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Shakespeare in Rushdie/Shakespearean Rushdie

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Postcolonial readers situate Shakespeare at the starting point and Salman Rushdie at the other end of the spectrum of multicultural authors who have laid claims to universality. While the fact that Rushdie's epoch-making novel *Midnight's Children* adapted for the theatre by Tim Supple, was produced by the Royal Shakespeare Company in 2003 would have come as a surprise to many, the Bard himself, his birthplace, allusions to and quotations from his work, parodic rewriting of his plots and brilliant recasting of his characters have always punctuated Rushdie's fiction and non-fiction. The linguistic inventiveness of Shakespeare and Rushdie and the Ovidian intertext in both bring them even closer. This paper argues that the presence of Shakespeare in Rushdie may be viewed not so much as an attempt to deconstruct and subvert the canon like Angela Carter's but rather as an unconscious effort to rival and reinvent his genius in the novel form. Rushdie's project of tropicalizing London seems to be an ironic translation of the Shakespearean idea of "making Britain India".

Keywords: Shakespeare; Rushdie; intertextuality; postcolonial rewriting; inventiveness; fatherly text

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Shakespeare en Rushdie/Rushdie shakesperiano

Los manuales sobre postcolonialismo ubican a Shakespeare al comienzo y a Salman Rushdie al final del espectro de autores multiculturales que se han ganado el derecho a ser considerados universales. Aunque a muchos les sorprendiera el hecho de que Midnight's Children, *la decisiva novela de Rushdie, fuera adaptada al teatro por Tim Supple y producida por la Royal Shakespeare Company en 2003, tanto la ficción como la no-ficción de Rushdie siempre han estado salpicadas por apariciones del Bardo, de su lugar de nacimiento, de alusiones a, y citas de, sus obras, así como de reescrituras paródicas de sus argumentos y reinterpretaciones de sus personajes. La inventiva lingüística de Shakespeare y Rushdie y el intertexto ovidiano presente en ambos los acercan aún más. En este artículo se defiende que la presencia de Shakespeare en Rushdie se puede interpretar no tanto como un intento de deconstruir y subvertir el canon a lo Angela Carter sino más bien como un esfuerzo inconsciente de rivalizar con, y reinventar, la genialidad shakesperiana en forma novelada. El proyecto de Rushdie de tropicalizar Londres parece una irónica versión de la idea de Shakespeare de "hacer de Gran Bretaña la India".*

Palabras clave: Shakespeare; Rushdie; intertextualidad; reescritura postcolonial; inventiva; texto paternal

1. Englishness and multiculturalism

"Will you give up your Indian empire or your Shakespeare, you English?" asked Carlyle
in 1841 in his book *On Heroes and Hero Worship* (Carlyle 1966: 113). The imperial sun
has set, as he had predicted. But the discourse of postcolonial readers situates
Shakespeare at the starting point and Rushdie at the other end of the spectrum of great
writers who have laid claims to universality.[1] This is not surprising in so far as none
other than the staunchest defender of the Western canon, Harold Bloom, has called
Shakespeare "the true multicultural author" (Rothernberg 2003). Issues of
multiculturalism in Shakespeare have become topical conference themes in
universities[2] across the globe. In British India, English studies idealized Englishness in
general and Shakespeare in particular. Shakespeare performances by English troupes in
Bombay and Calcutta date back to 1770 and 1780 respectively, i.e. long before
Macaulay's famous 1835 Minute introduced English education in India.[3] The reception
of Shakespeare in India was so favourable that the Bard was the ultimate reference in
early Indo-Anglian literature, as we can gather from G.V. Desani's irreverent
postmodern and postcolonial autofiction *All About H. Hatterr* (1948). Banerjee, the
anglicised Bengali Babu in this novel could indeed be called the *bardolator* before
Bloom. 1965 was another noteworthy year in the history of Shakespeare in India. It was
in that year that both Merchant Ivory's film *Shakespearewallah* and Raja Rao's
metaphysical novel *The Cat and Shakespeare* were released. Contemporary India's
reputed dramatist and moviemaker Girish Karnad had long ago acknowledged
Shakespeare as a major influence.

Readers familiar with recent Indian writing will call to mind Arundhati Roy's
quotation of Ariel's Song in *The God of Small Things* (Roy 1997: 59). Chantal Zabus, in
her seminal study on *Tempests after Shakespeare* (Zabus 2002: 1), has set out the case for
The Tempest as the most enduring of Shakespeare's texts whose rewriting has helped
shape three contemporary movements – postcolonialism, postfeminism and
postpatriarchy. Unlike the Caribbean, where rewriting *The Tempest* has become an
ideologically overdertermined literary task, in India Shakespeare's multiculturalism has
been indigenized in many ways. First, through translations of Shakespeare's plays into
vernacular languages. Secondly, through modern rewritings in English such as
playwright Royston Abel's *Othello: a Play in Black and White*, his *Romeo and Juliet in
Technicolour* and *Goodbye Desdemona*.[4] Thirdly, through adaptations of Shakespeare's

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[1] A preliminary version of this paper was presented at the 7th European Society for the Study
of English (ESSE) conference in Zaragoza in 2004. It has been improved (thanks to the critical
comments offered by Chantal Zabus and Janet Wilson, both of whose goodwill is acknowledged
with gratitude) and updated.

[2] Shakespeare, Philosophy and Multiculturalism, Lorand Eotvos University, Budapest, March
17-20, 2004. See also the webpage of Shakespeare in Asia festival organized at Stanford in 2004:
http://sia.stanford.edu/home.html

[3] Browse the webpage *Shakespeare in India.*
http://web.uvic.ca/shakespeare/Library/Criticism/shakespearein/india2.html

[4] Performed in 1999 and 2000. Play texts not yet available for sale.

plays in local drama and cinema. Films such as Sohrab Modi's reworking of *Hamlet* in *Khoon Ka Khoon* (Urdu, 1935), Kishore Sahu's *Hamlet* (1954), Debu Sen's *Do Dooni Char* (Hindi, 1968) based on *The Comedy of Errors* or Gulzar's version of the same play entitled *Angoor* (Hindi, 1982), Jayaraj's *Kaliyattam* (Malayalam, 1997) inspired by *Othello,* and Vishal Bharadwaj's *Maqbool*, a Bollywood remake of *Macbeth* (Hindi, 2004) or his *Omkara* (Hindi, 2006) which transforms *Othello* into a chieftain of a gang of outlaws in the Indian state of Utter Pradesh, have left their imprint on the Indian performing arts scene. Indeed, the indigenization of Shakespeare in India finds a parallel in Rushdie's use of Shakespeare to negotiate postcoloniality in English literature.[5] While the adaptation by Tim Supple of Rushdie's epoch-making novel *Midnight's Children* for theatre and its production by the Royal Shakespeare Company in 2003 would have come as a surprise to many, Rushdie scholars have for long been taking the measure of Shakespearean intertextuality in his novels (Malieckal 2001). Tim Supple has himself followed up with an Indian themed production of *A Midsummer Night's Dream* performed in The Round House in London (2007) after twelve performances in the Swan Theatre in Stratford-upon-Avon.

If there is rewriting of Shakespeare in Rushdie, it is not the complete rewriting of one entire play or another in one novel or short story as is the case with many other postcolonial authors (Loomba 1998). Rewriting occurs piecemeal and is inflected in various modes – quotation, allusion, parody, recasting of characters, irradiation of metaphors – not to mention the intertwining of supratextual topics such as the history of colonial encounters and infratextual elements such as music and language which set up a common horizon of understanding. It permeates the whole textual production of Rushdie, both fictional and non-fictional. The triply challenging transformative work that Rushdie has had to perform – re-invigorating an Elizabethan and English playwright's texts for the benefit of the contemporary and multicultural novel reading public – may partly explain the fractured textuality. Besides, Rushdie's theorizing of his writing techniques throws a different light on this practice. The first-person narrator of the *Moor's Last Sigh* tells us:

> Thanks to my unusual, and by (conventional standards) hopelessly inadequate education, I had become a kind of information magpie, gathering to myself all manner of shiny scraps of fat and hocum and books and art history and politics and music and film, and developing too a certain skill in manipulating and arranging these pitiful shards so that they glittered, and caught the light. Fool's gold or priceless nuggets mined from my singular childhood's rich bohemian seam? I leave it to others to decide. (Rushdie 1995: 240)

Wilful and confusing intertextuality is encoded in Rushdie's writing, prompting readers to make meaning of it by separating out the several layers that comprise his palimpsestic text.

Rushdie had not publicly acknowledged his debt to Shakespeare, although references and allusions to Shakespeare are sprinkled throughout his writing. But the secret was partly given away in 1996 when *The New Yorker* (May 13, 1996: 36) published

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[5] Is Rushdie an Indian or a British writer? Rushdie himself has taken a stand against containing writers in passports and would like to be identified as an international one. However, his stereophonic vision necessarily includes India as a perceptual environment.

a trivial news item on Rushdie's visit to the Folger Library, where he had been shown a proclamation signed by Queen Elizabeth herself attacking the circulation of seditious books in her realm. In the course of a literary game, Rushdie was challenged to rename a Shakespeare play as if it had been written by Robert Ludlum, the author of such thrillers as *The Bourne Ultimatum* and *The Scarlatti Inheritance*. Rushdie came up with *The Elsinore Vacillation (Hamlet), The Dunsinane Deforestation (Macbeth), The Kerchief Implication (Othello), The Rialto Forfeit (The Merchant of Venice) The Capulet Infatuation (Romeo and Juliet), and The Solstice Entrancement (Midsummer Night's Dream)*. Rushdie proposes other variations such as *The Moor Murders, The Cordelia Conundrum* and *The Elsinore Uncertainty* in his novel *Fury* (Rushdie 2001: 20). Although these titles were invented in a light-hearted manner, they do reveal Rushdie's preference for some Shakespeare classics.

Although a novelist, Rushdie was involved in theatre and started acting during his student days. He was a member of the Cambridge Footlights Theatre. When he came back to England in 1971 after a stint with Pakistani television, he was an actor at the Oval theatre in Kensington. His father, the Cambridge-returned lawyer, Anis Ahmed Rushdie, protested so much against this not too respectable profession that Rushdie turned to copywriting for the advertisement agencies, Ogilvy and Mather and Charles Barker, to make a living. The story of how his father objected to his penchant for acting is recounted in *The Satanic Verses,* one of whose lead characters, Saladin Chamcha, is an actor: "Might as well be a confounded gigolo" (Rushdie 1987: 47). Like Shakespeare, Rushdie knew too only well the risks of the profession – the unsettling gaze of the public, the betraying false moustache, the multiple voices and masks the actor has to put on, the transient glory. In Rushdie's third novel, *Shame*, which in fact he started writing as a play, the protagonist Omar Khayaam Shakil discloses his own and his Pakistani friends' reaction to a London performance of Georg Büchner's play, *Danton's Death* (1979). This episode reveals Rushdie's theatre-going habits and interweaves the theatre as a meaningful strand in his text. Moreover, the story in *Shame* of the performance of Shakespeare's *Julius Caesar* (Rushdie 1984: 241) by university students emphasizes the relevance of Shakespeare's plays in a postcolonial context. The production was to be in modern dress and to end with the assassination of the General in full uniform. As a result, the authorities wanted the play scrapped. The academics decided to defend the ancient dramatist against the assault of the military generals and reached a compromise. A prominent British diplomat was asked to perform the role of Caesar in imperial regalia. The generals seated in the front row wildly applauded the patriotic overthrow of imperialism. In the same novel, the narrator disconcertingly connects the death of Zulfikar Ali Bhutto to that of Romeo and Juliet (1984: 229). Although this off-hand comparison of the love affair between the politician and his electorate with the teenage romance of the lovers of Verona might look like a gratuitous flaunting of Shakespeare on Rushdie's part, his purpose is to stage the theatricality of Pakistani politics which, in fact, is closer to the melodrama of Indian cinema where the borderline between the high and the low is fuzzy. Rushdie is well aware of the political import of Shakespeare's theatre and puts it to good use to endow his novels with a dramatic impact. Saladin Chamcha's unconditional praise of *Othello* in *The Satanic Verses* – "*Othello*, just that one play was worth the total output of any other dramatist in

any other language" (Rushdie 1987: 398) – bears witness to the constructive force of Shakespeare in Rushdie.

2. Intended intertextuality

To conjure up Shakespeare in Rushdie, it is logical to start with Shakespeare's birthplace. Indeed, a visit to Stratford-upon-Avon forms part of the literary pilgrimage of many an Indo-Anglian writer (Visvanathan 2002: 108-09). In the story entitled 'Chekov and Zulu' in Rushdie's short story collection *East, West* (Rushdie 1994: 149-71), which narrates the assassination of Indira Gandhi and her son Rajiv Gandhi in the manner of a star trek movie, Chekov asks his old Sikh Zulu to drive him to Stratford-upon-Avon for a performance of the Renaissance allegory of state, *Coriolanus* (1994: 160). This passing mention of Shakespeare's play is perhaps a deictic pointer to the semi-homosexual bonds existing between two former Board School mates from Dehra Doon which parallel those between Coriolanus and Aufidius. More importantly, it is intended to psychologically prepare the reader for the tragic worst-case scenario that is played out at the end of the story in which Rajiv Gandhi is killed by a Sri Lankan Tamil suicide bomber.

After the birthplace, we come across the figure of Shakespeare himself in the short story entitled 'Yorick'. The narrator is none other than Yorick, the dead and buried jester of the Danish King Horwendillus in *Hamlet*. He refers to Shakespeare irreverently as Master Chackpaw (Rushdie 1994: 81). This simple pun encapsulates the whole history of postcolonial hybridity (Sandten 2000: 76-84). The term *Chackpaw* was no doubt inspired by the Wishbone show's *Shakespaw*. Could the legacy of Shakespeare be derided as mere chalk paw prints drawn for the benefit of the Empire's children to guide them and lead them somewhere in a literary game? The formulation *Master Chackpaw* is quite ambiguous. On the one hand, it reveals the postcolonial author's admiration for Shakespeare and, on the other, his determination to upset the established subalternities of the English society as regards race and class. This parody of Hamlet "which ruins at least one great soliloquy" (Rushdie 1994: 81) is an ironical statement on, and a paradoxical plea for, postcolonial freedom. The clown "offers no defence, but this: that these matters are shrouded in antiquity, and so there's no certainty in them; so let the versions coexist, for there is no need to choose" (1994: 81). Issues of postmodernism are thus linked to those of postcolonialism.

The titles of Rushdie's novels somehow allude to Shakespeare's plays. *Midnight's Children* is the first although perhaps not the most obvious example. The historical fact of India's attaining independence at midnight was underscored by Nehru's 'tryst with destiny' speech. "At the stroke of the midnight hour, while the world sleeps, India awakens to life and freedom" (Nehru 1947). Later the Larry Collins and Dominique Lapierre's bestselling *Freedom at Midnight* (Collins and Lapierre 1975) emphasized the time factor. But the idea of nationhood as a collective dream or a mass fantasy that Rushdie puts forward in the novel (Rushdie 1982: 112) that was awarded the Booker of Bookers in 1993, certainly warrants a connection with *Midsummer Night's Dream*. Besides, the idea of dream occurs as a leitmotif in the novel. It is no coincidence that the

novel's theatrical version was produced by the Royal Shakespeare Company. The allusion to August Strindberg's *Dream* in *The Satanic Verses* (Rushdie 1987: 442) confirms our intuition that the dreamlike aspect of *Midnight's Children* was theatrically inspired, for Strindberg held that "In dreams, time and space do not exist ... the characters split, double, multiply, evaporate, solidify, diffuse, clarify. But one consciousness reigns above them all – that of the dreamer" (Strindberg 1999: 176). The Swedish dramatist himself was inspired by Shakespeare. Rushdie's *The Moor's Last Sigh*, while being a simultaneous reference to Alfred Dehodencq's painting and Luis Bunuel's film, primarily calls to mind Shakespeare's *Othello*. As for Rushdie's novel, *Fury* (Rushdie 2001), the title is obviously taken from *Macbeth*: "Life is ... a tale told by an idiot, full of sound and fury, signifying nothing". A variation of the quotation from *Macbeth* appears in the previously published *The Moor's Last Sigh*: "A Moor's tale complete with sound and fury" (Rushdie 2001: 4). Considering that William Faulkner had already taken *Sound and Fury* and that *Signifying Nothing* is the title of a book by Malcolm Evans, Rushdie has perhaps had to content himself with this one word quote from Shakespeare.

The figure and texts of Shakespeare are not just filigrees in Rushdie. Shakespeare is foregrounded by direct quotations from his plays in some of the novels. The first quotation to be identified by the author himself is found in *The Moor's Last Sigh* (Rushdie 1995: 114). It comes from *The Merchant of Venice* and illustrates the different attitudes Portia shows towards her suitors. When the prince of Morocco fails the test, she says: "*A gentle riddance. Draw the curtains! Go. / Let all of his complexion choose me so*" ([*The Merchant of Venice* Act II, Sc. VII, ll.78-79] Shakespeare 1995: 436). When her lover Bassanio makes the right choice, he justifies it thus, "*... ornament is but the guilèd shore, /To a most dangerous sea; the beauteous scarf / Veiling an Indian beauty; in a word, /The seeming truth which cunning times put on*" ([*The Merchant of Venice* Act III, Sc. 2, ll. 97-100] Shakespeare 1995: 439).

The narrator's avowed purpose in invoking this text is to contrast Portia, who is presented by Shakespeare as the very archetype of justice, with his heroine Aurora. But Rushdie gets almost professorial and gives an explanation of the racism inherent in the text with regard to both Arabs and Jews. The bracketing of Othello and Shylock together is an idea that was first mentioned in *The Satanic Verses* (Rushdie 1987: 398). The other quotations in *The Moor's Last Sigh* come from *Hamlet* and *Romeo and Juliet*. Camoens Da Gama comforts his wife (and Aurora's mother), Isabelle Souza, who is suffering from tuberculosis, by reading out from *Hamlet* (Rushdie 1995: 51): "*Absent thee from felicity awhile / And for a season draw thy breath in pain*" ([*Hamlet* Act 5, Sc. 2, ll. 299-300] Shakespeare 1995: 687).

This quotation prepares the readers for the tragic and premature death of Belle alias Isabella. Aurora's son Moraes considers himself "fortune's fool" like Romeo (Rushdie 1995: 418). His family name *Zagoiby* meaning 'unlucky' in Arabic is what enables Rushdie to perform this skilful metamorphosis of the Moor into the Italian lover.

Some times the quotations are intended to explicitly echo Shakespearean themes such as the green-eyed monster of jealousy or the nature of human destiny or the status of women. In *The Satanic Verses*, one of the twin heroes, Saladin Chamcha, explains his relationship with his friend and rival Gibreel Farishta (Rushdie 1987: 428) by quoting

from *Othello*: "*I follow him to serve my turn upon him*" ([*Othello* Act I, Sc. 1, l. 42] Shakespeare 1995: 821).

If the italics in the text prod the reader to look for an intertext, there are places where the quotations are so welded into the text that the reader has to exercise his/her vigilance in order not to miss the innuendo as, for example, in the *King Lear*-marked "wanton attitude to tumbling flies" (Rushdie 1987: 133), the *Hamlet*-inspired interrogation "wife or widow?" (1987: 172) or the character of a woman "protesting too much" (1987: 262) or the "watery grave" (1987: 172) borrowed from *Pericles*. The prevalence of quotations poses the question of authenticity and mimicry. Rushdie has internalized Shakespeare as an inherent component of the English language so that he is able to contextualize and decontextualize Shakespeare at will.

The array of quotations from Shakespeare will only be complete with the lines from *Julius Caesar* cited in the eponymous essay that concludes Rushdie's collected work of non-fiction, *Step Across This Line* (Rushdie 2002: 437-39), about the eleventh of September terrorist attacks on New York, a photo of which adorns the dust jacket of his novel *Fury: "The evil that men do lives after them, /The good is oft interred with their bones*" ([*Julius Caesar* Act III, Sc. 2, ll. 76-77] Shakespeare 1995: 615). [6]

> "*… Never till now,*
> *Did I go through a tempest dropping fire.*
> *Either there is a civil strife in heaven,*
> *Or else the world, too saucy with the gods, / Incenses them to send destruction*"
>   ([*Julius Caesar* Act I, Sc. 3, ll. 9-13] Shakespeare 1995: 604).

> "*Men in fire walk up and down the streets.*
> *And yesterday the bird of night did sit,*
> *Even at noon-day, upon the market-place,*
> *Hooting and shrieking. When these prodigies*
> *Do so conjointly meet, let not men say*
> *'These are their reasons, they are natural';*
> *Unto the climate that they point upon.*
> *For, I believe, they are portentous things*"
>   ([*Julius Caesar* Act I, Scene 3, ll. 25-31] Shakespeare 1995: 604-05).

The point that Rushdie wants to make is that dreams and omens, whether discussed by the character of Casca or by Bin Laden and his accomplices are murderers' exculpations. Rushdie underscores Shakespeare's attitude to evil, which emphasizes human and not divine responsibility: "*The fault, dear Brutus, is not in our stars / But in ourselves*" ([*Julius Caesar* Act I, Scene 2, ll. 141-42] Shakespeare 1995: 603).

Rushdie goes back to *Othello* again in this essay. The Moor does not find cloven hoofs when he looks at Iago's feet. Rushdie's conclusion is trenchant and clear: "The world is real. There are no demons. Men are demonic enough" (Rushdie 2002: 439). By invoking Shakespeare as the authority in human values at a critical and tragic moment of the 21st century, Rushdie consecrates the sacredness of his secular truth.

Rushdie's alternative version of *Hamlet* and the mixing up of characters' names within the play have given birth to his most hilarious short fiction entitled 'Yorick'.

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[6] These few lines are also quoted by Arundhati Roy in *The God of Small Things* (1997: 275).

Tristram Shandy's parson is but one of his offspring, according to the clownish narrator who also claims to be one of the multicoloured heirs of Yorick's exiled child. This is where Rushdie gets close to painting a portrait of himself as jester. It is to be noted that the protagonist of his latest novels (2005, 2008) are clowns: Shalimar and Mogor Dell 'Amore'. In *The Enchantress of Florence*, Rushdie deliberately cultivates the confusion between the foreigner and the fool (Rushdie 2008: 6). Finally, the fool wearing a coat of coloured leather lozenges will turn out to be a bastard child of an improbable encounter between Renaissance Italy and Moghul India, thus prefiguring the mixed heritage of colonial encounter which the author himself partakes of. Using the fool's point of view enables Rushdie to debunk the imperial grandstand view, whether it is articulated by the West or by Islam.

In 'Yorick', like James Joyce's Stephen Dedalus, Rushdie offers a different reading and interpretation of Hamlet. His purpose in telling his tale is to elucidate the reason why in William Shakespeare's play, the morbid prince seems unaware of his father's real name. Uncertain parenthood and impure origin are recurring themes in Rushdie, which explain his particular sensitivity to the debarred father's name in the play. In Rushdie's story, Yorick marries Ophelia. They have a child whose name is not revealed in the text. The princeling Hamlet has the habit of waking them up early in the morning. He considers Yorick as his second father and has transferred his oedipal hatred to Ophelia. When he accidentally witnesses his father making love to his mother, he mistakenly thinks that he is trying to murder her. Punished by his father, he plots revenge and decides to use Yorick. He pours poison in his ear by telling him that his wife and the king are having an affair. Yorick kills the king by literally pouring hebona into the king's ears. Wronged, Ophelia goes mad and dies. The king's brother understands the enigma, gets the clown executed and marries Gertrude. Jealous, Hamlet then accuses Claudius of murdering the king. However, haunted by his own guilt, Hamlet spurns his own Ophelia and commits suicide.

Rushdie's highly self-conscious narrative, in which the author is construed as a fool and the reader as someone smart who applies sensitive reading technologies, offers a comic reversal of the writer's authority. All the material and formal elements such as the paper, the beginning, the plot, the urgency that drives it, the allotted length and the conclusion are openly revealed to the reader as well as the aim of such a literary enterprise, i.e. attaining immortality, in this humorous meta-narrative on writing the short story. This sub-story provides excellent comic relief to the tragedy of the main story and really succeeds in shifting the focus from Hamlet to Yorick. With this short story Rushdie joins the whole line of European and American authors who have rewritten *Hamlet*, i.e. Heiner Mueller (2000), Tom Stoppard (1991), Margaret Atwood (2001), Iris Murdoch (2003), John Updike (2001) and Lee Blessing (1992). Rushdie not only refers to the play text of Shakespeare but to one of its performances at least in *The Ground Beneath Her Feet*. He pays homage to the actor Jonathan Pryce who "produced the ghost from within himself, in an astonishing feat of body and voice control" (Rushdie 1999: 490-91) in a Royal Court Theatre production of *Hamlet* in 1980.

Rushdie's characters have an offhand way of referring to Hamlet or Brutus as household synonyms for procrastinating personalities and betrayers (Rushdie 1987: 228, 316). But Rushdie has reshaped some of Shakespeare's important characters into

their postcolonial incarnations. The most striking example is Saladin Chamcha, the actor in *The Satanic Verses* who belongs to a theatre group called Prospero Players (Rushdie 1987: 49). Readers are at once made to think of Shakespeare's *The Tempest* and Peter Greenaway's *Prospero's Books* (1991). The gaze of the racist police officers in England transforms the law-abiding anglophile subject Chamcha into the devilish figure of the goat. The metamorphosis of a human into an animal reminds us of Shakespeare's Bottom whose comic transformation into a donkey is an entertaining factor in *Midsummer Night's Dream*. But Chamcha's transmogrification into a cuckolded husband and a grotesque illegal alien is no laughing matter. It is pathetic. The manticore he meets in the hospital complains: "They have the power of description and we succumb to the pictures they construct" (Rushdie 1987: 168). The linguistic register dealing with animals gives us the clue to the fact that Rushdie has in mind the representation of Caliban by Stephano in *The Tempest*: "*Have we devils here? Do you put tricks upon us with savages and men of Ind? / … This is some monster of the isle with four legs*" ([*The Tempest* Act II, Scene 2, ll. 57-65] Shakespeare 1995: 1178).

By embodying his self in the outmoded envelope provided by the colonizers, Rushdie others the New Empire within Britain in its own language: "*It's an image white society has rejected for so long that we can really take it, / you know, occupy it, inhabit it, reclaim it and make it our own*" (Rushdie 1987: 287).

"Reclaiming language from one's opponents is, therefore, central to the purpose of *The Satanic Verses*" (Rushdie 1992: 402). In a sense, Rushdie was playing the same game with reference to the Muslim world by representing the Prophet of Islam as Mahound with a view to voicing the doubts of Iqbal, Ghazali, Khayaam. But the fictionalization of the Prophet's image was misread by the believers. Besides, the Shakespearean intertext in this novel is somehow overwritten by more philosophical discussions on the nature of metamorphosis in Ovid and Virgil.

The Moor's Sigh centres on a bastard child, Moraes Zagoiby. His mother, Aurora da Gama, is Catholic and his father, Abraham Zagoiby, is Jewish on his father's side and Arab on his mother's side, his mother being a descendant of Abu Abdallah, the last of the Nasrids, Sultan Boabdil of Granada. When Abraham decides to marry Aurora, his mother makes him execute a bond, Shylock-style, in which he promises to bring up his firstborn son in the Jewish tradition. "An oath, an oath, I have an oath in heaven … I stay here on my bond" (Rushdie 1995: 113). His mother, Flory, insists: "I crave the law, the penalty and the forfeit of my bond" (1995: 113.). Later, Moraes's artistic mother, Aurora, paints a rather ambivalent picture of her son as the stabbed Othello and herself as the murdered Desdemona (1995: 224-25). Rushdie's invocation of Shakespeare's *Othello* and *The Merchant of Venice* in this novel serves a twofold purpose. Elizabethan England viewed miscegenation with suspicion. From the idea of the Virgin Queen to the mistrust of illegitimate sons, purity was upheld as a supreme value that preserved the integrity of England. Rushdie's affirmation of the mongrel identity of the postcolonial "I was – what's the word these days? – atomised. Yessir: A real Bombay mix. Bastard: I like the sound of the word" (1995: 104) shows the evolution of English society, which has embraced multiculturalism in its postimperial phase. Caliban is described by Trinculo as smelling like a fish. The bastard postcolonial has now the courage to identify himself as "smelly shit" (1995: 104). The Cochin Jews mentioned in

Rushdie's novel (1995:76) are but symbolic incarnations of religious minorities in modern nation-states: Moors and Jews in Venice, Muslims in India. The likely real name of Othello in Shakespeare's play, Attallah or Attaulah is given by a Muslim immigrant from East Bengal in London, Sufyan, in *The Satanic Verses* (Rushdie 1987: 248). As a Muslim who has been (thrice) married to white women, Rushdie seems to identify himself more with Othello than with any of Shakespeare's other characters.

The identity of Vina Apsara, the heroine of *The Ground Beneath Her Feet* is multidimensional and her regal beauty is certainly modelled on Princess Diana's. She has a Greek American ancestry. Her mother's name, Helen, is a pointer to Helen of Troy. However, the story of her star-crossed love for Ormus Cama makes them a mythical love pair like Romeo and Juliet. The narrator's comparison of her to the Egyptian queen Hatshepsut (Rushdie 1999: 68) and the fact that she has two suitors like Cleopatra associate her with the category of women whose beauty "age cannot wither nor custom stale" (Rushdie 1999: 68). Vina Apsara thus becomes a recast of Cleopatra, Juliet and many other beautiful women of the East and West put together.

3. Random intertextual links

I have so far dealt with obligatory or intended intertextuality in this article. However, readers who have a close knowledge of Shakespeare's plays may feel tempted to detect some casual borrowings from Shakespeare's images or plot lines by Rushdie. While identifying these might look like a mere attempt at Fluellenism, it does help highlight the pervasive presence of Shakespeare in the readers' circular memory which contributes to random intertextual links forged by them to make meaning of Rushdie's complex narratives. The very Indian and mystifying astrological forecasts by the seer Sri Ramram Seth in *Midnight's Children,* especially the chilling "And he will die before he is dead" (Rushdie 1982: 88), remind us of the witches' predictions in *Macbeth*. The three sisters at the father's deathbed enquiring about their heritage in *Shame* (Rushdie 1984: 14) inevitably recalls the challenge to patriarchy portrayed in *King Lear*, while the balcony scene in *The Satanic Verses* where Hind kisses the Grandee (Rushdie 1987: 371) is an ironic re-enacting of *Romeo and Juliet*. Cross-dressing is another device that Rushdie may have borrowed from Shakespeare. In *Shame*, two Pakistani men, Raza Hyder and Omar Khayaam Shakil, dress like women in purdah (Rushdie 1984: 268). The bus drivers and co-passengers take them for transvestites or *hijras*. While this may be a tactic inspired by Sir Richard Burton, who travelled to Mecca in disguise, the cross-dressing page in *Haroun and the Sea of Stories* (1991) certainly is reminiscent of Viola in *Twelfth Night* or Rosalind in *As You Like It*. Tom Stoppard's film *Shakespeare in Love* proposes a modernist revision of the Renaissance theatrical practice in which men played women's roles. Rushdie's hypertexts preserve the original Shakespearean hypotexts on questions of gender equality and keep the gender debate alive. Rushdie's *The Ground Beneath Her Feet* has been designed to deal with the question of "exits" (Rushdie 1999: 213). The word *exit* harks back to the 'All the world is a stage' speech uttered by Jacques in *As You Like It*. Two Indians, one old and one young, decide the independence of the heroine Vina Apsara over a poker game which is not far removed

from the contest for the hand of Emilia in *The Two Noble Kinsmen.* The Shakespearean metaphor of *Juliet as the sun* irradiates this novel, which ideologically deconstructs the West as Disorient: "Disorientation; loss of the East. And of Ormus Cama, her sun" (Rushdie 1999: 5).

Rushdie's preferred time frame is, of course, the decolonized and globalized world. But he does not shy away from settling scores with the past. According to him, being handcuffed to history is the fate of the postcolonial subject and the harsh and deifying ties of history are stronger than any mortal love. Thus references to the Elizabethan era and the seafarers occur frequently in his texts. In *Midnight's Children* for instance, a painting by Sir John Everett Millais entitled *The Boyhood of Raleigh*, in which a barefooted Walter Raleigh is pointing his finger to the New World and talking to two young Elizabethan lads, adorns the child Saleem's room. One of the two grown-up adults who fall onto English shores at the opening of *The Satanic Verses* might well be the East Indian boy who has looked upon Sir Walter Raleigh as a source of inspiration for an adventurous selfhood. If Shakespeare was constructing the dream England of his mind by representing its peripheries such as the Caribbean, Rushdie, though attracted to 'Babylondon', is bent upon tropicalizing it. It is his way of translating Shakespeare's "making Britain India" ([Henry VIII, Act I, Sc. 1, l. 21] Shakespeare 1995: 1195). Besides, Shakespeare is not the only Elizabethan dramatist to be quoted by Rushdie. A parodic postmodern allusion to Marlowe's *Tamburlaine The Great* in *The Satanic Verses* (Rushdie 1997: 525) completes the Elizabethan subtext in Rushdie.[7]

The preparation for colonial encounters is handled in the short story entitled 'Christopher Columbus and Queen Isabella of Spain Consummate their Relationship (Santa Fé, A.D. 1492)'. It is a prelude to the novel, *The Moor's Last Sigh,* because it is after receiving the keys of Al Hambra from Boabdil that Isabella decides to let Columbus help her possess the unknown territories beyond the sea. What is interesting about this short story is its impact created by the postcolonial author's contrapuntal rewriting of Shakespeare's point of view across the centuries. While Shakespeare portrays Othello as the outsider, Rushdie makes Columbus an emblematic figure of the foreigner. "It is considered *de rigueur* to keep a few foreigners around. They lend the place a certain cosmopolitan tone. They are often poor and consequently willing to perform diverse necessary but dirty jobs" (Rushdie 1994: 108).

Shakespeare's plays are also remembered for their unforgettable songs, which impart a musical identity. Salman Rushdie is a fan of the Rolling Stones and U2. He also possesses a vast knowledge of Eastern musical traditions embodied in Urdu gazals. Rushdie is fond of quoting popular schoolboys' and sailors' songs and lyrics from modern pop singers, not to mention verses from famous operas. He has also tried his hand at song-writing in *The Ground Beneath Her Feet.* Music is indeed the food of love in this novel where the Ovidian intertext connects Shakespeare and Rushdie: "*Orpheus*

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[7] The quotation is in the guise of a pastiche from the English theatre critic Kenneth Tynan who had imagined the polysyllabic characters in Marlowe's play as "a horde of pills and wonder drugs bent on decimating one another" (Tynan, K. 1967. 23-26).

with his lute made trees / And the mountain tops that freeze, / Bow themselves, when he did sing" ([*King Henry VIII*, Act III, Sc. 1, ll. 3-5] Shakespeare 1995: 1208).[8]

Whether Rushdie's songs will endure the test of time as much as Shakespeare's remains to be seen. However, if we have to choose one single element that allows us to put Shakespeare and Rushdie on the same footing, it would be their linguistic inventiveness. The narrator of *The Ground Beneath Her Feet* might have been talking about Rushdie and Shakespeare when he describes himself and his mother as "language's magpies by nature stealing whatever sounded bright and shiny" (Rushdie 1999: 56-57). Both have amplified and developed the flexibility of the English language and its potential for concrete imagery by freely borrowing foreign loan-words and inserting them into English syntax, coining new words, manufacturing portmanteau words and formulating puns, which become truly interlingual in Rushdie. Both draw from the literary and vulgar varieties of English. As is the case with Shakespeare, certain Rushdian expressions have passed from his text into everyday language (e.g. chutnification, Hinglish). Writers from the Caribbean have regarded the gift of language as poisonous (Zabus 2002: 38). George Lamming posits the idea of language as a prison house, whereas according to Rushdie, "to conquer English is to complete the process of making ourselves free" (Rushdie 1992: 17) For him, "language is courage: the ability to conceive a thought, to speak it, and by doing so to make it come true" (Rushdie 1987: 281).

4. Conclusion

The identification and interpretation of Shakespearean intertexts in Rushdie cannot be dismissed as a childish game on the part of the reader who, through his or her Elizabethan glasses, looks at Rushdie's world as Shakespeare-coloured. Nor can it be seen as an irruption of toxins of admiration for Shakespeare infused into Rushdie's artistic bloodstream. That Rushdie has a vast knowledge of Shakespeare's plays is undeniable. There is also no doubt that he has an irreverent tendency to 'write back' to the imperial centre. However, the presence of Shakespeare in Rushdie may be viewed not so much as an attempt to deconstruct and subvert the canon, as Angela Carter did, as an unconscious effort to rival and reinvent Shakespeare's genius in the novel form. One of Rushdie's imaginary egos, Professor Solanka, the protagonist of *Fury*, alludes to an indecorous conclusion to the first dinner he had with his wife Eleanor during which they discussed Shakespeare. Eleanor, naked and with "her head on his lap and a battered *Complete Works* face down across her bush" (Rushdie 2001: 10) tells him about the importance of the inexplicable in Shakespeare before making love to him. Later, when he is tempted to quote to her from her own thesis to explain his running away from her, he realizes his arrogance. "What was he thinking of, giving himself and his paltry actions, these high Shakespearean airs? Did he truly dare to set himself beside *The Moor of Venice* and *King Lear*, to liken his humble mysteries to theirs? Such vanity was surely a more than adequate ground for divorce" (Rushdie 2001: 12). This episode

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[8] It is I who quote these lines from *Henry VIII*.

shows that Rushdie does not want to posture self-consciously as a postcolonial Shakespeare. The author who has had to resist Ayatollah Khomeini's fatwa is only too aware of his own mortality, as we can gather from the quotation from *Cymbeline* inserted in *The Ground Beneath Her* Feet (Rushdie 1999: 445), "All must, like chimney sweepers come to dust" ([*Cymbeline* Act IV, Scene 2, l. 264] Shakespeare 1995: 1154). The texture of the Shakespearean palimpsest in his novels is quite different from the more visible presence of Shakespeare in George Lamming or Suniti Namjoshi for example. Rushdie's non-anxious mode of appropriating Shakespeare sets him apart from other postcolonial writers.

We ought, therefore, to look elsewhere for another plausible explanation. Rushdie's hybridization of the narrative art through Shakespeare's theatre and other performing arts may simply have been a creative outlet to resolve the tension in his relationship with his father. The fact that the most irreverent of postcolonial authors holds in reverence the most canonical of English authors obliquely tells the story of how, like his protagonist Saleem, Salman has found a putative and imaginary literary father. Hence the filiation in my title. According to newspaper reports, there was a reading from Shakespeare at Rushdie's fourth wedding in New York which reveals Rushdie's emotional attachment to the fatherly text. The plausible hypothesis put forward by the American writer Robin Williams (Anne Underwood 2004), according to which Shakespeare's texts were written by the Swan of Avon, Lady Mary Sidney Herbert, Countess of Pembroke, only adds spice to the story.

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Bram Stoker's *Dracula*. A Study on the Human Mind and Paranoid Behaviour

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The Victorian *fin-de-siècle* experienced the growth of scientific naturalism, and witnessed the birth and development of sciences such as modern psychology, supported by the scientific efforts to unravel the processes of the human mind. Nevertheless, the 1890s were also notable for the participation of educated people in Spiritualism and other occult activities, their interest in folklore of all sorts and the writing of a great corpus of fantasy literature. The aim of this essay is to offer a reading of Bram Stoker's *Dracula* as an example of the dialogue established between science, literature and the study of the supernatural in Victorian England. The novel, as part of the *fin-de-siècle* scientific period, can be interpreted as a conscious inquiry into the functioning of the mind and, most especially, into the aetiology of paranoid behaviour. Thus, Stoker's text becomes a testimony of a mental disorder known as *folie à deux*, or shared madness.

Keywords: Bram Stoker; *Dracula*; *fin-de-siècle*; paranoia; *folie à deux*; vampire

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Drácula de Bram Stoker. Un estudio sobre la mente humana y el comportamiento paranoide

El fin de siglo victoriano experimentó el crecimiento del naturalismo científico, y presenció el nacimiento y desarrollo de ciencias como la psicología moderna, apoyada en los esfuerzos científicos por desenmarañar los procesos de la mente humana. No obstante, la década de 1890 también destacó por la participación de ciudadanos educados en el Espiritualismo y otras actividades ocultistas, por su interés en todo tipo de folclore, y por la creación de un gran corpus de literatura de fantasía. El objetivo de este ensayo es ofrecer una lectura de Drácula *de Bram Stoker como ejemplo del diálogo entre ciencia, literatura y el estudio de lo sobrenatural en la Inglaterra victoriana. Como parte del período científico del* fin-de-siècle, *la novela puede interpretarse como una investigación consciente del funcionamiento de la mente y, en particular, de la etiología del comportamiento paranoide. Así, el texto de Bram Stoker se convierte en testimonio de un trastorno mental llamado* folie à deux, *o locura compartida.*

Palabras clave: Bram Stoker; Drácula; fin-de-siècle; *paranoia;* folie à deux; *vampiro*

1. Introduction: Science, Spiritualism and Bram Stoker in XIX-century England

More than a hundred years have elapsed since *Dracula* was first published and it still stands out as one of the most influential creations in the world of literature and arts.[1] Appearing in June 1897, Bram Stoker's novel raised the vampire tradition—from previous works such as Polidori's *The Vampyre* (1819), James Malcolm Rymer's *Varney the Vampyre: or, The Feast of Blood* (1847) or Sheridan Le Fanu's *Carmilla* (1872)—to its highest and most popular summit, and created, at a stroke, one of the greatest myths of Western culture. This epistolary novel was released at the dusk of the nineteenth century, in the so-called *fin-de-siècle*. As several critics have pointed out, this period was characterized by an astonishing development of the different sciences, along with a profound inquiry into the degeneration principles arising from Darwinist postulates (Ledger and Luckhurst 2000; Stiles 2006b). To highlight two new intellectual standpoints, the end of the century experienced the growth of a scientific naturalism, and witnessed the birth and development of modern psychology, with outstanding names such as David Ferrier, John Hughlings Jackson and James Crichton-Browne (founders of the *Brain* journal in 1878), or Sir William Thornley Stoker (Bram Stoker's brother and President of the Royal College of Surgeons in Ireland).

Additionally, the new discoveries in sciences and the scientific attitude towards life and existence percolated into the lives of the common citizen. Newspapers and periodical publications brought closer to the readers detailed descriptions of scientific reality and burning topics concerning social issues. Henry Mayhew, for instance, displayed an autopsy of the *London Labour and the London Poor* of the metropolis' society, with his articles appearing in *The Morning Chronicle* between 1849 and 1850, while Charles Dickens and Wilkie Collins offered their 'realistic' narrations in instalments that kept to precise dates. Narratives with overtly clear chronological sequencing seem to be related to the objective account of events as described in newspapers such as the *Illustrated London News* or the *Illustrated Police News* (which began publication in 1842 and 1864, respectively).[2] Thus, as Anne Stiles affirms, "Victorian intellectual culture permitted a dialogic conversation in which scientific researchers and literary authors were mutually responsive to one another" (2006b: 5).

Nevertheless, Victorian culture and sciences also hid a darker side where the supernatural played an essential role. The 1890s were notable for the participation of

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[2] When *Dracula* was first published in 1897, readers were already familiar with sequenced narrations in newspapers. These narratives included literary fictions such as those of Dickens or Collins, but also real-life accounts of outstanding police cases, such as Jack the Ripper's murders. The case was thoroughly followed by the media which, throughout 1888, published the news of the case, including the letters sent by the murderer to the police (Evans and Skinner 2003).

educated people in Spiritualism and other occult activities, their interest in folklore of all sorts and the writing of a great corpus of fantasy literature (including Stoker's own works). Thus, Sir Arthur Conan Doyle, creator of the arch rationalist Sherlock Holmes, believed that spirits could be photographed, as is evinced in *The Coming of the Fairies* (1922). The struggle between the rational scientists and the educated Spiritualists reached the public spheres. As Richard Noakes points out: "In articles in mass circulation periodicals, textbooks, in public lectures and in classroom teaching, Victorian professionalisers and popularisers of science enforced the contrast between science and Spiritualism, and helped represent Spiritualism as beyond the domain of natural enquiry" (in Bown, Burdett and Thurschwell 2004: 24). Hence, mid-Victorian Britain witnessed the appearance of works, such as William Howitt's *The History of the Supernatural* (1863) or Alfred Russel Wallace's *The Scientific Aspect of the Supernatural* (1866), about the supernatural, the Spirit ontology and their relationship with the scientific world.

In this context of communication between Victorian science, fiction and the study of the supernatural, I place the object of analysis of this essay. My aim in the following pages is to offer a reading of Bram Stoker's *Dracula* as an example of the dialogue established between sciences and the supernatural in Victorian England. It is my contention that *Dracula,* as part of the *fin-de-siècle* scientific period, can be interpreted as an inquiry into the functioning of the human mind and, most especially, into the aetiology of paranoid behaviour, thus becoming a literary example of what Castilla del Pino refers to as *folie à deux* (1998: 194). The novel would offer a wonderful recreation of the human mind's processes as they are increasingly affected by paranoid fits and delusions. Consequently, I detach myself from previous analyses of the novel, where the events narrated by the characters are considered as reality inside their own literary diegesis (Stiles 2006a; Almond 2007).[3] And I believe that the events depicted in the characters' diaries may have not happened; they could, rather, be the product of psychological delusions and paranoid behaviour.

Stoker's interest in the development of Psychology has already been highlighted by other critics. Stephanie Moss, for instance, points out the writer's inclination towards "psychology and the mind/body connection" (in Davison and Simpson-Housley 1997: 124), and proves his acquaintance with Freud's earliest book on hysteria, since the Irish writer attended a talk on Freud's theories at a London meeting of the Society for Psychical Research.[4]

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[3] These articles offer excellent analyses of the Dracula myth, Stiles from the point of view of the neurosciences, Almond from a psychoanalytic perspective. Nevertheless, they take for granted the existence of a vampire in the novel, following the testimonies of unreliable narrators such as Jonathan Harker.

[4] This Society's aim was "to discover scientific evidence for Spiritualism" (Davison and Simpson-Housley 1997: 142), and among the publications its members released in its early stages of life we can mention the book *Phantasms of the Living* (1886) and the 'Census of Hallucinations' project (1889-1892), both debating the scientific nature of ghost apparitions (Hill 1918: 117).

Besides, Stoker was also acquainted with the works of the French psychiatrist Jean-Martin Charcot, pioneer in the study of hysteria and mentor of Sigmund Freud, Pierre Janet and William James, at the Parisian hospital of La Salpêtrière. Evidence of this fact can be found in *Dracula* (1993: 247) and in Stoker's *Personal Reminiscences of Henry Irving* (1906: 316). Interestingly enough, in the third volume of his *Clinical Lectures on Diseases of the Nervous System*, Charcot analyses Spiritualism's alarming influence over hysteria-prone individuals, and discusses the outstanding case of what he calls "the epidemic of hysteria" of 1884 (Charcot 1889: 198-206). In the account of this case, a family becomes 'infected' by hysteria, as parents and children share hallucinations and hysterical fits, after having attended Spiritualist séances for long periods of time.

Hence, as Sally Ledger and Roger Luckhurst explain, "the *fin-de-siècle* enthusiasm for translating all problems into scientific terminology was the product . . . of a group of brilliant workers in science . . . This group contested theological explanations of the natural world with an unapologetically secular scientific naturalism" (2000: 221). For these scientists, the fantastic, the marvellous, as well as the religious, could be explained in rational terms. Consequently, placing Stoker inside this trend of thinkers would imply that the supernatural *per se*, Dracula as a vampire, cannot exist as a marvellous creature, but as a mental phenomenon that could be explained in rational terms. The rationality that I propose for the scientific explanation of the novel relies on the consideration of the different diaries as accounts of the characters' paranoid experiences. Thus, the information they give and share creates a testimony of their own mental disorder, and relates the text with the writing of psychological reports.

