it was what I thought.

Visual representation is a complex strategy that fits for learners with a visual learning style preference. Its importance in language learning is due to learners' ability to visualize actions, portrays, or even written language elements that can be recalled later when needed.

Literature (Paribakht and Wesche; Fraser; Qian; Hardi, "Olvasás-folyamatbeli") usually discusses lexical inference as a lexical processing strategy (LPS) which strategy group also includes dictionary use. Although the combined use of lexical inference and dictionary use highly contributes to the success of learning new words, when discussing individual strategy use the separate representation of these strategies is necessary for practical reasons. Dictionary use as a vocabulary learning strategy can be utilized with different purposes, while lexical inference focuses principally on meaning which serves as a clue for understanding.

*Excerpt 12: Lexical inference (Interview 1, grade 3, female)*

My mom has got a book with English letters only, and on the computer, and the music itself is English, too. And the names are English too in the music and then I can read that the title of the music is, for example "angel", and then I can deduce and I know it more or less what is sung in the music.

It is a good example of working out the meaning from the context based on a key word. With the help of the key word the learner reports to construct the meaning of a larger unit in the text. Although she speaks about the use of a key word whose meaning is already known to her, she does not describe the process in which she uses the word as a source for understanding the whole text. Inference, as described in this example, is based on the meaning of the key word rather than its form.

### 5.1.3 Metacognitive strategies

Nyikos and Fan, when enlisting pedagogical implications of strategy use, claim that “the combination of metacognitive and specific vocabulary learning strategies seems to work better than either in isolation” (273). This suggests that the use of any strategy must be complemented by a certain degree of metacognitive awareness, or else language learning becomes much less effective. Metacognition embraces strategies that indirectly contribute to language learning, but their absence can result in a lower level of effectiveness. Metacognitive strategies, for example, in Oxford’s taxonomy (*Language Learning*) involve centering, arranging, planning, and evaluating learning. Other constituents of metacognitive learning are, for example, analysing, organizing, and monitoring. Metacognition also functions as a constituent of self-regulated behaviour whose importance in language learning has been highlighted in recent literature (Tseng et al., “A new approach”; Dörnyei, *The psychology*).

Under the heading of metacognitive strategies, here, the strategy of seeking practice opportunities, planning, and dictionary use are exemplified. Dictionary use can be seen as a strategy of seeking practice opportunities, since it is a purposeful action to discover language. Other strategies that undoubtedly involve a higher level of metacognitive thinking are enlisted in the groups of cognitive and memory strategies.

*Excerpt 13: Seeking practice opportunities: English songs + dictionary use (Interview 14, grade 4, female)*

I often listen to some music. And then, when I’m learning words like this [new words] I look them up.

Since a huge amount of popular music is written in English, songs provide a rich background for individual language learning. Listening to songs not only improves listening skills and vocabulary, but functions as an inexhaustible source of motivation. This example illustrates seeking practice opportunities, which belongs to the subgroup of arranging and planning language learning in Oxford’s taxonomy (*Language Learning Strategies*). This strategy can function as a very important incentive of strategic language learning because it motivates not only the particular action, but the whole language acquisition process.

### 5.2 Self-regulating capacity in vocabulary learning

Investigating self-regulation is of growing importance in language learning, since self-regulated behaviour can influence strategic language learning. However, the use of learning strategies is only one facet of self-regulated language learning, and the learning process can be best examined from a broadening perspective which is made up of a whole series of integrated and interrelated microprocesses (Tseng et al., “A new approach”). As the following examples show, metacognitive strategy use can include metacognitive control. Examples of further constituents of self-regulation,

such as motivation, self-efficacy, satisfaction, etc., will be reported in the following sections.

Self-regulated learners seem to be emotionally and cognitively controlled and motivated in their language learning behaviour. Self-regulation is a capacity of the self to govern certain mechanisms such as self-control, self-management, self-direction, independence, etc. It is the ability to control emotions and behaviour adaptively in particular situations (Vohs and Baumeister, “Understanding”). YLs’ self-regulating capacity is presented in Appendix 4. The following examples, with the involvement of self-control mechanisms, reflect learners’ self-regulated behaviour.

*Excerpt 14: Commitment control (Interview 14, grade 4, female)*

There is a timetable on the door that . . . and I can do anything free, when the homework is done . . . , and we immediately go to the desk [after arriving home] to write it.

*Excerpt 15: Metacognitive control (Interview 22, grade 8, female)*

I drink a glass of water and then . . . , after that I set up . . .

These examples show how the learners usually set for learning. Planning and arranging are metacognitive strategies that can be considered as prerequisites of language learning. The reason why these are exemplified as part of self-regulated behaviour is that learners are aware of their duty and act under metacognitive control.