2. Harker, Schreber and the development of paranoia

In this vein, we can establish a comparison between Stoker's text and an authentic example of a psychological report. In 1903, Judge Schreber published *Memoirs of My Nervous Illness*, "in which he described an illness since quoted as an outstanding example of paranoid schizophrenia and one which supports psychoanalytical explanations of the development of paranoia" (Stanley 1986: 236). His case became famous in 1911, when it was included in Freud's collection of case histories, 'Psychoanalytic Notes on an Autobiographical Account of a Case of Paranoia (Dementia Paranoides)' (1991: 129-223).

Judge Schreber, ill at the age of 42, described the details of his own suffering, affected by delusions and hallucinations. According to his report, paranoia follows six different stages in its evolution: firstly, hypochondriac ideas; secondly, feelings of being chased and persecuted (isolated sensory hallucinations). These lead to the third and fourth stages, namely, hypersensibility to light and noise, and visual and hearing hallucinations. The fifth and sixth stages appear in combination: suicidal ideas, and mystic and religious manias (talking with God; harassment by demons; witnessing miraculous appearances; perceiving divine music; or believing that the end of the world is near).

If we compare Judge Schreber's account with Jonathan Harker's journey to Transylvania, we realise that *Dracula*'s first part seems to fit the pattern of the development of paranoia. The young lawyer's behaviour turns from the absolute scepticism of a rational mind into a presumed suicide while trying to escape from the Devil's claws of the Count.

His very first words (and, therefore, the very beginning of the novel) present objective information, as a disembodied omniscient narrator that informs about train schedules: "Left Munich at 8.35 p.m. on 1st May, arriving at Vienna early next morning; should have arrived at 6.46, but train was an hour late" (1993: 7). Nevertheless, his self-assurance and objectivity are quickly changed to a strange, different mood that he cannot understand: "Whether it is the old lady's fear, or the many ghostly traditions of this place, or the crucifix itself, I do not know, but I am not feeling nearly *as easy in my mind as usual*. If this book should ever reach Mina before I do, let it bring my goodbye" (1993: 12, emphasis added). Interestingly enough, in the opening pages of the story, the lawyer already announces his future demise, as his mind is starting to behave in an insane way. Apparently, Harker is entering the first stage of paranoia: hypochondriac ideas. As an educated rationalist of the end of the century, he attempts to find objective agents for his mental state; thus, he blames the old lady, the crucifix, or the general superstition, as he confesses: "It was within a few minutes of midnight. This gave me a sort of shock, for I suppose the general superstition about midnight was increased by my recent experiences" (1993: 20).

The following stage of paranoia comes equally soon during his stay with the Count. With no other reason apart from his fear of being in a foreign country, his mind is now immersed in a persecution mania. Needless to say, this nervous state leads to a suffocating feeling of imprisonment, and Harker gives voice to his condition out loud: "The Castle is a veritable prison, and I am a prisoner" (1993: 39). Unaware of Harker's unbalanced condition, Count Dracula, an eccentric elderly man, has been the perfect host to this moment of their relationship. The decaying aristocrat has looked after his guest's comfort and, in a certain sense, he has become the lawyer's butler, caring for his luggage (1993: 26), and even making his bed (1993: 40), for "there were no servants in the house" (1993: 41).

Nevertheless, his paranoid guest sees in Dracula the threatening figure chasing him. Harker distrusts the Count, so he aims to write short letters, in the belief that Dracula will read them. Thus, he affirms in his diary: "I understood as well as if he had spoken that I should be careful what I wrote, for he would be able to read it. So I determined to write only formal notes now" (1993: 46).

The lawyer's personal letters are to provoke Dracula's anger when Harker tries to secretly send two unsigned letters by means of the Szgany (1993: 59-60). The Count is given these letters and discovers Harker's betrayal of his Transylvanian hospitality. Nevertheless, Dracula apologizes for having read them. In fact, the old man should not be blamed. Dracula, as the owner of the castle, has the right and duty to open letters without identification. His words are telling: "Your letters are sacred to me. Your pardon, my friend, that unknowingly [there was no name in the envelope] I did break the seal" (1993: 60). This incident may have, at least, two different interpretations: on the one hand, we can believe Harker's manias and think that Dracula is trying to

prevent him from escaping. Seen thus, the Count would be an evil creature who tries to imprison Jonathan. It is my contention that this is the paranoid interpretation, as it is emphasised by the lawyer's writing.

On the other hand, Dracula's dealing with the letters may be seen as reasonable behaviour. An old man who has offered his hospitality and home to a foreigner finds two letters: one signed by Jonathan and addressed to Peter Hawkins (Harker's boss); and an unsigned letter that arouses Dracula's anger. In his own words: "The other [letter] is a vile thing, an outrage upon friendship and hospitality! It is not signed. Well! So it cannot matter to us" (1993: 60). This said, he burns the letter to ashes. Obviously, all the tension emerges from Harker's mind, as there is nothing to blame Dracula for. He is the owner of the Castle, and has given food and shelter to the foreign lawyer. And in return, he has received this affront to his 'friendship'. Surprising as it may seem, Dracula does not get mad at the young man. He obviously knows that Jonathan wrote the second letter. However, he prefers to forget about the incident, and, later on, when he returns to Harker's room, "he was very courteous and very cheery in his manner" (1993: 60).

Hence, it seems important to emphasise that, at this early point in the narrative, Harker, as the only source of focalization, depicts the Count as a Machiavellian, mischievous figure (with statements such as "the dark look came into his face, and his eyes blazed wickedly" [1993: 60] or "this looked like some new scheme of villainy" [1993: 61]). The attentive reader should ask him/herself whether we can really trust his words. As stated before, he was not "feeling nearly as easy in [his] mind as usual" (1993: 12). And as I am trying to prove, he is in the midst of a paranoid process. Therefore, he is far from being a reliable narrator.

Eventually, Harker acknowledges his own nervous disorder: "I am beginning to feel this nocturnal existence tell on me. It is destroying my nerve. I start at my own shadow, and am full of all sorts of horrible imaginings" (1993: 48). His fear-laden mind is playing horrible tricks. Nevertheless, after this recognition of his illness, the reader is supposed to believe one of the few explicit supernatural events: Dracula crawls down the castle wall from his window, "just as a lizard moves along the wall" (1993: 49). Although he cannot see his face, Harker knows that the shadow is a reptilian Dracula moving lizard-like towards some evil villainy.

As Judge Schreber clearly stated throughout his description of the complete case, for a paranoid patient, hallucinations appear to be absolutely real. Thus, following the progression of the mental disorder, we may say that Jonathan Harker has entered the fourth stage of paranoia: visual and auditive hallucinations. The depiction of Dracula's world in his journal may be said to refer simply to the pathological world of his mind, a world that he, as a paranoid, completely believes in.

Dr Carlos Castilla del Pino's analyses of hallucinations are very revealing for the consideration of Harker's condition. Castilla del Pino affirms that:

> En la alucinación, en el ensueño, en algunos instantes de sobrecarga emocional intensa [such as Harker's situation], los objetos internos, las representaciones (de un sonido, de una voz humana, de alguna figura humana o de animal, de algún olor o sabor), salen del espacio interno que les corresponde y son ubicados en el mundo exterior. (1998: 32)[5]

The patient projects the fears hidden inside his mind to the outside world, and thus perceives a deceit created by his own disorder. Dr Castilla also points out the fact that the delirious subject does not make a temporal mistake, but rather, lives in the mistake; the paranoid subject dwells in an absolute failure to recognise himself or his surroundings. The paranoid grants these beliefs the status of evidence and truth (1998: 32).

Thus, Harker's reality, recorded by himself in his journal, may be said to be the paranoid projection of his unbalanced mind. Behaving in the same way as Schreber, Harker writes down his own case, as he relentlessly enters the fourth stage of paranoia. Immersed in his own delusion, the young lawyer's hallucinations are bound to continue as his mental disorder progresses. Harker's delusive world strengthens as the reader reaches the ending of chapter III, when he is supposed to meet the three female vampires. In this episode, the boundaries between reality, fantasy and dreams are blurred, as he notes in his journal: "I suppose I must have fallen asleep; I hope so" (1993: 52). But for him this event is also part of his reality and, thus, real in his paranoid world. His ability to witness the pseudo-pornographic scene "perfectly under the lashes" (1993: 54) confirms him as an unreliable narrator.

As the narrative unfolds towards the end of this first part, we can appreciate another step forward in Harker's paranoid development. As stated before, the fifth and sixth stages of paranoia appear together. These include suicidal ideas and megalomania (talking with God or becoming a divine figure). At one point (1993: 65), the young lawyer willingly tries to become the divine figure that Dracula embodies in his mind. By imitating the monster's acts, he intends to flee the castle through the window: "I have seen him myself crawl from his window; why should not I imitate him, and go in by his window?" (1993: 65).

Harker follows his relentless progress and enters the final stage of his mental disorder at the end of chapter IV, thus closing the first part of the novel. His mind plunges him into trying to commit suicide as a way of escaping from his own (mental) reality. His delusive world has become so hostile and threatening that his only means to escape is death. Hence, a suicidal urge pushes him to jump through the window: "At least God's mercy is better than that of these monsters, and the precipice is steep and high. At its foot a man may sleep—as a man. Goodbye, all! Mina!" (1993: 73). Undeniably, he expects death at the bottom of the precipice to set him free from such a bizarre reality.

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[5] 'In hallucinations, in dream fantasies, at certain moments of intense emotional overload [such as Harker's situation], the internal objects, the representations (of a sound, of a human voice, of a human or animal figure, of a certain smell or taste), escape from the internal space where they belong and are placed in the outside world' (my translation).

Castilla del Pino explains that any delirium or mania is similar to any other non-delirious *Weltanschauung* (world conception), in the sense that the paranoid subject offers an irrational explanation that becomes rational in its own delusion. The patient does not leave any door open, no problems without solution, once the paranoia is strongly articulated (1998: 133). Harker's world of obscene monsters and menacing vampires can be considered real just in terms of the lawyer's unbalanced perception. Therefore, the attentive reader can perceive the progressive degeneration of the character's mental state, fitting the evolution pattern of a case of hallucination-based paranoia. Consequently, his journal's notes (the first four chapters in the novel) can be read as a representation of the evolution of the six stages of paranoia and, hence, the description of a diegesis that exists only inside the character's insanity.

Keeping these ideas in mind is essential for the understanding of this reading of *Dracula*. Harker's journal is to influence the rest of the characters' behaviour; and, additionally, at the end of the novel, the reader discovers that both he and Mina are the fictional editors of the bundle of journals, notes and diaries that constitute the narration.

3. Van Helsing, the Crew of Light and *folie à deux*

This takes us to the third section of my essay: Harker's journal in relationship with the Crew of Light, and Van Helsing's role in spreading the 'disease'. Surprisingly enough if we consider that the Crew of Light is a group of rational, well-educated, Victorian gentlemen, the lawyer's journal is taken seriously, as absolute reality, and both Van Helsing and Dr Seward label the lawyer's testimony as a "wonderful diary" (1993: 241, 285, respectively). The paranoid process that Harker has undergone in Transylvania can also be perceived in the text as a whole, as the Crew of Light moves forward through every stage of paranoid development. However, now the case not only involves a single patient, but a collectivity,[6] therefore, certain differences will become apparent between the characters.

Paranoia has been classified according to different types of hallucination. According to Mesa Cid (1999: 103), there are three basic types of hallucinatory experience: sensitive hallucination, hallucinosis, and pseudo-hallucination (or psychic hallucination). In sensitive hallucinations, the perceived 'something' is granted a high quality and fidelity of reality, through a precise sensory channel (that is, what is perceived seems to be produced outside the subject, in objective space). The patient is completely convinced of the reality of the situation, and his behaviour reacts to that experience. Applying this type to the present study, Jonathan Harker would perfectly fit this classification. In his adventures at Dracula's castle, he actually describes his reactions towards his delusions.

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[6] As stated in the analysis of Harker's paranoid evolution, the last stages of this disorder involve the creation of delusions of mystic nature and megalomania. As the name of the group implies, *the Crew of Light* already believes they are God's chosen ones to destroy the Devil's spawn, embodied in Count Dracula the vampire. Their own name is a symptom of the final stages of their mental disorder.

In hallucinosis, the second type of hallucinatory experiences, the subject perceives the delusion with enormous realism, through a precise sensory channel. His reaction answers the experience, although the patient is not completely convinced of the perceived reality. He understands it, rather, as something unreal and absurd; he does not actually believe what is perceived, but *pretends* that it is real. This type is exemplified by Dr Seward, who enters Van Helsing's 'game', although he tends to introduce rational comments in the novel: "I sometimes think we must be all mad and that we shall take to sanity in strait-waistcoats" (1993: 353).

Finally, the third type, pseudohallucination (or psychic hallucination), means that the subject perceives that reality more vaguely, not through the senses, but feeling it inside the mind. Nevertheless, the patient's experience of these hallucinations is real, and his behaviour is congruent to the hallucinatory *Weltanschauung*. Obviously, in this third type, Mina, the character *mentally* bound up with Dracula, can be included.

The protagonists of the novel seem to fit the different types of paranoia. Thus, "one is tempted to propose that the vampire hunters . . . act like a posse of deluded zealots and religious fanatics" (Smaji 2009: 53-54). Nevertheless, I have not mentioned where Abraham Van Helsing could be placed. Whereas the rest of the characters may be said to become 'infected' by paranoia, it is my contention that Van Helsing is, in fact, the source of the infection, the origin of "the epidemic of hysteria", as Charcot would put it (1889: 199). The complete fantasy world, where vampires crawl down castle walls and purchase lands in foreign countries, seems to take root in the Dutch doctor's paranoid mind.

Van Helsing's insanity is clearly depicted by Dr Seward in his diary. At the end of chapter XIII, the Dutch doctor suffers a hysterical fit after Lucy's burial:

> The moment we [Van Helsing and Seward] were alone in the carriage he gave way to a regular fit of hysterics. He had denied to me since that it was hysterics, and insisted that it was only his sense of humour asserting itself under very terrible conditions. He laughed till he cried, and I had to draw down the blinds lest anyone should see us and misjudge; and then he cried till he laughed again; and laughed and cried together, just as a woman does. (Stoker 1993: 225)

Van Helsing's behaviour, haunted by the power of "King Laugh" (1993: 226), shows the drives and ravings of a madman. Despite his efforts to conceal his condition, Seward, a doctor acquainted with Charcot's studies of hysteria (as evinced on page 247), diagnoses him with a "regular fit of hysterics" (1993: 225).

However, the Dutch Professor grants authenticity to the delusive existence of the vampire, and convinces the Crew of Light of their Messianic duty to save the world. Thus, after this proof of Van Helsing's perturbed condition, he asks Seward "to believe in things that [he] cannot" (1993: 249), and even persuades Arthur to "cut off the head of dead Miss Lucy" (1993: 265), his deceased fiancée. Additionally, he also gives reality to Harker's diary after the young man had considered the experience as the product of a mental breakdown (or a brain fever). In a letter from Van Helsing to Mina, one of the few examples of the Dutch doctor's voice in the novel, he affirms: "I have read your husband's so wonderful diary. You may sleep without doubt. Strange and terrible as it is, it is *true*!" (1993: 241, emphasis in the original). Taking advantage of Harker's mental

weakness, of Seward's cerebral exhaustion (1993: 165) and Mina's emotional situation (after Lucy's tragic demise), Van Helsing's mind creates not only the Crew of Light, but also the *Weltanschauung* where all the characters are dragged to.

Psychiatry also has a name for these cases of induced paranoia. In psychiatric terms, the Crew of Light would be an outstanding example of *folie à deux*, a shared psychotic disorder that works by means of induced delusive ideas. In 1877, the French psychiatrists Ernest-Charles Lasègue and Jean-Pierre Falret coined the term for those cases in which a delirious paranoid subject convinces another (or others) of the reality of his hallucinations and, therefore, the sane individual does not consider the paranoid either delirious or insane (Castilla del Pino 1998: 194).

Folie à deux inevitably involves two subjects: a mentally insane patient, and an induced individual who is convinced by the first of the reality of his hallucinations. Taking this concept to the pages of Bram Stoker's text, I contend that the Dutch doctor plays the prominent role of being the creator of the paranoid reality.[7] Van Helsing holds all the information about Count Dracula and vampirism and introduces the ideas about vampires and Dracula's myth, even before Lucy's tragic death. In addition, he even seems to control the Count's behaviour, anticipating all his movements, when Dracula, scared to 'death', is forced to flee from the Crew of Light and returns to his homeland at the closure of the story. Had Van Helsing's theories about vampires (1993: 306) been true, the Count could have destroyed them easily with his impressive supernatural abilities. Nevertheless, he escapes, frightened by the Crew of Light, in an interestingly not quite vampirish fashion.

Thus, Dracula, the ancient and evil king of the un-dead, may not exist outside Van Helsing's perturbed mind. Considered under the light of the *folie à deux* or, in this case, *folie à plusieurs* (madness of many), the vampire belongs to the delusive world built by the unbalanced imagination of the Crew of Light. Van Helsing spreads the paranoid seed among the living, as he infects the rest of the characters with the overwhelming information that he gives. Hence, as he imposes his delusive reality over the rest of the characters, we may consider their notes and diaries as examples of this type of induced psychosis.

As Castilla del Pino explains: "El inducido no delira y no es enfermo (mental), sino que por su ingenuidad, buena fe, o por su vinculación afectiva con el delirante o con el tema mismo del delirio, considera que tiene razón [...] El inducido no es delirante, sino creyente" (1998: 195).[8] In this reading of *Dracula*, Van Helsing could be said to be the insane mind that moves the narration towards the realms of fantasy and paranoia, towards vampires and demons. The rest of the members of the Crew (among them, a mentally weakened Harker and the incredulous scientific Seward) are unconsciously persuaded to share that delusive reality, as they rely on the Dutch doctor's information.

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[7] Stoker's original intention of including a mad doctor in the novel is clear in his notes for the development of *Dracula*'s plot (Eighteen-Bisang and Miller 2008: 14-15).

[8] 'The induced subject is neither delirious nor insane, but due to his naivety, good faith, or emotional bond with the delirious patient or with the subject of the delirium itself, he considers the paranoid to be right . . . The induced subject is not delirious, but a believer' (my translation).

In fact, the spreading of paranoia among the Crew of Light is directly related to an obsession with sharing information. In order to fulfil their Messianic mission to free the Earth from the evil vampire, Mina Harker, always under the Dutch doctor's close guidance,[9] states a declaration of principles: "Because in the struggle which we have before us to rid the Earth of this horrible monster we must have all the knowledge" (1993: 286). Sharing information, thus, becomes the basic principle that gives cohesion to their quest, and strengthens Van Helsing's unbalanced conception of reality.

Therefore, as soon as this principle is broken, the Crew's reality is threatened. Due to the failure to sustain their paranoid reality, Mina is bound to succumb to Dracula's attack when she is left apart from the rest of the group (chapter XXI). As she has been prevented from sharing the information about Dracula, she is weakened against the powers of the vampire (which are, in fact, the powers of her own mental condition).

In psychiatric terms, Castilla del Pino explains that paranoid patients feel a compulsion to gather information in order to maintain their confidence in the delusive reality. He expresses this principle with the following equation (1998: 88): $+Inf / -Inf = K$, where $+Inf$ stands for the information that is already shared; $-Inf$ is the information that is unknown; and K is the subject's degree of confidence. The more information the characters share, the higher the degree of confidence they will have on each other, and regarding the reality that is taking place inside their minds.

In chapter XXI there is a flaw in this equation concerning the variable $-Inf$, as Mina is excluded from the Crew of Light. The young woman is bound to suffer from a decrease in confidence ($-K$) and, therefore, an increase in the dangers coming from the paranoid world (Dracula's attack, in the delusive ontology, and mental breakdown, in the phenomenological reality).

Consequently, the characters are eager to share their personal diaries and notes, as this helps them feel safe against the vampire's threat. Nevertheless, the reader has to be aware that such information cannot always be considered reliable, as it is mostly based on personal diaries, subjective perceptions or even translations (such as the Log of the Demeter, translated by "a clerk of the Russian consul" [1993: 109]). As soon as the protagonists compulsively share all their knowledge, the paranoid interpretation of reality (where evil vampires from foreign countries seduce and murder young and beautiful ladies and control young men's wills) starts to spread inside their minds. The characters convince each other of the delusive reality, sharing the madness (*folie à plusieurs*) that initially originated after Van Helsing's reading of Harker's journal. Thus, slowly but surely, Van Helsing's paranoid diegesis increasingly prevails over the real world.

Not surprisingly, the Dutch doctor's testimony will appear in the novel to bear witness of overtly supernatural events. To mention some examples, he first describes Dracula's abilities as a vampire (1993: 307-08); then he narrates how he had to mark Mina's forehead with a piece of sacred wafer (1993: 381); and afterwards, in the final

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[9] Van Helsing, as a vampire-like figure, seems to control Mina's and Jonathan's acts and will, as she affirms: "Jonathan and I have been working day and night since Professor Van Helsing saw us" (1993: 286). The Dutch doctor gives explanation and convinces them that the lawyer's delusions are real, thus triggering off all their subsequent actions.

memorandum, he relates how the three female vampires are destroyed (1993: 466). Interestingly enough, there is no other witness of these supernatural events, and once again, we have to believe the words of a man who has granted reliability to Harker's text (although it may be proved to describe the development of a mental disorder).

Van Helsing's words seem to offer the clue for this reading: "It is this very obliquity of thought and memory which makes mental disease such a fascinating study. Perhaps I may gain more knowledge out of the folly of this madman than I shall from the teaching of the most wise" (1993: 329). The Dutch doctor apparently presents here the key for this analysis of *Dracula*: Stoker's text as a study of 'madmen' and their 'follies', offered to the reader by means of the testimonies that come from unbalanced minds.

However, the attentive reader may realise that certain events in the novel go beyond the delusive world and affect the characters' phenomenological reality. For instance, Lucy's death is a 'real' event in the diegesis of the novel. If we are reluctant to accept the involvement of the supernatural, and we do not believe that she may have become Dracula's victim, we should try to find a rational explanation for her tragic demise. It is clear that this explanation will involve a murderer in the Crew of Light.

Lucy's memorandum, in chapter XI, gives a wonderful account of the events that took place on the fateful night of her death. From her narration, I would like to draw attention to two aspects that may help us discover a possible suspect for the young lady's murder. On the one hand, we can highlight the fact that the murderer employed laudanum to drug the servants. As Lucy explains, the four servants "lay helpless on the floor, breathing heavily. The decanter of sherry was on the table half full, but there was a queer, acrid smell about. I was suspicious, and examined the decanter. It smelt of laudanum, and looking on the sideboard, I found that the bottle which Mother's doctor uses for her . . . was empty" (1993: 187). Dracula, the vampire, is blamed for Lucy's death, but it seems important to remember here his supernatural powers (as Van Helsing explained them): "He can come in mist which he create (*sic*). . . He come on moonlight rays as elemental dust . . . He become so small . . . He can, when once he find his way, come out from anything or into anything, no matter how close it be bound or even fused with fire, solder you call it. He can see in the dark, no small power this, in a world which is one half shut from the light" (1993: 308).

It is my contention that, so powerful a creature as Dracula would not have needed to employ laudanum to reach the young woman in her house. The vampire could have become elemental dust and slipped down the door while she was sleeping (as is implied at one point [1993: 186]) and there would have been no need to use such a *human* strategy as poisoning the servants. Thus, if we take Dracula out of the picture because of the rudimentary means of housebreaking, there are two other characters that may come to mind. These are Seward and Van Helsing, the two doctors in the novel. As physicians to the young woman, they both knew about the existence of the mother's bottle of laudanum.

The second aspect to be highlighted from Lucy's account is the presence of a grey wolf. The same wolf is supposed to have escaped that very night (17 September) from the Zoological Gardens, leaving "the rails broken and twisted about and the cage empty" (1993: 177). The animal definitely received some help in breaking the bars of its cage, as it could not possibly break them on its own. The distortion of the bars of the

wolf's cage finds a parallel event that is directly related to Lucy's death, and involves both Seward and, most especially, Van Helsing. When both doctors arrive at Lucy's house the following morning, they are forced to cut the iron bars of one window in order to enter. As Seward explains in his diary, Van Helsing "took a small surgical saw from his case, and handing it to me, pointed to the iron bars which guarded the window. I attacked them at once and had very soon cut through three of them" (1993: 190). Thus, the text seems to create a parallelism between the distortion of the wolf's cage and the way both doctors enter Lucy's house. Taking this parallelism to a possible interpretation, we may think that the Dutch doctor could have released the wild animal with his surgical saw, and, in this vein, he may have also poisoned the servants in order to reach Lucy on the night of her murder.

It would be too far-fetched a conclusion to accuse the Dutch doctor of Lucy's murder, because there is not enough evidence. Nevertheless, this very idea also crosses Dr Seward's mind, as he records it in the entry on 28 September of his diary:

> I have no doubt that *he* [Van Helsing] *believes it all.* I wonder if his mind can have become in any way unhinged . . . *Is it possible that the Professor can have done it himself?* He is so abnormally clever that if he went off his head he would carry out his intent with regard to some fixed idea in a wonderful way. I am loath to think it, and indeed it would be almost as great a marvel as the other to find that *Van Helsing was mad*; but anyhow I shall watch him carefully. I may get some light on the mystery. (1993: 262, emphasis added)

Neither Seward nor the reader can reach conclusive proofs of Van Helsing's acts. All we can grasp are plausible conjectures in the quest to gain access to the 'real events', so as to escape from Van Helsing's delusive reality. Besides, the reader of *Dracula* is never offered the personal notes of the Dutch doctor, except for very specific examples. Thus, we may never get to know the explanation for these supernatural, and sometimes contradictory, events.

It may be interesting to remember here that Bram Stoker, in 1910, published his book *Famous Impostors*, in which he wonderfully unveiled the real identity of historical impostors, from the mythical figure of the Wandering Jew to Perkin Warbek. Applying Stoker's own words to this analysis of Van Helsing's figure, we could say that "if it be true, its investigation will tend to disclose the greatest imposture known to history; and to this end no honest means should be neglected" (1910: ix).

4. Dissecting the sources

Having analysed Harker's paranoid behaviour in Transylvania and Van Helsing's infectious *folie à plusieurs*, we can move on to the last section of this essay: the textual consideration of letters, journals and diaries as reliable texts. According to 'traditional' readings of the novel (such as William Patrick Day 1985, Ken Gelder 1994, David Punter 1996 or Robert Mighall 1998, among others), *Dracula* can be considered as a bundle of diaries and letters, arranged according to the aim of an unknown and objective editor. The novel, then, has the form of an epistolary narrative, similar to

Samuel Richardson's *Clarissa* (1747-9) or Frances Burney's *Evelina* (1778). The reader would be offered a first-person acquaintance of the characters' personal experiences that have been compiled years after the events have taken place.

"Seven years ago we all went through the flames" are Jonathan Harker's first words in the final note (1993: 485). This note, like the paragraph at the very beginning of the novel (before the first journal entry), is not part of any character's diary. It is directly addressed to the reader by the fictional editor/compiler of the different testimonies. Jonathan Harker, the character that signs that final note and, therefore, proves to be the fictional editor, introduces the book with the following words: "How these papers have been placed in sequence will be made manifest in the reading of them. All needless matters have been eliminated, so that a history almost at variance with the possibilities of latter-day belief may stand forth as simple fact" (1993: 6).

An objective editor is supposed to offer a certain degree of reliability and truthfulness, as he or she grants authenticity to the story. The editor's claims of objectivity imply that his figure should be foreign to the story narrated (a heterodiegetic character), or a trustworthy subject inside the diegesis. According to Meir Sternberg, the editor in a novel should provide an objective point of view, similar to that of a historian (1978: 45). However, as the reader reaches the end of Stoker's text, he or she will discover Harker's unaddressed note, and the character's role as editor of the bundle of testimonies.

The unbalanced lawyer suffering from hallucinations, paranoia and suicidal fits is, then, supposed to be the objective editor of different diaries that narrate the supernatural story of an evil vampire from the land beyond the forest. Thus, we may affirm that Harker's task as editor of *Dracula* is similar to Van Helsing's role in spreading paranoia. In a metafictional leap, Harker is to infect the reader and make him or her believe in the existence of vampires, thus breeding a new generation of paranoid readers imbued in a *folie à deux* hallucination.

In this vein, other aspects of the novel emphasise the scent of distrust and ambiguity that pervades the complete narration. For instance, Harker acknowledges in his final note that "in all the mass of material of which the record is composed, there is *hardly one authentic document*" (1993: 486, emphasis added). The notion of authenticity is put to the test, especially when the editors, a proved paranoid patient and his delirium-induced wife, confess to having rewritten and, therefore, manipulated the original texts. "And so", Stoker wrote somewhere else, "after all, coming from this source it is to be accepted with exceeding care—not to say doubt" (1910: 110).

Another element which may be said to problematise the concept of truth in *Dracula* is the fact that these diaries were written to be read by the rest of the Crew of Light. Meir Sternberg analyses the narrative structures of diaries and argues that:

> The strongest realistic motivation for deviations from the fabula is to be found in the narrative form that is characterized by an unselfconscious as well as restricted narrator, namely, the diary. Nobody can blame the diarist for withholding expositional material since he is generally *unaware of the existence of any prospective reader* and does not regard what he is writing as a story intended for publication. On the contrary, what often induces the narrator to be absolutely frank with himself is the reassuring consideration that

nobody else is ever going to violate the privacy of his writings. (1978: 277; emphasis added)

The attitude of a diary's narrator may be reliable as long as he is conscious of the "privacy of his writings" and "unaware of the existence of any prospective reader". Contrariwise, in *Dracula* the characters do not write for themselves. Their aim is to share their diaries with the rest of the Crew, thus increasing the level of confidence in the delusive reality (K). We may affirm that theirs are not 'real' diaries, but first-person narratives consciously addressed to an audience.

Stoker's masterpiece seems to consciously play with these ambiguities between scientific objective truth and subjective interpretations of phenomenological events. As Carol A. Senf has wonderfully explained, Stoker's literary, fantasy world dialogues with scientific innovations of his times and, therefore, "readers would be wise to pay particular attention to the way that Stoker handles both Gothic materials and science" (2002: 17). The discussion between science and Spiritualism has been introduced in this essay by means of the analysis of paranoid behaviour and reliability of the characters. However, the text also offers clues that connect these two spheres with its own literary ontology.

Intertextual presences throughout the narrative emphasise the existence of different readings at the same time. For instance, the supernatural reading of the text (the paranoid one, according to this essay) may be said to be reinforced by Van Helsing's reference to the Hungarian-born linguist and orientalist Arminius Vambéry, whose works about vampire folklore Stoker actually employed for the writing of *Dracula* (1993: 309).

The text, nonetheless, also offers other intertextual references that support the reading of the novel as a study of mental disorders. The most outstanding example is made up by several references to William Shakespeare's *Hamlet*. Jonathan Harker, Lucy and Dr Seward allude to this masterpiece (1993: 44 and 52, 173, 348, respectively), where the prince of Denmark pretends to be mentally insane in the eyes of the rest of the characters, whereas the external audience is consciously aware of his plot and mental condition. Hence, whereas Shakespeare presents a sane character for the audience, but is nevertheless insane for the rest of the characters, Stoker reverses the situation. The characters in *Dracula* may be proved unbalanced in their delusive world, although they consider themselves rightfully sane. Thus, the boundaries between reality, dream, fantasy and paranoia are blurred in a world in which the four of them combine to create a collective, delusive monster embodied in the figure of Dracula, the vampire.

5. Concluding remarks

The Quixotic "old knights of the Cross" (1993: 412) that make up the Crew of Light can be seen as poor insane, mental patients, who dwell in a delusive reality created by their own fears and failure to prevail over Van Helsing's delusions. Harker's adventures in Transylvania seem to fit the pattern of evolution of a case of paranoia, exemplified by Judge Schreber's account. When the young lawyer returns to England, Van Helsing will convince (induce) him and the rest of the community to believe in the existence of

vampires and demons. In this way, they not only create the Crew of Light to destroy the un-dead monster, but, at the same time, they also exemplify the XIX-century psychiatric concept of shared madness, or *folie à deux*.

Thus, Bram Stoker's *Dracula* proves to be an excellent example of a literary masterpiece, in that it may be said to be always open to new readings and interpretations. Reading *Dracula* as a study of the human mind and how paranoia can affect a collectivity makes sense if we take into account the historical and cultural context in which it was created. Previous readings of the novel have offered interpretations of the meaning of the vampire as a symbol. In this essay, I have proposed a different way of reading the text. Needless to say, it is not my aim to affirm that the creator of one of the greatest cultural myths was a failed Dostoyevsky, as none of his readers saw that he was analysing the inside of his characters' minds. Rather to the contrary, the greatest asset of Stoker's novel offers a wonderful example of the dialogue established between science, Spiritualism and literature at the end of the nineteenth century, while, at the same time, being capable of engaging twenty-first - century readers' interest.

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TELL-TALE SIGNS - EDGAR ALLAN POE AND BOB DYLAN: TOWARDS A MODEL OF INTERTEXTUALITY

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This article shows how the poetry and prose of Edgar Allan Poe (1809-1849) cast a long shadow over the work of America's greatest living songwriter, Bob Dylan (1941-). The work of both artists straddles the dividing-line between 'high' and 'mass' culture by pertaining to both: read through Poe, Dylan's work may be seen as a significant manifestation of American Gothic. It is further suggested, in the context of nineteenth-century and contemporary debates on alleged 'plagiarism', that the textual strategy of 'embedded' quotation, as employed by both Poe and Dylan, points up the need today for an open and inclusive model of intertextuality.

Keywords: culture; Dylan; Gothic; intertextuality; Poe; quotation

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TELL-TALE SIGNS - *EDGAR ALLAN POE Y BOB DYLAN:* HACIA UN MODELO DE INTERTEXTUALIDAD

Este artículo explica cómo la poesía y la prosa de Edgar Allan Poe (1809-1849) proyectan una larga sombra sobre la obra del mayor cantautor vivo de Estados Unidos, Bob Dylan (1941-). Ambos artistas se ubican en una encrucijada entre la cultura 'de elite' y la 'de masas', puesto que la obra de cada uno se sitúa en ambos dominios a la vez: leída a través de Poe, la obra dylaniana aparece como una importante manifestación del gótico norteamericano. Se plantea igualmente la hipótesis de que, en el marco de los debates, tanto decimonónicos como contemporáneos, sobre el supuesto 'plagio', la estrategia textual, empleada tanto por Poe como por Dylan, de la cita 'encajada' señala la necesidad urgente de plantear un modelo abierto y global de la intertextualidad.

Palabras clave: cita; cultura; Dylan; gótico; intertextualidad; Poe

1. Introduction: Poe and Dylan: between high culture and mass culture

In 1961, the budding musician whom the world would know as Bob Dylan, recently arrived in New York, found himself staring up in awe at No 85, West 3rd Street, the location once inhabited by Edgar Allan Poe. In 1975, a by then famous Dylan took time out from his epic Rolling Thunder Review tour to listen to a Poe lookalike recite from 'The Raven' in a hotel room in Boston, Edgar's birthplace (Shepard 1978: 129). In 1997, Dylan would release an album entitled *Time out of Mind*, including songs naming both Boston and Baltimore, where Poe died; in 2008, he paid a discreet visit to the Edgar Allan Poe National Historic Site in Philadelphia ('Tell-Tale Visit' 2008: 2), soon before bringing out a collection of songs under the pregnantly Poesque title *Tell-Tale Signs*. Dylan declared in a 1985 interview: "If you can imagine something and you haven't experienced it, it's usually true that someone else has actually gone through it and will identify with it. I actually think about Poe's stories, 'The Tell-Tale Heart', 'The Pit and the Pendulum'" (Dylan 1985). This implies Poe as an alter ego for Dylan, and a close look at the work of both reveals, indeed, much Poe blood on Dylan's tracks: this paper will endeavour to show that to examine the 'tell-tale signs' of Poe in Dylan is to shed light on the creative process not only in Dylan, but also, looping back, in Poe himself.[1]

The subject does not seem to have been studied in detail to date from either the Poe or the Dylan end of scholarship, though a beginning exists thanks to the major Dylan commentator Michael Gray, who adumbrates a number of textual connections in his *Song and Dance Man III: The Art of Bob Dylan* (Gray 2000: 77-78) and *The Bob Dylan Encyclopaedia* (Gray 2006: 540-41). That more has not been said is somewhat surprising, for Edgar Allan Poe and Bob Dylan prove, on closer scrutiny, to have much in common as icons of American culture who have achieved lasting and worldwide popularity. The parallels start even with the two artists' names: Bob Dylan was born Robert Allen Zimmerman ('Allen' with an *e*), officially changing his name in 1962, while the orphan Edgar Poe became Edgar Allan Poe ('Allan' with an *a*) after being taken in by the Richmond merchant John Allan. With both, we have a change of name and a common misapprehension: if Poe's middle name is endlessly misspelt 'Allen', it is an equally frequent solecism to refer to 'Robert Allen Zimmerman' as Bob Dylan's 'real name', even though he renamed himself in all legality and his children, including the rock singer Jakob Dylan, were born surnamed Dylan. From the outset, the careers of both are marked by mutability and misunderstanding.

Both Poe and Dylan are artists whose work straddles the high culture / mass culture divide, belonging simultaneously and a shade uneasily in both camps. Poe's work originates on the high-cultural side of the gulf but has been appropriated by mass culture in such genres as comic strip, film and rock; Dylan's songwriting starts out from a variety of musical traditions on the other, popular side of that same chasm but has subsequently been inducted into the Valhalla of literary respectability. Dylan's songs –

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[1] This article is a revised version of a plenary lecture given at the conference *Poe Alive in the Century of Anxiety* (University of Alcalá, 21-23 May 2009).

which by now number some six hundred – have been put under the critical microscope, for instance in the UK by as eminent a scholar of English-language poetry as Christopher Ricks (2003), and in Canada by the award-winning poet and critic Stephen Scobie (2004), and he has been nominated every year since 1996 for the Nobel Prize for Literature, by Gordon Ball, professor of literature at the Virginia Military Institute (Ball 2007). There remains, nonetheless, a certain ambivalence, reflected in, for instance, the fact that both Poe and Dylan have volumes devoted to them in the influential *Cambridge Companion* series published in the UK (Hayes 2002; Dettmar 2009), yet while the Poe collection includes a piece on 'Poe and popular culture' (Neimeyer 2002), the Dylan volume, conversely, matches it with one on 'Bob Dylan and the Academy' (Marshall 2009) – as if no one were quite sure where either belongs. Some critics and writers, notably in Britain, still refuse to accept Dylan's songs as literature (a debate that has been chronicled as the so-called *Dylan-Keats wars* – Gray 2000: xviii-xix); and much of the specialist discussion of his work takes place in fanzines such as *The Bridge* in the UK or the now defunct *Fanzimmer* in Spain, publications best described as serious but not academic and which do not have the status of a recognised journal like *Poe Studies*. Poe, meanwhile, has an admitted seat at the high table of high culture, and yet T.S. Eliot, writing in 1948, was uneasy about his presence there, labelling his work "a stumbling block for the judicial critic" (Eliot 1976: 205), and today as influential a critic as Harold Bloom clearly does not see Poe as a welcome guest at the table, declaring in *The Western Canon*, in a studiedly fence-sitting comment: "Poe is too universally accepted around the world to be excluded, though his writing is almost invariably atrocious" (Bloom 1995: 228), and grudgingly allowing him into the canon as some kind of tolerated poor relation (Carlson 1986).

Indeed, both Poe and Dylan are American artists who have become 'accepted around the world' and have been very widely translated, all the major work of both existing in, notably, French and Spanish – thanks in Poe's case to Charles Baudelaire and Julio Cortázar, respectively. In the Hispanic universe, we may note, for Poe, the reissue in Spain to coincide with the 2009 bicentennial of the Cortázar translation of the tales (Poe 2008), and, for Dylan, the four different Spanish-language versions (one of them Argentinian) of his novel *Tarantula*, as well as the translations into Spanish and Catalan of the memoir *Chronicles Volume One* and the various volumes of lyrics in Spanish, the most rigorous being that for the period 1975-1997, translated by Antonio Iriarte and Francisco García (Dylan 1999). Both artists also bridge another gap, that between artefact and performance – Poe, in his multiple live readings of his poems, notably 'The Raven', and his public renditions as lectures of such prose works as *Eureka* and 'The Philosophy of Composition'; Dylan, in his concerts right across his career, above all in the seemingly infinite sequence of live performances launched in 1988 that has become known as the Never Ending Tour. Poe was the child of actors; Dylan seems to have a compulsive need to be on stage: both are not simply authors of texts, but also dynamic performance artists.

A further characteristic shared by Dylan and Poe is that both are obsessive re-writers, seeing the text less as a finished object than as one evolving over time: to Poe's painstaking revisions and frequent retitlings of his tales and poems, as chronicled in Thomas Ollive Mabbott's Harvard edition, correspond the multiple lyrical variants of

many of Dylan's songs (both in alternate studio takes and in live performance) and his constant, and sometimes disconcerting, musical rearrangements of them in concert. Dylan studies, however, suffer as Poe studies do not from the *absence* to date of a proper variorum edition. The most recent collection of his songs, published in 2004, is *Lyrics 1962-2001* (Dylan 2004b; for subsequent material one has to rely on Dylan's official website at www.bobdylan.com).[2] The *Lyrics* volume gives, in all but a tiny handful of cases, only one text of a song, despite the frequent cases where more than one text exists; and, to complicate matters further, a given song text in *Lyrics* may prove on examination not to correspond exactly to what Dylan sings on *any* recorded version. All this might be seen by some as rendering Dylan's acceptance into the canon more difficult, at least until a scholarly edition exists.

The high-visibility profile of both artists has brought both gain and loss, for the range and complexity of both Poe's and Dylan's work is often obscured by a reductive and partial typecasting. In both cases, there is in the mind of the lay consumer a primary fixed image, complemented if one is lucky by a second, additional one, but beyond that only the aficionados are likely to be aware of the real range of the production of either. Thus, Poe is known in the first place for a score of tales of terror, and secondly as the author of a clutch of detective stories and the inventor of that genre; Dylan is known firstly as the composer of a dozen or so protest songs from the early 60s, and after that as an icon of the mid-60s counter-culture. Yet beyond the Poe known under the rubric *Tales of Mystery and Imagination* (a title not of his making) and the Dylan labelled as *Civil Rights troubadour* (something he never was) or *voice of a generation* (a role he never wanted), there is also Poe the satirist, Poe the science-fiction pioneer and Poe the journalist and critic, as too there is Dylan the prose writer, author of the experimental novel *Tarantula* from 1966 (Dylan 1994) and the unorthodox memoir *Chronicles Volume One*[3] (Dylan 2004a), not to mention Dylan the composer of an enormous post-1968 arsenal of songs in the most varied genres which have nothing to do with either hippiedom or protest (charging Dylan with 'selling out' for whatever reason is a well-worn newspaper cliché, but on his own avowal he hasn't been a protest singer since 1964).

Thematic parallels between Poe and Dylan abound. It is not, of course, similarity all the way: the political themes of early Dylan and the religious concerns of his mid-career Christian period would both have been alien to Poe. Nonetheless, Poe's Gothic sensibility has left visible traces in Dylan's writing, strewn as it is with references to death, masquerades and claustrophobia, imagery of ghosts, mirrors and graveyards, and tell-tale signifiers like *gloom* and *shadow*. This Gothic element will be evoked in detail

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[2] The website presents the lyrics in alphabetical order. Its selection of songs up to 2001 is not identical in all respects to that of the *Lyrics* volume, nor are the texts always exactly the same; again, only a very few variant lyrics appear. Of Dylan's post-2001 material, the site includes the songs from *Modern Times* (2006) and promises to add those from *Together Through Life* (2009), but makes no mention of the previously unreleased songs and variant lyrics from *Tell-Tale Signs* (2008).

[3] Dylan has promised another two volumes of *Chronicles*. The first volume narrates three discrete swathes of his career – 1961-1962, 1970 and 1989.

below in our examination of specific Dylan songs, but one crucial dimension may here be stressed, namely the *oneiric*. Poe, fascinated by dreams and by the transitional realm between dream and waking, wove poems with titles like 'Dream-Land' and 'A Dream Within A Dream' and could have his characters declare, in 'Eleonora': "They who dream by day are cognizant of many things which escape those who dream only by night" (Poe 1978j: 638), or in 'The Assignation': "To dream has been the business of my life" (Poe 1978a: 165). As distinguished a Hispanic literary figure as Rubén Darío said, in his essay of 1913 'Edgar Poe y los sueños' ('Edgar Poe and dreams'), that "*el sueño se encuentra en todo Poe, en toda su obra*" ('dreams are to be found in all of Poe, in all of his work') (Darío 1976: 93). Comparably, many of Dylan's songs unfold like dream narratives, and his songbook offers titles such as 'Bob Dylan's Dream', 'Bob Dylan's 115th Dream', 'Motorpsycho Nitemare [*sic*]', 'Visions of Johanna' and 'I Dreamed I Saw Saint Augustine'. Indeed, in 1991 he released a song called 'Series of Dreams',[4] offering Poesque lines like "everything stays down where it's wounded" or "when someone wakes up and screams", (Dylan 2004b: 539, lines 3, 5) which may be read as a meta-commentary on his entire *oeuvre*, as if the whole Dylan songbook were precisely that, a *series of dreams*. All in all, attentive examination of the work of both reveals a similar generic and thematic multiplicity and a shared dynamic of artistic flux.

Both, too, are masters in the art of intertextuality. To consider the intertextual dimension requires, in the first place, elucidating the traces of Poe in Dylan, and those traces are manifold. Nor should they surprise. Poe wrote an essay, included in his *Marginalia*, on 'Song-Writing', and this text holds the seeds of a conception of song as popular art. He examines the work of George Pope Morris (author of 'Woodman, Spare That Tree'), and – in observations which could be transferred to Dylan – declares: "Morris is, very decidedly, our best writer of songs – and, in saying this, I mean to assign him a high rank as *poet*",[5] having previously stated: "There are few cases in which mere popularity should be considered a proper test of merit; but the case of song-writing is, I think, one of the few" (Poe 1986: 495, 493). Indeed, Roderick in 'The Fall of the House of Usher', presented as a poet and musician, the "wild improvisations of [whose] speaking guitar" were "not unfrequently accompanied" by simultaneous "rhymed verbal improvisations" (Poe 1978d: 404, 406), may be seen as a prototype of the singer-songwriter whose practice within the text uncannily anticipates early Dylan. Dylan is not the only modern popular-music artist to have drawn inspiration from Poe: in Dylan's own folk circles, Joan Baez recorded 'Annabel Lee' on her 1967 album *Joan*, and Phil Ochs released a slimmed-down rendition of 'The Bells' on *All The News That's Fit To Sing* in 1964. In the rock genre proper, we may note the Poe-inspired albums *Tales of Mystery and Imagination* by the British group the Alan Parsons Project (1976), and *The Raven* by Lou Reed (2003). In Spain, 'Annabel Lee' has been recorded (in Spanish) by the rock group Radio Futura, on their album *Memoria del Porvenir* (1998).

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[4] This song, composed in 1989, exists in two released versions (1991 and 2008), with lyrical variants. The version printed in *Lyrics* (and available on the website) is not identical to either. For the song's complicated textual history, see Ford 2009; the extracts quoted here are from the 1991 version.

[5] All italics in quotes from Poe are Poe's own.

Poe, meanwhile, is very far from being Dylan's only literary influence: the songwriter's work is riddled with allusions to the Bible and to an enormous range of writers all the way from (as we will see) Virgil and Ovid to modern Japanese literature, and among Poe's nineteenth-century American contemporaries alone the Dylan *oeuvre* draws on Melville, Longfellow, Whitman, Twain, Julia Ward Howe and even (on whom more later) the lesser-known poet Henry Timrod. Intertextuality is a multi-directional signpost; meanwhile, what we find in the particular case of Poe-in-Dylan is less a visiting of Poe for individual songs or projects, than a multiplication of 'tell-tale signs' right across the work.

2. Poe in Dylan: a textual presence

Dylan states in *Chronicles* that Poe was among the authors he read while living in New York in 1961 (the text lists a whole, somewhat Poesque, library of them), and it was there too that he discovered 'The Bells' and set the poem to music: "I read the poetry books, mostly. Byron and Shelley and Longfellow and Poe. I memorized Poe's poem The Bells and strummed it to a melody on my guitar" (Dylan 2004a: 37). He recalls the sound of chimes in the Big Apple in language that also strongly suggests that poem: "Across the street from where I stood looking out the window was a church with a bell tower. The ringing of bells made me feel at home, too. I'd always heard and listened to the bells. Iron, brass, silver bells – the bells sang" (2004a: 31). It is in *Chronicles*, too, that Dylan narrates the episode evoked at the beginning of this paper, when he "stood outside of Poe's house on [West] 3rd Street, … staring mournfully up at the windows" (2004a: 103).

Poe is also a presence in Dylan's other major prose work, the novel *Tarantula*: indeed, that book's first page contains what may be a Poe reference (to "el dorado" [*sic*] [Dylan 1994: 1]), and one of its sections is named "Al Aaraaf and the Forcing Committee" (1994: 129), evoking one of Poe's less accessible poems. *Tarantula* speaks, in parallel with *Chronicles*, of "New York neath spells of Poe" (1994: 136), and, indeed, the poet himself makes a cameo appearance: "edgar allan poe steps out from behind a burning bush" (1994: 39). The reference to *Al Aaraaf*, notably, suggests a detailed knowledge of the nineteenth-century master's work; it may even be that the title *Tarantula* itself comes from Poe's 'The Gold-Bug', with its epigraph, certainly fitting to the crazed atmosphere of Dylan's novel:

> What ho! what ho! this fellow is dancing mad!
> He hath been bitten by the Tarantula. (Poe 1978n: 806)

We shall now proceed to examine the numerous Poe traces present in the corpus of Dylan's song production, taking as our basis the texts published in *Lyrics* except where otherwise indicated.

The first incontestable presence of Poe in the Dylan song canon dates from the songwriter's fourth album, *Another Side of Bob Dylan*, released in 1964 and, significantly, the album on which Dylan bade farewell to protest. The song that bears Poe's imprint here is 'Chimes of Freedom', a six-stanza epic which may be seen as

Dylan's answer to 'The Bells' – or his first answer, since, as we shall see, years later he will return to the motif. Dylan deploys synaesthetic imagery to imagine a small cluster of friends, caught "far between sundown's finish and midnight's broken toll", listening to the chime of bells in a thunderstorm ("as the echo of the wedding bells / before the blowin' rain / dissolved into the bells of the lightning") and hearing in their toll a gesture of solidarity with whole groups of humanity – "the disrobed faceless forms of no position", the outlaws and outcasts of the earth (Dylan 2004b: 116-17, lines 1, 11-12, 26). Three of Poe's four sets of bells – wedding bells, alarm bells and steeple bells – are echoed by Dylan's bells; Dylan's lyric has a social and metaphysical edge not present in Poe's poem, but it would have been impossible without it.

Dylan's next album, *Bringing It All Back Home* (1965) offers, in 'Love Minus Zero / No Limit', an equally unmistakable reference to 'The Raven', storm and all: "The wind howls like a hammer / The night blows cold and rainy / My love she's like some raven / At my window with a broken wing" (2004b: 145, lines 29-32); and, in the comic narrative song 'Bob Dylan's 115th Dream', the line "They asked me my name, and I said Captain Kidd" (2004b: 148-51, lines 113-14), a reference which not only suggests the celebrated pirate's horde from 'The Gold-Bug' (in *Chronicles*, too, Dylan mentions "Captain Kidd's buried treasure" – Dylan 2004a: 132) but, since Dylan's dreamer goes on to give an absurd answer, makes a similar pun on *kid* (in the sense of 'deceive') to Poe in his tale. From the ratiocinative 'The Gold-Bug' it is but a step to Poe's detective stories featuring C. Auguste Dupin, and the album *Highway 61 Revisited*, also from 1965, offers Dylan's first plundering of the first of those stories, 'The Murders in the Rue Morgue', in 'Just Like Tom Thumb's Blues'. This song, a nightmare evocation of Ciudad Juárez in Mexico, just across the border from El Paso, includes the lines: "Don't put on any airs / When you're down on Rue Morgue Avenue / They got some hungry women there / And they really make a mess out of you". Dylan's words have the effect of reversing the violence-against-women theme of both Poe's story and – in an eerily prophetic touch – the sad reality of that city's notorious twenty-first-century feminicides: but, since the song also features housing-project corruption and intimidating male 'authorities' who reduce a character called Angel to "looking just like a ghost", what is created is an enveloping atmosphere of universal violence (Dylan 2004b: 179-80, lines 5-8, 40; the Dylan-Poe connection in this song has recently been examined by Adam Lifshey, in the context of an examination of Mexican/Hispanic themes in another iconic US popular music figure, Bruce Springsteen – Lifshey 2009: 227). The *Highway 61 Revisited* album also features the darkly oneiric 'Desolation Row', whose sinister masqueraders ("going to the carnival tonight / On Desolation Row" – Dylan 2004b: 181-83, line 35) recall the "supreme madness of the carnival season" of Poe's 'The Cask of Amontillado' (Poe 1978q: 1257).

On the next album, *Blonde and Blonde* from 1966, 'Rue Morgue' resurfaces in 'Temporary Like Achilles', in which song a woman employs a bodyguard called Achilles and described as "hungry like a man in drag" (Dylan 2004b: 205, line 29) – pointing back to the lines from the seventeenth-century writer Sir Thomas Browne prefixed as epigraph to 'The Murders in the Rue Morgue', with their question concerning "what name Achilles assumed when he hid himself among women" (Poe 1978g: 527) – referring to Ovid's account in the *Metamorphoses* of Achilles disguised as a girl in a vain

bid to keep him from the Trojan war. Browne's and Poe's poser ultimately derives from the life of the emperor Tiberius by Suetonius. Both the *Metamorphoses* – called by Dylan a "scary horror tale" – and Suetonius' *The Twelve Caesars* are among the books cited in *Chronicles* (Dylan 2004a: 36-37). Yet another reference to 'Rue Morgue' appears in 'This Wheel's On Fire',[6] recorded in 1967 and released in 1975 on *The Basement Tapes*, where the lines "I was goin' to confiscate your lace / And wrap it up in a sailor's knot" (Dylan 2004b: 299, lines 14-15) recall Poe's sailor, tracked down by Dupin by that same tell-tale sign: "this knot is one which few besides sailors could tie" (Poe 1978g: 561).

The album *Blood on the Tracks*, released in 1975, contains a fresh harkback to 'The Raven' in 'Simple Twist of Fate', where the narrator, caught in nostalgia for a disappeared woman, "walks along with a parrot that talks" (Dylan 2004b: 334, line 22): that parrot may, like Poe's raven, symbolise what Poe himself calls in 'The Philosophy of Composition' "*Mournful and Never-Ending Remembrance*", for in that essay Poe says that before he thought of the raven "a parrot, in the first instance, suggested itself" (Poe 1972: 177, 170). The link with Poe's poems continues with the *Desire* album from 1976, for which Michael Gray suggests, in a rare Poe connection from a Dylan critic, that 'Sara', dedicated to Dylan's then wife Sara Lowndes, recalls, in lines like "glamorous nymph with an arrow and bow" (Dylan 2004b: 369-70, line 38), the idealising neoclassical imagery of 'To Helen' (Gray 2000: 77-78; 2006: 541).

The album *Street-Legal*, from 1978, locates its song 'Where Are You Tonight? (Journey Through Dark Heat)' in the Poe/Dylan New York neighbourhood of Greenwich Village ("laughter down on Elizabeth Street"), with imagery recalling a tale like 'Ligeia' ("There's a white diamond gloom on the dark side of this room"), and three lines which seem almost to summarise 'William Wilson', Poe's classic tale of the *Doppelgänger*: "I fought with my twin, that enemy within / 'Til both of us fell by the way" (Dylan 2004b: 394-95, lines 6, 47, 35-36). Two songs written in 1981 and first released on the 1991 collection *The Bootleg Series Volumes 1-3*, offer Poe nuggets: 'Angelina' has a character with eyes like "two slits" and a "face that any painter would paint as he walked through the crowd" (456-57: lines 10-11), recalling Poe's sinister protagonist in 'The Man of the Crowd', who is likened to "pictural incarnations of the fiend" (Poe 1978f: 511); and in 'Need A Woman' (Dylan 2004b: 455), we find a crystal-clear reference in the line: "The tell-tale heart will show itself to anybody near".[7] The ghost of 'The Tell-Tale Heart' hovers too over 'I and I', from 1983's *Infidels* – a song which replicates the macabre pun on 'I' and 'eye' of Poe's story ("I made up my mind to take the life of the old man, and thus rid myself of the eye for ever" – Poe 1978m: 792; "I and I / In creation where one's nature neither honours nor forgives"; "Took a stranger to teach me to look into justice's beautiful face / And to see an eye for an eye and a tooth for a tooth" – Dylan 2004b: 474-75, lines 5-6, 19-20).

In 1989 came *Oh Mercy*, an album little-known to the general public but arguably one of Dylan's best. This album and some of the other songs recorded at the time form

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[6] Co-written with Rick Danko.

[7] This line is sung by Dylan on the record but is not included in the text available in *Lyrics* or on the website.

the body of Dylan's work showing the densest traces of Poe's influence. In 'Ring Them Bells', we have the second Dylan composition to bear the imprint of 'The Bells', taking over where 'Chimes of Freedom' left off a quarter-century before. The song opens with a Poe-like landscape recalling poems like 'Dream-Land' or 'The City in the Sea': "Ring them bells, ye heathen / From the city that dreams / Ring them bells from the sanctuaries / 'Cross the valleys and streams" (Dylan 2004b: 529, lines 1-4). The register is no longer socio-political as in 'Chimes of Freedom', but theological. The bells chime "for the chosen few / Who will judge the many", but also for "the time that flies" (lines 19-20, 21) – the latter phrase being lifted straight from Poe's 'The Masque of The Red Death' – "after the lapse of sixty minutes, (which embrace three thousand and six hundred seconds of the Time that flies,) there came yet another chiming of the clock" (Poe 1978k: 673). With 'Disease of Conceit', Dylan returns to 'The Tell-Tale Heart': conceit, he warns, will "'give ya delusions of grandeur / And an evil eye / Give you the idea that / You're too good to die", until that megalomania, like that of Poe's demented narrator, winds down and "they bury you from your head to your feet" (Dylan 2004b: 534-35, lines 39-42, 43). Above all, 'Man in the Long Black Coat'[8] is a triumph of American Gothic, a tale of terror in verse combining a death-like visitation with Calvinist rumblings of predestination. Dylan writes of this song in *Chronicles*: "It's cut out from the abyss of blackness – visions of a maddened brain ... Something menacing and terrible" (Dylan 2004a: 215-216). Lurking behind that 'blackness' is the Puritanism-obsessed Nathaniel Hawthorne of a story like 'The Minister's Black Veil', but also the Poe of, again, 'The Masque of the Red Death' and, even more so, 'The Fall of the House of Usher'. The setting is part sinister dance-hall ("He looked into her eyes when she stopped to ask / If he wanted to dance, he had a face like a mask") – with shades of the intruder at the ball in 'Red Death'; and part dark mansion and decaying domain out of 'Usher' ("African trees / Bent over backwards from a hurricane breeze"). An unnamed woman runs off with the Man in the Long Black Coat, and the song ends with "smoke on the water" and "tree trunks uprooted, 'neath the high crescent moon" (or, in a variant introduced by Dylan in performance and printed in the *Lyrics* text, "blood on the moon") (Dylan 2004b: 530, lines 10-11, 3-4, 27, 28). Here indeed we are in a Poesque nightmare world, Dylan's ending recalling the culmination of 'Usher' as the "full, setting, and blood-red moon" macabrely lights up the collapse of the House (Poe 1978d: 417).

Also recorded at the *Oh Mercy* sessions but released somewhat later were 'Series of Dreams', a song we have examined above, and the very striking 'Dignity'. This song exists in three official recordings – one released in 1994 and two in 2008 – and three sets of lyrics. It narrates the search for a never-defined, ever-deferred person or quality

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[8] There is only one official recording of this song, that released on *Oh Mercy* (A). The text printed in *Lyrics* (B), however, is not identical to that sung on the record and incorporates changes introduced by Dylan in live performance. The website nonetheless follows the words of the record (A). Of our quotations, the first three up to and including "smoke on the water" (lines 10-11, 3-4 and 27) are common to the (A) and (B) texts; for line 28, the phrase "tree trunks uprooted" appears in both (A) and (B), while the "high crescent moon" variant is from (A) and the "blood on the moon" alternative is from (B).

called Dignity, in terms that, in the 1994 version, strongly parallel Poe's poem 'Eldorado'. "Searchin' high, searchin' low", Dylan's quester "went into the city, went into the town / Went Into the land of the midnight sun" (Dylan 2004b: 540-41, lines 13, 11-12), as Poe's "gallant knight" seeks Eldorado "over the Mountains / Of the Moon / Down the Valley of the Shadow" – Poe 1969: 463, lines 19-21). Dylan here uses antitheses for poetic effect ("I met the sons of darkness and the sons of light" – Dylan, line 43), as too does Poe ("in sunshine and in shadow" – Poe, line 2). The lines "Chilly wind sharp as a razor blade / House on fire, debts unpaid" (Dylan, lines 29-30) recall, in turn, the "chilling and killing" wind of 'Annabel Lee' (Poe 1969: 477-78, line 26), the ape's razor from 'Rue Morgue', and an episode from 'The Angel of the Odd' (Poe 1978p). One of the 2008 variants even offers a line that could been have penned by Poe, fusing visions of Madeline *without the door* in 'Usher' (Poe 1978d: 416) and Death "look[ing] gigantically down" in 'The City in the Sea' (Poe 1969: 201-02, line 29), as Dylan declaims: "Death is standing in the doorway of life".[9]

Nor has Poe's shade been absent from the more recent Dylan. The 1997 album *Time Out Of Mind* echoes 'Usher' in its title ("His very ancient family had been noted, time out of mind, for a peculiar sensibility of temperament" – Poe 1978d: 398), and, as we have seen, mentions both Boston (where the song 'Highlands' is set) and, in 'Tryin' To Get To Heaven', in lines reminiscent of a Poe beloved, Baltimore: "I was riding in a buggy with Miss Mary-Jane / Miss Mary-Jane got a house in Baltimore". The latter song also offers the image of "hearts a-beatin' / Like pendulums swinging on chains", as if fusing 'The Tell-Tale Heart' with 'The Pit and the Pendulum' (Dylan 2004b: 564, lines 29-30, 19-20). 'Not Dark Yet' starkly confronts mortality, its mournful opening recalling both Poe's 'Usher' and his 'The Island of the Fay' (Poe 1978h): "Shadows are falling, and I've been here all day / It's too hot to sleep, time is running away", to conclude – as if the lake were slowly swallowing up Poe's Fay's shadow – "It's not dark yet, but it's getting there" (Dylan 2004b: 566, lines 1-2, 6). The same song contains the line: "Behind every beautiful thing there's been some kind of pain" (8), lugubriously echoing Poe's dictum in 'The Philosophy of Composition' that "the death… of a beautiful woman" is "the most poetical topic in the world" (Poe 1972: 170). *"Love and Theft"*, in 2001, featured in the song 'Tweedle Dee & Tweedle Dum' (itself about doubling) the line "he'll stab you where you stand" (Dylan 2004b: 579-580, line 30), which is lifted straight from the climax of 'William Wilson', when Wilson challenges his double: "Follow me, or I stab you where you stand" (Poe 1978e: 446).

In 2006, *Modern Times* threw up, in 'Nettie Moore', a line taken near-verbatim from Poe's tale 'Eleonora': where Poe writes: "the world grew dark before mine eyes" (Poe 1978j: 644), Dylan declares in his song's refrain: "The world has gone black before my eyes" (line 18).[10] A song recorded in 1997 and released in 2008 on *Tell-Tale Signs*,

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[9] The text printed in *Lyrics* (and available on the website) is that of the 1994 version (included on the album *Bob Dylan's Greatest Hits Volume 3*). The two variant lyrics have not been officially published in any medium, and therefore no citation is given in the case of our final quotation from this song.

[10] The four last-named songs postdate *Lyrics*. The words of 'Nettie Moore' can be found on the official website: the other three have not appeared there yet.

the mysterious love-meditation 'Red River Shore', offers dramatic imagery that could have flown off the pages of 'Ligeia': "Some of us scare ourselves to death in the dark / To be where the angels fly" (lines 3-4). Finally (so far), the most recent tell-tale signs of Poe-in-Dylan appear on *Together Through Life*, released in 2009, whose stalking shadow imagery – 'Forgetful Heart'[11] evokes "a walking shadow in my brain" (line 20); in 'This Dream of You', "Shadows dance upon the wall / Shadows that seem to know it all" (lines 13-14) – conjures up 'The Raven' or 'The Masque of the Red Death' and suggests that Poe's own shadow remains a presence still floating on Bob Dylan's floor.

3. Conclusion: Plagiarism, artistic creation and intertextuality

Intertextuality with Poe is, then, written right across Bob Dylan's *oeuvre*. At this point it will be useful to take account of *how* Dylan uses the material he takes from Poe. It should be clear from the examples above that in his song references, Dylan does not in general cite Poe *directly* (the 'Rue Morgue Avenue' and 'tell-tale heart' lines being rare exceptions); the Poe material enters the songs in the form of what might be called *embedded* quotation or allusion, requiring extraction by listener or reader on the basis of knowledge external to the texts. This is in fact typical of Dylan's writing method in general, much the same applying, for instance, to his extensive use of biblical quotation. Dylan's use of quotation may, besides, be pregnantly juxtaposed with Poe's own, notably if we now proceed to examine intertextuality in relation to the vexed issue of (real or alleged) *plagiarism*.

As is well-known, for Poe plagiarism was both an obsessive theme and a knife that cut both ways: as a critic he regularly charged others with literary theft, only to be accused by his compeers of committing the same sin in his own writings. The issue peaked with the 'Longfellow war' of 1845, with barbed accusations of plagiarism flying back and forth between Poe and Longfellow and their respective allies. Poe's biographer Kenneth Silverman, chronicling the saga, notes his habit of "pilfering ... long stretches ... from other books, at the same time that he was shaming Longfellow for copying Tennyson" (1992: 147). In this respect there are strong parallels between the reception of Poe's and Dylan's work: Dylan too has, at least figuratively, stood in the dock under charge of plagiarism. The complex issues involved have been examined in studies (for Dylan) by Richard Thomas (2007), professor of classics at Harvard, and (for Dylan and Poe) the distinguished Poe scholar Scott Peeples (2007).

On 8 July 2003, the *Wall Street Journal* carried a front-page article identifying some dozen phrases from Dylan's much-praised album of 2001, *"Love and Theft"*, as being lifted from the English translation, published in 1991, of *Confessions of a Yakuza*, a chronicle of Japanese gangsterdom from 1989 by the writer Junichi Saga (Eig and Moffett 2003). Examination of this book – which, as Thomas stresses, "blurs the genres of novel and biography, fiction and non-fiction" (2007: 3), and would certainly have attracted Dylan – bears out the claim: five of the album's twelve songs include quotations, verbatim or almost, taken from right across Saga's narrative. Dylan's album

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[11] Co-written with Robert Hunter.

was already known to abound with quotations from other people's songs and from authors ranging from Virgil to Twain and Fitzgerald, which have been identified and discussed in detail (Rollason 2002). Its very title is enclosed in quotation marks and is identical with that of an academic study of nineteenth-century blackface minstrelsy by Eric Lott, professor of American Studies at the University of Virginia (1995). Lott himself, far from objecting to Dylan's appropriation of his title, later wrote an appreciative essay on the album (Lott 2009). Nonetheless, in the *Yakuza* case some – even some long-term Dylan acolytes – felt that the intertextuality had gone too far.

One of the *"Love and Theft"* songs, the earlier-mentioned 'Tweedle Dee & Tweedle Dum', turned out to include lines deriving from the nineteenth-century poet Henry Timrod, creating by anticipation an intertextual bridge with the next album, *Modern Times*, released in 2006. Dylan scholars soon established that several of that work's songs contained embedded quotations from Timrod (1829-1867), who, a Civil War bard and (controversially, given Dylan's radical past) laureate of the Confederacy, is generally considered a minor poet – though that does not stop Harold Bloom from ranking his poems above Poe's (Carlson 1986: 51). At the same time, on four of its tracks, notably the long narrative song 'Ain't Talkin', the same album incorporates – as shown in detail by Thomas (2007: 6-9) – some nineteen quotations taken from the 1994 translation by Peter Green of Ovid's two volumes of poems from exile, the *Tristia* and the *Black Sea Letters*.[12] By this point, Poe, surely, would have either eulogised or castigated Dylan for appropriating lesser-known classical texts and writers as obscure as Timrod and Saga, paralleling his own recourse to such recondite sources as Ebn Zaiat (in 'Berenice' – Poe 1978b: 209) or Pomponius Mela (in 'Usher' – Poe 1978d: 409).

Rather than accusing Dylan in his recent works of plagiarism, it may be more useful and productive to consider his use of others' words as a case of what I have already termed *embedded quotation*. Dylan deploys his borrowings from Saga, Timrod and Ovid right across the respective albums, and takes the extracts from the full span of Saga's book, from the range of Timrod's poems, and from across Ovid's two works, thus placing his own two works *as a whole* in dialogue with his various sources *in their entirety*. The context, too, of 21st-century America is obviously *not* that of any of the three sources. We are surely dealing not so much with plagiarism as with an ongoing interchange between writers and works. This, in its turn, leads us back to Poe, who is quite capable of using the embedded quotation method himself. Dylan lifts the last two lines of the 2003 version of his song 'Gonna Change My Way of Thinking'[13] from the ending of Oscar Wilde's 'The Ballad of Reading Gaol'; Poe, in a passage on industrialism in 'The Colloquy of Monos and Una', similarly embeds material taken straight from chapter 45 of Dickens' *The Old Curiosity Shop* (Poe 1978i: 610; Dickens

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[12] This song is particularly instructive for Dylan's writing methods: the 2008 collection *Tell-Tale Signs* includes a variant, recorded *before* the *Modern Times* version, which contains *no* quotations from Ovid. This *Ur*-lyric does not appear on the official website; the song as such postdates *Lyrics*.

[13] This song was originally released in 1979 on the album *Slow Train Coming*. The rewritten version appeared in 2003 as Dylan's own contribution to the collective album *Gotta Serve Somebody: The Gospel Songs of Bob Dylan*. Both versions are printed in *Lyrics*.

1972: 423). In particular, Poe's 'A Tale of the Ragged Mountains' (Poe 1978o), in the episode where the American Augustus Bedloe dreams of himself as a British soldier in India under Warren Hastings, has been shown (Isani 1972; Rollason 2007) to import and combine phrases and images wholesale from two different passages of a classic text of the literature of empire, Thomas Macaulay's essay on Hastings. This borrowing by Poe has long attracted charges of plagiarism, but, as with Dylan, Poe's American context is totally different from Macaulay's.

Borges, in his famous story 'Tlön, Uqbar, Orbis Tertius' – a text with close connections to Poe (Rollason 2009) - imagined a planet where the concept of plagiarism did not exist, and to sophisticated postmodernists that notion, at least where applied to creative writing and not academic papers, may seem inherently specious. Yet today's press and public seem conversely wedded to naively absolute ideas of literary originality, as has been seen in recent opportunistic plagiarism suits against J.K. Rowling and Dan Brown, or in the furore in Britain when it emerged that Graham Swift's Booker-winning novel *Last Orders* took its *structure* from William Faulkner's *As I Lay Dying*. The rival concepts of plagiarism and intertextuality are not easily compatible. Charges of plagiarism, too, can run in both directions: the Chilean poet Raúl Zurita has been charged in his country's press with lifting lines from Dylan's 1965 song 'Highway 61 Revisited' (Páez 1993). It should also be stressed that in the Saga and Ovid cases Dylan has taken phrases not from the originals but from translations, and the borrowing is thus already textually mediated.

The whole plagiarism issue raises questions related to the very nature of textuality and "originality". The evidence set out above suggests that it may reasonably be affirmed that Dylan's entire *oeuvre* is in constant dialogue with the entirety of Poe's *oeuvre* – yet the two artists' work is almost entirely in different genres, and no-one would, or even could, claim Dylan's work to be a copy of Poe's. At the same time, both are artists whose entire canon is in constant dialogue with their textual predecessors, from Poe's Gothic precursors and Dylan's folk and blues antecedents to Shakespeare, the Bible and the Greco-Roman classics. Poe's characters include (in 'The Masque of the Red Death') a Prospero; Dylan's (in 'Desolation Row'), an Ophelia and a Romeo. Dylan's textual debt to the Bible (and not only in his overtly religious work) has been tracked in detail by Gray (2000: 206-248); Poe's appropriation of the classics, similarly, has recently been demonstrated in depth (González-Rivas Fernández and García Jurado 2008). To characterise Poe's and Dylan's work as multi-dialogic *oeuvres* would be convergent with some of the more significant developments in twentieth-century criticism. Walter Benjamin's *Arcades Project*, a book consisting entirely of commented quotations, subverts received notions of originality in a ground-breaking act of cultural synthesis (Benjamin 1999); Bloom's concept of influence anxiety (1995: 7-12) places "strong" writers in a constant agonistic struggle for originality with their predecessors. In the light of such work, and such criticism, simplistic notions of plagiarism appear to manifest a naive conception of literary innocence, as if a work sprang parthenogenetically and Athena-like from its author's head, devoid of all connection with anything ever written before. The Poe-Dylan nexus, and its ramifications with other texts literary and musical, points up relationality and interconnectedness as essential criteria for our time. It affirms literary resemblance in terms of intertexuality,

embedded quotation and creative appropriation. Indeed, Dylan's use of Poe, as explicated above, may be taken as paradigmatic of a model of imaginatively productive textuality, of dialogue between texts through 'tell-tale signs', that is eminently appropriate for the age of interrelations that is our emerging twenty-first century.

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Pragmatic and Cognitive Constraints on Lexical-Constructional Subsumption

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This article explores the constraints that underlie the functioning of motion verbs expressing movement in a particular way (e.g. *skulk*, *scamper*). Our study has been carried out in accordance with the postulates of the *Lexical Constructional Model* (LCM), as put forward by Ruiz de Mendoza and Mairal (2006). The LCM accounts for the relationship between lexical and syntactic meaning by merging into one unified approach relevant theoretical and methodological assumptions from both functional projectionist theories such as *Role and Reference Grammar*, on the one hand, and constructional models of linguistic description, on the other. Such a combined framework allows us to offer a comprehensive characterization of the verbs under scrutiny, including (1) syntactically relevant information (logical structure), (2) semantic content (lexical template) and (3) those cognitive and pragmatic constraints which may license, restrict or block the fusion of lexical templates into higher-level constructional patterns.

Keywords: Constructions; Lexical-Constructional Model; Cognitive Linguistics; pragmatics

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La subsunción léxico-construccional:
restricciones pragmáticas y cognitivas

En este artículo se describen las restricciones que subyacen al funcionamiento de una categoría de verbos que expresan formas particulares de movimiento en inglés (e.g. skulk, scamper*). El marco teórico empleado en esta investigación, el* Modelo Léxico-Construccional (MLC) *permite establecer un puente entre las teorías proyeccionistas, como la de la* Gramática del Papel y la Referencia *y otras de corte construccional. Siguiendo los postulados del MLC, ofrecemos una caracterización exhaustiva de estos verbos de movimiento, incluyendo: (1) su estructura lógica, (2) su contenido semántico (plantilla léxica), y (3) las restricciones cognitivas y pragmáticas que bloquean, restringen o licencian la fusión de las plantillas léxicas con patrones construccionales de alto nivel.*

Palabras clave: Construcciones, Modelo Léxico-Construccional, Lingüística Cognitiva, Pragmática

1. Introduction

Functional and cognitive theories have so far offered contradictory views on the nature of the relationship between the lexicon and the grammar.[1] Functional accounts such as Van Valin and LaPolla's (1997) *Role and Reference Grammar* (henceforth *RRG*) or Dik's (1997) *Functional Grammar* (henceforth *FG*) make a clear division between these two components, maintaining that morphosyntactic structure can be derived from the information coded in a lexical representation by means of a set of linking rules. On the contrary, cognitive and constructional approaches (Goldberg 1995, 2002, 2005; Lakoff 1997; Lakoff and Johnson 1999; Croft 2001) believe in the existence of a continuum from lexicon to grammar and deny the necessity of linking rules (cf. Langacker 2005). As pointed out by Ruiz de Mendoza and Mairal (2006), there are weaknesses in both approaches. On the one hand, functional projectionist theories do not take into account the role of constructions in generating new morphosyntactic structure, as is the case with those constructional patterns motivating a subcategorial conversion which results in an increase in the number of arguments for a given predicate. Thus, in example (1) below, both the reflexive *myself* and the PP argument are not directly derivable from the argument structure of the predicate *walk*, but they are added to its original semantic representation whenever this predicate occurs within the caused-motion construction.

(1) I *walked myself into* oblivion[2]

On the other hand, cognitive and constructional theories of meaning have not devoted too much attention to the description of those constraints that regulate the unification process between a lexical entry and a higher-level grammatical construction. In other words, it remains to be explained why a motion verb like *walk* can participate in the resultative construction (example 2 below), while this is not the case with a different motion verb like *skulk* (example 3). The fact that only the first of these predicates can occur in the resultative construction is particularly shocking since both verbs apparently fall within the same *Aktionsart* category of activity predicates.[3]

(2) I *walked* myself tired[4]
(3) *I *skulked* myself tired

The LCM would explain these facts by means of an internal principle known as the *internal variable fusion constraint*, which is based on the semantic compatibility between

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[2] From <http://amber7211.blogspot.com/2006_06_01_archive.html> (Accessed 16 February, 2007)

[3] For a detailed description of the Aktionsart distinctions in Role and Reference Grammar, see Van Valin (2005).

[4] From <http://www.hystersisters.com/vb2/showthread.php?t=23961> (Accessed 16 February, 2007)

the internal variables of a lexical template and the semantic configuration of the constructional template. Unlike its hyperonym *walk*, the predicate *skulk* contains, at least in one of its senses, an internal semantic variable that encodes a sense of movement without a fixed or definite destination and this clashes with the telic nature of a resultative construction, hence preventing this verb from taking part in it.

As will be shown below in more detail, the LCM bridges this theoretical gap between current functionalist and constructional theories, and at the same time it provides a powerful system of representation for lexical items and grammatical constructions. This study makes use of the theoretical tools provided by the LCM in order to carry out an analysis of motion verbs which describe particular types of movement (e.g. *skulk*, *scamper*). Our aim is three fold. First, we shall attempt to provide a detailed semantic representation of the verbs under scrutiny in the form of lexical templates as proposed by the LCM. Second, we shall attempt to attest the compatibility of these verbs with the caused-motion and the *way* constructions by looking for real use occurrences through the *WebCorp* search tool. Finally, following the dictates of the LCM, we will comment on the internal and external constraints which regulate the compatibility between the lexical and constructional templates of the predicates under consideration. As far as the external constraints are concerned, special attention will be paid to those of a cognitive and pragmatic nature.

2. A note on our corpus

This study was initially intended to be carried out on data taken from the *British National Corpus* (*BNC*). Our first trial search on the simple query on-line service of the *BNC* proved, however, that this corpus was not useful for our purposes. Subordinate level motion verbs, such as *skulk* and *scamper*, have a lower frequency of occurrence than basic level related categories (e.g. *walk*, *run*) and this is much more noticeable when looking for tokens of such verbs as part of the grammatical constructions under consideration. In spite of its size of over 100 million words, the *BNC* only returned a very small number of hits for our queries. In some cases, as with the verb *skulk* within the caused-motion construction, the *BNC* offered no hits at all. Nevertheless, being motion predicates, these verbs were expected to take part in this type of constructions, since their semantic make up is fully compatible with them (see Goldberg 1995: ch. 7).

The lack of data from the *BNC* prompted us to look for a bigger and richer corpus which we found to be the Internet itself and which we have accessed by means of a tool known as *WebCorp* (Kehoe and Renouf 2002; Renouf 2003; Renouf, Kehoe and Banerjee 2005; Morley 2006; Renouf, Kehoe and Banerjee 2007). As explained by Lüdeling, Evert and Baroni (2005), this is a web-based interface to search engines such as Google and AltaVista, where the user can specify a query using a syntax that is more powerful and linguistically oriented than the one of the average search engines. It is, thus, possible to use wildcards such as * meaning *any substring* (as in: **ing*). Moreover, *WebCorp* organizes the results returned by the search engine in a clean *keyword in context* format, similar to that of standard concordancing programs. Just like such programs, *WebCorp* also offers various result processing options such as tuning the *kwic*

visualization parameters (e.g. larger/smaller windows), the possibility of retrieving the source document, checking the native speaker status of the author, word frequency list generation, computation of collocation statistics, etc.

Web-based corpora search tools, such as *WebCorp,* have the obvious disadvantage of making it virtually impossible to replicate an experiment in an exact way at a later time. This is due to the fact that some web sites and pages will have been added, some updated, and some deleted since the original experiment. On the positive side, and in spite of being subject to constant brittleness due to the variable nature of the services provided by the engines, *WebCorp* enables linguists to search a pool of data of unprecedented richness and ease of access. This is particularly important for those pieces of research whose object of study has a low frequency rate, as is precisely the case with subordinate motion verbs like *skulk* and *scamper.* Where the *BNC* retrieved no hits, *WebCorp* provided us with a small, but extremely valuable set of real use examples of the verbs under consideration.

With the exception of examples 16(b)-16(g), which are hypothetical versions of 16(a) introduced for the sake of discussion, all examples of *skulk* and *scamper* used in this paper are real instances of these verbs obtained from the Internet by means of *WebCorp*. Special care was taken to use only those examples whose source could be attested to belong to native speakers of English. Thus, all of them have been extracted from blogs or web pages which include a description of their authors and their origins. Most of them have been found to have higher education and to write their blogs on a regular basis.

As pointed out in the introduction, our analysis is not quantitative in nature, but rather aims at attesting the compatibility of the motion verbs and the constructions under scrutiny and to make use of the real examples retrieved by means of *WebCorp* in order to describe their semantic make-up as well as the cognitive and pragmatic constraints that are at work in their constructional subsumption. Neither do we claim that the use of these verbs within these constructions is widespread. The number of tokens found in our searches amounts to roughly 20 instances for each of the verbs under consideration. But these few examples found through *WebCorps* are valuable in showing the fact that however marginal, there are native speakers of English who feel such uses are possible. Language is a living entity and changes in grammatical routines do not occur overnight or in massive numbers. As linguists working within the LCM we are also interested in testing the explicative potential of our theoretical framework, which we expect to be able to accommodate not just general linguistic phenomena, but also minor tendencies which can nowadays be observed thanks to the use of powerful databases such as the Internet pool of information.

3. Lexical templates for *skulk* and *scamper*

The LCM draws from previous work by Faber and Mairal (1999) and Mairal and Faber (2002, 2005) on lexical decomposition. In an attempt to provide richer semantic descriptions than those offered by *logical structures* as posited in *RRG* (Van Valin and LaPolla 1997; Van Valin 2005), these authors have put forward the notion of *lexical*

template. *RRG*'s logical structures capture the argument structure of verbs and other predicates and classify them according to their *Aktionsart* type. In *RRG*, the Aktionsart distinctions are based in those proposed by Vendler (1967), and the decompositional system is a variant of the one put forward by Dowty (1979). A motion verb, like *walk* (a type of activity, i.e. **do'** according to the *RRG* Aktionsart) would show the following logical structure:

(4) *walk*   **do'** (x, [**walk'**(x)])

The elements in bold followed by a prime (e.g. **walk'**) are constants (usually predicates) and are regarded as semantic primes. Those elements in normal typeface (e.g. *x*) are variables and they express positions that are to be filled by expressions of particular languages when the semantic representation of individual sentences is built. In a structure like (4) above, if the variable *x* is substituted by the English expression *my baby*, i.e. **walk'** (my baby), we are in the process of representing a sentence stating that *my baby walks*.

As pointed out by Mairal and Faber (2002, 2005), logical structures have several weaknesses as a system of lexical representation:

- First, only those aspects of the meaning of the predicate which are grammatically relevant are captured.
- Second, the nature of the primitives involved is unclear, inconsistent and lacks typological adequacy.
- Third, logical structures only account for arguments that are strictly derived from the meaning of the predicate, but they do not capture those which arise from the use of a predicate in a particular construction.

In order to overcome these shortcomings, the LCM postulates the use of so-called *lexical templates*, which are an enriched scheme for the representation of the meaning of predicates. Unlike logical structures, lexical templates include:

- an inventory of semantic primes (i.e. a restricted set of superordinate terms that define each lexical domain). The primitives used within the LCM coincide closely with those of Wierzbicka's *Natural Semantic Metalanguage Approach* (1972, 1996, 2002a, 2000b), which has been shown to be valid over a hundred languages.
- a set of universal lexical functions (henceforth LF) which act on the primitive or superordinate term to generate more specific hyponyms and which capture those pragmatic and semantic parameters that are idiosyncratic to the meaning of a word and distinguish it from others within the same lexical hierarchy.[5]

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[5] The lexical functions of the LCM are inspired in Melchuk's Text Meaning Theory. However, unlike Mel'cuk, Clas and Polguère (1995) and Mel'cuk and Wanner (1996), the LCM lexical functions are used to organize the lexicon paradigmatically and to generate hyponyms from primitives. For a more detailed description of the entire set of lexical functions used in LCM, see the work by Alonso Ramos (2002) and Alonso Ramos and Tutin (1992), from which the examples in the main text have been taken.

The meaning associated with an LF is abstract and general and can produce a relatively high number of values. To give just an example, consider the LF *Magn*, which expresses intensification and which can be applied to different lexical units to produce values such as the following:

Magn(smoker)=heavy
Magn(bachelor)=confirmed

Taking the above into account, the lexical template for the predicate *walk* would be the following:

(5) *walk*   [Loc$_{in}$(land) Instr(feet)] **do'**(x,[**move'**(x)])

As can be seen in example (5), the lexical template consists of a semantic component (in brackets), which captures the specific semantic variables that define the predicate (i.e. location and instrument in the example under scrutiny), on the one hand, and the logical structure which shows the *aktionsart* type (i.e. **do'**), the semantic prime (i.e. **move'**), and the number of arguments taken by the predicate (i.e. *x*).

We are now ready to offer a semantic representation in the form of lexical templates for the motion verbs that are the object of our study (i.e. *skulk* and *scamper*).

To begin with, *skulk* is defined in the *Collins English Dictionary* as "to move stealthily, so as to avoid notice". The *Merriam-Webster Dictionary* puts some more emphasis on the *secret* and *deliberate* nature of the action: "to move in a stealthy or *furtive* manner". The analysis of the instances of *skulk* in our corpus reveal that this type of secretive movement is often motivated by feelings such as those of *fear*, *cowardice,* or *shame*. The corresponding lexical template in (6) formalises the semantic content of the verb:

(6) *skulk*   [Loc$_{in}$(land) Instr(feet) Manner(furtively) Propt(feeling_type: fear/cowardice/shame] **do'**(x,[**move'**(x)])

As regards the second of the predicates under scrutiny, the *Collins English Dictionary* defines *scamper* as the action of "running about hurriedly and quickly". The *Merriam-Webster* again adds a further shade of meaning: "to run nimbly (i.e. quick and light) and usually playfully about". Nevertheless, since the vast majority of the instances of *scamper* in our corpus do not convey the idea of running *playfully*, we have decided to take the broader definition provided in the Collins Dictionary.

(7) *scamper*   [Loc$_{in}$(land) Instr(feet) MagnInv$_1$(run)] **do'**(x,[**move'**(x)])

The primitive *move* captures the fact that all these verbs belong to the same lexical domain (i.e. the domain of movement),[6] and the different lexical functions capture those semantic and pragmatic specifics of each of the predicates. The semantic representation of *skulk* and *scamper* provided by the lexical templates is capable of accounting for straightforward instances of these predicates such as those in examples (8) and (9):

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[6] For a taxonomy of the lexical domains recognised within the LCM, see Ruiz de Mendoza and Mairal (2006, 2007).

(8) William *skulked* home, keeping in the shadows in case he met Mr. Crisplook.[7]
(9) That day was unseasonably balmy […] and many children *scampered* to school. [8]

However, the above lexical templates on their own are not capable of accounting for those instances of *skulk* and *scamper* in which these verbs occur within more elaborate grammatical constructions. Consider for instance, occurrences such as the following:

(10) … yet, thanks to the way things are shaking out, he may be able to *skulk his way back to Congress.* [9]
(11) … *skulk him into prison*, till he should pay the debt. [10]
(12) Robbie Keane wriggled and *scampered his way to* the goal-line. [11]
(13) I *scampered myself to* Assiniboine park yesterday for a meeting. [12]

In examples (10) and (12), the predicates under consideration occur within the *way*-construction, while in (11) and (13), they take place as part of the caused-motion construction. As a result, their argument structure has changed and the original lexical templates in (6) and (7) no longer account for the new semantic configuration that the predicates display in these examples.

The remainder of this paper will be devoted to the description of the constructional integration of the lexical templates for *skulk* and *scamper* in (6) and (7) above into higher-level grammatical structures. It will be shown how the explanatory power of the lexical-constructional model allows us to explain:

1. the subcategorial conversion undergone by these verbs when placed within a particular grammatical construction, and
2. the particular conditions under which these verbs may be compatible with a certain construction (i.e. *way*-construction and caused-motion construction) or, in other words, the internal and external constraints that regulate the lexical-constructional unification.

4. Constructional templates for *skulk* and *scamper*

Consider the following examples in which the predicates *skulk* and *scamper* are shown to instantiate the *way*-construction and the caused-motion construction respectively:

[7] From <http://dictionary2.classic.reference.com/wordoftheday/archive/2006/12/04.html> (Accessed 20 February, 2007)

[8] From <http://www.jewishworldreview.com/cols/will112504.asp> (Accessed 20 February, 2007)

[9] From <http://ohio13.blogspot.com/2006/03/did-tom-sawyer-write-script.html> (Accessed 20 February, 2007)

[10] From <http://www.texanstemmed.com/stiff/7009.html> (Accessed 20 February, 2007)

[11] From <http://www.manchestereveningnews.co.uk/sport/football/manchester_city/s/47/479 24_man_city_2_spurs_3.html> (Accessed 20 February, 2007)

[12] From <http://phackpic.blogspot.com/2008/04/new-link.html> (Accessed 20 February, 2007)

(14) a. … people in the US will be very discouraged about the state of our nation if Mr. Bush manages to *skulk his way back into* the White House (*way-construction*).[13]

b. "…violent and controlling. He acted out of rage, certainly not out of fear. I swear I'm telling you the truth. He *skulked them into* a snare" (caused-motion construction).[14]

(15) a. I alighted onto the quay and *scampered my way across to* Noke (*way-construction*).[15]

b. " ... you better not let that clock beat you. On time, in class is what your mission is right now", he *scampered me out* the room hollering (caused-motion construction).[16]

The original argument structure of *skulk* and *scamper*, as shown in the corresponding lexical templates in section 3 only accounts for the existence of a single argument. However, examples (14) and (15) show instances in which these verbs undergo a subcategorial conversion from one to three arguments, the two new arguments being a contribution of the grammatical constructions in which the verbs occur. Thus, examples (14a) and (15a) instantiate the *way*-construction, while sentences in (14b) and (15b) illustrate the caused-motion construction. These constructions add new shades of meaning to the original predicates so that their full semantic interpretation can only be obtained through the unification of their lexical templates and the corresponding constructional templates. One of the main advantages of the LCM is that, since lexical and constructional templates share a similar metalanguage, the former can be straightforwardly absorbed by the latter. This process is known as *lexical-constructional subsumption* and it is defined by Ruiz de Mendoza and Mairal (2006) as "the principle-regulated fusion of a lexical template into a higher-level constructional pattern". This process is governed both by internal constraints (i.e. those subsumption restrictions which originate in the *Aktionsart* idiosyncrasies and lexical specifications of the predicates) and external constraints (i.e. those restrictions on the lexical-constructional subsumption which involve a cognitive operation such as high-level metaphorical and metonymic mappings).

The next two subsections show in detail the modifications that the original lexical templates for *skulk* and *scamper* undergo when they are included within the *way-* and caused-motion constructions respectively as in examples (14) and (15) above.

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[13] From <http://forums.macrumors.com/archive/index.php/t-69397/t-91084.html> (Accessed 27 February, 2007)

[14] From <http://www.commingedelegate.com/2002_05_11/4645_vicky.html> (Accessed 27 February, 2007)

[15] From <http://www.diplesser-known.net/8997_sentinels/november-december_9632.html> (Accessed 27 February, 2007)

[16] From <http://www.tornflinching.com/artfulness/5444.html> (Accessed 27 February, 2007)

4.1. Lexical-Constructional Subsumption within the Way-*Construction*

As pointed out by Goldberg (1995: 199), the *way*-construction implies that "the subject referent moves along the path designated by the prepositional phrase" as in *Frank dug his way out of prison*. In examples like this, as Goldberg (1995: 199ff) has shown, the meaning of the construction cannot be fully predicted on the basis of its constituent parts.

Moreover, the fact that the *way*-construction entails that a path is created to effect motion and that such a motion occurs despite some kind of external difficulty, explains why some basic motion verbs such as *walk*, *go* or *run* do not fare well with it (Goldberg 1995: 205). However, motion verbs which focus on the manner in which the motion is realized, such as *skulk* and *scamper*, are fully compatible with the construction.

Figures 1 and 2 below show the representation of the lexical-constructional unifications that take place in examples (14a) and (15a), in which the predicates *skulk* and *scamper* are embedded within the *way*-construction:

(14a) … people in the US will be very discouraged about the state of our nation if Mr. Bush (x) manages to *skulk his* (x_i) *way back into* the White House (z).

Lexical template external to the construction:
[Loc$_{in}$(land) Instr(feet) Manner(furtively) Propt(feeling_type: fear/cowardice/shame]
do'(x,[**move'**(x)])

Abstract semantic representation of the *way*-construction:
[Lexical template] (x,[**pred' poss-(x_i) way**' (x, x_i)]) CAUSE [BECOME **be-LOC'** (x_i, z)]

Constructionally coerced modification of the lexical template:
[Loc$_{in}$(land) Instr(feet) Manner(furtively) Propt(feeling_type: fear/cowardice/shame]
do'(x,[**move'**(x, x_i)])

Unification of the modified template with the construction:
[[Loc$_{in}$(land) Instr(feet) Manner(furtively) Propt(feeling_type: fear/cowardice/shame]
do'(x,[**move 'poss-(x_i) way'**(x,x_i)])] CAUSE [BECOME **be-LOC** (x_i, z)]

Figure 1. Simplified representation of lexical-constructional subsumption in (14a)

A few clarifications are in order here. Those template items in capital letters represent high-level propositional elements, which are usually referred to as semantic primitives in other theories (see Wierzbicka 1972, 1996, 2002a, 2002b; Jackendoff 1990, 1996a, 1996b; Levin and Rappaport 1996, among others). The fixed and invariable elements are written in bold type. In the case of the *way*-construction, the element *way* is considered as a fixed item. It goes without saying that such invariable elements as *way*

should be parametrized pragmatically in a later stage. The final semantic interpretation of *way* will take into account not only the rest of the predication, but also the context. Because of this and in spite of its fixed nature, it is necessary to take this item of the construction as a generic element, which may adopt different interpretations depending on the variables noted above (e.g. way=a path, a hole, etc.). Finally, it should be pointed out that in the *way*-construction the actor, which is of the *effector* type, acts upon itself as a causing force and this is indicated in the template by means of the co-indexation.