In the following example the learner expresses her feeling towards learning English. It illustrates that liking depends on a lot of factors, such as the topic or the learner’s mood.

*Excerpt 16: Satiation control (Interview 4, grade 7, female)*

Interviewer: And do you always feel like learning words?

Interviewee: Well . . . , sometimes yes, sometimes no. It depends on what the topic is like or something like this . . . , also the mood . . .

*Excerpt 17: Environmental control (Interview 11, grade 8, female)*

I say to turn the TV down . . . , or I go upstairs, but there is silence, and it is not good either. That’s why I learn with my grandma, because I ask something, and then . . .

These examples illustrate how learners prepare for learning in general, and how they adjust their physical needs and the environment in order to learn more effectively.

### **5.3 Young learners’ attitude and motivation to learn English vocabulary**

The classification of YLs’ motivation in vocabulary learning is presented in Appendix 3. Learners taking part in this research have generally positive attitudes towards learning English and the English language. Although, they report some difficulties

with language learning, they are mainly satisfied with the strategies they use and also with their achievements in language learning. They feel they can succeed with the help of their teacher's instruction and parents' guidance.

The following examples highlight some of the general aspects of motivation, such as intrinsic, extrinsic, integrative, and instrumental motivation, which can be assumed to have some short or long-term effect on language learning.

*Excerpt 18: Intrinsic motivation: need for achievement + external factor  
(Interview 1, grade 3, female)*

I love new things and so I'm interested [in learning words], and I feel more like it than those who don't [feel like it]. And, for us, in our family, everyone learns English . . .

The main motive in this example is intrinsic interest, which can derive from the "need for achievement" and should be maintained in the course of language learning. The external factor of "everyone is learning English in the family" can help to maintain interest either by exploiting the social strategy of family members' contribution to language learning or by motivating the learner to achieve a higher level of language proficiency compared to family members.

*Excerpt 19: Extrinsic motivation: agreement on using the computer  
(Interview 17, grade 4, male)*

My mom lets me play on the computer.

Although this is an example of extrinsic motivation in which the learner acts for a reward and rewarding motivates externally, this kind of motivation can be internalized by the language learner in a form of agreement and can function as a self-rewarding strategy as well.

*Excerpt 20: Instrumental motivation: career-orientation (Interview 13,  
grade 4, female)*

I'd like to pass the advanced language exam and I'd like to be a dentist.

The motive of career-orientation is a form of instrumental motivation when the goal of language learning is to get a good and well-paid job. Some learners also mentioned passing the language exam, which they find necessary for entering further education and to reach future career prospects.

*Excerpt 21: Integrative motivation: cultural-merging (Interview 15, grade  
4, female)*

My mom told me to choose German, because there are a lot of such factories . . . or a lot of foreigners come here, because then I would get jobs more easily, and I said that I wanted to learn English, because there

are kinds of celebrities whom I like and then I don't know what they sing in songs and those I like are English and that's why I chose English.

Excerpt 21 well illustrates the learner's motivation to be involved in the target culture. Instrumental motivation appeared in Nikolov's groups at the age of 11 or 12 ("Why do you"). As for the above examples, instrumental motives emerge a bit earlier, around the age of 10, in these learners, but they remain general. Nowadays in the era of globalization and internet use learners are more aware about the external factors that motivate language learning than they were a decade ago. The sources of motivation were also found in Nikolov's study ("Why do you") to vary at different ages, and although instrumental motives emerged later they appeared in balance with classroom-related motives.

#### 5.4 Self-motivational strategies

The summary of self-motivational strategies reported by YLS is presented in Appendix 4. Self-motivational strategies can serve as the Initial Appraisal of Vocabulary Learning Experience or can function as Post-Appraisal of Vocabulary Learning Tactics (Tseng and Schmitt). The self-motivational strategies exemplified as belonging to the IAVLE are self-efficacy and anxiety since they are vital components of self-confidence which motivates the language learner at the initial phase of the learning process.

*Excerpt 22: Self-efficacy in retaining words (Interview 11, grade 8, female)*

Interviewee: I don't like learning words . . . because it takes time, and I like to be outside and then I'm closed.

Interviewer: But, do you think, you learn words effectively?

Interviewee: I hope so. They are retained . . .

This learner claims that although she does not like learning words, she learns words effectively and remembers them for a long time. This example can imply that the learner demonstrates self-regulatory control, because it illustrates how she tries to force herself to do her duty. Her hope of being effective illustrates the positive outcome of self-regulation on language learning.