Let us now focus on example (15a) in which the motion predicate *scamper* undergoes subsumption with the *way*-construction.

(15a) I (x) alighted onto the quay and *scampered my* (x_i) *way across to* Noke (z).

Lexical template external to the construction:
$[Loc_{in}(land)\ Instr(feet)\ MagnInv_1(run)]\ \textbf{do'}(x,[\textbf{move'}(x)])$

Abstract semantic representation of the *way*-construction:
$[Lexical\ template]\ (x,[\textbf{pred'}\ \textbf{poss-}(\textbf{x}_i)\ \textbf{way'}\ (x, x_i)])\ CAUSE\ [BECOME\ \textbf{be-LOC'}\ (x_i, z)]$

Constructionally coerced modification of the lexical template:
$[Loc_{in}(land)\ Instr(feet)\ MagnInv_1(run)]\ \textbf{do'}(x,[\textbf{move'}(x, x_i)])$

Unification of the modified template with the construction:
$[[Loc_{in}(land)\ Instr(feet)\ MagnInv_1(run)]\ \textbf{do'}(x,[\textbf{move'}\ \textbf{poss-}(\textbf{x}_i)\ \textbf{way'}\ (x, x_i)])]\ CAUSE$
$[BECOME\ \textbf{be-in'}\ (x_i, z)]$

Figure 2. *Simplified* representation of lexical-constructional subsumption in (15a)

Just as was the case with the previous example, in sentence (15a) the semantic features encoded in the argument structure of the predicate do not coincide with those of the *way*-construction. The LCM explains facts such as these in terms of *coercion*. As pointed out by Ruiz de Mendoza and Mairal (2006), "lexical and constructional templates interact in a constrained way. First, there is a general principle of conceptual interaction according to which higher-level conceptual patterns incorporate lower-level patterns". A specific instance of this general principle is what Michaelis (2003) has termed the *Override Principle* in the context of constructional coercion, according to which the meaning of a lexical item conforms to the meaning of the structure in which it is embedded. Thus, we can see how the original lexical template is coerced by the constructional template in order to make their unification possible. Since *scamper* is initially a one-place predicate, the resulting constructionally coerced lexical template needs to add one more argument (x_i) so as to allow mutual compatibility.

4.2. Lexical-Constructional Subsumption of Skulk *and* Scamper *within the Caused-Motion Construction*

In her well-known work, Goldberg (1995: 152) provides a semantic characterization of the caused-motion construction. According to this author, "the basic semantics of this construction ... is that the causer argument directly causes the theme argument to move along a path designated by the directional phrase; that is, 'X CAUSES Y TO MOVE Z'". This characterization is illustrated by means of the well-known example *Sam sneezed the napkin off the table*. As Goldberg points out it is the caused-motion construction that accounts for the novel use of the verb *sneeze* in sentences of this kind. The example also justifies the need to allow the verbs to be associated with rich frame-semantic meanings. In the case of *sneeze*, its use as part of the caused-motion construction is licensed by the knowledge that 'sneezing' involves the forceful expulsion of air. As Goldberg (1995:29) adds, "this would not be captured by a skeletal decompositional lexical entry for *sneeze* such as, for example , 'X ACTS' ".

An intransitive predicate like *skulk* does not originally display a theme argument unless it happens to occur within the caused-motion construction. When this is the case, the predicate necessarily undergoes a subcategorial conversion which results in the addition of one more argument, thus achieving the required compatibility with the grammatical construction under consideration. Figure 3 below shows the representation of the lexical-constructional subsumption for the predicate *skulk* and the caused-motion construction in example (14b).

(14b) He(x) *skulked them*(y) *into* a snare(z)
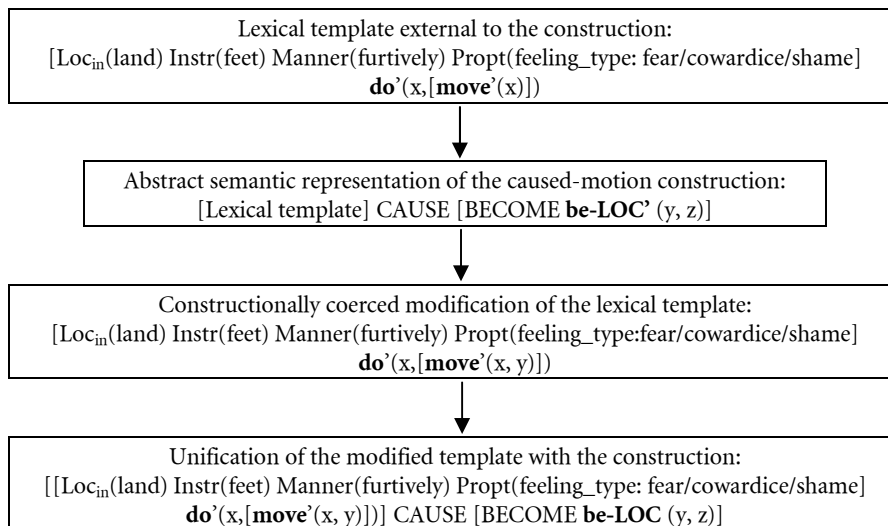
Figure 3. Simplified representation of lexical-constructional subsumption in (14b)

Likewise, in example (15b), the one-place predicate *scamper* takes up an additional theme argument in order to pave the way for its unification with the caused-motion construction, and as a result, its first argument becomes an effector which causes the patient to move to a particular location.

(15b) "... you better not let that clock beat you. On time, in class is what your mission is right now", he(x) *scampered me*(y) *out* the room(z) hollering.

Lexical template external to the construction:
$[Loc_{in}(land)\ Instr(feet)\ MagnInv_1(run)]\ \textbf{do'}(x,[\textbf{move'}(x)])$

Abstract semantic representation of the caused-motion construction:
[Lexical template] CAUSE [BECOME NOT **be-in'** (y, z)]

Constructionally coerced modification of the lexical template:
$[Loc_{in}(land)\ Instr(feet)\ MagnInv_1(run)]\ \textbf{do'}(x,[\textbf{move'}(x, y)])$

Unification of the modified template with the construction:
$[[Loc_{in}(land)\ Instr(feet)\ MagnInv_1(run)]\ \textbf{do'}(x,[\textbf{move'}(x, y)])]$ CAUSE [BECOME NOT **be-in'** (y, z)]

Figure 4. Simplified representation of lexical-constructional subsumption in (15b)

5. Constraints on Lexical-Constructional subsumption

The semantic interpretation which results from the unification of lexical and constructional templates accounts for the subcategorial conversion that verbs like *skulk* and *scamper* undergo when they take place in grammatical environments such as those provided by the caused-motion and the *way*-constructions. In the examples under consideration, the adaptation of the lexical meaning to the constructional meaning is first of all licensed by external constraints of a cognitive nature, more specifically, by the high-level metaphor NON-EFFECTUAL ACTIVITY IS AN EFFECTUAL ACTION. Such a metaphorical projection allows us to interpret the originally intransitive predicates *skulk* and *scamper* in terms of a transitive structure of the actor-object kind. This mapping, in turn, is governed by the cognitive principles of *Invariance, Correlation* and *Mapping Enforcement*.[17] On the one hand, according to the first two principles, both the topological and implicational structure of the source domain should be preserved in the target. For example, as illustrated by Ruiz de Mendoza and Mairal

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[17] For a more detailed explanation of these principles, see Ruiz de Mendoza and Mairal (2006, 2007).

(2006), it would be extremely odd to use the name of a company to refer to the spouse of one of the employees, but not an employee or a chief officer. The same could be said in the context of a hospital where it is common practice for nurses to refer to their patients by their diseases (e.g. Go see the appendicitis in room 301 which contrasts with * Go and see the newly changed sheets in room 301). On the other hand, the *Mapping Enforcement principle* states that no item in the source is to be discarded from a mapping system if there is a way to find a corresponding source element in the target domain. For example, in expressions like *give a kick,* as shown in Ruiz de Mendoza and Mairal (2007), the target of this metaphor is in turn imbued in a built-in metonymy that maps the action of kicking onto the effects of kicking, whose target corresponds to the possession element of the source. The resulting account offers perfect matches in the source: the agent is the giver, the patient is the receiver, kicking is giving and the possession of the object is mapped onto the effects of kicking, which enables us to preserve the possession element in the metaphoric source (cf. Lakoff's 1993 account of the same example in which he claims that since the possession element in the source domain does not have an exact counterpart in the target – the person that *receives* a *kick* does not actually *have* the kick – it would have to be discarded.)

However, it is interesting to note that external constraints based on higher-level cognitive mappings on their own do not explain why some instances of the caused-motion construction with *skulk* and *scamper* are possible while others are odd or straightforwardly incorrect. Consider the following sentences:

(16) a. He *skulked me into* prison.…
　　　b. He *skulked me into* an argument
　　　c. He *skulked me into* temptation
　　　d. He *skulked me into* depression
　　　e. ???He *skulked me into* a surprise party to celebrate my birthday
　　　f. ???He *skulked me into* a laugh
　　　g. ???He *skulked me into* happiness

Sentences (16a)-(16d) are acceptable instances of the predicate *skulk* within the caused-motion construction. (16a) represents a literal use of *skulk*, while (16b)-(16d) are figurative extensions of the predicate which involve a non-physical prepositional phrase (PP), which is understood metaphorically as a location (EMOTIONS/STATES/IDEAS ARE CONTAINERS). Likewise, (16e) includes a PP which is a physical location (i.e. *party*), while (16f) and (16g) display PPs which refer to metaphorical locations (i.e. *laugh, happiness*). In spite of the fact that all these sentences display a similar structure, type, and number of arguments, only examples (16a)-(16d) sound natural and acceptable in English. In order to find an explanation for these facts, it becomes necessary to look carefully at the semantic representation of the predicate *skulk* as formalized previously in its lexical template.

One of the lexical functions included in the lexical template for the predicate *skulk* captures the manner in which the motion is carried out (i.e. furtively, secretively) and yet another lexical function indicates the reason why the motion is carried out in such manner (i.e. because of fear, shame, and/or cowardice). This specific aspect of the meaning of *skulk* (i.e. the fact that it is caused by feelings of fear, shame, and/or

cowardice) clashes with the choice of an axiologically positive destination as is the case in examples (16e)-(16g). Under normal circumstances, it would be a pragmatic absurdity in our culture to be ashamed and/or frightened to take someone to a party (example 16e), to make someone laugh (example 16f) or to make someone happy (example 16g). On the contrary, the semantics of *skulk* are highly appropriate when the final location towards which the patient is being directed is of a negative nature (e.g. temptation, depression, etc.) as in examples (16a)-(16d). It is culturally unacceptable in our society to try to harm somebody or to try to cause a negative effect on somebody and therefore, actions of this kind, such as those depicted in examples 16a-16d, are usually carried out in a furtive or secretive manner. As a result of these pragmatic and cultural expectations, the constructional subsumption is blocked in sentences 16e-16g, but granted in sentences 16a-16d.

These examples show that the external constraints that regulate the processes of constructional subsumption are not only cognitive in nature (i.e. high-level metaphors and metonymies) as proposed by Ruiz de Mendoza and Mairal (2006, 2007), but that pragmatic aspects of what constitutes acceptable human behaviour are also at work here.[18] Thus, it is part of our knowledge of what constitutes polite behaviour in our western society that we should try to act in such a way that we maximize the benefit and minimize the cost to others (see discussion on the Tact Maxim, Leech 1981). This type of pragmatic knowledge explains why it is possible to use *skulk* within the caused-motion construction if the location towards which the agent is directing the patient is a negative location. In such cases, the agent is acting against the Tact Maxim and therefore, it is coherent to do it in a furtive way. On the contrary, if the location is a positive one, there is no need for secrecy and the use of the predicate *skulk* becomes a pragmatic absurdity in this situation.

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[18] It should be born in mind that the LCM uses labels such as *pragmatic* and *discourse* meaning for convenience, that is, in order for readers to find points of reference to other approaches where comparable phenomena have been treated in different ways. Likewise, for the LCM the controversy over the existence of continua between linguistic phenomena is immaterial. This affects both the CL proposal of a continuum from lexicon to grammar and of a continuum from semantics to pragmatics. As regards, the semantics-pragmatics facts, what the LCM postulates is the possibility of constructing meaning representations that go beyond the argumental level on the basis of inferential activity or on the basis of constructional interaction, or by combining both processes. Thus, we may have inferential activity based on the linguistic expression providing partial access to low-level situational models (traditional implicature), or to high-level situational models (traditional illocutionary force), or to discourse coherence patterns. Alternatively, we can often derive comparable meaning implications by grammatical means on the basis of constructional realization at different level of description. It is possible to ask for a glass of water by saying *I'm thirsty* or *Can you give me some water, please?* The reasons for using one or the other way are a matter of communication strategies, but what matters within the LCM is that we have two alternative ways, with slightly different meaning effects, and there is no need to postulate a continuum from one to the other.

6. Conclusion

To summarize, in this paper we have made use of the theoretical tools of the LCM in order to carry out an analysis of two motion verbs which describe a particular way of movement (i.e. *skulk* and *scamper*). The semantic representation of these predicates in the form of lexical templates helps us to overcome some of the weaknesses of previous functional models by endowing the semantic description with a higher degree of systematicity, richness of detail, and typological adequacy. The metalanguage used in the lexical templates paves the way to its subsumption with the constructional templates of the caused-motion and *way* constructions in which we have found these verbs to occur. This combination of lexical and constructional information explains the subcategorial conversion undergone by the original verbs. Moreover, we have also shown how the constructional subsumption itself is granted by a number of external constraints of a cognitive and pragmatic nature.

With this preliminary study of two motion verbs we have attempted to show the advantages of an analysis of this type of predicates within the LCM framework. In doing so, we hope to have paved the way to subsequent studies of other motion verbs within the same category. The description of their semantic make-up in terms of lexical templates will help to complete the inventory of pragmatic and cognitive constraints that are at work in the licensing of their subsumption with specific grammatical constructions.

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De-constructing Race and Identity in US Presidential Discourse: Barack Obama's Speech on Race

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Barack Obama's 'A More Perfect Union' speech, given amidst public outcry over statements made by his pastor, Reverend Jeremy Wright, brought the questions of race and racism to the forefront of his 2008 campaign. While the speech can be seen as Obama's candid vision of race in America, it can also be interpreted as an elaborate scheme to de-construct the issues of race, racism, and identity in the United States. The paper analyzes the issues of race, racism and identity as reflected in this speech from a CDA perspective, on the assumption that all speech acts are embedded in the society and culture within which they are produced. It focuses on both contextual and linguistic aspects, highlighting the ways Obama delegitimizes and, hence, de-constructs, racist practices still prevalent in American society. The analysis focuses mainly on the use of recontextualization, and argues for a broader interpretation than the one traditionally proposed in the literature.

Keywords: race; Obama; recontextualization; CDA; political discourse; pronominal use

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La deconstrucción de raza e identidad en el discurso presidencial de Barack Obama

El discurso de Barack Obama 'A More Perfect Union', pronunciado en medio del clamor popular producido a raíz de las declaraciones de su Pastor, el Reverendo Jeremy Wright, hizo que diversas cuestiones relacionadas con las etnias y el racismo cobraran gran relevancia durante la campaña de 2008. Aunque el discurso se puede tomar como una sincera visión del asunto de las etnias en los Estados Unidos por parte de Obama, también se puede interpretar como un elaborado plan para de-construir los problemas de las etnias, el racismo y la identidad en ese país. En este artículo se analizan, desde la perspectiva del Análisis Crítico del Discurso, los mencionados asuntos tal como se ven reflejados en el aludido discurso de Obama, asumiendo que cualquier acto del discurso forma parte de la sociedad y la cultura dentro de las cuales se manifiesta. El artículo se centra en aspectos contextuales y lingüísticos, y resalta los medios utilizados por Obama para deslegitimizar y, por tanto, de-construir los hábitos racistas que perduran en la sociedad estadounidense de nuestros días. El análisis presta especial atención al uso de la recontextualización y aboga por una interpretación más amplia de la que se suele encontrar en la literatura.

Palabras clave: etnia (raza), Obama, recontextualización, Análisis Crítico del Discurso, discurso político, usos de los pronombres

1. Introduction

Barack Obama's election as President in November 2008 represents a historic moment for both the United States and the world.[1] While the question of race in the campaign should not be underestimated, Obama certainly did and still does not fit "the conventions of a statesman of his era" (Wills 2008) in many ways: his upbringing and background appeared both foreign and untraditional, and he was accused of having connections with unpatriotic and potentially violent radicals. Seen in this light, his victory could be interpreted as even more unexpected, demonstrating, at least ostensibly, how much the United States has changed in terms of accepting otherness. However, it would be naive to construe Obama's victory as a complete victory over race and identity, for race divisions are still deeply ingrained in American society, and racism, although often disguised, is still widespread.

Barack Obama's discourse has been described as deracialized or post-racial (Frank and McPhail 2006; Younge 2008). Rather than focus solely on his African American identity, which in itself may be seen as a "construction" (Suleiman and O'Connell 2008: 376), Obama's electoral campaign message highlighted his mixed background:

> I am the son of a black man from Kenya and a white woman from Kansas. I was raised with the help of a white grandfather … and a white grandmother …. I am married to a black American who carries within her the blood of slaves and slaveowners – an inheritance we pass on to our two precious daughters. I have brothers, sisters, nieces, nephews, uncles and cousins, of every race and every hue, scattered across three continents, and for as long as I live, I will never forget that in no other country on Earth is my story even possible. (www.barackobama.com)[2]

In spite of such references, Obama seldom focused directly on the issues of race and racism, as he most likely knew that his statements "could transform him in a campaign ad from the affable, rational and racially ambiguous candidate into the archetypical angry black man who scares off the white vote" (Staples 2008). These were the risks he faced when the inflammatory, anti-patriotic statements of his former pastor, the Reverend Jeremiah Wright, started circulating on the Internet and in the media in March 2008. Obama directly addressed the issue of race in his 'A More Perfect Union' speech.

This speech is a clear example of the type of balancing act that Obama adopted in his campaign to both legitimize himself and delegitimize his opponents. In it he offers a new vision of race and race relations based on his own version of the American Dream, embracing the core themes of change, hope and unity. Furthermore, he deconstructs and recontextualizes the traditional concepts of race and identity as originally set forth

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[1] An earlier version of this paper was presented at the XXVII AESLA Conference *Ways and Means of Human Communication*, Ciudad Real, March 2009. I wish to thank the Editor and the anonymous referees for their useful comments and suggestions. A special debt of gratitude also goes to Clarissa Botsford and Peter Douglas, who read and critiqued various versions of this paper.

[2] All examples from the speech are from the published, online version available at this website.

by the US Constitution which, according to the speech, were "stained by this nation's original sin of slavery".

2. Aims and scope of the paper

The paper analyzes the issues of race, racism and identity from a Critical Discourse Analysis (CDA) perspective, which considers the historical, cultural and social contexts crucial to an understanding of a discourse. In CDA, discourse practices are viewed as dependent on the power and dominance relations in society and institutions. My main hypothesis is that this historically significant speech is representative of an important type of current discourse practice in the United States, and, as such, it both influences and is influenced by social practice. Furthermore, since Obama represents both a historically excluded black minority and dominant political and social group(s), this speech necessarily reflects these different and often shifting social positions. Yet, at the same time, due to his privileged position – as a lawyer, professor, senator and presidential candidate – the speech has an even greater influence on social practice. From a theoretical point of view, I propose a broader interpretation of recontextualization than that most often found in the literature. Thus, I view recontextualization as taking place on different levels: both text-externally or intertextually *and* text-internally, in the lexis and grammar. The broader historical and socio-political contexts also play an important role in creating external recontextualization. On the text level, I focus on what I consider to be the most salient examples of recontextualization in the speech: the strategic use of personal pronouns and grammatical and lexical recontextualization. The analysis of this specific text should shed light on and help to "unmask" (Wodak *et al.* 2009) Obama's overall discourse practices, demonstrating how they both reflect and are a reflection of social practice in contemporary US politics and society.

The work is divided into three main sections: in section three the speech and its speaker are framed in terms of their historical and social contexts. This section also addresses the crucial aspect of mediatization of politics and politicians. In part four, the most salient theoretical issues addressed in the work are presented, while in the fifth part, specific examples from the speech are discussed and analyzed in light of the theoretical considerations.

3. Context

'A More Perfect Union' was given at one of the most decisive points of the 2008 Democratic Campaign. First of all, Obama was involved in a very close race with Hillary Clinton. Secondly, he was engulfed by criticism in the press, from within the Democratic Party, and among his electorate over statements made by former vice-presidential candidate and Hillary Clinton supporter, Geraldine Ferraro, and Obama's former pastor, Reverend Jeremy Wright. Ferraro had declared, "If Obama was a white man, he would not be in this position" (Seelye and Bosman 2008) drawing immediate criticisms of racism from within the Democratic Party. More importantly, Reverend

Wright had made statements accusing the US government of blatant racism and directly blaming US policies for the terrorist attacks on 11 September 2001 (Suleiman and O'Connell 2008: 376). The mass media continuously replayed Wright's angry comments, which were affecting Obama's popularity (Suleiman and O'Connell 2008). In such a climate the expectations for the speech were extremely high, especially since, for the first and only time in his campaign, Obama was directly addressing the issue of race. It was evident that this speech would frame the rest of his campaign and possibly decide the winner of the Democratic Primaries.

Obama's skilful use of speeches as a political tool has been widely noted, and on more than one occasion he confronted "serious political or policy problems with the Big Formal Speech" (Fallows 2008; see also Heffernan 2009 and '"The Speech": An Experts' Guide' 2009). Obama's rhetoric, however, is clearly different from the model of traditional black leaders, such as Jesse Jackson and Martin Luther King. Instead, his discourse practices can be likened to a new generation of black leader, which tends to exhibit more confidence and "sobriety than their white counterparts" (Bourdieu 1991, in Suleiman and O'Connell 2008: 387). Moreover, his message captured the imagination of a broad, varied group of the American public (Mendell 2007: 9). It is a mixture of his personal style and charisma, his verbal eloquence, and an all-encompassing message of unity, I would argue, that makes his rhetoric more persuasive. On this particular occasion, however, Obama's tone was more serious than usual, most likely because "[t]his was a speech in which the words—not the delivery—counted" (Corn 2008).

'A More Perfect Union' was generally well received in the liberal press, a view exemplified by *The New York Times*: "It's hard to imagine how he could have handled it better" ('Mr. Obama's Profile in Courage' 2008; see also Corn 2008; Garry 2008). The non-partisan *Pew Research* think tank labelled the speech as "arguably the biggest event of the campaign" estimating that some 85% of Americans had heard "at least something" about the speech ('Obama Speech on Race Arguably Biggest Event of Campaign' 2008).

Such positive media descriptions are important for political success, since, now more than ever, political events (and actors) are mediated by the mass media, and their meanings are transferred between social practices, texts and genres (Fairclough 2003: 30). This relationship is so strong as to be almost "symbiotic" (Wodak 2009a: 3). Moreover, the politicians themselves are transformed into media personalities due to the importance of the media in reporting the events, and politics is becoming more and more staged (Fairclough 2000; Wodak 2008, 2009a).[3] The Obama campaign immediately grasped the importance of exploiting new media to distribute campaign materials to a more varied voting public. As with other speeches, 'A More Perfect Union' was immediately made available on line in a cleaner version than on television (Heffernan 2009). The influence of this medium is confirmed by the 10% of Americans who viewed the speech online ('Obama Speech on Race…' 2008) and by the fact that

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[3] For a more detailed discussion of the notion of staging in politics see Fetzer and Weizman 2006; Wodak 2009a, 2009b; Wodak *et al.* 2008.

the video has been played more than 6 million times on YouTube alone (see also Heffernan 2009).[4]

Another important part of the context of this speech is the strategic choice of venue: the National Constitution Center in Philadelphia. Both the city of Philadelphia and the Constitution Center are extremely important landmarks of American history. Moreover, as the home of the American Revolution and the US Constitution, upon which much of the speech is based, the location provided both a visual and a metaphorical link with the principles and ideals of US history, along with its original 13 colonies, its independence, its legal institutions and its founding fathers.

4. Theoretical background

4.1. *Critical Discourse Analysis and political discourse*

For CDA, language use is not only a product of society but also an important force in (re)shaping social practices, both positively and negatively (Bloor and Bloor 2007: 12). Closely tied to this notion is how discursive practices "conceptualize" the power and dominance relations present in society and how they are related to "unequal capacity to control how texts are produced, distributed and consumed in particular sociocultural contexts" (Fairclough 1995: 1). In other words, discourse is determined according to the roles of speakers and hearers in society and institutions (Chilton and Schäffner 2002: 31), which, in turn, provide a set of frames for people's action in certain situations (Fairclough 1995: 38). It follows, then, that contextual features are crucial to understanding discourse practices (Chilton and Schäffner 2002: 16). Consequently, texts cannot be analyzed without considering institutional and discourse practices (Fairclough 1995: 9) because of this "dialectical relationship" between discourse acts and social practices (Wodak *et al.* 2009: 8). More specifically, CDA describes not only the social, cultural and historical processes and structures within which a text is embedded, but also the new and recontextualized meanings that are created through text production and interaction with other texts (Wodak 2001a: 3; Wodak *et al.* 2009: 7-8).

With its interest in power, dominance, social and institutional practice, CDA naturally lends itself to the analysis of political discourse (see Chilton 2004; Chilton and Schäffner 1997, 2002; Fairclough 1995, 2000; Schäffner 1996; Wodak 2009; Wodak et *al.* 2009; Wodak and De Cillia 2007; Wodak and Reisigl 2001). The relationship between politics and language is summed up by Fairclough: "Political differences have been constituted as differences in language, [and] political struggles have always been partly struggles over the dominant language" (2000: 3).

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[4] The number of views is as of July 2009.

4.2. *Identity, ideology and race*

The notion of identity implies two possible parameters of comparison in interpersonal relations: *similarity* and *difference* (Wodak 2009a: 13). In other words, people identify themselves in terms of their similarities and differences to others. Such notions, however, are strongly tied to the predominant ideology, which "can help produce and reproduce unequal power relations between … social classes, women and men, and ethnic/cultural majorities and minorities through the ways in which they represent things and position people" (Fairclough and Wodak 1997: 258). The way people talk about themselves and others, both positively and negatively, reflect deeply ingrained power relations, and the texts they produce can serve to sustain or change ideologies (Fairclough 2003: 9). As noted above, race also plays an important role in expressing power and dominance differences inherent in identity. In his description of social cognition Van Dijk speaks of "schemas" underlying the organization of representations and attitudes within society, such as those schemas that whites have about blacks or that men have about women (1993: 258). We can presume, then, that there is also a schema that blacks have about whites. Moreover, these schemas, like all discourse practices, are constantly changing to reflect new realities, as well as changing relations and power structures (Mazid 2007: 353).

In any analysis of political discourse, the issues of identity and ideology are crucial to understanding the political actors, as their performance is defined and perceived according to social identity (Fairclough 2000: 95) and ideological group membership (Van Dijk 1998). However, this relationship is further complicated by the fact that a group ideology can also define a group identity (Van Dijk 1998: 118). Thus, a politician's identity is influenced by the tension between the (often constructed) public office and the private (Fairclough 2000: 97), or tension between dominant and subordinate power positions. Furthermore, individual identity is dependent on both personal and social factors and "[p]art of our self-representation is inferred from the ways others … see, define and treat us" (Van Dijk 1998: 118). In the case of African American politicians, I would argue, other factors come into play, to varying degrees, such as background, upbringing, education, racial identification, etc, which further complicate the situation and create more tension.

4.3. *Recontextualization*

In its most general sense, recontextualization means "the appropriation of elements of one social practice within another" (Fairclough 2003: 32) and has been considered one of the most important processes in text production (Wodak and De Cillia 2007: 323).[5] Recontextualization is mostly seen as belonging to intertextuality or text-external referencing, when an argument is taken from one context and restated in a new one; in this way the object is first decontextualized and then recontextualized in its new context

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[5] The term comes from Bernstein (1981, 1986), who applied the notion of recontextualization to educational practices (in Van Leeuwen 2008: 3-22).

(Wodak 2008: 3). In her discourse-historical approach Wodak proposes a four-level "triangulatory approach" to context: (1) the text internal co-text; (2) the intertextual; (3) the extralinguistic; (4) and the broader sociopolitical and historical contexts (2001b: 67). Fairclough speaks of "recontextualizing principles" spanning different fields, social practices and genres according to which "social events are selectively 'filtered'" through exclusion, inclusion and selective prominence (Fairclough 2003: 139; see also Van Leeuwen 2008). Moreover, he distinguishes between external and internal (inter)textual relations, with recontextualization occurring mainly in the former (2003: 139). A similar distinction of textual relations is also made by Van Dijk (2001), but without specifically mentioning recontextualization; in fact, he speaks of "local" (vs. "global") discourse forms, which determine linguistic realizations and can be seen in the lexical choice, syntactic structures, agency, metaphors, etc. (2001: 103). In my analysis I propose a much broader approach to recontextualization, claiming one that occurs on both of these levels, i.e. both text-externally *and* text-internally.

On a global level, we can observe recontextualization from one discourse, text or genre to another, in which a dominant text imports elements of another text for some strategic purpose (Chilton and Schäffner 2002: 17). On a local or surface level, recontextualization most often occurs lexically or syntactically, through rhetorical figures, semantic structures, etc. (Van Dijk 1993: 261). Lexically, recontextualization is achieved through substitution or repetition and resemanticization (see Wodak and De Cillia 2007; Van Dijk 1993) and can also be used for metaphor and metonymy. More specifically, semantic relations can be highlighted or obscured in texts through substitution, exclusion, synonymy, hyponymy, antonymy, etc. (Fairclough 2003).

Recontextualization also commonly occurs in pronominal use, which is closely tied to the notions of identity and ideology. Thus, pronouns can indicate (or obscure) collectivity and individuality (Fairclough 2003: 162), or they can be used for 'self' or 'other' referencing or as a way to polarize representations of ingroups and outgroups (Van Dijk 2001: 103; see also Suleiman and O'Connell 2008). Pronominal use and interpretation are mediated by a number of different social and personal factors "producing a range of possible uses and interpretations" (Wilson 1990: 45). With so many external factors, which according to Wilson (1990: 46) include formality, informality, status, solidarity, power, class and sex, it is not surprising that pronoun shifting is so common among politicians and can lead to what Partington calls "conflicting pressures" (2003: 72). Clearly absent from this list of factors is race, which is also crucial in determining and understanding pronominal use, especially within the current discussion.

In politics the most salient pronominal distinctions are *I* vs. *we*, inclusive vs. exclusive-*we*, and *us* vs. *them*. Moreover, third-person pronouns can be used in different ways to create (or obfuscate) agency. First, the use of *I/we* is clearly marked depending on how much responsibility the speaker wants to claim: *I* is used "to gain the people's allegiance", while *we* is often used to evade complete responsibility (Wilson 1990: 50). Secondly, *we* has different meanings depending on whether it includes or excludes the addressee(s) and if inclusion is partial or total (see Wilson 1990, Chapter 3; Wodak *et al.* 2009: 45-47). Finally, third-person pronouns can be used for distance, a relation of contrast and other referencing from the so-called 'deictic centre', of which *I*

and its variants can be considered the centre, in a sort of "pronominal scaling" (Wilson 1990: 58-61; see also Chilton 2004: 57-59).

4.4. Text, genre, discourse and political speeches

The notions of *text*, *discourse* and *genre* have been the subject of much discussion in the literature (see Wodak and Meyer 2009). In line with Fairclough I consider text as "any actual instance of language use" (2003: 3), while discourse is a more general way of representing the world (2003: 215). Genre is "a socially ratified way of using language in connection with a particular type of social activity" (Fairclough 1995: 14). The present analysis is based on one text, which is representative of both a general discourse (i.e. Obama's political discourse) and a specific genre, the political (campaign) speech. Myers has classified the political speech as an "ideal" genre due to its mostly rhetorical and stable nature (2008: 140).

The speech is an important genre in political discourse, which has been studied since ancient times. Indeed, classical rhetoric distinguished three classes of oratory: *judicial*, *deliberative*, and *epideictic*. Judicial rhetoric is generally focused on the past and on the themes of justice and injustice, while functionally it is aimed as accusing or defending; deliberative rhetoric is linked to the future and focuses on expediency or harmfulness, while exhorting or dissuading; epideictic rhetoric is tied to the present and the themes of honour and disgrace with the function of attributing praise or blame (Wodak *et al.* 2009: 70). However, it should be noted that the three forms do not occur in pure form and there is generally a mixing of all three forms in the same speech (Wodak and De Cillia 2007: 324).

Another important aspect in the analysis of political discourse is the strategic functions that are employed to realize inclusionary or exclusionary rhetoric (Wodak *et al.* 2009). One of the most important of these functions, especially in political speeches, is legitimization (and its counterpart, delegitimization), which is used for "positive self-presentation" (Chilton and Schäffner 1997: 213).[6] Similarly, Wodak *et al.* (2009) posit a number of different macro-strategies, including construction, perpetuation or justification, transformation and demontage, and tie them to argumentation schemes and means of linguistic realisation. Of note for the current discussion are the constructive strategies, which promote "unification, identification, solidarity and differentiation" (2009: 33), and their subcategory of justification. These can be used to shift blame and responsibility, cast doubt, downplay, minimize, etc. and are tied to various *topoi* such as comparison/difference, illustrative examples, history as teacher, fallacy of external threat, etc. (2009: 36).

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[6] This analysis is limited to the use of legitimization and delegitimization, which would appear to be the most widely used strategic function in this sub-genre of primary campaign speeches (See Boyd 2008). A full account of strategic functions can be found in Chilton and Schäffner 1997, 2002; Chilton 2004.

5. Discussion

5.1. 'Explaining' Reverend Wright

Above it was noted that political speeches generally adopt different forms of rhetoric within the same speech. 'A More Perfect Union' is no exception to this, and it reveals a combined use of all three of the classical oratorical forms. Thus, it focuses on the injustices of racial division (*judicial oratory*) and the expediency to change (*deliberative*), and, more importantly, it serves to honour the heroes of the civil rights movement, as well as ordinary Americans, and to assign both praise and blame to various moments of the past and present of race relations in the US (*epideictic*). Moreover, the speech makes use of a number of justificatory (or legitimization) strategies to explain Obama's relations with Reverend Wright and the comments made by Geraldine Ferraro. As far as the former is concerned, Obama was faced with the very difficult task of legitimizing his relations with the extremely controversial figure of Reverend Wright, without delegitimizing his (black) followers. If he ignored the criticism, he most certainly risked being perceived by a still largely undecided voting block as unpatriotic; yet, if he overtly criticized his former preacher he risked isolating many of his back supporters, while at the same time delegitimizing his own relationship with his former pastor, his involvement with the church and his integrity. Not surprisingly, then, Obama 'explained' rather than excused his relations with Reverend Wright (Corn 2008). The rhetorical strategies he adopted serve both to defend Wright and his followers and Geraldine Ferraro and her supporters and, on the other, to differentiate himself not from the people themselves but from their comments.

In the speech, at first, Obama responds indirectly to Ferraro's statements as we can see in (1):

(1) the *implication* that *my* candidacy is somehow an exercise in affirmative action; that it's based solely on the desire of wide-eyed liberals to purchase reconciliation on the cheap;

Here, *implication* is used metonymically to remove agency from the statements, thereby mitigating any personal criticism that might be inferred from the use of 1st Person Sg possessive determiner *my*. Later in the speech, however, Ferraro is mentioned by name and likened to Reverend Wright:

(2) We can dismiss *Reverend Wright* as a crank or a demagogue, just as some have dismissed *Geraldine Ferraro*, in the aftermath of her recent statements, as harboring some deep-seated racial bias. But *race* is an issue that I believe this nation cannot afford to ignore right now.

Yet, here as well, no direct blame is attributed to either Wright or Ferraro. Rather, the inclusive-*we* combined with the modal *can* create a sense of what Wodak *et al.* call "co-responsibility" (2009: 36) for *racial bias*, which is extended to all people, including himself. In addition, criticism of their statements comes from the outside, which is highlighted by the use of the indefinite pronoun *some*, rather than directly from Obama. Moreover, the parallelism between the two figures serves to justify their

behaviour as well as to legitimize Obama's relations with the more controversial Wright. In the second sentence of (2), *deep-seated racial bias* is promoted to the generic *race* in thematic position as a way to advance his message of unity and racial change. In these two examples Obama uses justificatory strategies to shift blame from both Wright and Ferraro to society as a whole, which is achieved by recontextualizing their statements.

5.2. Recontextualizing the Constitution

One of the most important uses of recontextualization in the speech occurs in reference to the hyper-theme of the US Constitution. The speech opens with a well-known quotation from the preamble to the 1787 US Constitution:

> (3)   We the people, in order to form a more perfect union.

Not only does this set a specific cultural and historical frame, which underlines the document's import and enhances the very location in which the speech was given, but it also allows for the original meaning to be deconstructed within the speech and the wider context of Obama's message and discourse. The individual lexical items of the quotation are then repeated, recontextualized and resemanticized in a larger discourse about race, identity and race relations by relating – both directly and indirectly – the phrase and the document to the local co-text and context of the speech and Obama's global narrative and message.

As a lawyer, former editor of the *Harvard Law Review* at Harvard University, and former professor of Constitutional Law at the University of Chicago, Obama was perfectly aware of the judicial import these words carried. The words, as the rest of the Constitution itself, are still open to reinterpretation by the legal system, courts and legislature, since constitutions are "metastable" and "guaranteed by their capacity to change" (Bayley 2005). Consequently, the founding fathers purposefully left much of the Constitution unspecified so that it could be "negotiated" among the three branches of the government "through processes infused with rhetoric" (Campbell and Jamieson 2008: 1). In Obama's rhetoric, the *Constitution* is personified, appears to have a life of its own and, as such, naturally adapts itself to the changing times:

> (4)   Of course, the answer to the slavery question was already embedded within *our Constitution* – a *Constitution* that had at is very core the ideal of equal citizenship under the law; a *Constitution* that promised its people liberty, and justice, and a union that could be and should be perfected over time.

The use of the inclusive *our* in (4) further highlights Obama's membership in this process of transformation. However, Obama also notes that in its original form the Constitution was somehow incomplete thereby making "the Constitution a means for its own transcendence" (Wills 2008: 4):

> (5)   The document they produced was eventually signed but ultimately *unfinished.*

For obvious reasons he refrains from criticizing the original racist bias of the document (and, consequently, of the founding fathers), just as he refrains from overtly

criticizing the widespread racism among much of the US population, as in (2) above. This is because of his overall message that transcends disparities and racism and his

(6)   unyielding faith in the decency and generosity of the American people

Nonetheless, as underlined in the speech, legal (re-)interpretation and amendment have not always been enough to complete or 'to perfect' the Constitution or, for that matter, to change prevailing attitudes about race and identity:

(7)   And yet *words on a parchment* would not be enough to deliver slaves from bondage, or provide men and women of every color and creed their full rights and obligations as citizens of the United States. *What would be needed* were *Americans* in successive generations who were willing to do their part

In the first part, the personified synecdoche *words on a parchment* highlights both the complexity of the Constitution and consequently the difficulty for them to cause change. In the second part, the thematic position of the depersonalized semi-cleft emphasizes the agentivity of *Americans*, who thus become the agents of change. This message of change through action is also directed toward contemporaries, supporters and detractors alike, when he urges them

(8)   to continue the long march of those who came before *us*.

The message is further strengthened by the use of the inclusive-*us*, which also implies that Obama as well as the rest of the American people are an active part of both history and this transformation. Thus, the Constitution, which was originally 'stained' by 'imperfection', has been changed over time. Within the speech and within Obama's larger message of change, hope and unity, such transcendence is extended to the US population in its entirety.

5.3. *Pronominal use*

Obama continuously shifts pronouns to reflect his membership in both the dominant ingroup and a minority outgroup, highlighting both similarities and differences. While this is achieved, for the most part, through the strategic use of the 1st person pronouns, the 3rd Person pronouns are also used to both accept and evade responsibility. It has been suggested that Obama's use of the 1st person pronouns is closely linked to his own identity and story. The writer Zadie Smith, for example, notes Obama's "wariness" of using the 1st person Sg *I*, favouring instead the Pl *we* (2009). A similar shifting strategy was noted in Obama's interview on the Larry King Show after the speech (Suleiman and O'Connell 2008: 383).[7] In the speech, similar patterns of pronominal usage emerge, but, as we shall see, the situation is more complex, and it will be demonstrated that Obama's use of *we* is strategic, and it is extended metonymically to represent all Americans.

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[7] While the analysis in Suleiman and O'Connell (2008) is based on a different genre, the political interview, which is less rhetorical than the political speech (see section 4.4), there are certainly many similarities, as we shall see below.

If we return to the opening lines of the speech, the 1st person plural pronoun *we* designates a historically dominant group – both exophorically and cataphorically – that excluded Blacks and other minorities and was limited to a dominant group:

(9) *We* the people, in order to form a more perfect union. Two hundred and twenty one years ago, in a hall that still stands across the street, *a group of men* gathered and, with these simple words, launched America's improbable experiment in democracy. *Farmers* and *scholars*; *statesmen* and *patriots* who had traveled across an ocean to escape tyranny and persecution finally made real their declaration of independence at a Philadelphia convention that lasted through the spring of 1787.

Ingroup membership here, then, was limited to a specific *group of men* – the Founding Fathers – *farmers*, *scholars*, *statesmen* and *patriots*. The cataphoric and exophoric use of the historical *we* highlights the limitations of the ingroup and creates a contrast with its subsequent use in the speech. Through extensive recontextualization, the meaning is broadened to include both Obama – a representative of the dominant political class, the law and a minority – and subordinate others, including himself, his family, his supporters, and all Americans, who have been excluded both historically and continue to be marginalized in contemporary society.

In the speech, however, his usage oscillates between an all-inclusive *we* referring to the entire American population and a more limited, partially inclusive *we* which refers to him and his supporters. The all-inclusive *we* is illustrated in (10), while the "partially addressee-inclusive" *we* (Wodak *et al.* 2009: 46) can be seen in examples (11) and (12):

(10) This is where *we* are right now. It's a racial stalemate *we*'ve been stuck in for years

(11) What *we* know is that America can change

(12) This was one of the tasks *we* set forth at the beginning of this campaign – to continue the long march of those who came before *us.*

In (12), Obama applies prominent word stress to *we*, thus shifting the focus and, consequently, creating a new meaning of the 1st-P PL pronoun, which now reflects historical, societal and personal change. Within the speech and his message of unity *we* takes on new meaning, thereby embracing all segments of the population:

(13) *we* may have different stories, but *we* hold common hopes.

However, Obama must also legitimize his personal relations with an unconventional figure and take personal responsibility, which he does through the use of first person singular pronoun. First, he underlines his own story, which is used metaphorically as part of his message of unity

(14) *I* have brothers, sisters, nieces, nephews, uncles and cousins, of every race and every hue, scattered across three continents

The 1st person Sg possessive determiner is also used to highlight his own beliefs, background and politics, as we can see in (15) and (16) below

(15) *my* unyielding faith in the decency and generosity of the American people

(16) Given *my* background, *my* politics, and *my* professed values and ideals, there will no doubt be those for whom *my* statements of condemnation are not enough.

I is also used for self-effacement and to demonstrate his own limitations:

(17) *I* have never been so naïve as to believe that we can get beyond our racial divisions in a single election cycle or with a single candidate

Furthermore, Obama must legitimize his own candidacy and his faith in his political message, but he also needs to extend this message to everyone:

(18) *I* chose to run for the presidency at this moment in history because *I* believe deeply that *we* cannot solve the challenges of our time unless *we* solve them together unless *we* perfect our union by understanding that *we* may have different stories.

Such shifts between *I* and *we* not only allow for a shift in perspective, but also blur the distinction between the two pronouns making him a more human part of his all-encompassing and uniting *we*. Moreover, his message is strengthened by recontextualizing the important ideals embedded in the Constitution: *we/our, perfect, union*. In the speech he continuously underlines his own story, which serves, metaphorically and metonymically, as a template for all people's stories and gives new meaning to his opening line, in (9). While in (19) *this nation* is compared to the synecdoche *the sum of its parts*, in (20) the order is reversed and *we* becomes both a metaphor and metonym:

(19) *this nation* is more than *the sum of its parts*

(20) out of many, *we* are truly one

As we might expect, a word count, provided in Figure 1, reveals that 1st person Pl pronoun and its derivatives appears more often than the Sg forms in the speech:

Word	Freq	%
I	39	0.80
my/me/myself	31, 12, 2	0.92
Total 1st person Sg	84	1.72
we	66	1.35
our/us/ourselves	41, 14, 1	1.15
Total 1st person Pl	122	2.50

Figure 1 Distribution of 1st Person Pronouns

The 1st person Sg pronoun forms are used a total of 84 times in the speech (or 1.72% of the word count), while the Pl pronoun forms are used 122 times (2.5%). These data appear to confirm the observations made by both Smith (2009) and Suleiman and O'Connell (2008). However, as we have seen in the discussion above, the 1st person Pl pronoun is recontextualized through both metonymy and metaphor and thereby extended to include all people, whether they belong to an ingroup or an outgroup.

Recontextualization is also widely used with the 3rd person pronominals. Thus, the 3rd person SG pronominals help to create a distance from his former pastor and

(21) *his* most offensive words.

Yet, as already mentioned, Obama cannot completely detach himself from the Church, the Black community and his own religious beliefs, nor can he reject Wright's underlying message, that blacks should become more responsible and self-possessed (Wills 2008: 4). A word count reveals that the 3rd person Sg pronoun and its derivatives are used 23 times in the speech to refer to Wright, while he is directly named 14 times, as we can see in Figure 2:

Word	Freq	%
he	10	0.20
his	6	0.12
him	7	0.14
Wright('s)	14	0.29
Total	37	0.75

Figure 2 Reference to Reverend Wright

Upon closer inspection, however, *he* is used only three times in topic position. In other cases, when referring to Wright's statements, agency is shifted, thereby creating focus on the object of the criticism (*his comments*) rather than on the person, which can be seen below in example (22) with the use of the possessive and in (23) as the object of a prepositional phrase:

(22) *Reverend Wright's* comments were not only wrong but divisive, divisive at a time when we need unity

(23) if all that I knew *of Reverend Wright* were the snippets of those sermons that have run in an endless loop on the television and You Tube

In example (24), semantic substitution is used metonymically:

(24) the *caricatures* being peddled by some commentators

Such linguistic substitution creates a focus on the object of criticism (*comments*, *all I knew*, *caricatures*) rather than on agency. It also disassociates Wright from personal responsibility, thereby mitigating criticism. At the same time, however, it allows for a shift of negative focus (delegitimization) to the mass media, as demonstrated in examples (23) and (24). Wright is also depicted positively through the extended listing of his positive qualities:

(25) *a man* who helped introduce *me* to *my* Christian faith, *a man* who spoke to *me* about *our* obligations to love one another; … He is *a man* who served his country as a U.S. Marine; who has studied and lectured at some of the finest universities and seminaries in the country, and who for over thirty years led a church that serves the community …

In (25), the repetition of *a man*, rather than the more distance-creating *he*, creates positive imagery. Moreover, in the first part the use of the 1st person Sg pronominal forms *me* and *my* together with the inclusive-*our* strengthens co-responsibility. A positive portrayal can also be seen in two of the three uses of *he* as a topic:

(26) *He* strengthened my faith

(27) *He* is a man who served his country.

Wright's negative qualities are further mitigated by extending criticism to others, including Obama's own family and political party. His (white) grandmother's ingrained racist prejudices are illustrated in (28) and Geraldine Ferraro's presumed racial bias in (29):

(28) a woman who once confessed her fear of black men who passed by her on the street

(29) as harboring some deep-seated racial bias

In this way, Wright comes to be representative of an entire class of people with their inherent disparities:

(30) the contradictions – the good and the bad – of the community that he has served diligently

These people and what they represent are, both metonymically and metaphorically, "part of" Obama and "part of America". Through his use of pronouns and recontextualization Obama manages to save his reputation and legitimize his associations with Wright; such associations are justified by including potentially negative elements as representative of

(31) the complexities of race in this country that we've never really worked through – a part of our union that we have yet to perfect

5.4. *Lexical substitution and resemanticization*

The last part of the quotation in (31), *a part of our union that we have yet to perfect*, is another example of recontextualization through lexical substitution. Here, *perfect* [ADJ] from the opening line of the speech (see example [3], above) has been recategorized as a verb (*per'fect*), while *union* has become *our union* reflecting Obama's all-inclusive *we*. *Perfect* is found throughout the speech in various recontextualized forms, as we can see in Figure 3:

	Example	Use
(32)	This union may not be *perfect*	Positive Adjective
(33)	particularly a candidacy as *imperfect* as my own	Negative Adjective
(34)	As *imperfect* as he may be	Negative Adjective
(35)	but generation after generation has shown that it can always *be perfected*	Passive Verb
(36)	unless we *perfect* our union by understanding that we may have different stories, but we hold common hopes	Active Verb
(37)	And as so many generations have come to realize over the course of the two-hundred and twenty one years since a band of patriots signed that document in Philadelphia, that is where *the perfection* begins.	Noun

Figure 3 Recontextualization of *perfect*

In (32) the negative modal *may*, combined with the predicative Adjective, mitigates the apparent self-criticism. In (33) and (34) the ostensibly negative prefix *im-*, combined with the equative form, allows Obama both to accept responsibility for his own limitations as well as to attribute limitations to Wright. Moreover, since the same form is recontextualized to refer both to Obama's candidacy and Wright's character, the similarities of the two men are highlighted and their limitations are likened (through personification) to those in the Constitution. Examples (35) and (36) illustrate verbal relexicalization: the former in the passive and the latter in the active, with a finite form combined with the 1st person Pl pronoun, which is used once again metonymically, so that everyone becomes an active participant in Obama's message of change. Such participation is further strengthened through nominalization, which can be found in the last example (37) with *the* for definiteness as well as for referential purposes, while the reification provides a sense of concreteness. Thus, the recontextualization of the original, rather vague meaning of *more perfect* is completed.

Finally, the lexeme *union*, which can be found a total of 8 times in the speech (0.16%), is also recontextualized. When compared to other non-functional lexemes with a strong referential meaning in the text, the frequency is significant. Moreover, in all but one case *union* is recast in concomitance with other elements of the original quotation to consolidate the recontextualization (and resemanticization). We can see the various recontextualizations in Figure 4:

	Example	Co-text
(38)	a *union* that could be and should be *perfected* over time	a union + perfected [V-Passive]
(39)	unless we *perfect* our *union* by understanding that we may have different stories	perfect [V-Finite] + our union
(40)	a part of our *union* that we have yet to *perfect*	our union + to perfect [V-Inf]
(41)	In the white community, the path to *a more perfect union* means acknowledging that what ails the African-American community does not just exist in the minds of black people	a more perfect [Adj] + union
(42)	This *union* may never be *perfect*, but generation after generation has shown that *it* can always be *perfected*	this union + perfect [Adj] *it* + perfect [V-Passive]
(43)	we have no choice if we are to continue on the path of *a more perfect union*	a more perfect [Adj] + union

Figure 4 Recontextualization of *union*

Interestingly, in last example (43), which is the penultimate appearance of the *perfect + union* combination, the immediate grammatical co-text (Indefinite article + comparative + noun) recalls the original phrase, but by this point the original meaning has been completely recast. The co-text not only provides a new interpretation of the original, more limited meaning of *union*, but also ties in with Obama's overriding message of unity. By the end of the speech this message is clear, so reference to the original is no longer necessary:

(44) But it is where we start. It is where our union grows stronger.

In this way, *our union* comes to represent Obama's message of unity and change for all of America.

6. Conclusions

In his speech on race, Barack Obama addresses the issues of race, identity and racism while countering the specific face-threatening accusations which had been levelled against him regarding his relations with Rev. Wright. Obama employs a wide variety of strategies in the speech to arrive at a collective identity representing all Americans. This study has demonstrated that recontextualization plays an important part in realizing this identity. I have argued for a wider understanding of recontextualization than the one that has been traditionally proposed in CDA. Thus, I see recontextualization as both a text-external and text-internal process. The text discussed here offers ample evidence to support such a broad view of recontextualization. Future research should be aimed at uncovering further examples of such recontextualization processes in similar and different texts, discourses and genres.

The specific types of recontextualization discussed in the work are of various types. First, the US Constitution is cited intertextually, but immediately recontextualized through various rhetorical and linguistic realizations. Second, pronouns are used to realize mostly inclusionary rhetoric and, most significantly, the 1st person Pl pronoun is most often used in an all-inclusive meaning, which is in clear contrast to the historical exclusive-*we* found at the beginning of the speech (and the US Constitution). Similar recontextualization occurs with the 1st person Sg and 3rd person Sg pronouns, which serve both to highlight Obama's responsibility and identity and to create the necessary distance from Reverend Wright's incendiary statements, without removing himself too much from the person and what he represents. Pronominal recontextualization, then, helps Obama to (re-)construct his own identity. Finally, the lexical items *perfect* and *union* are recontextualized, both metonymically and metaphorically throughout the speech, thus providing further support for Obama's message of change, hope and unity in his new vision of America. Thus, Obama uses recontextualization combined with inclusionary and, to a lesser extent, exclusionary rhetoric to legitimize himself and delegitimize his detractors. In the process he himself is (re-)constructed metonymically to represent all Americans.

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Bridge Indians and Cultural Bastards: Narratives of Urban Exclusion in the World's 'Most Liveable' City

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This article examines the representation of the city of Vancouver in two contemporary short stories: Lee Maracle's 'Polka Partners, Uptown Indians and White Folks' and Shani Mootoo's 'Out on Main Street' first published in 1999 and 1993, respectively. Both stories explore the impossibility of establishing a fixed, stable identity and a solid sense of belonging in the diasporic space of the multicultural city. At the same time, the embracement and celebration of a diasporic identity is not an alternative for those who inhabit the margins of the urban socioscape. Maracle's *Bridge Indians* (First Nations or Native Canadians, i.e. Canada's Aborigines) and Mootoo's *cultural bastards* (Indo-Trinidadians) are barred from full participation in the life of the city on the grounds of their ethnic origin, gender and sexuality. In contrast with the dominant narrative that constructs Vancouver as *the most liveable city in the world*, these stories stand as micro-narratives of an alternative urban experience defined by alienation, exclusion and marginalisation.

Keywords: urban representation; ethnicity; sexuality; liveability; Vancouver; Lee Maracle; Shani Mootoo

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Narrativas de la habitabilidad y la exclusión urbana en Vancouver

El presente artículo se propone analizar la representación de la ciudad de Vancouver en dos relatos breves: 'Polka Partners, Uptown Indians and White Folks' (Lee Maracle, 1999) y 'Out on Main Street' (Shani Mootoo, 1993). Ambos relatos tratan sobre la imposibilidad de establecer una identidad unívoca y permanente en el contexto de la ciudad diaspórica y multicultural. Al mismo tiempo, la celebración de las identidades diaspóricas se plantea como un objetivo inalcanzable para quienes habitan los márgenes del espacio social urbano. Las mujeres que protagonizan estas historias (aborígenes canadienses e indo-trinitenses, respectivamente) son excluidas de participar plenamente en la vida de la ciudad por motivo de su origen étnico, género y sexualidad. Frente a la narrativa dominante que construye Vancouver como la ciudad más habitable del mundo, *estos relatos se presentan como micronarrativas de una experiencia urbana marcada por la alienación y la marginación.*

Palabras clave: representación urbana; etnicidad; sexualidad; habitabilidad; Vancouver; Lee Maracle; Shani Mootoo

1. Introduction Reading the city: two Vancouver narratives

In January 2008, *The Economist* declared Vancouver the world's most liveable city for the sixth time in a row.[1] The Global Liveability Ranking, developed by the Economist Intelligence Unit, is the result of a worldwide survey of 140 cities which rates them in terms of stability, healthcare, culture and environment, education and infrastructure. Vancouver scored the highest liveability index thanks to its low population density, a highly developed transport and communications network, a wide array of recreational possibilities, and little or no threat of violence or instability ('Urban Idylls'). A few months later, Mercer Human Resources Consulting released its 'Worldwide Quality of Living Survey', created as a resource to help governments and multinational companies calculate fair expatriate allowances for the employees they place on international assignments. Vancouver was ranked number four among 215 world cities, surpassed in quality of life only by Zurich, Vienna and Geneva ('Mercer's 2008'). London-based *Monocle* magazine dedicated its July/August 2008 issue to its own 'Global Quality of Life Survey', in which Vancouver came in eighth among the world's 25 most liveable cities and was praised for its environmental consciousness, cultural diversity and tolerance. Unlike the Economist Intelligence Unit and Mercer, *Monocle* does not assess the hypothetical effect of cities in the quality of life of expatriate, globally mobile elite workers; instead, it focuses on the everyday lives of their residents, and looks at aspects of urban life ranging "from communication links to crime, hours of sunshine to liquor licensing hours", in an attempt to discover "the best city to call home" ('Quality of Life Trailer').

After six years at the top of these rankings, the idea of *optimum liveability* has begun to permeate dominant representations of the city, to the point where, nowadays, Vancouver is consistently marketed as the world's most liveable city, especially for prospective visitors, investors and employees. The official website of Tourism British Columbia, for instance, mentions Vancouver's certified liveability as one of the city's main selling points, as does the 'Invest in Canada' programme, created by the Canadian Government in an effort to attract and secure foreign capital ('Vancouver'; 'Vancouver: Canada's Pacific Gateway'). Similarly, the Municipal Government of the City of Vancouver prides itself on its employees' contribution to enhanced liveability, and publicises its job opportunities with boosterish slogans like "together, we help make Vancouver one of the world's most liveable cities (we've got the awards to prove it)" ('Employment: Vancouver!') and "Vancouver is one of the world's most liveable cities. Our success as a city is driven by the strengths of our people" ('City of Vancouver Employment Opportunities').

At the same time, parallel to the dominant discourse of liveability, some voices have already begun to raise an inevitable question: most liveable for whom? In 2007, after Vancouver made it to the top of *The Economist*'s ranking for the fifth consecutive year, Catherine Clement, vice-president of the Vancouver Foundation, wondered: "Who is it liveable for? For all or just a group of people? Vancouver is a remarkable city and a beautiful city and a great place to live but there are challenges we're facing" (Sinoski 2007). David Eby, from non-profit legal advocacy organisation PIVOT Legal Society, was more specific: "Vancouver is turning into a city only for the rich, and that's not liveable" (Smith 2007). Libby Davies, MP for Vancouver East, expressed similar concerns: "The question I have is liveable for whom? For some people it is a fantastic place but we've seen an increasing gap between poverty and wealth in Vancouver in particular. Vancouver needs to be a socially just city, that can be the best place in the world for all people" (Smith 2007).

Politicians and social activists are not the only ones to call the idea of liveability into question: poets and fiction writers usually portray Vancouver as a city that is far from being the best in the world. Literary representations of Vancouver often explore different aspects and degrees of social injustice, foregrounding issues like economic inequality, crime and urban insecurity, drug addiction and homelessness, gender discrimination, homophobia, racism, gentrification, spatial stigmatization, and urban decay, among others. Even though these problems are a routine part of the urban experience for most urban dwellers, they are systematically excluded from the official discourses about the city. In this sense, literature constitutes a source of alternative representations that counteract the dominant discourse: literary representations become a point of entry into the hidden narratives of the city, and their analysis becomes a first step towards understanding the discursive construction of Vancouver in all its complexity. In this paper I propose to analyse two short stories which can be read as alternative narratives of the city of Vancouver: Lee Maracle's 'Polka Partners, Uptown Indians and White Folks'[2] (2005) deals with the experience of urban First Nations,[3] while Shani Mootoo's 'Out on Main Street' (2005) relates the experience of Indo-Trinidadian immigrants. Even though these stories actually predate the debate about un/liveability in Vancouver, the situations they portray and the issues they engage with are extremely current and very relevant to this discussion. Ultimately, both stories are concerned with the issue of urban exclusion, revealing the underside of the discourse of liveability and raising questions about the production and circulation of dominant urban narratives and imaginaries.

In recent years, many urban theorists have turned their attention to literary and other artistic representations of the city. One of the main reasons behind this interest is the *cultural turn* in the social sciences, which took place in the last two decades of the

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[2] The edition of the stories used in this study is that of Douglas Coupland (2005).

[3] Even though the narrator in Maracle's story describes herself and her community as *Indians*, I use more general terms such as *Natives, First Nations* and *Aboriginals* in order to avoid confusion when analysing Mootoo's story, in which *Indians* are people who immigrated from India. For a discussion of the uses, the nuances and the political connotations of each of these terms, see Gadacz (2009).

twentieth century and brought about an emphasis on representations and shared meanings, on the symbolic and the imaginary. For urban geographers, the cultural turn meant a realization that "[urban] space is constructed both in the realms of discourse and practice, and . . . it is only through representation – words, images and data – that space exists" (Hubbard 2006: 59). After the cultural turn, representation is understood as a discursive practice which constructs the reality of the city and determines our perception of the urban space; it is also inescapable, in the sense that reality cannot be accessed outside representation. This shift in perspective generated an interest in the different ways in which the city is imagined and represented, and a proliferation of studies based on the analysis of cultural products, such as films, photographs, comic books, paintings, sculptures and, of course, literary works. Artists, especially poets and fiction writers, are regarded as privileged witnesses to the life of the city, and deemed to have the ability to capture all its intricacies and describe them in the best, most creative ways (Blanchard 1985: 4-5; Hubbard 2006: 68; Mongin 2006: 35). As James Donald puts it, "The point of examining the imaginary cities constituted by novels and films is that it is often artists rather than urbanists who have found the language and images to teach us . . . the joyous potential of cities" (1999: 145).

The cross-disciplinary dialogue between urban and literary studies has resulted in innovative ways of reading urban literature, and also in new, interesting ways of reading the city. Urban analysts have understood that literature can be a very valuable resource for the study of the city, and some of them have even put literary works on a level with maps and statistical data because of their descriptive power and documentary value (Delgado 2007: 117; Donald 1999: 127; Duncan and Ley 1993: 33). Simultaneously, some of the concepts and methodologies that originated in the field of urban theory have been brought to bear in literary analyses, giving rise to new perspectives in the study of urban literature. Initially, this type of analyses tended to focus predominantly on modernist novels and their representation of the modern city, utilizing conceptual tools developed by the first urbanists at the end of the nineteenth century and the beginning of the twentieth, such as Karl Marx's idea of *alienation,* Walter Benjamin's definition of the *flâneur,* the notion of *anomie* as defined by Emile Durkheim, and the negative effects of the urban context that concerned Ferdinand Toennies.[4] Some of these themes have also been reworked from a contemporary perspective: feminist scholars, for example, have explored the possibilities of theorising about the figure of the *flâneuse* as a way of visibilising the presence of women in the public space of the city (Parsons 2005: 159-60; Wirth-Nesher 1996: 25). Recent approaches, however, demonstrate that it is also possible to apply more contemporary theoretical frameworks to the analysis of urban literature. John C. Ball (2004) and John McLeod (2004), for instance, have employed the concepts and methodologies of postcolonial studies to examine the literary representation of the city of London; their studies are evidence that an awareness of postcolonial processes, contexts and ideas is not only useful but also essential in order to understand the global city of the twenty-first century. In this paper

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[4] For a discussion of these notions and their relevance within the field of urban studies, see Bounds (2004: 6-16).

I am going to use postcolonial concepts like Avtar Brah's *diasporic identity*, but also ideas from postmodern urban theory, such as Michel de Certeau's *spatial stories,* and from feminist and queer urban studies, such as the gendered division of urban space and the spatialisation of sexuality.

2. Lee Maracle's *Bridge Indians*

The first story I am going to look at, Lee Maracle's 'Polka Partners, Uptown Indians and White Folks', revolves around a group of young First Nations men and women residing in the Downtown Eastside, the poorest area in Vancouver. Their lives change when a stranger appears in the neighbourhood with plans to create a community centre for Native people. The main character and first-person narrator, a young woman called Stacey, is sceptical at first, but she eventually decides to get involved. Her work at the centre helps her find her own place in the city and within her community; unfortunately, when the centre is denied funding, the organisation behind the project decides to move it uptown, which alienates its downtown customers. This move not only confirms Stacey's apprehensions about the impossibility of establishing a solid First Nations community in the heart of the city, but it also raises more general questions about community-making in underprivileged urban areas and Aboriginal issues in contemporary Canada.

Stacey and her friends exemplify many of the problems and challenges young First Nations people encounter when they abandon the reserve and move into the city. Repeatedly throughout the story, Stacey mentions her little reserve, up north in the mountains, which she still considers her home and remembers with nostalgia. She feels alienated by an urban landscape which precludes any kind of meaningful relationship with nature and its cycles, forcing her to sever all ties with her previous way of life:

> The colour of earth death, the scent of harvest amidst the riot of fire colours, like a glorious party just before it's all over – earth's last supper is hard to deal with in the middle of the tired old grey buildings of the downtown periphery. I can see the mountains of my home through the cracks between the buildings that aren't butted one up against the other. It seems a little hokey to take a bus across the bridge and haul ass through nature's bounty, so I don't do it any more. (Maracle 2005: 180)

Feelings of displacement and uprootedness are frequent among urban Aboriginal youth, who often find it difficult to cope with life in the city, for several reasons. Because of the now-infamous residential school system, created in the nineteenth century and continued until the 1970s, most native people have had a very poor educational experience, which leads to low employment rates, and low salaries if they are employed at all (Brown *et al.* 2005; Loyie 1997: 292). Mental health is also an issue, as many residential school survivors still suffer the emotional consequences of the abuse they experienced as children. Often, a cycle of abuse ensues in which survivors subject their own families to the same physical and emotional maltreatment they had to endure (Kuran 2000). Thus the legacy of the residential school system is passed on to the younger generations: young Native Canadian people who grow up in poverty, either in abusive or dysfunctional families or within the foster care system, tend to drop out of

school early to support their families or themselves, and may end up resorting to crime, alcohol and drug abuse when faced with unemployment, lack of housing and social isolation (Brown *et al.* 2005).

Most of these issues feature in Maracle's story as constitutive of the everyday reality of its protagonists. Stacey and her friends are school dropouts, wear second-hand clothes and cannot afford to pay the electricity bills: "I wished I had gone to school past seventh grade" (2005: 190); "In seventh grade Tony walked out of the doors of that school and never went back" (2005: 198); "What's he doing at the tailor's? Don't believe I ever saw one of us going in there before" (2005: 180); "First time I ever bought something no one ever bought before" (2005: 180); "Whoever she was, she did not live here . . . and she never had to wrap up in a blanket in the dark without any hydro" (2005: 200). Stacey seems to have had trouble with the police in the past: "I knew enough about who the mayor was to stay in my corner. He was head of police and that was enough for me to have nothing to say" (2005: 189). She also drinks heavily and is pessimistic about the possibility of creating a better future for her community: "I scribbled little notes to myself. . . . Scribbling didn't help and I took to the wine bottle" (2005: 185); "Life here is raw, wine is drunk not because it is genteel, but because it blurs, dulls the need for dreams, knocks your *sense of future* back into the neighbourhoods of *the people it's meant for – white folks*" (2005: 185, emphasis mine).

The fact that the story is set in the Downtown Eastside is also very significant: the DTES, as it is popularly known, is not only the poorest neighbourhood in Vancouver, but also the poorest postal code in Canada. The City of Vancouver defines it as "a traditionally low income neighbourhood . . . [which] has experienced an influx of problems such as drug addiction and dealing, HIV infection, prostitution, crime, lack of adequate housing, high unemployment, and the loss of many legitimate businesses" ('Downtown Eastside Revitalization'). Even though there are twenty-two Native reserves in the Greater Vancouver Regional District, the majority of the First Nations population live off-reserve, and, although it has been argued that there is no distinctively Indian neighbourhood in Vancouver (Starkins 1987: 5), most Native people are driven to the DTES as the only area where they can find affordable housing. Many of them come from other parts of British Columbia, and even from other provinces. In this neighbourhood, Aboriginals make up thirty percent of the residents, a figure ten times higher than the national average ('Pivot Legal Society').

Living in poverty in a deprived part of the city, Stacey is acutely aware of 'race' and social class differences, not only between First Nations and white people, but also, and especially, among First Nations people. She makes a sharp distinction between uptown, rich Indians and downtown, poor ones. One of the main reasons she doesn't trust the stranger is that he does not look like them, but rather "like your regular tourist" (2005: 181-82) or, as she puts it, "like a polka partner from the other side of the tracks that form my colour bar" (2005: 183). In the DTES, his appearance, language and demeanour make him stand out as "an uptown Native, slumming" (2005: 181). Through the uptown/downtown dichotomy, 'race' and social class acquire a spatial dimension which determines the way in which Stacey and her friends perceive the city, and the way in which they live in it:

> It never ceased to amaze me how we could turn the largest cities into small towns. Wherever we went we seemed to take the country with us. Downtown – the skids for white folks – was for us just another village, *not really part of Vancouver. . . .* Drunk or sober, we amble along the three square blocks that make up the area as though it were *a village stuck in the middle of nowhere.* (2005: 179, emphasis mine)

This passage, significantly placed at the very beginning of the story, suggests that Stacey and her friends inhabit their own particular city, or rather their own particular understanding of the city. For them, the DTES is not even part of the urban: it is perceived as a village or a "sorry little half-village" (2005: 186), contained by physical and imaginary boundaries which they dare not cross.

The idea of *spatial stories*, as defined by Michel de Certeau, is very useful here. De Certeau coined this term to refer to the way in which the individual maps the city, makes sense of it and defines it through everyday practice, especially through the act of walking (1984: 91-110; Tonkiss 2005: 126-30). By walking around the city, its dwellers appropriate the urban space, and at the same time they find – or make – space for themselves within it. The spatial story told by Stacey and her friends, however, is one of exclusion and marginalisation: if walking around the city is a way of appropriating it, we could say that they have managed to appropriate only a very limited portion of the urban space. They never venture beyond the limits of what they consider their village, their "urban reserve" (2005: 180), so the rest of the city remains unknown as an uncharted territory. They are not aware that their neighbourhood is only a small part of a wider urban environment, they are "not quite cognizant of the largesse of the city" (2005: 185), and they do not understand or take part in the workings of city life at large. Their disconnectedness and social isolation is made clear in the story when the mayor of Vancouver visits the community centre and none of its customers or volunteer workers seem to be aware of who he is, what he does, or what interest he has in visiting them.

The instability of their position – between the village life of the reserve and city life in the DTES but taking no real part in either of them – is encapsulated in the expression *Bridge Indians*, which gives the title to this essay. Stacey uses this term to refer to herself and her people: they are "Bridge Indians. Not village, not urban" (2005: 185); "sentinels – not people but sentinels, alone on a bridge, guarding nothing" (2005: 187). This metaphorical bridge is, just as real ones are, an ambivalent space: it stands between two opposites, simultaneously uniting them and separating them. It is a pathway but also a boundary, and, as such, it becomes an excellent example of what Homi K. Bhabha has defined as *liminal space*: an interstitial, in-between space which Bhabha associates with the emergence of cultural hybridity (1994: 4). Other postcolonial authors and critics have picked up the metaphor of the bridge as a signifier of liminality and in-betweenness: Fred Wah, for example, has defined the hyphen as "that marked (or unmarked) space that *both binds and divides. . .* It is a property marker, a boundary post, a borderland, . . . *a bridge*, a no-man's land…" (1996: 60, emphasis mine). Vancouver-born Japanese-Canadian author Joy Kogawa has also used the image of the bridge in her own writing: in her acclaimed novel *Obasan* (1981), coincidentally set partly in Vancouver, one of the main characters works for an organization called *Bridge*,

and "experiences 'bridge' as a verb: a bridge is what takes you from one side to otherness" (1990: 93).

The notion of the bridge, with all its associated meanings and theoretical implications, becomes a central image in Maracle's story. The community centre, for example, is intended as a bridge between the Native people and city life, a small portion of urban public space which they can claim as their own: in Stacey's words, it is "one dingy little storefront . . . but it was ours and we had never had a storefront that we could enter, have coffee and get treated like real customers" (2005: 188). Its main purpose is to create a stronger sense of community among the urban First Nations people, a collective identity based on belonging and not on displacement, rooted in the city they inhabit and not only in the nostalgia for the village they left behind. The Métis secretary hired by Polka Boy to help run the office also acts as a bridge between the centre and the rest of the city, as she is the one who instructs them about "office life in the other world" (2005: 188), organizes the mayor's visit to the centre and teaches them how to behave properly around him. For Stacey, the secretary abridges the distance between downtown and uptown, between herself and the white people, broadening her outlook and giving her a deeper understanding of everyday life in the city: "I got to be friends with the secretary, who took me uptown every now and then, showed me other places she had worked. Great anonymous buildings, filled with women... As the mystery of office work fell away from these women, the common bond of survival was replacing my former hostility. The sea of white faces began to take on names with characters" (2005: 189-90). Stacey herself inadvertently becomes a bridge between her people and the community centre, when Polka Boy discovers that she is some kind of leader among the downtown Natives and skilfully tries to get her involved as a first step towards reaching the others, something she resents later on: "I was the key to getting everyone else's co-operation" (2005: 191), "get the lead street girl on your side and the rest will follow" (2005: 200). Once again the bridge appears as an ambiguous, contradictory space, as Stacey is placed in an unpleasant in-between position, torn between the café and the community centre, between clinging to the comfortable apathy of her past life and believing in the possibility of a better future. Her work in the office contributes to creating a stronger urban First Nations community but, paradoxically, it also isolates her from the close-knit circle of friends who formed her own small community before the arrival of Polka Boy.

Stacey's initial reaction to the idea of the community centre is one of defeatism: "My imagination ran on about the reality of it, arguing with the impossibility of it surviving. I saw the street, its frail dark citizenry rushing pell-mell toward this dream and imploding at the end of the dream's arrest. For arrest it would. No one would allow the total transformation of this end of town into a real community" (2005: 186-87). The more involved she gets in the project, however, the more positive she feels about the possibility of creating a space for the downtown Natives to call their own, and a real urban First Nations community structured around it. Her work in the office also helps her find her own place in the city and her own sense of belonging, to the point where she stops longing for her reserve. The seasonal changes in nature, which she used to be keenly aware of, now go by largely unnoticed: "I got so caught up in the wonder of it all that autumn came and went without me thinking about the beauty of the colours of

impending earth death or yearning for my mountains" (2005: 193). This explains her frustration when the head office decides to move the centre uptown: "I don't give a shit about a horde of uptown Indians with too much money and not enough sense not to kill each other… Hope. Expectations. Great expectations I had never had. An office. A simple gawdamned office where we could breathe community into our souls was all we hoped for, and it had been too much" (2005: 195). In the end, despite efforts to the contrary, her initial instincts are confirmed: the opposition between uptown and downtown prevails, and the urban socioscape remains divided by the invisible lines of privilege and marginalisation.

3. Shani Mootoo's *cultural bastards*

In Shani Mootoo's 'Out on Main Street', a lesbian couple of Indo-Trinidadian origin go to a restaurant in Main Street – the area known as Little India or Punjabi Market – in search of the food that reminds them of their home. Once there, however, they are made to feel like outsiders because of their appearance and the Trinidadian English they speak. In a neighbourhood inhabited by what the narrator calls "real flesh and blood Indian from India" (2005: 208), they are perceived and made to perceive themselves as "watered-down Indians . . . [not] good grade A Indians", "kitchen Indians" or "Indian-in-skin-colour-only" (2005: 205, 206, 212). Their connection with India has been severed by a succession of diasporic movements and processes which began several generations ago, when their ancestors left the country and migrated to Trinidad. The narrator, whose name we don't know, remains Hindu, but her family does not observe religious rituals and customs anymore; her girlfriend's family, on the other hand, has been Presbyterian for several generations due to the influence of Canadian missionaries, which explains her Anglo-Saxon name, Janet. Both of them moved to Vancouver as young women, but they still consider Trinidad their home. In this sense, we could say that they are good examples of what Avtar Brah defines as *diasporic identities*: for Brah, "diasporic identities are at once local and global. They are networks of transnational identifications encompassing 'imagined' and 'encountered' communities" (1996: 192). Mootoo's story, however, explores the problematics of accepting and embracing one's identity as diasporic when faced with rejection from those *encountered* communities one would like to identify with. A climactic moment occurs when the narrator is treated with scorn by the waiters of the restaurant because she doesn't know the Indian names of the traditional Indian sweets: it suddenly dawns on her that her mixed heritage makes her a "bastardized Indian", and that "all a we in Trinidad is cultural bastards" (2005: 213). Against Brah's assertion that diasporic identity is by definition plural, changing and multi-locational (1996: 194), the narrator renounces multiplicity and multi-locationality and wishes she could adopt a fixed, non-hyphenated, monolithic identity: "I looking forward to de day I find out dat place inside me where I am *nothing else but Trinidadian*, whatever dat could turn out to be" (2005: 213, emphasis mine).

Ethnic identity, both individual and collective, is determinant in the way Mootoo's characters inhabit the city: when the narrator admits that, because they are not *real Indians*, they cannot go to Main Street as often as they would like to, it becomes clear

that their movements within the urban space are constrained by the coordinates of belonging and not belonging. It is a paradox intrinsic to the urban context that public space, which should by definition be open and available to all, is in reality governed by complex power relations, and by dynamics of inclusion and exclusion derived from social processes of identity formation. As Susan Ruddick has explained, public space is now understood "not simply as a passive arena for the manifestation of specific predetermined social behaviours. . . . [but as] an *active medium* through which new identities are *created or contested*" (1996: 135, emphasis in the original). In Vancouver, the construction of Little India around the intersection of 49th Avenue and Main Street is closely intertwined with the construction of a strong Indo-Canadian identity rooted in this area. In contrast, Mootoo's Indo-Trinidadian-Canadian protagonists are perceived as the embodiment of a *diluted* Indianness, and their presence and visibility in the public space of Little India becomes a potential challenge to the very definition of Indo-Canadian identity. The strategies by which they are excluded from this space are subtle but effective, ranging from disdainful looks and condescending attitudes to the waiters' reluctance to serve them in English: "dey insist on giving de answer in Hindi or Punjabi or Urdu or Gujarati. How I suppose to know de difference even! And den dey look at yuh disdainful disdainful – like yuh disloyal, like yuh is a traitor" (2005: 208).

Ethnicity, however, is not the only issue here: as lesbians, their gender and sexuality intersect with their ethnic origin, adding to their marginalisation from an urban space which has been constructed as predominantly heteronormative. The narrator and her girlfriend form what is usually labelled as a butch-femme couple: Janet is described as very *feminine* – that is, she conforms to traditional conceptions of femininity, in that she wears "jeans and T-shirt and high-heel shoe and makeup and have long hair loose and flying about like she is a walking-talking shampoo ad" (2005: 208); the narrator, on the other hand, assumes and displays traits and attitudes traditionally associated with *masculinity*: she sports a crew cut, wears her blue jeans tucked inside her jim-boots, walks "like a strong-man monkey" (2005: 209) and is overprotective of *her woman* when men look at her. Of course, this is an oversimplified definition of a butch-femme relationship, especially since it has been argued that butch-femme roles have changed dramatically in recent years, evolving away from traditional male/female gender roles (Inness 2006); but I won't go into this here. What concerns me is the way in which queer sexuality becomes yet another pretext for urban exclusion, and also the way in which their modes of self-presentation as butch and femme mediate different urban experiences for each of them. In the restaurant, Janet becomes an object of male attention and desire: she is observed, approached, and even harassed by the waiters. The narrator, on the other hand, looks, in her own words, "like a gender dey forget to classify" (2005: 209), and feels compelled, at some points, to perform the gender role that is expected from her as a woman. This performance involves practising "a jiggly-wiggly kind a walk" (2005: 209) in front of the mirror, tucking in her elbows close to her sides so as not to look like a strong man, and putting on her "femmest smile" when she tries to avoid confrontation with the waiter, but also returning to her "most un-femmest manner" (2005: 217) when he speaks to Janet inappropriately. Paula Morgan has interpreted this part of the story as "a shot . . . at the manner in which gender orientation disciplines the body into postures that perform hyper-masculinity – the

strong-man 'monkey' stance suggestive of excessive muscle and body mass, and hyper-femininity – 'jiggle wiggley' movements suggestive of excessive curvaceousness" (2007: 101). While this is a very interesting observation, it nevertheless fails to acknowledge the significance of Mootoo's choice of setting. Morgan's point can be argued further by incorporating a consideration of the specificities of urban space, namely the manner in which the public space of the city exacerbates gender polarization and disciplines the body in ways that are specifically urban.

Feminist geographers and social theorists have long been aware of the fact that "the *meaning* of urban space is composed around gendered bodies, . . . [and] social space is tailored to conventional gender roles and sexual codes" (Tonkiss 2005: 94-95, emphasis in the original). Liz Bondi, in her attempt to identify the processes through which meanings of gender are inscribed into urban spaces and activated in the everyday lives of urban dwellers, argues that "gender is produced performatively, that is through the routine, unselfconscious citation or enactment of gender scripts in the ordinary practices of urban life. These processes are as much about the embedding of gender in urban space as in the bodies of city dwellers. Thus, gender and urban space are performed in relation to each other and are mutually constituted" (2005). The public space of the city has been codified as typically masculine and heteronormative, whereas the private sphere has been defined as typically feminine, and perceived as the realm where expressions of *alternative* (i.e. non-straight) sexuality belong. This opposition is deeply entrenched in the urban imaginary, and it is perpetuated through daily reenactments of what it means and what it entails to be male, female, straight or gay in the contemporary city. Moreover, gender and sexuality are strictly understood as sets of binary oppositions, and in-between positions along the gender and sexuality spectrums are not contemplated: "cities are sites in which women and men routinely enact a variety of masculinities and femininities, [but] this diversity generally remains firmly bound within the dominant binary structure, which reduces differences to variations on a theme" (Bondi 2005). In Mootoo's story, the narrator is pressured into complying with gender stereotypes but vacillates between performances of masculinity and femininity, the only scripts readily available within the urban space. Janet, on the other hand, personifies *acceptable* feminine qualities, but has to deal with preconceived notions about the subordinate role of women in the public space of the city, and with the attitudes and behaviours that typically arise from these preconceptions.

If gender and urban space are understood as performative and mutually constitutive, it necessarily follows that the production of gendered urban space can be subverted through alternative gender performances – enactments of gender that do not fit neatly into the masculine/feminine duality. David Bell *et al.*, for example, have argued that performances of hyper-femininity and hyper-masculinity are potentially subversive because they constitute exaggerated and parodic versions of prescriptive male and female roles (1994: 33, in Bondi 2005). From this point of view, it is tempting to see Mootoo's protagonists as gender dissidents, and to interpret their self-presentation as butch and femme as a transgression, their presence in the public space of the restaurant as a challenge to conventional notions about gender and urban space. However, Bondi remains unconvinced about the viability of this perspective:

> In so far as such performances are recognised as parodies of dominant gender scripts, they have the potential to unsettle [them]… However, this account is limited by its reliance on the active choices of performers and the recognition of parodic intent by observers… Indeed hyper-feminine and hyper-masculine styles are at least as likely to reinforce as to disrupt normative discourses of gender, and those who adopt them are as likely to be pressed into, and to find themselves colluding with, entirely conventional readings of gender and sexuality, whatever their intentions might be. (2005)

In 'Out on Main Street', the narrator shifts back and forth between deliberate performances of hyperbolic femininity and masculinity, but she does so in response to social pressure to conform to conventional gender roles: overall, her attitude is far from subversive and would be better described as compliant. Moreover, as Bondi predicts above, she contributes to reinforcing normative notions of gender by choosing to display some of the most stereotypically gender-specific attitudes, such as masculine possessiveness and feminine flirtatiousness.

Mootoo's protagonists are evidently not interested in *queering* urban space: aware that they have entered an utterly non-gay-friendly part of the city, they concentrate their efforts in *passing* as straight – yet another example of performance. They manage to do so with varying degrees of success until a couple of their openly lesbian friends enter the restaurant: "With Sandy and Lise it is a dead giveaway dat . . . dey have a blatant penchant fuh women. . . . Well, all cover get blown. If it was even remotely possible dat I wasn't noticeable before, now Janet and I were over-exposed. We could a easily suffer from hypothermia, specially since it suddenly get cold cold in dere" (2005: 218). Their presence in the restaurant was already conspicuous because of their gender and ethnicity, but the arrival of Sandy and Lise makes them hyper-visible with respect to their sexuality. The initially subtle attempts to exclude them from this portion of urban space evolve into an atmosphere of increasing tension and hostility towards them, until they give in to the pressure and leave. As queer Indo-Trinidadian women, the rejection they experience when they go to Little India draws an imaginary boundary around this neighbourhood, mapping it as an area into which they are not allowed to move freely: they are effectively banished from Little India in much the same way as Maracle's characters were confined to the Downtown Eastside.

4. Conclusion

In these stories, First Nations people and Indo-Trinidadians are similarly excluded from engaging in the life of the city in meaningful ways. The simple, everyday act of walking around the city – which, as I have already discussed, can be considered a powerful means of appropriating urban space – involves a continuous negotiation of invisible pathways and boundaries erected along the lines of gender, sexuality, ethnicity and social class. In Maracle's story, Stacey and her friends stay within the limits of the DTES, keeping to the area they consider their *reserve,* otherwise mapped in the dominant urban imaginary as "the skids" (2005: 179). Stacey will only enter the uptown area when accompanied by the Métis secretary, who becomes her passport into the "other world" of white people (2005: 188), a safe-conduct into a territory where she

does not belong. In 'Out on Main Street', a convincing performance of conventional gender and sexual identities is required before the protagonists are allowed into a space constructed as deeply heteronormative. Both stories raise interesting questions about how public the public space of the city really is, drawing attention to the fact that, for some urban dwellers, interactions within the public realm are fraught with stress, anxiety and the possibility of conflict. In both cases, the crossing of an imaginary frontier takes an emotional toll on the characters, as Stacey's involvement with the community centre makes her drift apart from her close friends, and Janet and her girlfriend end up turning against each other and having a fight. The spaces they are trying to gain access to – an office, a restaurant, the streets – are all within the public sphere, but they are encoded with notions of belonging and entitlement, and with very strict guidelines as to who is welcome and who is not. Ultimately, the couple is forced to leave the restaurant and the community centre is uprooted from the DTES: their attempts at claiming urban space are thwarted, and their experience of the urban is framed by different degrees of alienation and marginalisation.

By their mere existence, Maracle's *Bridge Indians* and Mootoo's *cultural bastards* undermine most of the dominant discourses surrounding the city they inhabit: not only the idea of optimum liveability, but also the construction of Vancouver as proudly multicultural and gay-friendly. Like liveability, multiculturalism and gay-friendliness are deeply ingrained in dominant representations of Vancouver: Vancouver's *Official Visitors' Guide*, for example, states that "From the start, Vancouver has been a place of multiculturalism . . . and the spirit of inclusion extends to all corners of life. You'll see Vancouver's profound diversity when you explore local neighbourhoods. Young and old, able-bodied and mobility impaired, single and married, gay and straight – Vancouver is welcoming to all. This is one city where you'll never feel less than accepted for who you are" (2007: 9). Here, the contrast between competing representations of the city is almost ironic: while the travel guide describes Vancouver enthusiastically as a welcoming city which celebrates diversity, Maracle and Mootoo's short stories paint a picture of racism, homophobia and urban exclusion. Reports on the liveability of world cities like those elaborated by *The Economist*, Mercer and *Monocle* also have their limitations: they are usually designed with a very specific audience in mind, and intended for circulation within the world of business among a globally mobile economic and cultural elite. The liveability markers they employ, although diverse – ranging from environmental consciousness to threat from terrorism – are not sensitive to most of the issues encountered by the inhabitants of the multicultural city in their everyday lives. The stigmatization of a specific neighbourhood, the overt and subtle ways in which gay people are discriminated against and the social isolation of an ethnic minority cannot be quantified as a percentage, nor are they relevant to the target readership of magazines like *The Economist* and *Monocle*. However, as integral to the urban experience of many citizens, they cannot be overlooked or readily dismissed.

Literary accounts like those of Maracle and Mootoo offer a glimpse into a rather unliveable side of Vancouver that is systematically excluded from dominant narratives of the city, and unsettle these narratives by revealing the contradictions and discontinuities between the lived reality of the city and the discourse of habitability, plurality and inclusion. Against the widely spread narratives which originate in the

worlds of tourism and city marketing, literary accounts of the city stand as alternative micronarratives of the urban experience, and they become invaluable tools for retrieving the stories, the lives and the voices of those who inhabit the margins of the urban socioscape.

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A Time to Love and a Time to Die:
Desire and Narrative Structure in *21 Grams*

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While, according to sociologists, dominant intimate discourses in our culture favour a rational, reflexive and cautious view of love, desire as passion and as an irrational force that may abruptly and often dramatically change our lives continues to have cultural validity. Alejandro González Iñárritu's second feature film, *21 Grams* (2003), presents such an approach through a specific use of the conventions of the multi-protagonist genre and a scrambled temporality. In this film, desire is as strong and inexorable as it is fragmented and ephemeral. Its sustained manipulations of chronology contradict the linearity and teleological sense of traditional romantic narratives and put forward, instead, the determination of human beings to pursue their desires against the relentless effects of the passing of time. In this, the film is representative of the cultural discourses that have turned multi-protagonist narratives into a relevant contemporary genre.

Keywords: Multi-protagonist films; desire; time; Alejandro González Iñárritu; scrambled narratives

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A Time to Love and a Time to Die:
Deseo y Estructura Narrativa en 21 Grams

Los discursos culturales más recientes sobre la intimidad y las relaciones afectivas en la sociedad contemporánea privilegian una concepción racional y reflexiva del amor y el deseo. Sin embargo, incluso dentro de estos protocolos íntimos racionales, la visión del deseo como pasión y fuerza irracional capaz de transformar la vida de las personas no ha perdido toda su validez cultural. 21 Gramos *(2003), la segunda película del director mejicano Alejandro González Iñárritu, recupera esta visión irracional del deseo a través de las convenciones del género coral y de una estructura temporal acronológica que prescinde del sentido lineal de las narrativas románticas convencionales y concibe el deseo como una fuerza poderosa e inexorable, pero también fragmentada y efímera.*

Palabras clave: Películas corales; deseo; tiempo; Alejandro González Iñárritu; estructura narrativa desordenada

1. Introduction: "The Earth Turned to Bring Us Closer"

"The Earth turned to bring us closer,/it turned on itself and in us,/until it finally brought us together in this dream". These lines from Venezuelan poet Eugenio Montejo, quoted by Paul (Sean Penn) half way through Alejandro González Iñárritu's second feature film, *21 Grams* (2003), refer to the number of small things that need to come together in a specific space and time for something to happen. Paul is invoking the power of numbers, chaos theory and the geometrical patterns of fractals – that is, those non linear systems formed on the basis of the random repetition of simple designs – and the role they may play in our attempts to explain those aspects of life which defy human reasoning. Underneath these brief observations about his job as a professor of mathematics, he is also referring to the attraction he feels towards Cristina (Naomi Watts) and his growing affection for her, contextualizing his individual desire within a cosmological framework. The lines of the poem link seamlessly a specific attitude towards romantic love, desire and sexual attraction with a view of human life not as a teleological narrative dominated by causality, a linear succession of events and a closed ending, but as a series of random and unlikely events which lie outside human control and powers of explanation. For Paul it is not fate or destiny that has brought them together, but, rather, contingency and randomness, his desire for her falling outside rational understanding. In order to put forward this view, *21 Grams* uses the conventions of the multi-protagonist film, a genre that challenges traditional narrative patterns often highlighting instead the same contingency and randomness that Paul posits in this passage. The view of desire as an unstoppable, irrational force goes back to classical antiquity and the Middle Ages and is still a central feature in Renaissance romantic comedy and later cultural representations, but it has, according to sociologists, fallen into relative social irrelevance. While many artistic representations – including numerous instances of the romantic comedy, the literary and cinematic genre that has most often dealt with discourses of intimacy in Western culture – may continue to further promote and even celebrate a more rational, 'reasonable' attitude towards desire, narratives like *21 Grams* vindicate the ongoing validity of earlier intimate discourses. In this essay I explore – through a textual analysis of Iñárritu's second film – the potential of the multi-protagonist genre, a cinematic form that has all of a sudden become an important player in contemporary cinema, to articulate culturally relevant forms of desire and narrative alternatives to more established generic patterns.

2. Beyond the Always and Forever

In one of the most influential theories of modern intimacy, Anthony Giddens describes what he calls the pure relationship – the type of relationship that predominates in our society's discourses and practices in the realm of intimate matters – as "reflexively organized", forever subject to self-examination, and an extension, in fact, of the broader reflexivity of modernity (1991: 91-92). In the closing paragraph of his most important

book on this issue, he explicitly links contemporary sexuality and the pure relationship with the failure of a civilization dedicated to economic growth and technical control (1992: 203). More recently and more explicitly, James Dowd and Nicole Palotta start where Giddens had left off, arguing that in a time of global economic transformation, the general process of rationalization and demystification of the world has reached the private realms of love and intimacy in which people have learned to act with caution (2000: 549-50). The result of this transformation is, for these authors, that people are beginning to feel inauthentic, even embarrassed by the words and gestures of romance, since in our daily routine we approach romance as we would any rational market transaction (569-70). Yet, other sociologists still record the persistence of the irrational in contemporary discourses of love (Swidler 2003: 129), and, in the case of Mary Evans, even lament such a nagging presence. In her polemical essay *Love: An Unromantic Discussion* she argues that love ought to be rescued from the sphere of the irrational and relocated within the dictates of good judgment (2003).

This process demanded by Evans and decried by Dowd and Palotta is nothing new. According to Mary Beth Rose, for example, Shakespeare's romantic comedies, although still traversed by a medieval view of love as a form of lunacy, revealed an increasing sense of confidence that sexuality can be organized for society's good (1988: 37). Since then, literary and, later, filmic representations of love can be said to have veered between, or to have attempted to integrate, these two extreme views of desire, depending, among other variables, on the cultural climate in which they have appeared. Although romantic comedy, and in particular its recent manifestations in Hollywood cinema, is more flexible and varied than critics have often given it credit for, the trend identified as the New Romance by Steve Neale (1992), or as the neo-traditional romantic comedy by Tamar Jeffers McDonald (2007), is an example, as described by these critics, of the tendency of the genre to attenuate the irrational drives of romantic love and incorporate it into a socially acceptable format. Dowd and Palotta refer precisely to these films as worthy examples of the romantic ideal that has lately been crushed by a calculating, cautious society, yet they admit that film critics have often interpreted them as being reactionary (2000: 565).