Although performance can be increased by anxiety in a general learning activity, it is negatively correlated with language anxiety (Dörnyei, *The psychology*). Consequently, it is vital to identify the reasons for being anxious in order to reinforce strategies language learners use to lower their anxiety (Hardi, "Idegennyelvi"). The reasons for anxiety that can be identified in the following examples fall in line with my previous findings ("Vocabulary learning"). In view of that, learners feel anxious about writing word tests, getting bad grades, being mistaken, learning something in the wrong way or when engaged in a conversation.

*Excerpt 23: Lowering anxiety: Asking for help – Test anxiety (Interview 1, grade 3, female)*

I feel very nervous when we write tests, because I have to learn everything alone, but my mom quizzes me on the words quickly in the evening.

Unfortunately, this is the only example in my database when the learner provides a kind of solution to override anxiety. The girl refers to the social strategy of cooperating with her mother as a strategy to lower anxiety and raise self-confidence. She can either feel more self-confident after practicing with her or can shift the responsibility in case she does not perform well.

Satisfaction, skilfulness, and self-rewarding also function as self-motivational strategies, but these motivate post-action, and, thus, belong to PAVLT.

The term *skilfulness* includes difficulties that occur during learning, but also refers to the ability to learn a number of words at the same time and to remember words for long. The most difficult in vocabulary learning, as most of the responses indicate, are pronunciation, the phonological representation of words, and memorizing the orthographic form. These features of knowing a word can be acquired together with the meaning whenever emphasis is put on communicative language use and the focus is on form.

*Excerpt 24: Skilfulness – Overriding difficulties with pronunciation (Interview 13, grade 4, female)*

For me, it's easier if I first memorise how it is written. If I cannot pronounce it, then I learn it only as it is written. Then mom corrects me a lot. It is told to me so many times that I'm able to learn it.

The girl in this example must be a visual-style learner, because she states that learning words is easier once she has seen the written form. However, the strategy she reports does not facilitate using the right orthographical form, rather it is a phonetic pronunciation strategy that relies on L1 knowledge (Nikolov, "Hungarian children") and involves the Hungarian version of what sounds are like.

The following examples show how learners are satisfied with their methods of learning English words and word retention after learning.

*Excerpt 25: Satisfaction with word retention. (Interview 5, grade 7, male)*

Interviewer: Do you remember words once you have learnt them?

Interviewee: Well . . . , I remember a bit. It's like a text of a song. I remember it.

In general, learners seem to be satisfied with the outcome of their vocabulary learning and the strategies they use. However, there are learners who, though satisfied, would like to learn more strategies and there are some who do not think it is important.

Satisfaction is in close contact with self-evaluation. In a Hungarian context positive self-evaluation is less acceptable than declaring negative statements about

ourselves, and children regard it as either childish or conceited (Nikolov, “Hatodikosok”). Another reason for the low level of self-evaluation in Hungarian learners can be the relatively infrequent praise used by teachers. Fortunately, the self-evaluation of learners interviewed here seems to be on a normal level, i.e. they neither over- nor under-evaluate themselves. Most of them have reported they are good and successful learners, learn effectively, use adequate strategies for learning vocabulary and get good grades.

*Self-rewarding* strategies or “self-provided extrinsic rewards” (Walters) are a strategic way in which learners can regulate their motivation. These strategies reinforce learners’ wish to reach a particular goal. Rewards can be concrete such as eating an ice-cream or more subtle such as making self-praising verbal statements (Walters). Excerpt 26 illustrates the concrete reward of eating some chocolate.

*Excerpt 26: Self-rewarding: eating (Interview 10, grade 5, male)*

Interviewer: When you have learnt English words well, do you reward yourself?

Interviewee: Yes. I eat some chocolate.

Another learner reported making a sandwich for himself. The fact that learning comes before eating something delicious shows a way of learners’ self-regulated behaviour.

The examples I have found in my database demonstrate different forms of self-rewarding, from external forms, like eating chocolate or playing computer games to internalized rewarding, like relaxing and joy of achievement. Rewarding that derives from external factors might be internalized in a form of agreement and function as a driving force for fulfilling the learning activity and achieving the reward.

## 5.5 Awareness in strategy use

Awareness in strategy use can be represented on a scale. On the one end of it learners use strategies consciously, i.e. they know what strategies they use and how they use them, and on the other end there is spontaneous use, where learners are not aware of using strategies at all and they do not know and find hard to verbalize how they learn. Some of the sixth-graders in Nikolov’s study (“Hatodikosok stratégiahasználata” 24) reported on conscious strategy use, but the majority of learners stood on the unconscious end of the continuum. With the subsequent interview answers, my intention is to place the examples on a virtual continuum in order to make the degree of conscious strategy use more salient.