One of the dimensions of romantic comedy that has led contemporary critics to lament its constant conservativeness and has blinded them to the variety of ideological positions that it has encompassed during its sustained boom of the last two decades is its narrative structure, and particularly its happy endings. Within its well-rehearsed template, the genre parallels Giddens's description of romantic love as a narrative of the couple (1993: 46), the ending commonly celebrating the consolidation of a relationship with a clear vocation for the always and forever. In this, the genre replicates the traditional single-protagonist structure of most narratives, except that in this case the single hero is replaced by the couple, the main goal of the story being to bring them together in the face of the usual external and internal obstacles. Melodrama, the other genre that has most often dealt with the vicissitudes of desire, has generally featured an equally linear succession of events, intensified in this case by the genre's usual focus on one rather than two protagonists. In classical melodramas, desire is, if not completely repressed, at least governed by a moral view of the universe (Brooks 1976) in which anti-social, morally reprehensible drives tend to be curbed and either punished or

recuperated for society. A strong sense of closure is complemented in many of these films, according to Linda Williams's study, with a careful articulation of a chronology based on the hope that it may not be too late for a return to an original space of virtue. The movement forward often signifies a return to some semblance of a lost past, a return attained in the nick of time, when everything seemed lost (2001: 30-37). Temporality, therefore, carries particular relevance in the genre. In these, as in other linear narratives, cause-effect relationships predominate over other types of links between events – including, as Bordwell, Staiger and Thompson have pointed out – chronological relationships (1985: 47). Things may have started to change in recent decades. Although this form of narrative continues to abound, in a world increasingly dominated by forces that are as difficult to understand as to act upon, causal linearity may be said to have gone into crisis. The recent popularity of the multi-protagonist genre – with its constant emphasis on coincidence and fragmentation, and in the case of movies like *21 Grams*, its articulation within a scrambled narrative structure – is a symptom of this crisis.

Coincidences of several sorts are, of course, not exclusive to films with multiple protagonists – after all it is difficult to think of a narrative that does not include a coincidence of one type or another – but their visibility and the narrative relevance that they have acquired in this genre are unprecedented. *Magnolia* (1999) provides an accurate template for the role of coincidence in the new genre and self-reflexively explores its cultural centrality at the turn of the century. The film's narrative, which revels in coincidences of all sorts to weave its ensemble of characters into a complex web where symmetries and parallelisms abound, is framed by the words of an external narrator referring to three cases of 'real life' coincidences to highlight, from the very beginning, the function that apparently incredible events will have in the film. In less explicit ways, coincidence and random chance run through many instances of this genre, from a character's singing to the 'unexpected and the uncertain' as those aspects of life that 'keep us going' and make life worth living for, as happens in Robert Altman's *Short Cuts* (1993), to the way in which they tragically affect the lives of different characters spread over three continents in *Babel* (2006). In this sense, the development of the multi-protagonist genre in the last two decades has run parallel with the significant cultural impact of a series of scientific and social discourses – such as chaos theory, the butterfly effect, the global village conception of the world and six degrees of separation theories – which have both challenged traditional notions of causality and emphasized the network nature of human life and interaction in an increasingly shrinking and globalized world. In multi-protagonist films like *Babel* and *Syriana* (2005), random interconnections abound in spite of the physical distance between the characters and their narrative paths. The unpredictable consequences of an apparently minor event ripple over the world, challenging individuals' attempts to control their own destinies and forcing them to acknowledge their precarious position in a world ruled by the uncontrollable and the unexpected.

As a result of the genre's almost obsessive interest in the external and uncontrollable forces ruling people's lives, the position and power of the individual characters is seriously compromised in multi-protagonist films. Rather than portraying people in full control of their destinies who manage, through effort, determination and will, to

overcome the obstacles ahead, these movies present human beings at the mercy of external circumstances. Character development and narrative turning points do not originate as much from human determination as from the accidental intersections between different characters and their narrative lines. In multi-protagonist films such as *Crash* (2004) or *Auf der Anderen Seite* (2007), random encounters carry most of the narrative weight and may even end up deflecting the plot in unexpected directions. Accidental interactions are not just the means to tell a story: they are the story itself. It is these intersections – and their reverberations and the patterns of similarity within difference generated through them – that create the plot and not vice versa.

The structural and thematic peculiarities of the multi-protagonist genre, as briefly summarized here, situate it at the opposite end of the narrative spectrum from the classical configurations described above. The consequences of this contrast for the representation of desire are obvious: no longer a narrative of the couple, the multi-protagonist film tends to highlight the finite, the fragmented, the ephemeral and the multiple in intimate matters. In these movies, the role of desire in people's lives is also affected by the subordination of individuals to an overarching structure where randomness and serendipity reign and accidental encounters control characters' paths. Within a genre theory that perceives individual genres not as groups of films but as sets of conventions that mix together in all sorts of permutations in individual texts (Altman 1999; Deleyto 2009), the multi-protagonist film is particularly prone to combinations with other genres, including romantic comedy and melodrama. In these particular combinations a specific view of desire tends to materialize, one that may be more in tune with contemporary mores than those promoted by single- or dual-protagonist narratives. In multi-protagonist romantic comedies and melodramas like *Waiting to Exhale* (1995), *This Year's Love* (1999), *200 Cigarettes* (1999), *Sidewalks of New York* (2001), *Lantana* (2001), *Goldfish Memory* (2003) or *Heights* (2004), desire is no longer the powerful drive that gives characters the strength to overcome insurmountable obstacles and becomes instead more fleeting and ephemeral. Like the characters themselves, it is always at the mercy of external forces. Accidental encounters usually thwart peoples' wishes and may lead them in unexpected and sometimes even divergent directions. In general terms, and allowing for a multiplicity of nuances, multi-protagonist romantic comedies may look at this new regime of desire with amusement and equanimity and even celebrate it, whereas melodramas reveal anxieties and uncertainties peculiar to our age. In general, these films appear to be well-suited to representing some of the changes in intimate relationships described by Giddens and the other sociologist mentioned above. The romantic ideal of one true love is revised and recontextualised in a polyphonic panorama where individuals are constantly falling in and out of love and where forever has suddenly become shorter than expected. As happens in the British multi-protagonist romantic comedy *This Year's Love*, people still crave for the stability of the romantic ideals but their aspirations are cut short by the vicissitudes of external circumstances and/or the desires and plans of others, or even by their own constant changes of heart. Aided by its fragmented structure and its impatience with linear narratives, the genre has contributed to the cultural mainstreaming of inconstant, incongruent and fleeting types of attraction. If romantic comedy and melodrama have traditionally celebrated or repressed desire, the multi-

protagonist film has changed the face of such celebrations and repressions by calling to the party other forms of intimate relationships beyond the always and forever.

3. Love in the Interstices of Time

Alejandro González Iñárritu has emerged as one of the key figures of early 21st-century cinema on the basis of his first three feature films. These films, the product of the director's collaboration with scriptwriter Guillermo Arriaga, have employed different multi-protagonist structures and conventions and have become privileged exemplars of the relevance of the generic form to represent certain aspects of contemporary culture. It could be argued that Iñárritu has succeeded Robert Altman as the most consummate practitioner of multi-protagonist narratives and as the director that has most contributed to the evolution of this filmic form in the first decade of the new century. In their common exploration of themes related to human suffering, loneliness and connectedness, extreme emotions and redemption, the three films also come close to the familiar world of melodrama. Of the three, *21 Grams* has been most often associated with the genre, generally as a way for critics and reviewers to deplore what was largely seen as soap opera disguised as high art (Hoberman 2003: 64; Ansen 2003: 82; Landesman 2004: 1). The association of melodrama with exploitative popular art forms is nothing new and in this Iñárritu is in good company, from D.W. Griffith to Douglas Sirk and Vincente Minnelli, but the specificity of the link is relevant to understanding the Mexican director's ambivalent position between popular and art cinema, a position that may explain his success with a variety of audiences. In any case, the melodramatic world of *21 Grams* cannot be separated from its scrambled narrative structure, a structure that, as will be seen, determines the textual attitude towards human relationships. In this case, popular art form and modernist temporal structure go hand in hand as a formal correlative of the thematic concerns of the text.

In his analysis of the film, Michael Stewart sees it as both melodrama and art cinema and defends the compatibility of both terms (2007: 50), taking issue with Robert Hahn's defence of the film as modernist rather than "luridly melodramatic" (2005: 54). Stewart invokes the modernist techniques of classical melodramas like *Broken Blossoms* (1919) and *Sunrise* (1927) in order to contextualize the radical formal approach to the genre taken by Iñárritu. He then proceeds to review the film's melodramatic themes, including Oedipal tensions, moral legibility, masochism and antinomy, pathos and abjection, suffering and death, among others. He concludes that, in spite of the ostensible grimness and dejection, the movie is ultimately uplifting, celebrating the life, affirmation and utopia that stem from death, abjection and trauma, and becoming "a survival manual of sorts" (2007: 66). This author, however, is, like most reviewers of this and the other Iñárritu films, silent about the place of desire within its melodramatic imagination and its modernist aesthetics. Yet sexual desire and affection play a crucial part in the story told by the film and are revealed as a central component of the new order that Stewart finds emanating from its discourse. In *21 Grams* desire, like other human emotions, is seen as a consequence of a new temporality. As argued above, the film's innovative and highly original approach to temporality is not merely cosmetic

but, among other things, an expedient way of reflecting the inconsistencies and precariousness of human identity and desire in a world which is beyond our grasp. The movie bends, inverts and scrambles events in order to underline the role of coincidence, and the uselessness as well as the inevitability of looking for causes beyond random occurrences, and frames the intricacies and the continuing but elusive power of desire within this tyranny of chance. The combination of this approach to temporality characteristic of multi-protagonist films and the melodramatic ethos suggests a particular attitude to interpersonal relationships based on the primacy of intense emotions as a response to extreme situations.

21 Grams tells the story of several characters whose lives are made to converge first through a traffic accident and then in other direct and indirect ways. In the film's unconventional narrative structure, past, present and future are mixed and merge into one another through a complex web which emphasizes the emotional connections between characters and situations over chronological and causal links. As the director himself has often remarked, chronological time, if never completely abandoned, is replaced by emotional time (in Romney 2003: 15). Characters' desires are also part of the emotional continuum running through the film even if, within the context of the multi-protagonist genre, they seem more a consequence of the context than the fullest expression of the subjective and individual drives of human beings. Yet, that does not make them less powerful or legitimate. The scene mentioned at the beginning of this article belongs to the opening stages of Paul's and Cristina's infatuation with each other. Their relationship constitutes the strand of the plot that most clearly explores the vicissitudes of desire in a story of death, suffering and redemption. Within this general context, this scene constitutes one of the few moments of respite that the two characters are afforded in the course of the narrative. Suffering from a weak heart, Paul has been given a new (although, as it will soon be revealed, brief) lease of life by means of a timely heart transplant. As part of his feeble attempts to start a new life, he becomes obsessed with the identity of the person whose heart he now has and discovers that it belonged to Michael (Danny Huston), who was knocked down and killed, along with his two daughters, in the pivotal event around which the whole structure of the film revolves. He then starts to follow Cristina, Michael's widow, and, after several attempts to make contact, finally persuades her to have lunch with him. Michael's real heart becomes a symbol of a transfer of affect on the part of Cristina which she initially resists but to which she finally succumbs, no matter what social propriety and even emotional stability may prescribe. In this rarely luminous scene, her interest is awakened both by Paul's persistent intensity and, ostensibly, by his poetic approach to mathematical science. The meal they share and the subsequent walk are a suggestion of hopeful beginnings, yet the film's fractured temporality positions their blossoming desire at the mercy of forces beyond individual control and turns it into just a passing and ephemeral moment, highly subordinated to the capriciousness and unpredictability of life, which makes it both equally poignant and precious.

This scene takes place half way through both the chronological and the filmic timelines and constitutes, as we have seen, the beginning of the characters' intimacy. Almost immediately, however, it introduces the erosion and deterioration that their feelings for one another will undergo as they will inevitably gravitate towards revenge,

anxiety and death. Iñárritu's films are characterized not only by their complex narrative structures but also by the use of highly sophisticated and evocative stylistic devices, the product of his close collaborative work with director of photography Rodrigo Prieto and composer Gustavo Santaolalla. In visual terms, the three films employ specific techniques which, in each one, become formal motifs which gather a multiplicity of meanings and strengthen connections between different characters and storylines. In the case of *21 Grams*, one of the most salient formal strategies is its use of the process called *silver retention* or *bleach bypass*. This process consists in skipping the bleaching function during processing of a colour film, as a consequence of which silver is retained in the emulsion, an operation which can also be replicated digitally. The result is a weakening of the colours, as if a black and white image were superimposed on top of a coloured one, and an intensification of contrast and graininess. The desaturated look that this technique gives to the film expressionistically conveys various states of mind, suggesting changes in the characters and links between them. In this case, its association with intensely bright lighting conveys a sensation of well-being and even serenity, of people being lifted out of their ordinary existence by their rare and intense feelings. This intensity is partly explained by the specific circumstances of their acquaintance – Paul's gratitude for his new heart, Cristina's extreme vulnerability and lasting attachment to the memory of her beloved husband and daughters – but through this formal manipulation Iñárritu attempts to express a more abstract view of relationships which in this as in his other movies are most human at moments of deep crisis and bereavement. It is at moments such as this that characters and spectators best realise the strength of their passions. Around Paul and Cristina not only the empty restaurant but also most colours have become redundant and only the man, the woman and the intense bright light remain. Silver retention as it is used here does not interfere with realistic representation but suggests a certain aura, a magic realm which envelops the characters and protects them from a hostile environment. It is a metaphor of the strength and beauty of their burgeoning desire.

A cut then takes us outside and shows the couple walking to Cristina's house later in the afternoon, the dazzling light of the sun coming through the wintry trees, reinforcing the presence of the space of desire between the prospective lovers. The combination of lighting and bleach bypass continues to have the same function as in the previous sequence. With a different *mise en scène* this scene might have seemed more conventional, less momentous. Yet Iñárritu's formal manipulations confer on it an intensity that is probably not yet warranted by narrative development but which calls our attention to the power and violence of the sexual feeling in the director's view of human relationships.

Violence, but also brevity: as Cristina invites Paul in for a drink and he accepts, and the romantically-minded spectator happily anticipates at least a passionate kiss, the film cruelly frustrates our expectations and cuts to a disorienting shot of the derelict motel where Cristina's obsession with revenge will take them later on in the film's chronology. By now spectators have become well used to these sudden and narratively unmotivated temporal shifts and have trained themselves to disregard the traditional associations made between cuts and temporality in continuity editing. The cut, therefore, does not come as a surprise. Inside the motel, we still see the same two characters but the

relationship between them appears to have changed drastically. The shot shows Cristina asleep and Paul, in the background, sitting up, visibly anxious and distressed but determined to go out and kill Jack (Benicio del Toro) to revenge the deaths of Cristina's husband and children. In other circumstances, we might have surmised a post-coital scene, the tryst to culminate their hunger for each other, but if that is indeed the case, the aftermath of sex between these two seems at this point nightmarish rather than joyful and uplifting. The connotations of sexual consummation are compounded by a further evocation. The film had opened with a similar and similarly memorable shot of the same two characters in a bedroom, placed in similar positions. Since that was the film's first shot and it had then been impossible to ascertain its temporal position in the film's scrambled narrative then, attentive spectators may surmise that its chronology and also its causality are now being revealed: after their successful first date, Paul and Cristina have consummated their desire sexually. Yet, unlike our memory of that shot, the one that follows the sequence of their walk to her house does not suggest happiness and peacefulness but rather distress, agony and revenge. We immediately realize that this is not the same but a later moment and, therefore, the chronology of the initial shot remains imprecise for the time being. Now we are being summarily transported to a later, darker moment. Yet the parallelism with the earlier shot is explicit and the connecting game generally promoted by multi-protagonist films and specifically encouraged here by Iñárritu's formal structure is very much in place. What we make of the connections is partly up to us but also becomes more elaborate as the film develops.

In any case, the visual contrast between the two consecutive scenes is very pointed: from light to darkness, from pure happiness to sordidness. The bleach bypass is still very much used here but its connotations are very different. Used now in combination with the half-light that comes through the partly drawn curtains to defamiliarize the *mise en scène*, it makes us focus on Paul's face and share his anxiety about his impending assault on Jack. From the character's point of view, the tension has been growing steadily since he decided to carry out Cristina's wish for revenge and to accompany her to the place where Jack works. For the spectator, however, due to the film's scrambled temporality, the change is sudden and discouraging when we witness the cruel and inexplicable way in which their flourishing desire and happiness has been cut short by a snatch of their less than joyful future.

This ruthless temporal ordering highlights the ephemerality of the present and the need to treasure the few moments of happiness that it affords us. As Paul tells Cristina over lunch, the chances of two people getting together are minimal and, as the film continually reminds us by means of temporal lapses like the one mentioned here, when they happen they are already starting to disappear. In the film's achronological arrangement of events, the mutual attraction growing between Paul and Cristina leads to chaos, misery and death even before any kind of closeness is allowed to develop between them. Thus, the moments of intimacy and stability, when they actually happen, as in the restaurant scene, are already impregnated by a sense of fragility and loss. Happiness, serenity and communication are indeed possible in *21 Grams*, but, as a result of the film's scrambled chronology, they can only take place in the interstices of time and are surrounded by an intense awareness of their fleetingness and evanescence.

As in classical melodrama, the fullness of romantic love and desire is accompanied and made more poignant by the certainty of loss.

4. In the Wings of Desire

This awareness intensifies as the film's emotional temporality develops, and it gathers melodramatic depth from foreknowledge of what is going to happen. However, the certainty of the evanescence of life and love does not diminish the power of desire, and films like *21 Grams* teach us, maybe paradoxically, to confront the tyranny of time even while insistently reminding us of its inexorability. A later scene combines even more forcefully the force of desire with the awareness of its brevity. This combination is again conveyed through a particular employment of the silver retention process. When Paul, seeing that Cristina reciprocates his feelings for her, tells Cristina that he is carrying Michael's heart, she cannot cope with the revelation and throws him out of her house. But the next morning, seeing that he has not left and has spent the night in his car outside her front door, she relents and joins him. Inside the car, he explains why he decided to look for her in the first place; they make up and kiss passionately, a prelude to the single sex scene in the film which follows immediately after. The car scene is visualized through a characteristic series of close-ups and extreme close-ups of the characters' faces and detail shots of other parts of their bodies, with a nervous handheld camera that replicates the excitement and the depth of feeling experienced by the characters. The scene is lit with artificially enhanced natural lighting and further inflected in post-production through bleach bypass. The wintry atmosphere of the story is both emphasized and exaggerated in order to provide a more abstract exploration of human emotions. The bleach bypass, therefore, isolates desire from its narrative moorings and offers the spectators a general statement on its impact on human beings: as happens with other emotions in Iñárritu's films, desire brings the characters very close to one another, the space between them shrinking to the distance between the two front seats of a car. As in Shakespeare's comedies, life is never the same after the experience of desire; our daily routine is thrown into disarray and, if considered rationally and from a detached position, it is probably always the wrong thing to succumb to. It is also as inexorable as time and, in the film's intimate discourse, what makes life worth living. In Cristina and Paul we recognize here two people struggling with their deepest fears as they discover the powerful currents that have started to flow between them. The sequence ultimately becoming a powerful visualization of the line of the poem Paul had mentioned to Cristina at the restaurant. The sequence then segues almost immediately into the bedroom where the two lovers are shown finally consummating their desire sexually, the bright white light once again taking over in order to convey both the extent of the sexual passion and the abstract and universal quality of this particular encounter. Time, as we know, will soon pull them apart and deep love will turn, before we know it, into anxiety and destructive passion, but its presence at this moment is as real as any other experiences the characters may have undergone and it has changed them forever.

From the point of view of cultural discourses on intimacy, the interruptions and disruptions of the chronological flow of *21 Grams* reflect the tension between two different narrative views of desire: desire as a series of discontinuous emotions and drives and desire as a forward moving story. According to Anthony Giddens, the discourse of romantic love is responsible for having established an intense emotion, which is by its own nature short-lived, as the basis for a narrative of the couple which looks to, extends into, and attempts to control the future, providing (at least in principle) some sort of psychological security and stability for those whose lives were touched by it (1992: 39-40). Unlike some of the multi-protagonist romantic comedies previously mentioned, *21 Grams* is not particularly interested in highlighting the internal contradictions of the romantic love complex; yet, through its constant temporal leaps into the future, it annuls the narrative possibilities of the romantic view of desire. Instead, the film marvels at the power of isolated emotions, while reminding us of their inevitably ephemeral nature.

The film's view of sexuality is clearly impregnated with that of one of its most obvious intertexts, Nan Goldin's photo series *The Ballad of Sexual Dependency*. The scene at the motel mentioned above evokes the photograph 'Couple in bed', which shows a man and a woman in bed, presumably after having had sex, with the woman naked in the foreground, (awake in this case) and her face turned away from the man, who is half-dressed and sits on the corner of the bed in a pensive pose. Sex appears not to have brought about understanding and happiness to Goldin's couple, but instead, is fraught with tension, anxiety and suffering. Goldin's series may sometimes celebrate the joys of sex, but at this point the focus is on the impossibility of communication between two human beings and the fragility that sexual tension produces in one of the partners. *The Ballad of Sexual Dependency* often focuses on the destructive character of desire and sexuality and emphasises the link between desire and physical violence. Some images, for example, show one of the 'protagonists' of the series (Goldin herself) battered by her lover. At the same time, in the book in which the series was published, this photograph is part of a group of seven shots which include a shot of ruffled, empty beds, one of two skeletons coupling, and two graves in Mexico (1986: 137-43). In this sequence, the link between sex and death is pervasive, both in dramatic and comic forms. Iñárritu's visual quotation, however, is not simply a tribute to the New York photographer he admires (Wood 2006: 78) but a powerful way of constructing a different type of interpersonal relationship on the basis of the connotations of the original text.

In *21 Grams* the connections between desire and death are also everywhere but they are more ambivalent. The looming but invisible car accident in *21 Grams* floats in the air throughout the narrative. It is never directly seen, but in the film's scrambled temporal structure, any change of scene is likely to take us back to the moments previous to the accident from a different perspective. In the film's ordering of events, love and pain are inextricably intertwined; hope and despair inevitably follow one another. In a movie in which death is literally around every corner, desire can never lead to psychological security and stability since it contains in itself the germ of decay and the shadow of death. Yet, the film's awareness of death, the precariousness of human existence and the ephemerality of desire are not necessarily as pessimistic as it may seem from this discussion. Mortality, accidents and chance are inherent to life but

so are hope, human resilience and our enormous urge to reach out to others and to be lifted off the ground on the wings of desire, even if nowadays desire has a shorter life than it used to have. By manipulating chronological time in such an ostensible way, *21 Grams* not only emphasizes the contingency and mortality inherent to life itself but also puts forward its unbreakable faith in the power of human relationships and the resilience of human beings as they search for happiness and harmony even in the direst of circumstances. Time in *21 Grams* upsets its own chronological logic in order to construct a community of feelings and deep bonding out of the shreds and scraps of its demolished edifice.

5. Conclusion

These feelings, which include sexual feelings, are not only fragile and finite, but have also lost the teleological confidence that traditional narrative forms had given them in the past. In the context of the multi-protagonist movie they are part of a new cultural awareness of the volatility as well as the intricate relatedness of human life. In this contemporary genre, desire is ephemeral and inconstant, violent and doomed to oblivion, unreasonable and inexplicable, and yet, within the complex structures of the multi-protagonist film and in a world characterized by ever recurring signs of the randomness of existence, it makes perfect sense. Freed from the linearity and causality of traditional narratives, desire may be losing the projection towards the future life of the couple that it started to acquire five centuries ago, its emergence within the new genre liberating us from the tyranny of the always and forever.[1]

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The Origin and Development of Self-help Literature in the United States: The Concept of Success and Happiness, an Overview

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The aim of this article is to show that self-help literature, far from being a trivial aspect of popular American culture, represents a basic pillar which has been present since its beginnings and continues to be present in American society and culture nowadays. This article explores the origin of this phenomenon and the fact that self-help literature can be divided into three distinct phases marked by a shift from a culture of 'industry and effort' – beginning with Benjamin Franklin until the mid-twentieth century – to a culture of 'leisure and ease' – especially after World War II – and the emergence, towards the end of the twentieth century, of a spiritually-oriented literature of partly Eastern influence devoted to the study of the mind and the concept of self-mastery and self-knowledge as basic factors in the achievement of happiness and success in life.

Keywords: self-help literature; American Dream; industriousness; happiness; success; Benjamin Franklin

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El Origen y Desarrollo de la Literatura de Auto-Ayuda en los Estados Unidos: El Concepto de Éxito y Felicidad. Vision general

El objetivo de este artículo es el de demostrar que la literatura de auto-ayuda, lejos de ser un aspecto trivial de la cultura popular americana, representa un pilar básico que ha estado presente desde sus comienzos y que continúa estando presente en la cultura y en la sociedad americana contemporánea. Este artículo explora el origen del fenómeno y el hecho de que la literatura de auto-ayuda puede ser dividida en tres fases marcadas por un cambio de una cultura de 'esfuerzo y trabajo' – empezando con Benjamin Franklin hasta mediados del siglo XX – a una cultura de 'ocio y bienestar' – especialmente después de la Segunda Guerra Mundial – y la emergencia, hacia finales del siglo XX, de una literatura de orientación espiritual con influencias orientales, dedicada al estudio de la mente y del concepto de auto-dominio y auto-conocimiento como factores básicos en la consecución de la felicidad y del éxito en la vida.

Palabras clave: Literatura de auto-ayuda; sueño americano; trabajo; felicidad; éxito; Benjamin Franklin

1. Introduction

While self-help literature is not part of any literary canon nor has any pretensions to be, it is worthy of study because of its cultural importance and its expansion as a socio-economic phenomenon.[1] The pursuit of happiness, which is the subject of numerous treatises and self-help books, is in the US an inalienable right embedded in the Declaration of Independence (*The Declaration* 1979). Over the past decade, the study of happiness, which used to be the domain of philosophers, therapists and 'gurus', has further developed into a university discipline. It is possible nowadays to find 'professors of happiness' at leading universities, self-improvement and 'quality of life' institutes all over the world, and thousands of research papers on the topic (Bond 2003). Happiness even has its own journal, the *Journal of Happiness Studies*[2] and there is also an online World Database of Happiness.[3]

In providing new perspectives, self-help literature is necessarily socially constructed and culture-bound. However, few scholars seem to have explored self-help literature as a cultural phenomenon *per se,* and, as a result, this area of study remains largely unexplored, in spite of a huge and growing body of self-help texts in such different areas as education, health, psychology, stress management, psychotherapy, relationships, sports and business, among others. There are few exceptions within this dearth of critical attention: Cawelti (1965), Huber (1971), Covey (1989), Anker (1999), Albanese (1981, 1990), Butler-Bowdon (2003), McGee, (2005) or Harrington (2008). This is why, although we still lack a critical vocabulary pertinent to the analysis of self-help literature, a cultural studies approach may prove beneficial for several reasons. Re-reading American self-help literature from a cultural studies perspective provides the possibility of analyzing a significant number of American self-help texts as cultural documents, reflecting American society's conceptions of success and happiness as well as its needs and wants. As Simon During affirms, cultural studies "has helped literary studies move on from the production of endless 'readings' of individual texts to examining reading as a form of life for different communities and individuals in different times and places". Moreover, it has "complex and intimate relations with literary studies, media studies, anthropology, sociology, geography, history, political theory and social policy" (During 2005: 30). Therefore, this re-reading of American self-help literature from a cultural studies perspective entails a change of paradigm, that is, a 're-vision' of the text with new eyes, defined by the writer and essayist Adrienne Rich as "the act of looking back, of seeing with fresh eyes, of entering an old text from a new critical direction" (1971: 18).

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[1] It is a $9.59 billion industry as of 2005 and predicted to be a $13.9 billion industry by 2010. Marketdata Enterprises Inc. <http://answers.google.com/answers/threadview?id=786161> (Accessed 7 November, 2007)

[2] Journal of Happiness Studies (JOHS) <http://www.springeronline.com>, affiliated with ISQOLS: International Society for Quality of Life Studies. (Accessed 7 November, 2007)

[3] World Database of Happiness - Continuous register of scientific research on subjective appreciation of life <http://www1.eur.nl/fsw/happiness/> (Accessed 7 November, 2007)

As we shall see, the whole history of the US is impregnated with the message of self-help and personal improvement, the objective of which is, in most cases, implicitly or explicitly, the achievement of happiness. The concept of self-help is related to self-making and taking charge of one's destiny, and this aspect undoubtedly helped to shape what we call the American *self-identity*, which is also closely linked to the belief in canonical American values such as the search for justice, liberty, fairness, democracy and equality. 'Self-making' or being 'self-made' suggests that anyone can be whatever he or she wants to be if they work hard enough to achieve their goals, summarised in the expression *the American Dream*. Historian James Truslow Adams, who used the term *American Dream* for the first time in his book *The Epic of America*, wrote in 1931:

> The American Dream is that dream of a land in which life should be better and richer and fuller for everyone, with opportunity for each according to ability or achievement. It is a difficult dream for the European upper classes to interpret adequately, and too many of us ourselves have grown weary and mistrustful of it. It is not a dream of motor cars and high wages merely, but a dream of social order in which each man and each woman shall be able to attain to the fullest stature of which they are innately capable, and be recognized by others for what they are, regardless of the fortuitous circumstances of birth or position. (Adams 2001: 214-15)

The concept of the American Dream can be traced back even further, to the late sixteenth century. It was from this time, and especially during the seventeenth century, that English promoters were attempting to persuade Englishmen to move to the colonies. According to George Samuel Scouten, "their language and promises about what the colonies were like were simultaneously laying the groundwork for three separate, but interrelated persistent myths of America: America as the land of plenty, America as the land of opportunity, and America as the land of destiny" (Scouten 2002).

Nevertheless a clear understanding of the functioning of the American Dream and American society in general is impossible without an appreciation of the powerful religious dynamic that affected and still affects the attitudes and behaviour of many people in the US. A recent study conducted by The George H. Gallup International Institute shows that Americans' concerns about society, democracy and the future are deeply rooted in their beliefs about God.[4] Historically, the United States' religious tradition has been dominated by Protestant Christianity. A strong puritan tradition, with its emphasis on hard work, education, the need for self examination, discipline and frugality was the soil upon which the beginning of the nation was built. Only through much effort could the American Dream be achieved. This was the setting for the emergence of self-help literature with authors such as Benjamin Franklin (1706-1790), Hector St. John de Crèvecoeur (1735-1813), Samuel Smiles (1812-1904), Horatio Alger (1832-1899), Orison Swett Marden (1850-1924) or James Allen (1864-1912), who are all prolific exponents of this religion-based, protestant work ethic in their writings.

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[4] George Gallup, Jr. 'Religion in America: Will the Vitality of Churches Be the Surprise of the Next Century?' <http://usinfo.state.gov/journals/itsv/0397/ijse/gallup.htm> (Accessed 12 December 2007)

Other great figures like Abraham Lincoln[5] or the nineteenth century writers Emerson and Thoreau are also key influences within the self-help literature scenario (Butler-Bowdon 2003:127, 284), although the latters' religious inclinations mark the beginning of a growing interest in Eastern religious thought within the Western world, breaking away from the puritan tradition.

It is generally accepted that self-help literature started in the eighteenth century with the publication of Benjamin Franklin's *Autobiography* (Butler-Bowdon 2003:145). Thinkers and writers of the eighteenth century American Enlightenment movement were devoted to the ideals of justice, liberty, and equality as the natural rights of man. And Franklin was the person who best embodied the Enlightenment ideal of humane rationality. Although educated as a Presbyterian, "Franklin is seminal in self-help literature because he disregarded any religious conception that we were naturally bad or good people, he saw us rather as blank slates designed for success" (Butler-Bowdon 2003: 146). In Kathryn Van Spanckeren's words, Franklin "tried to help other ordinary people become successful by sharing his insights and initiating a characteristically American genre – the self-help book". Called America's "first great man of letters" by the Scottish philosopher David Hume, Franklin was a "writer, printer, publisher, scientist, philanthropist and diplomat, and was the most famous and respected private figure of his time. He was the first great self-made man in America".[6] One of his invaluable contributions to society was the fact that he inspired millions of people to focus on self improvement, to which he devoted one or two hours each day (Franklin 1986: 87). The first part of his *Autobiography* was written as a moral guide to show his son the way to success, while the second part was a kind of short treatise on virtue, which offered efficient and firsthand testimony "that man is not even at present a vicious and detestable animal, and still more ... that good management may greatly amend him" (1986: 84). Like Rousseau's *Confessions* (1782), Franklin's *Autobiography* announced the emergence of a view of man as good and capable of becoming better. He took the puritan characteristic of self-scrutiny to its highest degree by contriving a method in which he set up his own chart of virtues, and methodically tried to acquire them one after another until they became a habit. Thus, first he would focus on temperance: "Eat not to dullness; drink not to elevation". The following week he would avoid trifling conversation, the next he would try to be orderly, then resolute, then frugal, industrious, sincere, and so on down the list, through justice, moderation, cleanliness, tranquillity, to chastity and humility (Franklin 1986: 91-92). Using a system of graphs and daily self-appraisal, he constantly tried to master these thirteen qualities or virtues. His objective was, according to his own words, the achievement of a sense of happiness and fulfillment, "… on the whole, tho' I never arrived at the perfection I had been so ambitious of obtaining, but fell far short of it, yet I was, by the endeavour, a better and a happier man than I otherwise should have been if I had not attempted it" (Franklin 1986: 99).

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[5] Lincoln is often mentioned in self-help writing because he embodies the idea of 'limitless' thinking and self-improvement (Phillips 1992: 5).

[6] Kathryn Van Spanckeren, *Democratic Origins and Revolutionary Writers, 1776-1820* chapter two, from <http://usinfo.state.gov/products/pubs/oal/lit2.htm> (Accessed 17 December, 2007)

Here we have an early forerunner of many contemporary self-help books such as *You can Heal your Life* (Hay 1984), *Taoist Ways to Transform Stress into Vitality* (Chia 1985), *The Seven Spiritual Laws of Success* (Chopra 1994), *The Seven Habits of Highly Effective People* (Covey 1989) and *The Breakthrough Experience* (Demartini 2002). All these books provide guidelines, similar in some general ways to those offered by Benjamin Franklin over two hundred years earlier: self-scrutiny, establishing goals, monitoring progress.

The religion-based, protestant work ethic of the time also helped to solidify some of Franklin's best-known practical maxims in the American mind, written for *Poor Richard's Almanac* and familiarly repeated by many generations: "Early to Bed, and early to rise, makes a Man healthy, wealthy, and wise"; "There are no Gains without Pains"; "Diligence is the Mother of Good-luck" and "God gives all Things to Industry" (McMaster 1980).

The puritan ideals of hard work, self-examination, discipline and virtue were necessary ingredients for the development of the nation at that time: "National progress is the sum of individual industry, energy, and uprightness, as national decay is of individual idleness, selfishness, and vice" (Smiles 2006: 2).

Hence, in American nineteenth-century culture, success, hard work and discipline were three inseparable terms, as expressed in *Self-Help* (Smiles 1859); *Pushing to the Front, or Success under Difficulties* (Swett Marden 1894) or *Ragged Dick* (Alger 1867). All these showed a strong puritan-religious influence, as was almost the norm at the time (Anker 1999: 30).

Toward the late nineteenth century and even more during the twentieth century, especially after World War II, success became increasingly equated with wealth. In *The American Myth of Success*, historian Richard Weiss notes that the first definition of success in terms of wealth occurs in the 1891 *New Century Dictionary*, while the first mention of wealth in terms of success occurs in the 1885 *Oxford English Dictionary* XX (Weiss 1988: 98). Andrew Carnegie's *The Empire of Business* (1902) and Russell H. Conwell's *Acres of Diamonds* (1915) proclaimed that creating wealth was a moral obligation and a sign of virtue: "To make money honestly is to preach the gospel" (Conwell 1915: 18).

While the puritanical tradition was present in self-help literature until approximately the second half of the twentieth century it was by no means the only influence which shaped the genre. As we enter the twentieth century, it is important to understand that what we call self-help or self-improvement literature is not a monolithic genre. Throughout most of this century, many different types of self-help literature co-exist, overlap and compete. Thus, the puritan message does not suddenly give way to a completely different kind of discourse, but continues to be present in certain widely read books throughout the century. We can still find deep puritan values in the late seventies, as in Scott Peck's *The Road Less Traveled* (1978), which describes a world where "original sin does exist; it is our laziness" (Peck 1978: 15), a world where goodness comes from self-discipline, hard work, delayed gratification and honesty. Its

phenomenal popularity and its Christian themes made it a bestseller, especially among the Bible Belt readers.[7]

These same puritan values are also important for authors like Stephen R. Covey, who, at the end of the eighties, in his *Seven Habits of Highly Effective People* (1989) considers work on the self as an 'investment': "This is the single most powerful investment we can ever make in life – Investment in ourselves" (Covey 1989: 289). And this investment is achieved by constantly renewing one's resources. Moreover, in the nineties, in his popular *First Things First*, Covey expresses that "The principles and processes we've described in this book create paradigms based on true north principles, purposes, and perspectives that help create happiness and peace" (Covey 2003: 280). Covey's model is that of a rational ethical subject who privileges reason, self-control and hard work as the basic recipe to reach one's goals and gain inner peace and happiness.

If we look back to the beginning of the twentieth century, nonetheless, the puritan conceptions about work and wealth co-existed with the emergence of the 'mind-power' discourse that originated at the end of the nineteenth century in certain circles. Mind-power, also known as *New Thought*, was a movement "which has largely been ignored in histories of American thought" according to Huber, author of one of the most exhaustive surveys of self-help: *The American Idea of Success* (1971:98). He points especially to Napoleon Hill *Think and Grow Rich* (1937), the Unity School of Christian Living, and its most outstanding proponent, Protestant preacher Norman Vincent Peale, author of *The Power of Positive Thinking* (1952). Peale's own journey from moderate evangelical Protestantism to the embracing of his positive-thinking version of New Thought encouraged millions of followers "who felt a gnawing discontent with the perspectives and promises of traditional Protestantism" (Anker 1999: 10). Mind-power replaced a self-discipline work ethic with a vision of natural ease and prosperity, making way for a consumer culture focused on fantasies of boundless abundance (see Lears 1994). "Philosophical idealism" was, paradoxically, to be used to achieve a "worldly materialism" (Huber 1971: 333).

In the America of the 1930s, affected as it was by the Depression, people were more focused on avoiding poverty than on becoming wealthy. They had to be shown the way to believe in themselves again – and an easy style with practical proven rules and principles that worked was what people were looking for. Since most Americans laboured tirelessly hard in mines, factories and stockyards but advanced not at all, a new formula for success had to be improvised; so, more than ever before, nerve, confidence, willpower and initiative were celebrated and encouraged. The prize now went to those who dared, those who were ready to take risks. The decisive balance had shifted away from 'traditional moral virtues' to the 'qualities of personality' necessary to acquire riches (Cawelti 1989: 184).

Books like *How to Win Friends and Influence People* (Carnegie 1936) effectively popularized the idea of emotional intelligence, decades before it was established in academic psychology, while *How I Raised Myself from Failure to Success in Selling* (Bettger 1947), suggested, for example, that the practice of regular smiling can create a

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[7] See, for example, Donohue (1997).

feeling of happiness and goodwill, or that you can become excited about something simply by *acting* excited about it.

Especially after World War II, a consumer culture blossomed and Americans became more preoccupied than ever before with material goods. It was an era of unprecedented prosperity. There was a rise of materialism fomenting the 'easy way' to get rich and to achieve one's objectives. For Matthew Warshauer, in his article 'Who Wants to Be a Millionaire: Changing Conceptions of the American Dream', there is one component of the American Dream which seems to be fairly consistent: the quest for money. He considers that, after Word War II, the original idea of the American dream began to erode, and was to be replaced with a philosophy of 'get rich quick'. We witness an increasing fixation on material goods and on the models represented to foment consumerism, coupled with what in reality are limited possibilities of a society which is thoroughly developed, and in which there are greater difficulties in moving ahead. The entertainment industry, the hours spent in front of television for amusement and/or escapist reasons, absorbing the consumer ideology, together with the lack of real possibilities for many people of being a self-made person, have not managed to suffocate the myth, which is still there. Around that time, *make it big* was often translated as *make it big the easy way,* by luck, without effort. As Warshauer noted, "consumed by desires for status, material goods, and acceptance, Americans apparently had lost the sense of individuality, thrift, hard work, and craftsmanship that had characterized the nation".[8]

Moreover, in her award-winning book *Facing Up to the American Dream: Race, Class, and the Soul of the Nation* (1995), Hochschild demonstrates how the promise of the American dream faces severe challenges from real and perceived barriers of class and race. There are numerous people who will never be able to achieve their dreams due to their particular position within the social landscape. The author feels the good health of American society depends not only on belief in the American dream but on its realization, and in particular on repairing its central failure, which is the inability of so many black Americans, for example, to participate in what it promises (Hochschild 1995: 4-5).

For many Americans, the developments which came after World War II had produced less happiness than they might have expected. The 1950s was not just an era of great economic growth, but also, as many historians have observed, the "age of anxiety" (Johnson 2006). Expressions like *rat race* and *treadmill,* which were coined during this decade, "brought attention to the dehumanizing costs of maintaining middle-class lifestyles" (Harrington 2008: 159).

At this time, we witness a proliferation of books which provide quick, easy solutions to one's problems. According to Stephen Covey (1989), especially within business-oriented self-help literature, there is a vast difference between the self-help literature produced from Franklin's time until the mid-twentieth century and the literature produced in the second half of the twentieth century. In the first, authors were more

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[8] Warshauer, Matthew. 'Who Wants to Be a Millionaire: Changing Conceptions of the American Dream', <http://www.americansc.org.uk/online/American_Dream.htm> (Accessed 15 September, 2007)

concerned with what he, and others before him, call the *ethics of character*, that is, with the teaching of the basic puritan principles of virtue and integrity which, in the long run, he says, give real success and permanent happiness. By contrast, in a considerable amount of self-help literature produced after the mid-twentieth century the main concern is with the *ethics of personality*, that is, an interest in techniques of Positive Mental Attitude (PMA) and public relations or public image, where people are sometimes encouraged to manipulate other people for their own benefit using certain techniques to be accepted, or to 'pretend' that they are interested in topics they do not really care about, all to achieve a certain goal. This, according to Covey, can never be permanent, nor can it bring peace or happiness because it is not based on solid principles like integrity, honesty, rectitude or dignity (Covey 1989: 26). These 'quick-fix' solutions and human relations techniques mainly focused on high achievement, as in many 'How to' books, such as Bettger 1947, cited above, and *How to Have Confidence and Power in Dealing with People* (Giblin 1956), both of which flourished in twentieth century self-help literature especially after World War II. Countless authors offered (and offer) all sorts of seemingly easy solutions on a large variety of topics, such as on how to make money, raise your children, be a good manager, be a better parent, lose weight, stop worrying, lift your depression or get a date. Many people seemed to be pushed into seeking easy ways to obtain their dreams, not just by buying books which supposedly would offer them a wide range of answers –not necessarily easy to put into practice – but also, for example, through vehicles like "large-prize television game shows, big-jackpot state lotteries and compensation lawsuits" as Matthew Warshauer affirms.[9]

Especially at the beginning of the 1970s, coinciding with the first of the so-called oil shocks and with the beginning of a period of increased competition in the labour market and declining wages, "bald proposals that one ought to 'look out for #1' or 'win through intimidation' marked a new ruthlessness in the self-help landscape" (McGee 2005: 50).

Vincent Peale was one of the first authors who told his readers of the urgent need to do something about a growing problem of modern society, namely, *stress* (Peale 1957). Peale was the primary conduit for the entrance of the mental healing tradition into the mainstream of American culture in the mid-twentieth century. His book appeared at a time when more and more people started suffering from high levels of stress, especially occupational stress, not so much because of their demanding workload as because of the endless demands they placed on themselves. They were competitive, obsessed with deadlines, always in a hurry. "The evidence seemed clear that, unless they changed their ways, such men risked a tragic end: premature death from heart failure" (Harrington 2008: 162). In fact, by the second half of the twentieth century, heart disease had come to be called the silent epidemic of the times, responsible for about 30 percent of deaths in industrialized countries – the largest single cause of death from any disease (Duin and Sutcliffe 1992: 216).

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[9] Warshauer, Matthew. 'Who Wants to Be a Millionaire: Changing Conceptions of the American Dream', <http://www.americansc.org.uk/online/American_Dream.htm> (Accessed 15 September, 2007)

By the 1980s the "link between the workaholic lifestyle and heart disease seemed about as solidly established as one could hope for; the relaxation industry was in full swing…" (Harrington 2008: 169). At a time when almost any disease is now potentially at risk of being made worse by stress, this explains, at least in part, why increasing attention is paid to new narratives of self-help literature which focus on *mind-body medicine*. These narratives claim that happiness and success can only be gained when there is physical, emotional, mental and spiritual balance inside. They tell us that there are different ways to heal, to recover balance, to boost immunity, and to increase well-being. For cancer surgeon Bernie Siegel, author of the bestselling *Love, Medicine, and Miracles,* the answer was the ability to give and accept unconditional love. (Siegel 1990: 180)

It should be mentioned that around this time, as a clear sign of a shift in interests that is occurring in the world on a large scale, the self-improvement discourse also takes on a greater influence from different sources such as the language of Western science and technology and increasingly of Eastern philosophies with associated applications: models of mind/body, medicine and therapies, as well as self-help techniques based upon them.

From the very beginnings of the genre, and even more toward the second half of the twentieth century, self-help writers appear to take on the role of the psychologist, priest or counsellor. Although privileged in knowledge and wisdom, the authors often express themselves adopting a friendly, easy-to understand and 'reachable' tone as if one was talking to a friend who lets you in on a secret. Story writing was the method most self-help authors used, and still use, to communicate their messages best to a wide, mostly under-educated public. In fact, the style of teaching through stories is one of the characteristics of most self-help literature books throughout time. Representative examples of this style which was already so characteristic in Benjamin Franklin's *Autobiography* are Henry Ford's *My Life and Work* (1922), Napoleon Hill's *Think and Grow Rich* (1937) or Franklin Delano Roosevelt's *The Fireside Chat of Franklin Delano Roosevelt* (1944), amongst many others.

Interestingly, whereas there is a proliferation of books that provide 'quick-fix' solutions to all sorts of problems, simultaneously, we should not overlook the emergence of a more profound, mainly psychologically-based self-help literature in the self-improvement landscape, especially from the 1960s onwards, offering research, documented support and guidelines to its readers, and adopting a discourse filled with psychological, scientific and quasi-scientific concepts and references. But rather than addressing academia, the objective was to address the general public by using a simplified discourse that was easy to understand, yet provided practical applications of research which could not have reached the mainstream otherwise. This branch of self-help literature, following the New Thought tradition, also showed a keen interest in the workings of the mind to achieve happiness. At the same time, there was a profound interest in psychology. Thus, for example, in *Motivation and Personality* (1959), academic psychologist Abraham Maslow laid the basis for a more humanistic branch of psychology that later developed into transpersonal psychology. In 1994, *NLP: The Technology of Achievement* by Steve Andreas and Charles Faulkner, based on the work of Richard Bandler, and Dr. John Grinder, on Neuro-Linguistic Programming, opened

up a new understanding of the workings of the mind. In 1995 Dr. Daniel Goleman's *Emotional Intelligence: Why it can matter more than IQ* was published, catapulting the idea of emotional intelligence to the forefront of mainstream awareness, showing through impeccable academic research that IQ is not a particularly good predictor of achievement, owing to the fact that it is only one of many 'intelligences', and that emotional skills are statistically more important in life success. In *The Art of Happiness: A Handbook for Living* (1998) the Dalai Lama claims that the attainment of happiness is 'scientific' and requires discipline of mind to control one's consciousness, which means that one very important way to happiness is through mental practice. As mentioned earlier, more and more self-help books started using 'scientific' concepts, terminology and expressions, (from computer science: the body/ brain as a computer, from communicative science: brain as a broadcasting-receiving station for thought, from physics and Eastern models: concepts of energy, universal law, etc…) to support the validity of the approaches offered, and to give them special weight within an otherwise more 'spiritual' context. *Psycho-Cybernetics* (Maxwell Maltz 1960), for example, was written at a time when behaviourism was at its peak. Its author was the first to explore the machinery of goal-setting, thus providing a scientific rationale for dream fulfilment, and in doing so paved the way for countless writers on success after him. Many of these texts are, nevertheless, lacking in scientific evidence from an academic viewpoint. Throughout the period of the 1980s, in an attempt to help people face the painful realities of their daily lives in a contracting economy, Robert Schuller updated Peale's 'positive thinking', re-coining it *possibility thinking* in his four books *Tough Times Never Last, But Tough People Do* (1983), *Tough-Minded Faith for Tender-Hearted People* (1985), *The Be (Happy) Attitudes* (1985) and *Be Happy You Are Loved* (1986).

The steady growth in scope and depth of the self-help genre has now become a mass phenomenon. Especially from the seventies and the eighties onwards, self help 'gurus' such as Tony Robbins, Louise Hay, Wayne Dyer, John Gray, Chris Griscom, Zig Ziglar, Neale Donald Walsh or Robert Kiyosaki –just a sample of a long list of authors – reach out to the public through the extensive marketing of improvement via books, CDs, DVDs, seminars, newsletters, blogs and webpages, offering their services and acting as psychologists or counsellors. Indeed, Robbins is aware of his own relationship to evangelical tendencies in the culture. His infomercial coproducer Greg Renker noted that "The infomercial boomed because the televangelists ran into problems. We are the new televangelists" (Stanton 1994: 106).

Robbins was one of the first self-help gurus to avail himself of new technologies for spreading his message. As the Federal Communications Commission's ruling deregulated television advertising in 1984 and made way for the infomercial, Robbins produced one of the most successful infomercials in the short history of the form, reportedly selling $120 million worth of audiotapes in his first five years of broadcasting (Stanton 1994: 106). Rather than relying on the sale of print media, "Robbins has built his empire on the sales of audiotapes and compact discs and the production of charismatic revival-style spectacles" (McGee 2005: 63). His annual sales from seminars and tapes are reported to be close to $50 million per year (Levine 1997: 53).These figures and the plethora of contemporary 'bestselling' self-help authors expose the irony at the core of the self-help business: the fact that the personal wealth and success of

many figures no doubt comes mainly from their marketing of self-help rather than from other success recipes which are then marketed.

Nonetheless, it is evident that there is an ever-growing public looking for alternative belief systems to quench the thirst for inner peace and happiness in a materialistic-oriented society, devoid, for many, of the religious support systems of the past. As we have seen, rather than being based on Christianity, many self-help books of the second half of the twentieth century focus their attention more on psychology, science and technology and also on Eastern world views and derived applications to find answers in the midst of a world where traditional values and faith in community structure and religious guidelines are in question. The changing economic circumstances with a decline in wages, and an increased uncertainty about employment stability and opportunities, have created a context in which one of the only reliable insurances against economic insecurity seems to be self-improvement. Thus it comes as no surprise that, precisely in this period of declining economic security, we witness an unprecedented increase in the number of self-help titles in the market. And with the emergence of mind-power comes "the belief that one is completely responsible for one's own reality; that one creates reality" (McGee 2005:60). Then the question that follows is: if success is solely the result of one's own efforts, then the responsibility for any failure must necessarily be individual shortcomings or weaknesses (Merton 1968: 122).

Therefore, we can suspect that rather than contributing to the achievement of happiness and success, very often "… the literatures of self-improvement, serve as constant reminders of our ostensible insufficiency even as they offer putative solutions". (McGee 2005: 18). Nowadays, the promise of self-help can lead workers into a "new sort of enslavement: into a cycle where the self is not improved but endlessly *belaboured*" (McGee 2005: 12. emphasis mine).

2. Looking Eastward: The Inward Turn

Americans of the late twentieth century tend to regard their own culture, including religion, as:

> unusually turbulent, eclectic, and contingent. The countercultural movement that began in the late 1960s gave rise to unconventional, polymorphous religiosity that sought to break through conventional spirituality to explore unknown regions of psyche and soul through such diverse religious resources as Zen, shamanism, and psychoactive drugs, to name but a few. In the 1990s, that search continues in the "New Age" movement. (Anker 1999: 149)

Not satisfied with the ever-growing interest in consumerism and the ego-driven, success-oriented Western culture, there is a clear shift in some of the bestselling self-help literature of the nineties which has its origin three decades earlier, coinciding with different events. On the one hand, during the sixties there was a rise in Eastern practices such as yoga, meditation and martial arts. In 1961 Richard Hittleman brought hatha yoga into American homes via a television program that continued for 30 years (Smith 2000). Transcendental Meditation (TM) was introduced in America by Maharishi

Mahesh Yogi, who became popular in the West through his association with celebrities such as The Beatles, the Beach Boys, singer-songwriter Donovan, actress Mia Farrow and directors Clint Eastwood and David Lynch, amongst others. They all learned and practiced the techniques, often travelling to India to visit guru Maharishi (Woodrum 1982: 94), thus, popularizing Eastern philosophy and practices as never before. At that time, TM found its way into the corporate world and also to the medical establishment because of research into the benefits of meditation and yoga. It was also during this decade (1962) that Timothy Leary started the International Foundation for Internal Freedom (IFIF) to promote LSD research, announcing, four years later, the formation of a psychedelic religion, the League for Spiritual Discovery; he was followed by Owsley, who started an LSD factory in 1965, making large quantities of the drug available to the world for the first time (Lauer 1976: 48-58).

Simultaneously, many Eastern concepts and expressions started becoming common in everyday life. In *Oriental Enlightenment*, Clarke affirms that "throughout the modern period from the time of the Renaissance onward, the East has exercised a strong fascination over Western minds, and has entered into Western cultural and intellectual life in ways which are of considerably more than passing significance within the history of Western ideas" (Clarke 1997: 5). There are countless Eastern expressions and concepts which have now been 'Westernized' appearing in such different areas as, business (the need to meditate and do yoga to unwind and get rid of stress not only to feel better, but mainly in order to be more productive); relationships (the introduction of models and expressions like yin and yang applied to the female and male principles); psychology and sports (the use of visualizations and introspection to create and re-create a scene; the popularization of martial arts, thanks mainly to actor Bruce Lee in the seventies); and health (acupuncture, Chinese and Ayurvedic medicine). To 'Westernize' an Eastern concept means to use it, out of its original cultural context, to suit certain Western needs. Thus, yoga, a spiritual practice in its origin, started being used in the West as an exercise program to keep fit, toned and healthy, as a way to relieve stress and improve one's posture or to learn how to breathe more fully. Likewise, meditation and martial arts are also mainly used to fit Western needs, and it is nowadays common to see these practices in movies, television shows, fashion pages, self-help magazines or music videos. According to Paula Smith, "Perhaps this is a critical crossroads, one in which there is the real risk of a profound spiritual practice passed down through the ages becoming watered down as an exercise program. Being the 'popular' thing to do may strip away the spiritual depth and sacred meaning" (Smith 2000). Inspired by many ancient Eastern texts from the *Vedas* to the *Bhagavad-Gita*, the *Tao Te Ching*, *The Art of War* (Sun Tzu, 4th century B.C) and the Buddha's teachings in the *Dhammapada,* an ever-growing number of self-help writers consider that success and happiness can only be attained through inner mastery, that is, 'private victory' before 'public victory' (Covey 1989), an idea also developed by Chopra (1994), Chin-Ning Chu (1994), Mantak Chia (1985), Tolle (2003) and Byrne (2006). These authors, among others, all New Age inheritors of New Thought, talk about a world in which there is no distinction between self and other, energy and matter, imagination and reality. In such a world "anything one does on one's own behalf ultimately benefits everyone" (McGee 2005: 70). They describe happiness as something that has to be

found inside and not dependent upon any external circumstance. Inner peace and happiness are achieved through stillness, meditation, visualization and observation of one's thoughts.

In this category of self-help books, writers affirm that only by changing their thoughts will people be able to change their lives, and that those thoughts which receive attention, good or bad, go into the unconscious mind to become the fuel for later events in the real world. In Rhonda Byrne's *The Secret,* Dr. Michael Bernard Beckwith claims "You attract to you the predominant thoughts that you're holding in your awareness, whether those thoughts are conscious or unconscious" (Byrne 2006: 19).

Rather than focusing on the achievement of a dream in the future, these authors remind readers of the importance of living in the present moment. "When you make the present moment, instead of past and future, the focal point of your life, your ability to enjoy what you do – and with it the quality of your life – increases dramatically. Joy is the dynamic aspect of Being" (Tolle 2003: 297).

Thus, we witness a relatively new conception of happiness in the Western world. It is neither an external God, nor a sense of achievement, nor money and possessions of any kind that will bring happiness to the Self, but rather, self-knowledge and the inner mastery of thoughts, emotions and passions as well as the opening of one's heart and the awareness of the 'preciousness' of every moment in life which are the keys to personal success and lasting happiness. This happiness begins when we "cease to understand or see ourselves as isolated and narrow competing egos and begin to identify with other humans, from our family and friends to, eventually, our species" (Devall and Sessions 1993: 242). At the end of the twentieth and the beginning of the twenty-first century an ever-growing number of self-help writers offer well-researched 'road maps' to this 'lasting happiness' and readers of the most varied backgrounds who follow their advice report considerable improvement in all areas of their lives. One such road map is the 'happiness model of nine choices' in Rick Foster and Greg Hicks' *How we choose to be happy*. This claims that happiness is a conscious choice that comes from within. It does not require any effort, but rather an attitude towards life, a special awareness that depends on oneself. Aristotle, in the fourth century BC, was aware of this truth when he affirmed that "Nothing can bring you happiness but yourself" (Kenny 1992: 16). Also in the Bible, Jesus proclaimed that "The Kingdom of Heaven is within you" (Luke 17:21) and many others have known and applied this principle in their daily lives. It is only very recently, however, that researchers have turned their attention, through empirical field work, to the construction of a detailed profile of the attitudinal factors involved in happiness. Thus, they are able to provide a road map to be used by individuals and organizations on an empirical basis which is acceptable within the paradigms of a scientifically oriented Western society.

Some researchers argue that self-improvement literature has focused on individual concerns in ways that are largely incompatible with collective political action, and thus contribute to maintaining the status quo (McGee 2005: 23). Other authors affirm that the pursuit of individual self-fulfilment can serve as a catalyst for social change, meaning that individual transformation can and does spur social and political advances. These scholars and activists argue that creating a self, inventing a life of one's own, and seeking one's own desire can be seen as a necessary factor in social and political change,

in spite of the fact that it is usually insufficient.[10] If one imagines self-help culture as a symptom of social unrest that has not yet found a political context, then, "tapping into the discontent that the literatures of self-improvement evidence may be the work of the radical and progressive movements of the coming decades" (McGee 2005: 191).

3. Conclusion

As we have seen, after more than 150 years of self-help books which encouraged puritan ideals of 'industry' and effort in order to achieve success, since World War II there has been an ever-accelerating growth of very different types of self-help books. One need only compare, for example the traditional representations of the 'rags to riches' myth through hard work and perseverance in Horatio Alger's *Ragged Dick, or the Street Life in New York with the Boot-Blacks* (1867), and the totally different, more psychological, approach to success, blending business achievement and personal development in *Coaching for Performance* (Whitmore 1992), or the more quasi-scientific-spiritual approach to success and happiness of *The Secret* (Byrne 2006), to see how self-help discourse has changed drastically over the years. It is obvious, then, that cultural and historical changes in the meanings surrounding self-help often result in, and reflect back, changes in the literary *representations* of self-help. On the one hand, there are numerous personal-technique manuals focused mainly on achievement, offering specific guidance, for example in relationships, selling, public speaking, etc., often found under a 'How to' title. And on the other hand, when analysing the nature of work on the self, we find that the literatures of self-improvement offer two very distinct options: the path of effort versus the path of absolute effortlessness. The former is committed to rational self-mastery, where continuous and never-ending work on the self is offered as a road to success.

The latter is the path of some of the New Age or metaphysical self-improvement literatures (by no means all), which suggest that it is possible to attain one's goal with a minimum of effort. The realization of the self is, according to these authors, a 'natural' process. For them, it is possible to attain "self-acceptance through a mystical oneness" (McGee 2005:142). Often using philosophical, psychological and spiritually-oriented 'oriental' discourse, they also use a rhetoric of science and technology to legitimize their approach, in which happiness and success are understood as inner mastery and self-knowledge.

From what has been argued in this article, it is clear that re-reading American self-help literature from a cultural studies perspective should, ultimately, have significant repercussions in understanding the social construction of concepts like self-improvement, success and happiness, and should contribute to the expansion, and redefinition, of existing happiness studies in highly innovative ways. Whereas some authors view the self-help industry as an obsessive treadmill with dubious advantages, rather than a path to a better life (McGee, 2005 or Albanese, 1981), others insist on the positive and inspiring aspects that it provides, offering hope, solace and guidance at a

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[10] See for example, Berman (1970); Hochschild (1983); Steinem (1992).

time when there are profound dissatisfactions beneath the landscape of our consumer culture (Butler-Bowdon, 2003). It is evident that this dimension needs to be researched much further, since the field remains almost totally unexplored in academia. One of the objects of these pages has been to provide an overview of the history, scope, variety, and depth of self-help literature, and of its potential to reflect Americans' needs, wants and conceptions of success and happiness through time.

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Representing Third Spaces, Fluid Identities and Contested Spaces in Contemporary British Literature

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Andrea Levy's *Small Island*, Monica Ali's *Brick Lane* and Zadie Smith's *White Teeth* are contemporary novels by recognised women writers in the British literary panorama who, even though born in England, are linked to ethnic groups from South Asia and the Caribbean. Accordingly, these novels have been studied in relation to postcolonial writing and tradition. Yet, I shall argue that they address issues that go beyond the logic of post-colonialism, question categories such as *insiders* and *outsiders* and offer a contesting view of Britain. I shall put forward that these novels depict the plurality of ways in which ethnically diverse people live, narrate and make sense of their multicultural experiences. By so doing, they problematise a homogenous view of British identity, they celebrate the 'third space' and they provide a dynamic representation of contemporary British society. In such a setting, identities are presented as fluid and space(s) as continuously negotiated.

Keywords: *Small Island*; *Brick Lane*; *White Teeth*; belonging; hybridity; third space

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Representando Terceros-Espacios e Identidades Fluidas en la Literatura Británica Contemporánea

Small Island *de Andrea Levy,* Brick Lane *de Monica Ali y* White Teeth *de Zadie Smith son reconocidas novelas de escritoras británicas contemporáneas que, aunque nacidas en Inglaterra, tienen vínculos familiares con grupos étnicos del subcontinente asiático y del Caribe. Por ello, se han estudiado estas novelas en relación a la literatura y tradición postcolonial. Sin embargo, las novelas tratan temas que van más allá de la lógica postcolonial, ponen en entredicho categorías como "insiders" y "outsiders" y ofrecen una visión alternativa de Gran Bretaña. Argumentaré que estas novelas representan la pluralidad de formas en las que las personas de orígen étnico diverso viven, narran y entienden sus experiencias multiculturales. Así, las novelas problematizan la identidad Británica en términos homogéneos, celebran el "Tercer-Espacio" y aportan una representación dinámica de la sociedad Británica actual.*

Palabras clave: Small Island; Brick Lane; White Teeth; *pertenencia; hibridismo; Tercer-Espacio*

1. Introduction

Following some of the theses put forward by Kadija Sesay (2005), it can be argued that Andrea Levy's *Small Island* (2004), Monica Ali's *Brick Lane* (2003) and Zadie Smith's *White Teeth* (2000) have to be considered as situated in the continuum from the post-colonial literary production of first-generation immigrant writers in Britain to second-generation integration and inclusion in the British literary canon. Some of the topics that the novels raise are related to those of the early works by Black and Asian postcolonial authors, such as feelings of displacement, elements of racial and ethnic discrimination or questions of belonging and exclusion. Nevertheless, even so, I argue that the problematics that Monica Ali, Andrea Levy and Zadie Smith address goes beyond the logic of post-colonialism and at first sight questions categories such as *insiders* and *outsiders*. The literary production of Ali, Levy and Smith differ from that of postcolonial tradition in the sense that their positions as British-born writers situate them at the core of British society and its literary production. Yet, it is my contention that their novels provide a different, contesting view of this space of the centre. One of the main characteristics that differentiates these novels from the works of early Black and Asian authors is the fact that their writings, I suggest, rather than asserting a space of their own in a society they are also entitled to, attempt to (re)define that space as a hybrid location that is an inherent part of British contemporary society.[1]

This space is problematic; it is characterised by ambivalence and an ongoing process of juggling notions of *belonging* and *exclusion*; it is the outcome of processes of negotiation and change. I consider these novels, in this light, as a depiction of the plurality and the diversity of the ways in which ethnically diverse people live, narrate and make sense of their multicultural way of life. By so doing, I propose that the authors of these novels contribute to creating cultural representations that challenge the view of a homogeneous British society. Levy's *Small Island*, Ali's *Brick Lane* and Smith's *White Teeth* problematise contemporary British social space and reveal varied ways of dealing with being a first- or second-generation immigrant in Great Britain. At the same time they present a diversity of ways of inscribing such experiences in space. Characters in the novels under analysis are, therefore, heterogeneous and diverse and they approach their ethnically diverse origins (in the case of second-generation characters) or the diverse society they inhabit (in the case of first-generation ones) as part of their ordinary daily life. In this respect, the spaces where these characters are located are depicted as being in a continuous process of (trans)formation and change and their identities are represented as being fluid.

There are, nevertheless, evident differences in the ways these three novels engage with a representation of ethnically diverse people in Britain and the spaces where they interact. Primarily, as I shall later comment on in greater depth, Zadie Smith's *White Teeth* focuses strongly on second-generation characters and the strategies they develop

in order to negotiate their identity status and portray their daily lives in a plural location. There is a high degree of optimism in the way Smith approaches ethnic relations in such a setting. Andrea Levy's *Small Island*, however, due to chronological constraints does not depict second-generation but first-generation characters that are forced by historical circumstances to inhabit a location that is changing from mainly mono-ethnic to multiethnic. Monica Ali's *Brick Lane* depicts, in turn, a (multi)community-based organisation of society where both first- and second-generation characters, linked initially to a monolithic community, show dissimilar levels of integration in it. The three novels, nonetheless, represent first- and second-generation immigrants in Britain as "those which are constantly producing and reproducing themselves anew, through transformation and difference" (Hall 1990: 235). In this respect, their identities and the spaces they inhabit are not fixed and homogenous but heterogeneous and malleable.

2. The third scenario

The in-between situation of 'belonging' and 'non-belonging' in which ethnically diverse writers find themselves has not only marked their novels thematically, but has also affected the critical categorisation of their work.[2] Andrea Levy's *Small Island*, Monica Ali's *Brick Lane* and Zadie Smith's *White Teeth* were well received by critics and readers alike as part of the contemporary British literary canon. Accordingly, these novels were awarded prestigious literary prizes in the United Kingdom. However, these novelists come from diverse ethnic backgrounds and, by that fact, their work has also been considered by some as contributing to "Black British Literature" (Sesay 2005), whereas by others it has been included in anthologies of "British Literature" in general (English 2006; Acheson and Ross 2005). Even when considered as part of British literature, they are still categorised by ethnicity. In this respect, the works of Ali and Smith have been discussed in chapters or essays under headings that point to the ethnic specificity of their authors and the novel's plot, or have been studied in the light of colonial and post-colonial relations.[3]

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[2] Smith's *White Teeth* and Levy's *Small Island* obtained the Commonwealth Writers' Prize in 2001 and 2005, respectively; Zadie Smith also won the Whitbread First Novel Award, the Guardian First Book Award and two EMMAS; and Ali's *Brick Lane* was shortlisted for the Man Booker Prize in the year of its publication. Ali was also included in the Granta list of novelists. Likewise, certain recent contemporary British anthologies and critical works on contemporary British literature have devoted chapters to these writers and the discussion of their novels (English 2006; Sesay 2005; Acheson and Ross 2005; Nasta 2004)

[3] Thus, the works of Ali and Smith are included in a chapter entitled 'New Ethnicities, the Novel and the Burdens of Representation' (English 2006) while Smith's work has been analysed under the heading 'Postcolonialism and other –isms' (Acheson and Ross 2005). Moreover, the Commonwealth Writers' Prize awarded to Levy's and Smith's novels is directly related to the ethnic origins of the authors.

This ambivalence behind the categorisation of Ali's, Smith's and Levy's work reveals, in my opinion, a certain reluctance to consider them as British writers and a tendency to label their work as being closer to that of post-colonial authors for 'conveniently' thematic reasons. The former, at the same time, obscures the need to accept their work as providing a contested, more realistic and much needed take on the plural aspect of British society. Moreover, the fact that Levy's *Small Island* focuses on the effects that migration from ex-colonial territories had on the British white population or the indifference with which Smith's *White Teeth* approaches racial issues and questions of ethnic diversity must be read as political statements; they reinforce the view that social difference(s) derived from, or associated with, British past history of imperialism and postcolonialism are the shared legacy of all British citizens, rather than a specific concern of those who are 'non-white'. In this sense, the novels strengthen a view of Britain as inherently hybrid and, as Sesay argues, authors like these "consider the 'hybridity' of themselves and their situation in a way that does not refer to their 'alienness' and even a different kind of 'otherness' than their 'post-colonial' writer peers" (Sesay 2005: 16).

Debates surrounding this issue of categorisation or labelling become even more problematic when authors reject a consideration of their work in terms of a specific literature. Levy alone among these three authors unreservedly accepts the definition and classification of her work as being *Black British*. She openly acknowledges the fact that she writes about the experiences of part of the British population that has been silenced (Allardice 2005; Greer 2004). In an interview with María Helena Lima, Levy stated her motivations for writing as being driven by an eagerness to unearth the silenced history of Black immigrants in Britain: "for me [Levy] the starting point of writing books has always been about wanting to make the unseen visible, wanting to show the experience of [my] parents' generation and the children that came after, having to live in this country, quite a hostile environment, and how [they] cope with that" (Lima 2005: 57). Ali and Smith, by contrast, reject being cast as primarily Asian or Black British novelists. They denounce the burden of representation borne by Black and Asian authors. In this respect, Ali defends the argument that her novel should simply be analysed as a literary product in itself, without considering any further cultural reference. Moreover, Ali refuses to accept that her writing of *Brick Lane* derived from any position as representative of a community: "I wrote out of character" (Ali 2007), she states during a conversation with Hanif Kureishi in London, after the preview of the film adaptation of *Brick Lane*. When asked about the question of representation Ali went on to declare that:

> There is a sort of tyranny of representation. James Baldwin's phrase is still in force and the irony is that, you know, fiction succeeds to the extent that it is particular, not representative and nobody would dream of it working any other way if it weren't at [sic] a minority group. So, it's, it's, it's, [sic] I don't know, it's kind of depressing and I think it's related to the growth of identity politics. (Ali 2007)

Smith holds a similar view to that of Ali with regard to the latter. She "defended herself against the tendency of reviewers to locate her novel in a Black literary tradition, which she felt reduced her to the role of spokesperson on issues of race and ethnicity"

(Procter 2006: 102) and advocated for too optimistic a depiction of multicultural relations in her novel; a view that goes hand in hand with her notion of *White Teeth* as a space of enjoyment of her mixed-identity (Merrit 2000). Even so, it cannot be denied that the acceptance and recognition of the work of Levy, Ali and Smith in contemporary British literature is, in great part, the outcome of the past struggles for publication that postcolonial and second-generation authors underwent: "although Zadie Smith took the publishing world by storm on both sides of the Atlantic, few in Britain will not forget [sic] that this was built on several years of writing by Black British women, years of building and developing to enable writers of her generation to emerge and move directly into the mainstream" (Sesay 2005: 17).

Such varied positions on the part of ethnically diverse women writers demonstrate the larger debate that is taking place in contemporary British literature, a debate that is derived from those raised by Cultural Studies in the 1980s over the question of representation. Kobena Mercer (1990) in this respect problematises the status as spokesperson that the Black writer is given in Britain. This has not only affected Black writers but also calls into question the white writer's legitimacy to create a non-white persona in their literary works. Novelist Maggie Gee, an "indigenous white writer" (Nasta 2004: 5), addressed questions of migration and cross-culturalism in her novels *The White Family* (2002) and *My Cleaner* (2005). Gee has commented on the question of authenticity that is directly related to the politics of representation. Gee argues how there seems to be a questioning in contemporary British literature of the right of an author to adopt identity stances beyond her own identity and location (Gee 2008). The dichotomy 'insider' versus 'outsider' undoubtedly underlies concerns over authenticity and determines notions such as belonging and exclusion. Such notions have been at the core of the discrepancies in the classification of the work of ethnically diverse authors and the appropriateness of considering their works as part of the British literary canon, i.e. British national literature, as part of a Black British tradition (especially emphasised during the 1980s), or as belonging to diasporic, transnational paradigms (McLeod 2002; Stein 2004). Moreover, campaigns for cultural authenticity have not only conditioned the categorisation of authors in relation to their ethnic origins but have also marked a tendency to portray British society in opposite terms: i.e. white-British versus non-white British.[4]

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[4] It has historically been problematic to define an ethnically diverse identity within a national British identity that has long been described in terms of a hegemonic white English ethnicity. It is worth considering, in this respect, the political use of the term *black* in the 1980s as an umbrella term to refer to people of darker skin colour in Britain coming from Africa and the Caribbean and, at times also people coming from the Asian subcontinent. The term *Black* conveyed a collective, unitary identity strong enough to resist negative stereotypes embedded in the collective imaginary: "politically, this is the moment when the term 'black' was coined as a way of referencing the common experience of racism and marginalisation in Britain that came to provide the organising category of a new politics of resistance" (Hall 1988: 266). It was a constructed category that was politically useful at the time for it was a needed step for ethnic minority groups in the process of forming their own identities. During this phase Black artists asserted their rights to create their own representations, to contest the marginalised positions where Blacks were placed and to question the stereotypical nature of images of Blacks. This early

The incorporation of the works of ethnically diverse authors into mainstream British literature has been a crucial step in the process of re-defining *Britishness*. As Sarah Lawson Welsh already stated in 1997: "the growing visibility of their own creative and experiential mappings of nation, of the complex state of (un)belonging in Britain, has been central to the problematizing and unsettling of received versions of Britishness as well as in undermining notions of a fixed, unchanging construction of nation" (Welsh 1997: 52). In this respect, the critical acclaim received by Monica Ali's Brick Lane, Andrea Levy's Small Island and Zadie Smith's White Teeth testifies to the prominence of what Hall calls 'the literature of the third scenario" (Bastida 2009:150). I consider Ali's, Levy's and Smith's work as being directly connected to the position they occupy at the 'centre' and inevitably influenced by the literature produced from this perspective: British literature. However, I understand the novels under analysis as literary productions that offer a multilayered sense of belonging, rather than a homogenous and unique one. The novels do not belong exclusively to either British or Black- and Asian-British literature; they are both and none at the same time. They are examples of British literature, even if of a hybrid sort. The ambivalent position in which these British-born, ethnically diverse authors are located is, thus, the product of the interaction of two literary traditions, yet the outcome is a multilayered British text. In this sense, I agree with Trace Walters' description of Zadie Smith's *White Teeth* as the epitome of the fusion of Black and British Literature; as a hybrid literature that "reform[s] both literatures and prov[es] the two to be mutually exclusive.… [It creates] a new Black/British text, a story … that includes the experiences of characters from diverse ethnic backgrounds, whose racial differences actually account for the commonality of their shared experiences and their Britishness" (Walters 2005: 321).

3. Contested spaces

The three novels under analysis are contextualised in the multicultural city of London. Ali's, Smith's and Levy's characters problematise at different levels and in different ways the space they inhabit and the relations they establish in that space: with their parents (*White Teeth*), with their peers (*Brick Lane*), with the nation in which they are located (*Small Island*). In this sense, space, following feminist geographer Doreen Massey's ideas (1994, 2005), is understood as a geographical location as well as a set of social relations. This view of space is productive in the study of the literary representation of the multiplicity of heterogeneous spaces that are found in contemporary multicultural societies. The spatial dimension is an important factor in a multicultural society because spaces in such a setting are in an ongoing process of negotiation and change. Through that process, new spaces emerge that reflect plurality and "the simultaneous coexistence of others with their own trajectories and their own stories to tell" (Massey

stage was followed – not necessarily as a substitution, rather in the sense of a continuum – by the emergence of theoretical debates surrounding the definition of *Black identity* that pointed towards the need to reject a unitary vision of Black identity and acknowledge difference: i.e. African-British, Caribbean-British, Bangladeshi-British, Pakistani-British, etc.

2005: 11). This idea highlights the fluid nature of space and is central to a spatial reading of Ali's, Levy's and Smith's novels. As I argue, all the novels depict a series of characters interacting within spaces that are permanently contested. Hybridity is found both in the diverse ethnic origin of the characters the novels portray and in the representations of the spatial loci in which the characters interact. The novels celebrate the 'third space' by presenting a dynamic representation of space in contemporary British society. In Levy's *Small Island*, Ali's *Brick Lane* and Smith's *White Teeth*, space and identity are malleable categories that are presented as in constant processes of re/vision, re/definition and change. The three novels, however, emphasize different historical moments, dissimilar configurations of space and different community groups that inhabit the city of London.

Levy's *Small Island* is set against the backdrop of the years following the Second World War. Levy concentrates on the lives of two couples, one white, British-born (Queenie and Bernard), the other Black, Jamaican-born (Hortense and Gilbert), thus creating a duality in the narrative. The novel recounts the particular story of these two couples but at the same time the events in which they are involved can be extrapolated to account for the general experiences of both British citizens and Black British subjects. During the late 1940s and early 1950s, there was a considerable migration of Black populations who, having collaborated in the war effort or having been brought up under the auspices of British colonial education, decided to come and stay in the United Kingdom. The idea underlying the logic of the new-comers was that of coming to the 'Mother Country'; a country that was waiting for them; a country portrayed in the colonial imaginary as a place of opportunities; a country immigrants from the British ex-colonies were eager to defend: "'They need men like my son. Men of courage and good breeding. There is to be a war over there. The Mother Country is calling men like my son to be heroes whose families will be proud of them'" (Levy 2004: 59); a country they thought they were entitled to reside in.

Small Island shows, however, a description of a mother country that is not welcoming to immigrants during the first stages of the interaction between white and Black populations. One example of the negative attitude towards immigrants is expressed in the opinions of Mr Todd, Queenie's neighbour, who states: "Darkies! I'd taken in darkies next door to him ... His concern, he said, was that they would turn the area into a jungle" (Levy 2004: 113). For both Hortense and Gilbert, as they are socially constructed as the 'Other', the idea of the Mother Country shatters. The female image of the country is therefore described in negative terms as the novel develops. It becomes exactly the opposite of what the metaphor of the 'Mother Country' suggested. It is not young and sensual, but old and abject, and she does not provide protection for her children. It is a bad, uncaring and selfish mother. It might perfectly fit the description of any witch in western fairy-tale imagery:

> Let me ask you to imagine this. Living far from you is a beloved relation whom you have never met. Yet this relation is so dear a kin she is known as Mother. … Then one day you hear Mother calling. Leave home, leave family, leave love … The filthy tramp that eventually greets you is she… Can this be that fabled relation you heard so much of? This twisted-crooked weary woman. This stinking cantankerous hag. She offers you no comfort after the journey. No smile. No welcome. Yet she looks down at you through lordly eyes and says, 'Who the bloody hell are you?' (Levy 2004: 139)

In *Small Island* there is a stress on questions of racial discrimination and notions of belonging and exclusion that is not to be found in such detail in Ali's *Brick Lane* or Smith's *White Teeth*. This thematic emphasis on immigrant life positions Levy's novel closer to the postcolonial tradition of story-telling and resembles early works by first-generation Caribbean migrants such as Sam Selvon's novel *The Lonely Londoners* (1956). *Small Island* focuses on the consequences of the Empire by acknowledging its repercussions both for the migrant and native population. *Small Island* reiterates the fact that all members of British society are forced to make adjustments and redefine their sense of belonging and this is an issue that was not explored in depth in early Black British texts. In relation to the latter, Levy's novel portrays a crucial moment in British history and marks the beginning of present-day multicultural British society. This is a moment of social disruption and change. The horrors of the war, poverty, famine, racism, discrimination and dehumanisation are the problems all the characters have to cope with in one way or another.

In this new situation, all the characters are forced to renegotiate their sense of identity and space. Hortense and Gilbert have to (re)imagine the notion of the mother country and (re)negotiate a new reality after migration; Queenie has to go through the war on her own and is forced by social circumstances to give away her Black baby; Bernard is obliged to dismantle his whole system of beliefs and accept the presence of Black citizens in London. These highly intense moments mark a turning point in the lives of the characters. As Queenie movingly describes:

> There are some words that once spoken will split the world in two. There would be the life before you breathed them and then the altered life after they'd been said. They take a long time to find, words like that. They make you hesitate. Choose with care. Hold on to them unspoken for as long as you can just so your world will stay intact. (Levy 2004: 491)

These are not simply words but a new social order that affects the characters to the extent that they all feel displaced in the social space they inhabit. Levy's novel gives no answer to this displacement. The novel is open-ended, since the topics it deals with are still in the process of being configured, as are social relations among different ethnic groups in present-day Britain.

Ali's *Brick Lane* questions the degree to which the adjustments put forward in Levy's novel came about 50 years later, illustrating as it does community life and racial relations in the area of London from which the novel takes its title. In this case, the non-white ethnic group depicted is not Black but Asian. The novel focuses on the Bangladeshi population that began migrating to Britain in considerable numbers in the second half of the 20th century. *Brick Lane* concentrates on community life and highlights different degrees of cohesion and fragmentation within the Bangladeshi

community inhabiting the area of Brick Lane. The narrative evolves around Nazneen, a Bangladeshi woman who migrates to London after an arranged marriage. Nazneen's contact with British society is non-existent during the first decade of her life in London. Nazneen is bound to her husband, by her lack of competences to socialise in the new environment and her inability to speak English. Her space is limited to the apartment where she lives and the Bangladeshi community that surrounds her.

Ali's depiction of a part of the Bangladeshi population inhabiting Brick Lane proves the inadequacy of homogenising communities according to their race or their ethnicity; at the same time it shows the different ethnic groups living in the centre of London. As Iris Marion Young pointed out, nowadays space can no longer be equated with a single and homogenised community, at the same time that the idea of community cannot be associated with a single or homogenous identity:

> One of the problems here has been a persistent identification of place with 'community'. Yet this is a misidentification. On the one hand, communities can exist without being in the same place – from networks of friends with like interests, to major religious, ethnic or political communities. On the other hand, the instances of places housing single 'communities' in the sense of coherent social groups are probably – and, I would argue, have for long been – quite rare. Moreover, even where they do exist this in no way implies a single sense of place. For people occupy different positions within any community. (Young 1990: 153)

There are two main ways in which community heterogeneity is addressed throughout the novel. One of them is Chanu's reflections on the Asian population of Brick Lane. Chanu criticises the existence of a homogenised view of all Asians in the British collective imaginary. This issue is questioned every time he tries to draw a line between himself and the illiterate members of the community. He considers himself to be an educated man and, therefore, insists on establishing connections with well-off educated members of the Asian community such as Dr. Azad. He establishes internal divisions within the Asian population living in Brick Lane based on education and by so doing shows that the assumption of homogeneous communities within the same space is quite unreasonable:

> 'I am forty years old', said Chanu. He spoke quietly like the doctor, with none of his assurance. 'I have been in this country for sixteen years. Nearly half my life'… I had ambitions. Big dreams … And then I found things were a bit different. These people here didn't know the difference between me, who stepped of an aeroplane with a degree certificate, and the peasants who jumped off the boat possessing only the lice on their heads. (Ali 2003: 34)

The other means by which homogeneity is deconstructed is the fact that the novel presents the reader with a community in which there are not only external conflicts – as the creation of the radical Islamic group shows – but also many intra-community problems in terms of first- and second-generation relations. These differences are explicit in the novel's depiction of characters that show different levels of assimilation and interaction with the host society.

In the case of first generation characters, the degree of contact with non-Bangladeshi people and the networks of social relations they establish follow a gender pattern. Men create relations with other people outside their community and women are presented as socialising only within their family network since they are dependant on the will of their husbands. Second generation characters such as Nazneen's teenage daughters Shahana and Bibi or Razia's children Tariq and Shefali present different levels of assimilation to British culture. Their identity struggles are different from the struggles of their parents. They are not trying to fit into a culture but rather to find their own space by drawing on the culture they have been brought up in and, to some extent, either appropriating or rejecting the culture of their parents. Conflicts between first- and second-generation immigrants characterise the novel. This issue is addressed in the family conflicts that arise between Nazneen's teenager daughters, Shahana and Bibi, and their father, Chanu. Shahana and Bibi are quite well integrated in British society. Their identity is constructed according to British cultural norms; they have no sense of belonging to Bangladesh. Chanu forces his daughters to maintain a link with his native culture. Yet, this link seems meaningless to the girls, who are unable to relate to a place and a culture they have never known. In a manner that resembles colonial teaching practices, Chanu insists on his daughters' learning Bengali and reciting Tagore: "Shahana did not want to listen to Bengali classical music. Her written Bengali was shocking. She wanted to wear jeans. She hated her Kazmeez and spoiled her entire wardrobe by pouring paint on them" (Ali 2003: 180). Chanu is frustrated by his daughters' rejection of what he thinks must be their cultural roots.

Small Island and *Brick Lane* portray how social policies dealing with ethnic diversity in Britain are still being negotiated. There is no unique, right or definite movement and, as some social critics have pointed out, the policies addressing the social integration of migrants in the United Kingdom are complex and could be said to have followed a pendulum movement; from assimilation to integration, from integration to multiculturalism and, after the attacks of 11 September 2001, back to assimilation again: "we have seen more of a critical stance towards multiculturalism and at least a partial return to an assimilationist perspective, particularly in the context of the 'war on terror' and outbreaks of urban unrest" (Cheong *et al*. 2007: 26). *Brick Lane* fictionalises some of the consequences that the attacks of 11 September 2001 had on ethnic relations in Britain and the 'urban unrest' that followed them. After the attacks, feelings of non-belonging, racist attitudes towards Muslims and tension between a part of the white British population and the Muslim population generated both external conflicts and internal debates in the Muslim community. These events particularly affect second-generation characters such as Karim and the other members of the group The Bengal Tigers. These characters were born in London, therefore this is the only social environment they know; yet, they are viewed as outsiders.

Brick Lane, in this respect, depicts different ethnic groups living in the centre of London but not necessarily interacting with each other in positive ways; Ali's novel points towards the existence of a "virtual conviviality" between ethnically diverse groups (Gilroy 2004). The novel is critical of too optimistic a view of multicultural relations and depicts space as a contested location hosting different communities. This view contributes to acknowledging the existence of other identities in British society

and yet, at the same time, it problematises multiculturalism by reflecting how a naïve perception of multiculturalism can lead to a false impression of equality and homogeneity that overlooks power relations.

The last novel under analysis in this paper, *White Teeth*, also draws upon the changes in social space in terms of the evolution of a multiethnic society. However, its take on multiculturalism and its treatment of the question of racial differences and the relations established between different racial groups in the city of London are different again from those of the other two novelists. Smith describes immigration and its consequences with a certain optimism; the ethnically diverse characters portrayed in *White Teeth* relate to each other in an often funny, sometimes shocking and naïve way. Smith's intention is to present a multicultural Britain where ethnic differences are deemed insignificant. Smith's narrative covers a long period of time in British contemporary history: from the aftermath of the Second World War until the year 1999. During these years, Britain underwent crucial social changes that affected and were reflected in the organisation of social spaces. In this respect, the time frame of *Small Island, Brick Lane* and *White Teeth* coincide. Nevertheless, by contrast to the first two novels, *White Teeth* does not make explicit reference to the difficulties that arise with the presence of the new-comers in both the immigrant and native communities. Elements of racial discrimination are present in the text but are veiled with humour and irony. Smith chooses not to write a novel that denounces the drudgeries endured by Blacks and Asians at the onset of a multicultural British society, but one that attempts to celebrate the outcome of such events: "this has been the century of the great immigrant experiment" (Smith 2000: 326). In this sense, social spaces of interaction are depicted in *White Teeth* as offering people the opportunity of constant self redefinition as the direct result of a society that, due to its multicultural nature, is in itself continuously open to adjustments.

Non-arbitrarily, the novel opens with the failed suicide attempt of Archie Jones, a white-British subject. Such an event signifies a rebirth opportunity that, paradoxically, is given to him by the (un)timely presence of Mo Hussein-Ishmael, an Asian Muslim immigrant who owns a halal butcher's shop. This represents a social reality – the acknowledgement of the existence of 'the other' – that would have been unheard of in the first three decades of the 20th century: "once in the street, Mo advanced upon Archie's car, pulled out the towels that were sealing the gap in the driver's window, and pushed it down five inches with brute, bullish force: 'Do you hear that, mister? We're not licensed for suicides around here. This place is halal. Kosher, understand? If you're to going to die round here, my friend, I'm afraid you've got to be thoroughly bled first'" (Smith 2000: 7). The tone in which the whole episode is narrated marks the tone of the novel. Archie's personal life becomes a parallel example of the changes undergone by British society after the Second World War. During his fighting in the war he encounters 'the other' for the first time and establishes a long-lasting friendship with Samad Iqbal. From a position of fixed identity in which there is no scope for the acceptance of 'the other', both characters learn to negotiate a space of interaction that develops into a relation of mutual respect. O'Connell's Pool House is "Archie's and Samad's home from home; for ten years they have come here between six (the time

Archie finishes work) and eight (the time Samad starts) to discuss everything from the meaning of Revelation to the prices of plumbers" (Smith 2000: 184).

The relations between them strengthen during the late 1970s and the 1980s. During this period of time immigrants are consolidated presences in British society, a society that is facing major economic changes. Both Archie and Samad marry and establish a family life that is a reflection of the social policies of the New Right and its advocating of conservative strategies, such as reassertion of the importance of the family (Smith 1994). *White Teeth*, at this point, concentrates on how a multiethnic society affected and was reflected in the space of the family. The irony behind Smith's portrayal of the reassertion of the family as the cornerstone of British society lies behind the fact that this family notion ceases to be stable and white by 'norm', but encompasses a variety of ways of forming and being a family. The insertion in the novel of a triad of families: the Chalfens, the Iqbals and the Joneses marks a change from the duality that was present in the previous two novels analysed and symbolises a break with the notion of the good "normal family" – nuclear, middle-class, white family – versus the "faulty", "deteriorated" other kinds of family – lone-parent, un-educated parent, disadvantaged families. The Chalfen family, white, educated and upper-middle class, is initially presented as the proper family, whereas Irie's and Millat's working class, un-educated and mixed-race parental households are deemed as malfunctioning. As the novel evolves these stereotypes are called into question. None of the three families can be regarded simplistically in dualistic terms of good and bad or normal and deviant. The narrative at this point focuses on the teenage problems of the three families' offspring. Irie Jones, Millat and Magid Iqbal and Marcus Chalfen defy expectations based on social origin. All of them, regardless of the (in)stability of their households, are displaced and trying to find their own spaces within their families and within society.

4. Asserting Hybridity

Andrea Levy's *Small Island*, Monica Ali's *Brick Lane* and Zadie Smith's *White Teeth* address issues of ethnic diversity in the city of London in different and particular ways, yet with some commonalities. As I have stated at the beginning of this essay, these three novels contribute to a sense of British identity as being heterogeneous, diverse and in an ongoing process of redefinition and, what is more, they depict such identity as ordinary. By so doing, they validate alternative ways of being British. I argue that Levy's *Small Island*, Ali's *Brick Lane* and Smith's *White Teeth* depict first-generation and second-generation characters that are examples of British diasporic identities. Levy's, Ali's and Smith's novels not only depict characters who have suffered a direct diasporic experience related to British colonial history –Nazneen in *Brick Lane*, Hortense and Gilbert in *Small Island*, Samad in *White Teeth* – but also others that are subjected to a more subtle displacement. The notion of diaspora reverberates the image of a journey that is normally materialised in a real displacement but can also be associated with a cultural and psychic one (Brah 1996). First-generation characters in the novels under analysis suffer an undeniable diasporic experience: they undergo physical dislocation when they leave their countries of origin to come to Britain. Second-generation

characters may not have undertaken a diasporic journey, but – due to the fact that they inhabit a border space, a hybrid space, a third space (Bhabha 1990) – they are also located in a 'diaspora space' which can be defined as "multi-locationality across geographical, cultural and psychic boundaries" (Brah 1996: 194).

This also affects the white British population that is forced by new social circumstances to meet Black and Asian immigrants for the first time in their national territory. Feelings of spatial dislocation, dis/encounters with their most immediate community or their family and the need to negotiate a different sense of identity within their own spatial location permeate these three novels and are common to all the characters to different degrees. Moreover, these ethnically diverse characters are compelled to find their own spaces in a geographical and national frame that for long was constructed only in 'white' terms. In this sense, the British-born Shahana, Bibi, Irie, Millat and Magid are forced to re-define their identity status within an imaginary community (Anderson 1983) that, in many cases, fails to provide positive referents for them. In such conditions, some of them need to turn their gaze to other geographical locations and other cultures in order to 'root' themselves in contemporary British society. Irie and Millat and Magid (*White Teeth*) look back to Jamaica and Bangladesh, respectively. These thematic traits have resulted in the novels' association with postcolonial and second-generation writings, since problems of displacement, boundary negotiation and root-searching have been recurrent subjects in the literary productions of migrants and second-generation immigrants (Weedon 2008).

Nevertheless, my contention is that these novels are examples of British literature that differ from the postcolonial tradition in that they normalise the experiences of ethnically diverse people and, in so doing, contribute to a hybrid view of British society. Levy's, Ali's and Smith's novels advocate for a multilayered British identity that draws on different cultural and national identities at the same time. The identity search undergone by the characters presented in *Small Island*, *Brick Lane* and *White Teeth* and the social spaces they are made to inhabit are characterised by hybridity and negotiation. The fluid identities and the contested spaces presented in these novels are the result of an enriching process of hybridisation. Hybridity is in this sense defined as something productive, as a means of questioning culture as a stable entity that confers a homogeneous identity (Bhabha 1994). As Carolina Fernández Rodríguez has pointed out, the use of the term *hybridity*, or the phrase *cultural hybridity*, has created debates in the field of Cultural Studies. Other theorists such as J. O. Ifekwunigne, as Fernández Rodríguez argues, have rejected these phrases in favour of *cultural métissage* to account for the experiences of "individuals who ... embody two or more world views or, in genealogical terms, descent groups" (Fernández Rodríguez 2003: 67). Nonetheless, as Fernández Rodríguez also argues, the term hybridity has been very convenient as "a destabilizing concept that constantly forces us to question all preconceived notions, such as, for example, those of 'cultural purity' and 'unified national identities'" (Fernández Rodríguez 2003: 68). As a result, the characters in the novels are located in a strategic position that allows for redefinition and change. This possibility of change that hybridity offers entails a notion of cultures that, in the same way as the concepts of identity and space, are defined as malleable and not static. Cultures "are fluid and temporary social constructions, made and remade over time" (McDowell and Sharp

1997: 210) and they are in a process of formation that involves "the remapping of cultural identities and practices for *all* those involved" (McDowell and Sharp 1997: 210; emphasis in the original).