*Excerpt 27: Unawareness of grouping as a strategy (Interview 3, grade 3, male)*

Interviewer: Do you group words?

Interviewee: No.

Interviewer: But I can see here that “papagáj” – “parrot”, “mouse”, “elephant” . . .

Interviewee: I don't, and we don't either, we only say them.

Interviewer: I can see here, for example, "toll" – "pen", "ceruza" – "pencil" . . .

Interviewee: We learn [words] at the same time, then we write down the words which are new. It's better, because I know everything.

Though grouping appears to be a common strategy used in the vocabulary book, it seems not to be internalised by this learner, i.e. there is no transfer between teaching and learning strategies. The learner does not even realise or notice strategy use, so it can be stated that he is not a conscious language learner. The reason for his unawareness can be found in the lack of strategy instruction. Adequate instruction on strategies seems to be necessary in general and in this case to raise learners' awareness to the positive effects of exploiting grouping as a VLS.

*Excerpt 28: Unawareness in using verbal repetition as a learning strategy (Interview 3, grade 3, male)*

Well, I say the words and I remember.

The learner refers to verbal repetition here, though he is not aware of what he does when he wants to memorise words. Actually, if all the strategies in my database are considered, it must be stated that verbal repetition is the strategy learners commonly employ and are aware of using. Although they seem to be conscious of using this strategy, they do not know how it works and how it functions as a strategy.

There are further examples in my database illustrating that learners believe they do not use any strategies, but in the course of the interview it turns out that they do use certain strategies besides verbal repetition, such as looking up words in a dictionary, grouping, relating meaning to pictures, mental pegs, etc., but they may not think about them as strategies that directly assist language learning. The next example shows how the learner employs strategies consciously.

*Excerpt 29: Awareness in memorizing meaning. (Interview 22, grade 8, female)*

Well . . . , we do that hmm . . . first I write it in our dictionary book, then I . . . read it a lot of times, and then on a piece of paper at home hmm . . . I write it to myself and quiz it on. And I practise it till I know all.

In sum, the focus on awareness in strategy use highlighted two aspects of learners' awareness. On the one hand, the examples indicate that there are learners who are more conscious in their use of strategies than others, and on the other hand, that there are some strategies, which seem to be more consciously used than other strategies. While learners seem to be aware of some strategy use, i.e. the use of verbal repetition, they do not consider others as language learning strategies. There must be external as well as internal reasons for these beliefs. Externally, the lack of strategy instruction can prevent learners being aware of strategy use, and internally, learners seem to be

aware of those strategies, whose use demands certain effort or manipulation. Using computer games, for example, usually an effortless activity regarding language learning, while memorizing the meaning of new words with the help of either verbal repetition or employing mental imagery require a degree of effort from the language learner in the form of mental activity.

## **6 Summary and conclusion**

The primary purpose of conducting interviews with YLs was to find out what kinds of strategies they report to use for learning vocabulary. The interviews yielded very promising results. Based on the findings, it can be stated that young learners use a number of strategies to learn vocabulary. Their vocabulary learning strategy use is congruent with the findings of Schmitt's studies and Oxford's (*Language Learning*) classification schemes, i.e. young learners use a number of vocabulary learning strategies belonging to the categories of cognitive, memory, social, and metacognitive strategies. However, they seem to take advantage of certain ones more than others. The most commonly or basically reported strategy among learners interviewed is verbal repetition, although they employ a variety of other strategies (Appendix 2) as well. This finding supports the claim that "there is a set of VLS that can be considered core VLS and that are applicable in various learning contexts" (Pavičič 144).

Another important outcome of the research is that young learners use a strategy called *mental peg*, which demands a higher level of cognitive effort, and, thus, can effectively support vocabulary learning. It seems that the representation of this strategy can depend on the individual language learner, on his/her previous language knowledge, and also on the metacognitive capacity of being able to verbalize the presence of this strategy.

Besides vocabulary learning strategies, various aspects of self-regulated vocabulary learning have been identified in children's self-report, such as using learning strategies, employing self-motivational strategies, making use of self-regulating capacity, and utilizing metacognitive strategies. Besides using a number of VLSs, primary school pupils seem to be motivated to learn words, though this kind of motivation can strongly be related to their general attitude to language learning. YLs are self-motivated as well, since they are satisfied with their utilization of strategies, with their language learning effectiveness and outcome. Some of the participants consider themselves to be skilful to learn English vocabulary, because they believe they can learn a lot of words at the same time and can remember them for a long time. Although they identify some difficulties in language learning, most of these difficulties function as part of the natural learning process, and, consequently, do not hinder, rather support language learning in the long run. Moreover, learners seem to feel encouraged to find solutions and override these difficulties. Anxiety is also present in young learners' vocabulary learning, and is mainly related to test anxiety. Unfortunately, only a few strategies have been reported to reduce anxiety which tends to infiltrate the process of vocabulary learning.

It can be said that most of the learners seem to be aware of their use of strategies, i.e. they are able to verbalise their language learning process and report what they are doing when learning vocabulary. It also implies that they, including the youngest respondents, are metacognitively mature enough to be able to provide sufficient data on their language learning process. All in all, young learners are strategic in their language learning, apply a number of strategies consciously, and they are self-regulated learners who are aware of their vocabulary learning process and feel responsible for their achievement in language learning.

In sum, an important finding of the research is the structure of strategy use that has emerged from children's responses. This structure greatly resembles to older learners' structural equation model (Tseng & Schmitt), since its main constituents can be identified in young learners' self-regulated vocabulary learning. Accordingly, young learners are motivated, use self-motivational strategies, employ a variety of VLSs, and their metacognitive capacity is mature enough to govern both their strategic and general learning behaviour. All these findings provide a firm base for carrying on further research in the field of YLs' vocabulary learning strategies in the framework of self-regulation.

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**Appendix 1**

*Summary of the categories and subcategories that emerged from the personal interviews*

CATEGORIES AND SUBCATEGORIES	EXCERPTS
<b>Vocabulary learning strategies</b>	
Cognitive strategies	
Verbal repetition	1
<i>Verbal repetition with family members</i>	2
<i>Verbal repetition with the teacher at school</i>	
Visual repetition	3
Written repetition	4
Using mechanical techniques	5
Memory strategies	
Grouping	6, 7
Using mental pegs	8, 9
Using imagery	
<i>Mental representation</i>	10
<i>Visual representation</i>	11
Lexical inference	12
Metacognitive strategies	
Seeking practice opportunities	13
Planning	17
Dictionary use	13
Social strategies	2
Parents' or family members' role	2
<b>Self-regulating capacity in vocabulary learning</b>	
Commitment control strategies	14
Metacognitive control strategies	15
Satiation control strategies	16
Environmental control strategies	17
<b>Attitude and motivation to learning English vocabulary</b>	
Intrinsic motivation	18
Extrinsic motivation	19
Instrumental motivation	20
Integrative motivation	21

<b>Self-motivational strategies</b>	
Language learning anxiety	23
Self-efficacy	22
Skilfulness	24
Satisfaction	25
Self-rewarding	26

## Appendix 2

### *Young learners' vocabulary learning strategies*

<b>Cognitive strategies</b>	<b>Memory strategies</b>	<b>Metacognitive strategies</b>	<b>Social strategies</b>
Verbal repetition	Grouping (cognates)	Planning	Asking the teacher
Visual repetition	Lexical inference (LPS*)	Seeking practice opportunities:	Asking for help
Written repetition	Mental pegs	<i>Listening to English songs</i>	Cooperating with others:
Mechanical techniques	Imagery:	<i>Playing computer games</i>	<i>family members</i>
	<i>Pictures**</i>	Dictionary use: (LPS)	<i>peers, friends</i>
	<i>Mental representation</i>	<i>Checking meaning</i>	
		<i>Checking language features:</i>	
		<i>Orthographical form</i>	
		<i>Parts of speech</i>	
		E-dictionary use (LPS)	

\* LPS: Lexical Processing Strategies (inference, dictionary use, ignoring) (Fraser, 1999)

\*\* Subcategories are in italics

**Appendix 3*****Young learners' motivation in vocabulary learning***

<b>Extrinsic</b>	<b>Intrinsic</b>	<b>Instrumental</b>	<b>Integrative</b>
Reward/ Computer use	Interest/Challenge	Career orientation	Cultural-merging
		Language exam	
		Travelling	
		Utilitarian reasons	

**Appendix 4*****Young learners' self-regulating capacity and self-motivation in vocabulary learning***

<b>Self-regulating capacity</b>	<b>Self-motivational strategies</b>	
Environment control	Self-efficacy:	
		<i>Retaining words*</i>
Metacognitive control	Lowering anxiety:	
		<i>Asking for help</i>
Satiation control	Skilfulness:	
		<i>Overriding difficulties</i>
Commitment control	Satisfaction:	
		<i>Satisfaction with strategy use</i>
		<i>Satisfaction after learning</i>
	Self-rewarding strategies:	
		<i>Eating</i>
		<i>Feeling happy</i>
		<i>Relaxing</i>