Homi Bhabha (1999: 37-38) has clearly stated the hybrid aspect of contemporary British society and how this entails a change in the process of cultural articulation that is bringing about cultural transformation, the acceptance of hybridity and the questioning of cultural homogeneity. These changes, following Susheila Nasta, have, however, been very much resisted (Bhabha 1999: 39-43). In this light, the Parekh Report on *The Future of Multi-ethnic Britain* published on 11 October 2000 identified some of the factors that were central in the changing of Britain over the last thirty years and that contributed to the creation of a sense of a more diverse and less homogeneous British society. The report pinpointed the need to redefine "current norms of Britishness" and denounced how "a sense of national identity is based on generalisations and involves a selective and simplified account of a complex history. Much that is ignored, disavowed or simply forgotten" (Parekh 2000: 16, quoted in Weedon 2004: 30).

The novels under analysis in this essay portray British society as a hybrid location where traditional conceptions of what constitutes a national identity are continuously challenged by the heterogeneity that is to be found in the myriad of characters depicted in the novels. Therefore, it can be argued that the conception of space portrayed in Levy's *Small Island*, Ali's *Brick Lane* and Smith's *White Teeth* is larger than the geographical territory of Great Britain. The novels, though mainly set in London, either devote a part of the narrative to depict first-generation characters that migrate to Britain from ex-colonial territories – Jamaica in *Small Island*, Bangladesh in *Brick Lane* – or show characters forced to imaginarily cross continents in an attempt to trace their roots back and negotiate their present identity status in Britain (such is the case of Irie and Millat in *White Teeth*). Therefore, following John McLeod, it could be stated that the vision of British society that these five novels address "occupies a space between 'massive floating continents', looking both within and beyond national borders to a transnational consciousness of how the world turns" (McLeod 2002: 56). The spatial locations where the characters re-negotiate a sense of identity range from the society where they were born (as in the case of Queenie and Bernard during post-Second World War years) to the community where they migrate (as in Nazneen's case and Hortense's and Gilbert's) or the family in which they live (as in the case of Shahana, Bibi, Irie, Marcus, Millat and Magid).

In the plural social space depicted in these novels, race and ethnicity are an inherent factor but they are not portrayed as the only major issue. Race and ethnicity come alongside problems of community identity (*Brick Lane*), national identity (*Small Island*) and family identity (*White Teeth*). Levy, Ali and Smith reject critiques of their work that focus on race. They refuse to stress race and ethnicity as their prime signification for difference, dislocation or exclusion in the novels, and this is a political act. It is true that the racial divide between the white and the Black population is central to Levy's *Small Island* and that Ali's *Brick Lane* also engages with racial problems between a part of the Muslim and the white communities in London. Nonetheless, the ethnic origins of the characters are not an issue that is highlighted as negative. In the case of second-

generation characters, being from a different ethnic background is not in itself the only problematic matter. There are other crucial aspects that intervene in their processes of identity negotiation. This entails the assertion of hybridity as ordinary and positive rather than as extraordinary and negative.

Zadie Smith's inclusion of three different family households in *White Teeth* is, perhaps, the most evident example. James Procter (2006) mentions Monica Ali's *Brick Lane* as an example of this fact. Procter explains his point by arguing that: "their [these novels'] everyday indifference to difference, perhaps also registers what Paul Gilroy has recently termed 'aspects of Britain's spontaneous convivial culture', the 'ability to live with alterity without becoming anxious, fearful, or violent' (Gilroy 2004: xi). The refusal to worry about 'race' in these novels, or to invest in insurrectionary forms of violence as progressive alternatives, is not necessarily a retreat from politics" (Procter 2006: 119). The attitude that such novels adopt responds, thus, to a moment in British history in which the initial reactions towards alterity – rejection and fear are the most universal ones (consider Levy's *Small Island*) – had been overcome to give way to what James Procter had referred to as "the-taken-for-grantedness of multiculture" (2006:119). It is important to bear in mind how a reassertion of multiculturalism can be in itself problematic, for discourses on multiculturalism are homogenising and stereotyping and they imply power relations as well. Moreover, advocating for 'an indifference to difference', for a non-racially-focused construction of characters in the novels involves the risk of excluding them from debates about difference; debates that are crucial in an understanding of these novels as examples of British literature that provide a broader view of British identity.

5. Conclusion

Literary works produced by ethnically diverse women writers such as the ones under study, participate in this process of cultural re-definition and by inscribing the history of part of British society that has not been widely dealt with in literature (as is the case of Andrea Levy's account of Caribbean female experiences of immigration and settlement in Britain in *Small Island*) they interrogate official accounts of British history. These novels portray a multicultural space where a homogenous cultural identity is questioned throughout. In Bhabha's terms such literary works show how "culture is less about expressing a pre-given identity (whether the source is national culture or 'ethnic' culture) and more about the activity of negotiating, regulating and authorising competing, often conflicting demands for collective self-representation" (Bhabha 1999: 37-39). These literary works, by presenting a dynamic representation of spaces in British society stress hybridity and, therefore, celebrate the 'third space'. Bhabha's thesis and the deconstructive idea conferred by the term *hybridity* lie precisely behind my contention that the novels under analysis subvert an ethnically homogeneous view of contemporary British culture and society (Bhabha 1990: 211). Levy, Ali and Smith make use of fiction as a way of representing a hybrid reality that for them is not extraordinary or marginal but part of their ordinary life. They are writing about what they know, what they experience and what they feel as ethnically diverse

British citizens, and their novels echo this diversity. Their experience is to be British in a multicultural location where identity is fluid.

Identity and its performative character become an issue once the idea of belonging to a place – that is, the connection between space and self – is broken: "the thought of 'having an identity' will not occur to people as long as 'belonging' remains their fate" (Bauman 2004: 12). Sociologist Zygmunt Bauman draws attention to the fact that "the problem of identity" is a modern phenomenon in that it is brought about by the disassociation of the concept of birth and nation as a once single cause-effect factor (Bauman 2004: 24). For Bauman we are all living in "liquid modernity" characterised by a lack of stability and radical change. In such a life setting, "identities are perhaps the most common, most acute, most deeply felt and troublesome incarnations of ambivalence" (Bauman 2004: 32). Ethnically diverse authors born in Britain experience this disassociation and this ambivalence even more since they occupy an in-between space where traditional cultural representations of Britain fail to encompass their 'hybrid' identity. In some respects, following Bauman's postulates, their identity status has to be seen as located in a continuum of opposed forces of belonging and exclusion, communitarism and individualism (2004: 77).

Thus, having access to the spaces of representation that literature bestows allows ethnically diverse female writers such as the ones under analysis to deal with the daily experiences of 'hybrid' individuals and redefine social spaces that acknowledge their British hybrid identity. The novels exemplify the dynamic and fluid nature of social space by depicting social spaces as constantly being negotiated and, accordingly, inscribed with variable meanings. If "the metaphoric and the real do not belong in separate worlds; [if] the symbolic and the literal are in part constitutive of one another" (Keith and Pile 1993: 23), then, through their literary productions, Levy, Ali and Smith can be said to offer alternative 'representational spaces', following Henri Lefebvre's thesis on *The Production of Space* (2005). Such alternative spaces might, in turn, contribute to modifying social spaces and the social meanings attached to them. For meanings are not immanent but are always constituted and affected by the representational spaces that articulate them. Even if this could be too optimistic a reading, what cannot be denied is that the novels analysed provide, inscribe and validate different ways of being British and different strategies of inhabiting a hybrid location in contemporary Britain.

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REVIEWS

RESEÑAS

Celestino Deleyto 2009: *The Secret Life of Romantic Comedy.* Manchester: Manchester UP. xi + 208 pp. ISBN 0719076749

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> My aim in this book is...double: on the one hand, as far as generic theory is concerned, I will be taking issue with the notion of belonging as the most appropriate way to talk about film genre; on the other, I will be arguing that there is more to romantic comedy than meets the eye, that the genre's presence in films is richer, more complex and less ideologically determined than it has generally been taken to be, and that it can often be found in the most unexpected places. (3)

Celestino Deleyto here reveals the manifesto for *The Secret Life of Romantic Comedy*, a work which contests many of the habitual assumptions about the genre. Deleyto is well-placed to take on this task: he has written and published widely on romantic comedy, as well as compiling and editing, with Peter Evans, one of the foremost collections on the topic, *Terms of Endearment: Hollywood Romantic Comedy of the 1980s and 1990s* (1998). In his new book, however, Deleyto exceeds even his own previous achievements, producing a new take on the genre as provocative as it is innovative. And so the term *manifesto* is not an exaggeration: Deleyto proposes that we – film theorists, critics and audiences alike - abandon the ways that romantic comedy has been traditionally conceived and dismissed. By using his new paradigm we are enabled to re-evaluate this generally despised genre, while specific films habitually excluded even from the romcom's lowly ranks will be reappraised. The author devotes his first two chapters to demolishing established views of the romantic comedy and genre per se, and the remaining three to proving the validity of his new theory via the close textual analysis of various films not usually deemed belonging to the romcom.

This, however, is precisely the concept to which Deleyto states his fundamental objection: the notion of *belonging* and genres. When writers believe that films 'belong' to specific genres, Deleyto attests, this reveals their anxieties about border patrolling, and their fears about (a taken-for-granted) purity becoming tainted. What seems a common-sense and commonplace term indicative of familial relations between texts actually hides deep if unconscious investments in a rigid system of classification. In my 2007 book on the genre, *Romantic Comedy: Boy Meets Girl Meets Genre*, I concluded my historically-situated survey of the screwball, sex comedy, and 'radical' Seventies romantic comedy by coming up-to-date and repining that, by contrast with its genuinely comical forebears, the contemporary romcom is unfunny and liable to render the whole genre moribund. Deleyto contends that my disillusionment with contemporary products results from the small size of my catchment pool. Were I to employ the wider and more generous classification he proposes, many of my objections to the contemporary genre would disappear.

Deleyto demonstrates this by offering a synopsis of Steven Soderbergh's 1998 film *Out of Sight* which makes it sound like a romantic comedy, complete with the archetypal romcom convention, the 'meet cute': the future lovers meet when locked together in a car boot. While the film is usually understood as a thriller, Deleyto insists that denying the romcom elements inherent in the narrative diminishes our understanding not only of this one text but more widely of the genre's potential as a whole. He goes further: the history of the genre shows that romantic comedy has always been enriched by films such as *Out Of Sight*, which most theorists would not recognise or would reduce to minor entries in the canon. Yet insisting on the central importance of texts like this is part of Deleyto's project to revivify the genre and overturn the critical contempt its films usually attract.

But Deleyto is not content to alter only the familiar contours of the *contemporary* romcom. He insists his more ample reading of the romantic comedy be applied retrospectively also, and thus examines older films habitually felt not to 'belong to' the genre, in order to demonstrate further that notions of belonging lead to a stunted understanding. He suggests another film for inclusion in an enlarged list of romantic comedies: *Rio Bravo*. This famous 1958 Western may at first seem an odd choice for addition to the ranks of films like *It Happened One Night, Pillow Talk*, and *Annie Hall* but Deleyto has his reasons: the very qualities which make the film seem unlikely to fit the genre – its male sensibility, reliance on violence and mistrust of the civilising effects of women – are the elements necessitating the inclusion of its romantic comedy aspects. The antagonism to the female inherent in the Western genre needs to be weeded out if the West is to thrive – if indeed the nation is to do so, and hence the importance of subjugating the hero, John T. Chance, played by iconic Westerner John Wayne, to the laughing female Feathers (Angie Dickinson): "The text...sees this irrational fear of women as an impediment not only to the hero's humanity but to the future of the country. At this point, romantic comedy, like the Seventh Cavalry, comes to the rescue..." (16).

Romantic comedy rescues the film as well as the hero by importing female desire into the narrative. In this way, Deleyto asserts, the film's romantic comedy scenes emphasise the gender equality necessary for the salvation of hero and nation.

The potential of romantic comedy to alter the trajectory of the narrative is one of the topics *The Secret Life* investigates. The other is equally moot: many audience members and theorists – again including me – have often castigated the romantic comedy, especially the current forms of the genre, for being neither sufficiently romantic nor comedic enough. Yet the laughter engendered by comedy is vital, Deleyto insists, to the success of the romantic comedy's project. He finds that humour is imperative to the creation of what he calls the *space of romantic comedy*, a protective bubble inside the film which permits the characters room and time to find themselves and each other: "... a space which transforms reality...by protecting the lovers from the strictures of social conventions and psychological inhibitions. This comic, protective, erotically-charged space is the space of romantic comedy" (18).

Deleyto sees this space within romantic comedies as operating very much like the 'green space' that permits the lovers' adventures in the comic plays by Shakespeare: thus

Susan's aunt's house in the Connecticut countryside in *Bringing Up Baby* (1937), away from the distractions of the city, provides the locale the couple needs to quarrel, play and learn to love in much the same way as does Illyria in *Twelfth Night*. Deleyto stresses that this space is not just a geographical, but specifically also an erotic and comic one. But it needs both elements to work: without the combination of both eros and humour, many films' resolutions would not be possible, as attested by the famous final line of *Some Like It Hot* (1959). Here millionaire Osgood responds to the revelation that his new love 'Daphne' is actually a man with the accepting words, "Well, nobody's perfect". While this ending can be read, Deleyto notes, as "a subversion of the traditional happy ending of the genre" (35), he specifically interprets it also as emphasizing the sexual utopia the film's comic space proposes.

Although asserting the perennial importance of both the comic and erotic to the genre, the author does not suggest that an ahistorical or timeless quality inheres in the romantic comedy. Far from it: Deleyto insists on returning films to their originating historical contexts in order to read them. To this end he then devotes a chapter to investigating two romantic comedies, *To Be or Not to Be* (1942) and *Kiss Me, Stupid* (1964), both of which were perceived to be problematic on release.

Deleyto examines the Lubitsch film by unpicking its generic threads, and noting that "There are two types of intergeneric encounters in the movie" (60), between the comic, and the thriller or adventure elements, and then between two different types of comedy, satirical and romantic. Rather than being haphazard encounters, he suggests that the comic treatments of the romance, and of the Nazis, are linked and interdependent. The space which permits the love triangle to flourish is also that which ensures the safety of all the lovers against their common enemy. Deleyto notes that the film uses Carole Lombard's established on-screen 'screwball' character; further investigation of her star persona might have been profitable to round out this discussion even more, since the star was widely known to be cheerfully libidinous. Lombard frequently and publicly asserted her right to live 'like a man' and to choose her (successive) sexual partners outside of marriage. Reading Maria Tura as a version of Lombard herself would then add to the character a further dimension, one of self-reference.

If *To Be or Not to Be* represents a rare encounter between screwball and satirical comedy, *Kiss Me, Stupid* occupies an even rarer position, since it advocates not only adulterous relationships but suggests that prostitution can fulfil the woman, an idea Deleyto notes "was not only ahead of its time, but to a very great extent, also ahead of our time" (83). He then examines this frequently-reviled film and ends by suggesting that its comic space recuperates it since, like *Rio Bravo*, *Kiss Me Stupid* actually promotes an acceptance of female sexual agency and desire. Here the small town of Climax, Nevada acts as the space of romantic comedy. Finding himself stranded in Climax, Dino, well-known singer and lothario, encounters two would-be song writers, Orville Spooner and Barney Millsap, who try to lure him to buy their songs by offering him Orville's wife Zelda. Orville is, however, too jealous to pander his real wife and recruits local casual prostitute, Polly the Pistol, to impersonate her. Polly plays her role of demure wife so well that Orville becomes jealous of Dino's attentions to *her*, and the pair retires to the marital bed. Dino meanwhile ends up in Polly's trailer where, through

a series of plot exigencies, he finds himself entertained by Zelda. Wife and courtesan have thus changed places. Deleyto finds the film's redeeming move is to show that Zelda, who had a teenage crush on Dino, responds *positively* to his assumption that she is a prostitute: with him she can live the ultimate fan fantasy of sleeping with the long-desired star. While previous critics have found the film tasteless, seeming to suggest all women are interchangeable, Deleyto provides a close analysis of the film's camera work and editing to show this is not its intent.

Deleyto then illustrates how his more generous definition of the genre equally serves texts which are traditionally felt to be outside the romcom, in looking at "romantic comedy on the dark side" (103). Here he examines Alfred Hitchcock's 1954 thriller *Rear Window* and Woody Allen's *Crimes and Misdemeanours* (1989). The former seems to fit more easily into a discussion of the genre, since Hitchcock films frequently sustain the lightness of tone permitting eroticised verbal sparring between the male and female protagonists. Deleyto determines to examine the film alongside romantic comedy in order to see how the film's use of and deviation from romcom norms enhances its drama: "In this chapter I look at *Rear Window*, again not as a romantic comedy, but as a text in which this genre interacts with another one, in the case the non-comic suspense thriller, producing, as a result of this cross-fertilisation, relevant consequences for our understanding of the film" (105).

Understanding the potential of the romantic comedy space which Deleyto has laid out for us, we can thus see how this film evokes it and shows it menaced by the murderous forces belonging to the other half of the film's generic mix. The film teases the viewer on the occasion of Lisa's introduction by showing Jeff asleep, vulnerable in his chair, as a dark shadow looms over him. This potential threat then seems dispersed when the reverse-shot reveals Lisa, leaning in for a kiss. Yet the space of romantic comedy which this kiss creates could also become the "gothic space of the thriller in which murderous drives often signify sexual obsession and repression" (123). Thus both romance and murder have staked a claim to the unfolding narrative and will thereafter battle to see which can claim the couple.

While death threatens but does not separate the couple in Hitchcock's film, in Allen's it is triumphant: the woman is murdered. Deleyto sets himself his most difficult task in discussing *Crimes and Misdemeanours* in terms of romantic comedy, since the death of love is at its heart. Yet the film could so easily be assumed, before reading its synopsis, to be a romcom. Its director's credentials are hard to overlook: Allen is the man who practically invented, with films such as *Annie Hall* (1977) and *Manhattan* (1979), both the 1970s form of the romantic comedy – sexually savvy, witty and self-reflexive – and the now-inevitable use of New York City as *the* locale of love. Here again is the usual setting and theme, love failing amongst hip Jewish intellectuals on the Upper East Side. But the hero is not the usual Allen schlemiel. Instead of complaining about his girl-friend to his analyst, he hires a hit man to kill her.

Deleyto asserts that the generic mixing occurring in the film is no accident: "Allen uses the thriller in so far as it can affect the evolution of his brand of romantic comedy" (129). Allowing 'his brand' to evolve far enough to include murder seems to indicate that Allen was frustrated by association with the romantic comedy and wanted to start

afresh. While *Crimes and Misdemeanours* then frequently *looks* like Allen business-as-usual, its narrative takes it into different territory. Deleyto seems to enjoy the 'permeability' of the comic by the darker elements of the film's plot, "the elasticity it shows in allowing itself to be transformed by the thriller" (130), but to many audience members the film merely seems cruel, meting out harsh punishments to the few good characters, allowing the bad to flourish. When the film concludes with a fluid sequence of images from earlier scenes, it is difficult not to see Allen reworking the famous montage ending of his earlier *Annie Hall*. Deleyto reads the end of the film as leaving the viewer with "resigned optimism" (142) but for the lover of romantic comedy this emotion is very hard to conjure: not only the heroine of *Crimes and Misdemeanours* but *Annie Hall* itself seems to have been slain by the conscious reworking of a montage-conclusion.

One final point arises in Deleyto's discussion of the Allen film which ties into his final chapter, where the important part played by independent movies in the development of the romantic comedy is considered. This is the proffering in *Crimes and Misdemeanours* of forms of love alternative to the heterosexual tradition. Deleyto finds comfort in the presentation of the non-romantic relationship between Cliff and his niece Jenny. However, Cliff is played by Allen himself, and this prompts a problem: in the light of his much-publicised affair with and later marriage to his (virtual) step-daughter, it is difficult for the viewer now to ignore extra-diegetic awareness of Allen's own erotic preference for young girls. This seems to me inevitably to affect responses to the film's advancement of the non-erotic but still loving relationships *Crimes and Misdemeanours* presents.

In the final chapter Deleyto is pleased to find independent pictures free to promote unusual forms of love and friendship. He concludes, however, by examining an indie film with a straightforwardly heterosexual romance, *Before Sunrise,* the 2004 follow-up by Richard Linklater to his earlier film *Before Sunset* (1995). While this brought together a French woman and an American man for a single night of romance in Vienna, in the later film the couple meet again in Paris, and once more experience a romantic frisson. Deleyto concludes that the second film self-consciously revisits the reluctance of the first to turn sexy talk into action, yet finds that this very lack of any conclusive movement towards consummation is the film's charm.

Thus *Before Sunrise*'s frank avowal of the difficulty of intimacy provides a useful point for Deleyto to take stock of what the contemporary romcom has become. Concluding, he contrasts the rigidity of the criticism directed at the genre with its own remarkable fluidity and flexibility, as evinced in films such as Linklater's, and demands that it be afforded a more supple treatment by theorists and audiences alike.

With this book Deleyto is not attempting to add a dry little monograph to the literature on romantic comedy. His task is bigger: to rewrite the entire concept of the genre in order to enlarge its surface area and thus prove the problems many critics have with it are actually problems inherent in our own, too small, conception. The book passionately challenges orthodoxies, providing indispensable reading for anyone who teaches or researches not just romantic comedies but film genre as a whole, as well as readers who want to enrich their perception of what romcom can do. This provocative

and fascinating book asks readers to reappraise their own prejudices, to go back to the familiar films and seek out new ones, to give up the lazy adoption and maintenance of platitudes. In doing so, its author seeks to liberate the romantic comedy from its despised position at the bottom of the generic hierarchy. The genre may have been waiting a long time, but at last Deleyto, like the Seventh Cavalry, has come to the rescue.

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Pier, John and José Ángel García Landa, eds. 2008: *Theorizing Narrativity*. Berlin: de Gruyter. 464pp. ISBN: 978-3-11-020244-1

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The publication here reviewed has its origin in the Narratology Seminar convened by John Pier and J.A. García Landa at the ESSE Conference, University of Zaragoza, Spain, in 2004. Apart from the papers read at the Conference, this volume contains contributions by some of the most important researchers on Narratology worldwide. This makes it one of the most challenging and intellectually stimulating publications in the field since the founding parents of narratology presented their new approach to the analysis and understanding of literary works.

The decades of 1970 and 1980 saw the publication of seminal research on the issues that integrate the field of Narratology: Genette (1972), Chatman (1978) Prince (1982), Bal (1977, 1984), Sternberg (1978 and a long etcetera), Stanzel (1979, 1981, 1985), Ryan (1981). The journal *Poetics Today* has since then been the outlet for groundbreaking articles, both in issues that review the state of the art (e.g. *Poetics Today* 2:2 [1981] and 11 [2001], and in issues that contain articles on the cutting edge of Narratology (e.g. *Poetics Today* 24 [2003]). Research in the 1990s and the first decade of the twentyfirst century has widened the scope of both empirical studies and theory of Narratology. References to such research will be given when reviewing the various chapters of *Theorizing Narrativity*. The publication contains contributions related to recent research followed by empirical studies of literary works. However, the relevance of this collection of articles lies mainly in the attention to recent developments in genres such as drama, and in the media (TV series, Internet stories by instalment or with diverging endings, computer games, etc.). This is what makes this volume different from Pier's *The Dynamics of Narrative Form* (2004a), which includes articles by Pier on 'Narrative Configurations' (Pier 2004b: 239-68), Nünning on the narrator (11-57) and García Landa on re-writing and re-reading (191-214).

Pier and García Landa, in their Introduction (7-18), mention the need for reflection on criteria for theorizing narrative. The editors attempt a widening of scope in narratology, introducing accounts of the context of narrative, analyses of production and reception and attention to contemporary modes of publication.

Meir Sternberg (29-107) in 'If-Plots: Narrativity and the Law-code' addresses the narrativity of the legal process. The latter is a successive telling and re-telling of the facts involved in court proceedings. Trials follow certain rules, which are codified, and the stories told by lawyers are based on a "claim to factuality" (33). However, events based on actual fact can give rise to possible futures. The more specified the law-code is, the fewer are the possibilities open for legal story-telling. On the contrary, says Sternberg, the law can have "boundless story-generating power" (42) and produce variants of the master tale. In cases where the code can be specified or extended there is only one way to determine "the reference of the umbrella words to the world, the master tale's

applicability to its imaginable modifications in law and contested manifestations in life"
(43), and this is *inference*. *Inference* will show up repeatedly in the following chapters,
albeit not always connected with its role in pragmatics research. The law-tale's most
common form, says Sternberg, is that of "if-plotting" (52), and he demonstrates how
this works with examples from the Holy Scriptures. Even a commandment in its
imperative form contains several stories: prescriptions, prohibitions or contingency.
The law may look absolute, but carries with it practically unlimited possibilites for
narration (55). For this type of narrative, Sternberg (1998) introduced the term
generative narrative or *genarrative*. The law as genarrative is connected with the idea of
the macroplot, which can give rise to a wide array of stories.

Sternberg, in his work on universals in *Poetics Today* 24 (2003), expressed his
dismay with regard to cognitive turns in literary research, on the grounds that many
researchers of this bent do not take into account earlier research in narratology. A
similar dissatisfaction shows in section 6.2. of Sternberg's article, on speech-act theory.
This is not surprising, as Sternberg takes as his point of departure basically the works of
Austin and Searle, and the question is asked whether narrative can be called an
extended speech act. Speech-act Theory, as developed by Grice, and also Relevance
Theory (Sperber and Wilson 2000) has been more useful in analysing literary works,
even though these tools have been applied only to intradiegetic dialogues, i.e.
characters' directly quoted speech and the context of dialogues. This means that such
research has more to do with linguistics than with literary theory.

John Pier's chapter 'After this, therefore because of this' (109-40) is based on Ryan's
(2004, 2005) list of basic conditions of narrativity, which includes the condition that a
narrative text "must create a world". This world "must undergo changes of state" (Ryan
as cited by Pier [110]). As Pier bases his discussion on these conditions, it is only to be
expected that he will find the tenets of Barthes, Greimas and Genette insufficient to
account for narrativity and take a stance where notions stemming from pragmatics are
given greater importance. Narrativity is for Pier a "dynamic process engaged during the
unfolding of a narrative rather than a built-in textual property" (114). Pier emphasizes
the use of "trial-and-error inferential reasoning" (114). The emphasis on inference is a
sign of the fact that the structural, sentence-based type of analysis of narration has given
way to a more cognitive-based analysis. Actually, the peeling off of narrative layers to
find the 'minimal story', so cherished by researchers of narrativity who use AI seems to
have exhausted itself, and the influence of pragmatics, and a more dynamic approach to
narrative, now prevails. Pier offers an analysis of Joyce's *A Portrait of the Artist as a
Young Man* where he establishes causal links between different parts of the novel,
showing how lexico-semantic and syntactic patterns are relevant on the narrative level.

Peter Hühn's chapter 'Functions and Forms of Eventfulness in Narrative Fiction'
(141-63) deals with tellability (a term coined by Pratt) and point in narrative, making
reference to Pratt's (1977: 208) contention that the author addresses, to a certain
audience, a narrative utterance whose point is display and whose relevance is tellability,
observing cooperative principles and maxims specified for such utterances. Deviations
from the unmarked case occur in the form of flouting of conversational maxims, which
are clues directed to the reader that implicatures are to be discovered, and the author is,
as Pratt says "seeking out an audience" (Pratt 1977: 391). The 'floutings' are called *events*

by Hühn, who links eventfulness and tellability. Hühn also makes use of schema-theory, and contends that close conforming to a schema does not produce a worthwhile story, and, to increase tellability, the events have to depart from an established pattern (147). A similar argument appears in Van Dijk and Kintsch (1978), Cook (1994) and Kearns (1999), who all focus on the complexities on the level of narrative language and reading comprehension. Hühn offers a discussion of Richardson's *Pamela,* and Joyce's short story 'Grace'. Schema theory has here been complemented with semantics in order to produce an interesting analysis.

Werner Wolf (165-210) discusses 'Chance in Fiction as a Privileged Index of Implied World-Views: A Contribution to the Study of the World-modelling Functions of Narrative Fiction'. Wolf takes as his point of departure Ryan's (1991) Possible-Worlds Theory: possible worlds in fiction have their roots in the actual world. Related to this is the problem of implied authors, their implied worldviews, and the problem of unreliable narrators. Wolf refers to Nünning 1993. Of interest here is also Nünning (1998), who offers a new perspective on the topic, and Nünning (2004). Chance, says Wolf, "permits access to the hidden depths of implied worldviews" (167). Chance can appear on the extrafictional, extradiegetic, intradiegetic or hypodiegetic levels. Logically enough, it is on the intradiegetic level that characters experience 'chance'. Chance can mean contingency, accidents or coincidence, it can occur at the beginning or at the end of the novel, and the degree of expectedness and the consequences is also relevant, says Wolf.

At this point I would like to draw attention to the similarity of *chance* to Hühn's *events*: both are highly conducive to the increase in tellability. Events, just like chance – or rather 'chance events' – depend for their existence in literary discourse on the author and for interpretation on the reader's worldview. The case studies are analyses of *Pandosto*, an Elizabethan narrative, where chance events are elements of narrative structure, and of Hardy's *Tess of the d'Urbervilles*, where chance happenings, and very specially their occurrence at certain times, structure Tess's life. I find the works relevant as an illustration of chance, but chance, in both novels, seems to me something dictated by fate and not random events.

Beatriz Penas Ibáñez (211-51) joins the fields of Narratology and pragmatics. Her approach is reader-centered: for a literary text to work the issues of perspective, point of view and focalization are of great importance as these are the ways an author has to guide the reader towards an interpretation. In narrative discourse, the pragmatic elements of inference and implicature are always present – or they are, as I see it, present in the type of literature that is commonly considered to be quality reading. Too many explicatures and too few implicatures make tedious reading but why this is so is a topic that has not yet been adequately explored. To interpret a literary work of art, readers will have to "read between the lines or, more specifically, to read read intertextually" (214). Penas discusses Hemingway and Nabokov. With regard to Hemingway, Penas says that "[his] non-standard way of writing narrative plays vertically, relying basically on disproportion between surface-to-bottom narrativity", and she insists on the reading on two levels: the surface level and the level that appears when reading between the lines (214). With regard to Nabokov's way of writing, Penas says that his strategy is not omission as he "does not silence significant narrative matter but rather masks it by replacing the most significant tale from the central textual space

to the margins. Retrieval of the real matter requires *inferential intertextual work* on the reader's part" (215, my italics). I believe that the reading between the lines refers to the retrieval of inferences and implicatures, and the reading of the lines to the retrieval of intertextuality, and that the two concepts should not be mixed. It can, evidently, happen that the average reader might not manage to retrieve all inferences and implicatures nor recognise all intertextual quotes. In Penas' chapter the need for an in-depth analysis of the workings of inference and implicature is patent.

David Rudrum's 'Narrativity and Performativity: from Cervantes to Star Trek' (253-75) discusses the nature of narrativity with reference to Sturgess and Prince. Looking for "the essence of narrative" is to impose restrictions on it (256). For an illustration of a text lacking narrativity Rudrum uses an embedded narrative from Cervantes' *Don Quixote*. He shows that the essentialist approaches to narrative are of very little help when different types of narrative logics coincide in a text (Tyrkkö, in the chapter following Rudrum's, mentions Cervantes as a creator of metanarratives, which invite readers to move backwards and forwards in the text). A similar problem crops up when applying the notion of perlocutionary effects of performatives to an episode of *Star Trek*, but, says Rudrum, "identifying the possible goals of the narrative *qua* speech is a good start" (273).

Jukka Tyrkkö, in "'Kaleidoscope' Narrative and the Act of Reading', deals with the narrative fragmentation that occurs in multilinear stories, made possible by the use of hypertext on the internet, which allow for the text taking several directions. As in this type of narratives the reader plays an active role, it is only natural that Tyrkkö should cite Wolfgang Iser (1984), and talk about the potential meanings of the text. However, in my view, when stories diverge two different texts emerge, but not different interpretations of the same text. The reader produces the story by choosing a particular link. As Tyrkkö says, the effect is produced by reader decisions, but the reader cannot foresee the kind of effect (300). A different ending would reflect back on the beginning of a story – this is also a question of how textual coherence has been handled in the diverging texts.

Michael Toolan in 'The Language of Guidance' (307-29) takes a close look at the short story. Toolan (and Penas Ibáñez, see above) mention the narratives that are "devoid of 'padding', a form where every sentence counts" (308). These are the works where implicatures are more important than explicatures, and "even a few lines of text [...] presage numerous continuations" (311). Toolan also mentions the problem of fiction where the narrative text is too obvious (an example of this could be the madly successful *Millenium* series by the Swede Stieg Larsson) and one that is too obscure (this is often the case in poetry, see Dahlgren 2005). Toolan asks himself how a balance is struck between these too extremes. In his text-linguistics and corpus based analysis of Munro's long story 'The Love of a Good Woman' he looks into 'the red box', the red box being both the actual red box mentioned in the Prologue of Munro's story, and 'the red box' as a metaphor for the means used in the development of the story, semantic, pragmatic and those related to narrative technique.

Ansgar Nünning's and Roy Sommer's 'Diegetic and Mimetic Narrativity: Some further Steps towards a Narratology of Drama', and Monica Fludernik's 'Narrative and Drama' are important contributions to the narratological analysis of drama, initiated by

Fludernik (1996), Jahn (2001) and Ryan (2004). Nünning and Sommer start with a
review of definitions of narrativity, citing Fludernik and Ryan, to conclude that the
normative dichotomies between fiction and drama on the grounds of lack of mediacy
should be forgotten in favour of an exploration of diegetic narrative elements in drama
(336). In part 3 (337-44), Nünning and Sommer review the notions *mimesis* and
diegesis. The distinction between showing and telling, admirably discussed by Auerbach
(1964), has been blurred by the appearance of new narrative techniques in the novel.
This is true, but the call made by the authors for new research is actually now being
produced and published.

Fludernik also argues that drama is a narrative genre and proposes a model for its
narratological analysis, including setting, which in drama "is a visual 'given'" (361);
summary (which in drama requires ellipsis); voice-over narration (362); and the
visual(isation) of elements in drama (363). Narration is present in drama, but
performance is also present in narrative discourse, as Fludernik shows by means of
analyses of Wilder's *Our Town*, Stoppard's *Travesties*, Edgar's *Entertaining Strangers*,
Dickens' *Nicholas Nickleby*, Lodge's *Small World* and the 'Circe' episode in Joyces'
Ulysses, once again exhibiting her command of literary sources.

Marie-Laure Ryan's chapter on 'Transfictionality across Media' is one of the most
interesting in this book. She focuses on practices intensified and transformed in and by
the digital age. The basic features of transfictionality are four: it involves a relation
between two distinct texts; the worlds projected by the two texts must be distinct, but
related; it depends on a textual world familiar to the reader; and it tries to preserve the
immersive power of the transfictionalized world. Ryan then reviews the different ages of
transfictionality, from the oral age through the age of print to the digital age. The
properties of digital media allow for a change in the use of the channel of
communication: computer networks "facilitate transfictional activity by opening a
public space on-line" (401). Ryan analyses digital works created by the use of frames
and window-splitting, and different forms of computer games. Readers familiar with
Ryan's work on possible worlds (1991, 2004, 2006) will enjoy the Appendix (409-15) on
the controversy between 'ludologists' and 'narrativists', and the reticence of the former
to accept computer games as stories, such games being "virtual life" and not
"representations of life" (410). Ryan argues that the games are more narrative because
the virtual world is a designed environment (413) and tellability and eventfulness have
been enhanced.

Finally, José Ángel García Landa's 'Narrating Narrating: Twisting the Twice-Told
Tale' returns to the phenomenon of intertextuality, in the widest sense, looking into the
worlds of hearing and overhearing, telling and retelling, writing and rewriting.
Narrative is *always* retelling what has already been told, Garcia Landa says in his first
paragraph (420). In the second paragraph he says that narrative is *often* a
transformation of a previous narrative, leaving the reader with the doubt whether
retelling is compulsory or not. In other publications where García Landa addresses the
retrospective dimension of narrative (García Landa 2004:191-214), this question is
disambiguated: narrative always tells what already has been told, but it would seem that
some stories are more re-tellable than others.

García Landa reviews the classical tenets of Narratology and goes all the way back to

Aristotle to underpin his arguments. As I see it, such an overview of the literature has already been carried out and the new research called for is being produced – new modes of telling require new attitudes to narrativity. García Landa is at his best when he develops his own ideas, as when formulating questions on narrative interaction, for example.

The articles in *Theorizing Narravitity* conform to the description made by Toolan of the best exemplars of narrative form: "devoid of 'padding'" (307), a book where every chapter counts. Part of the greatness of this contribution to research on narrativity is the fact that, in spite of the individuality of the contributors, the overall impression is one of coherence. The editors of this volume are to be congratulated on their effort in putting together representatives of the cutting edge in the field, organising the different chapters in an order that leads the reader from more classical approaches in (post)Narratology to research on products of recent developments in electronic and internet publications.

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Samuel Johnson 1775: *Viaje a las islas occidentales de Escocia* (ed. y trad. de Agustín Coletes Blanco 2006). Oviedo: KRK. 555 pp. ISBN 978-84-8367-003-3

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Although not as celebrated outside the English-speaking world, Samuel Johnson is one of the most prominent figures of the British Enlightenment, as the use of the expression the *Age of Johnson* indicates. He is known as a great modern lexicographer, essayist, literary critic and biographer; but Johnson did not neglect other genres. In his final years he engaged in writing a suggestive travel book, *Journey to the Western Islands of Scotland* (1775) which is now available in Spanish −*Viaje a las islas occidentales de Escocia* (2006) − thanks to a remarkable edition by Agustín Coletes Blanco. Having Samuel Johnson's *Journey to the Western Islands of Scotland* in its first Spanish edition is an event worth celebrating. The work, which has come to widen the range of Johnsonian works in Spanish, will surely have drawn the attention of those concerned with the European Enlightenment and travel narratives alike.

Johnson did not travel much during his lifetime but his early translations of Father Lobo's *Voyage to Abyssinia* (1735) and *Rasselas* (1759) suggest that he felt a great fascination for travelling and the trip he took in Boswell's company in 1773 must have been a long awaited experience. Always eager to expand his own knowledge, Johnson set out in his mid-sixties to explore the Highlands, a territory which he had imagined much more primitive. The *Journey* is certainly one of those pieces of writing in which Johnson's most scientific outlook is revealed and in that sense it is helpful in composing a comprehensive portrait of the author as a large-scale intellectual.

During his lifetime Johnson's opinions on countless issues deeply affected those who read his essays. His deliberations on the European oppression of America (*The Idler*, no. 81), female instruction (*The Rambler* no. 191) or the role of the intellectual (*The Adventurer*, no. 85) surely shaped the attitude of many of his contemporaries. However, it was the anecdotes attributed to him in the biographical works which proliferated after Johnson's disappearance that created a character larger than life. Among those, Boswell's *Life of Samuel Johnson* (1791) is considered to be the most captivating and vigorous of all records. It seems that Boswell's biography contributed to glorifying Johnson the man as a great genius and conversationalist rather than to help appreciate his scholarly accomplishments in full. As a consequence, outside the academic world Johnson has been acknowledged mainly as the legendary character responsible for a never-ending list of sayings, becoming part of the popular lore. As Lynn puts it "by the time Johnson died in 1784, he had become much more than a well-known writer and scholar", reporting Johnson's remark that "[he] believes there is hardly a day in which there is not something about me in the newspapers" (1997: 240).

In Spain, Johnson's impact has been scant, at least when considered globally. Except for his philosophical novel *Rasselas* (1758), which has seen several Spanish editions since

1798, his works have hardly received attention until quite recently. One of the reasons is that the nation which exerted a deeper influence on Spanish culture during the eighteenth century was France rather than Britain. Culturally as well as politically speaking, Spain became a faithful follower of French models during the Bourbon period. For Spain that was certainly an age of reform and modernisation but it was also a phase marked by hostilities with Great Britain over the control of American possessions, and the Family Pacts with France. Now and again Britain's enemies were criticised by Johnson in the pages of periodicals and pamphlets, and Spaniards, judged as too imprudent to offset the British in their expansionist attempts, were no exception. Indeed, the Age of Johnson falls together with a historical period that marks the beginning of a prosperous ascent of Britain as a leading nation in the world. While for the English Johnson became a sort of cultural icon and patriotic figure, his work and opinions were utterly neglected by rival nations.

Johnson's marked Englishness made him certainly less appealing to a non-English-speaking readership. Concerned as it was mainly with native writers, Johnson's critical work was overlooked in Spain for several generations. Indeed, when compared with the volume of biographical, critical and editorial work on Johnson written in English (Clifford and Greene 1970; Tomarken 1994; Fleeman 2000) the absence of Spanish publications on Johnson's work, *Rasselas* excepted (García Landa 1990; Pajares 2000; Bolufer 2003, 2004; Establier 2007), is evident.[1] Only in the last two decades has a renewed interest in the English writer led Spanish scholars to make some of his best works available in their language.

A pioneering work in drawing the attention to Johnson's production was Bernd Dietz's *Las vidas de los poetas ingleses* (1988), a Spanish translation comprising nine out of the fifty-two essays Johnson completed in *Lives of the English Poets* (1765). Dietz's insightful choice of Johnson's work reflected a salient feature of the English author −that of the literary critic. This first edition of Johnson's *Lives* was crucial in encouraging other scholars to make Johnson's works better known in the Iberian book market. Although fourteen years apart, evidence of that mounting interest is the publication of *Preface to Shakespeare* (1765). This piece of criticism was first translated into Catalan −*Prefaci a les obres dramàtiques de William Shakespeare* (2002) − by John Stone and Enric Vidal. A year later, the Spanish version −*El Prefacio a Shakespeare* (2003) − by Carmen Toledano appeared, though lacking paratextual elements that could have illuminated readers on Johnson's contribution to Shakespearean studies.

Next in publication was the translation by Agustín Coletes Blanco of Johnson's account of his visit to Scotland in 1773 −*Viaje a las islas occidentales de Escocia* (2006). The book is closely analysed here on the occasion of the 300th anniversary of Johnson's

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[1] José Ángel García Landa was the first to make a contribution to criticism on Johnson's *Rasselas* in Spanish scholarly journals. More concerned with Johnson's reception in Spain is Eterio Pajares, who focuses his attention on the first translation of *Rasselas* into Spanish. Recently, Johnson's first translator −Ines Joyes y Blake− has also attracted the attention of historians such as Monica Bolufer and Helena Establier, who have examined the crucial role played in the appropriation of Johnson's debate on female education by this member of the Irish community in Spain.

birth in 1709, which has fostered so many celebrations and cultural events to honour Johnson both in Britain and abroad.[2]

When considering Johnson's reception in Spain it is worth noticing that Boswell's biography of Dr. Johnson saw two full-length Spanish editions in 2007. The first *Vida de Samuel Johnson,* by José Miguel and Cándido Santamaría López, was foreworded by philosopher Fernando Savater, which granted it broad impact. The second was a translation by Miguel Martínez-Lage, who was accorded the 2008 National Translation Award for his achievement. The concurrence of new translations of the *Life of Samuel Johnson* testifies the increasing significance Boswell's *Life* and its protagonist have recently attained in Spain.

Coletes's Spanish edition of *A Journey to the Western Islands of Scotland* is, however, quite distinct in its scope and nature when compared to other works by Johnson published so far in Spain. The originality of this translation lies in the fact that the text belongs neither to the category of literary criticism nor to that of fiction. Johnson's travel book should rather be considered the work of a modern geographer, sociologist and ethnographer who aims to discover what lies at the root of *otherness.* Johnson endeavours to explain the differences between the English way of life and that of the Highlanders, who were initially unknown to him and despised. Yet, Johnson's scientific report is implemented by philosophical assertions reminding the reader of the sententious style and truth-seeking stand typically found in 'The Vanity of Human Wishes' and *Rasselas.* In this respect Wiltshire (1997) declares that "the scientific and anti-romantic imperative – the drive to depict only what he saw and to recount only what he could be sure of – coexisted within a mind and imagination imbued with literary classics and with a desire to see the general within the instance, the need to enhance the particular with the aura of the universal" (213).

The hybrid nature of the *Journey* results not only from the various models of travel narrative that coexisted during the late seventeenth and the eighteenth centuries (69-106) but mainly from Johnson's broadness of mind, which allows the author to modify his first negative impressions and replace them with comments that acquit Highlanders of several charges. Hence, when examining the Scottish landscape in the early stages of the *Journey,* Johnson censures the native population for their negligence in the sowing of trees, only to explain later that the peculiar climatic conditions of the area may justify such bareness. Similarly, his complaints about the lack of basic commodities soon give way to a genuine appreciation for the Highlander's hospitality. As Coletes points out (95), the reader will appreciate a change of attitude as the trip progresses: Johnson's mixed feelings are gradually replaced by a growing pleasure at new discoveries. Wisely, Johnson closes the *Journey* excusing his occasional prejudice and initial ignorance: "Having passed my time almost wholly in cities, I may have been surprised by modes of life and appearances of nature, that are familiar to men of wider survey and more varied conversation. Novelty and ignorance must always be reciprocal, and I cannot but be conscious that my thoughts on national manners, are the thoughts of one who has seen but little" (Johnson 2000: 641).

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[2] http://www.johnson2009.org/events.html

The Spanish edition of the *Journey to the Western Islands of Scotland* is an elegant 515-page volume. On the whole, Coletes has made an excellent contribution to the Johnsonian corpus in Spanish which is not to be underestimated. This impeccable edition is intended not only for scholarly use – although it will be highly appreciated by historians, philologists and geographers alike – but will gratify readers of all trades. *Viaje a las islas occidentals de Escocia* offers much more than Coletes's fully annotated version of Johnson's *Journey*: The Introduction (9-121) provides essential background information and a valuable synthesis of the multiple perspectives from which the *Viaje* may be interpreted. The first section of Coletes's study –'*El doctor Samuel Johnson (1709-1784): vida, obra y entorno literario*' (13-34) – is intended to set the author in his specific cultural and literary framework. Next, a convenient outline of key historical events –'*La Escocia que conoció Johnson y sus claves históricas: de Caledonia a Culloden*' (35-68) – supplies sufficient details on the complex network of political and religious interests at play between England and Scotland before the Union (1707) and up to Johnson's times. Essential to understanding the implications of Johnson's disappointment are the references made by Coletes to the transitional period in which the author and Boswell undertake their three-month journey. From the long-established feudal system, based on the privilege of Scottish clans, Scotland gradually develops in the two decades before this expedition into a more modernized society, though far behind in most aspects from England. Evidence of the Scottish evolution is given by referring to Watt's improvement of the steam engine, Adam Smith's defence of new economic principles, and Hume's philosophical thought (65). '*El* Viaje a las Islas Occidentales de Escocia *como libro de viajes. Género, estructuración y contenido*' (69-108) aims to set the book in the context of eighteenth century travel narratives and traces its emergence as a hybrid genre. The closing section – '*Bibliografía comentada: fuentes primarias y secundarias. Esta edición y traducción*' (109-21) – illustrates Coletes's conscientiousness as a scholar and translator, for it comments on an updated list of primary and secondary sources used to enhance his excellent work on Johnson and his *Journey.* Finally, it is worth noting that the edition is garnished with a map of the route followed by Johnson, and contains portraits of Johnson, Boswell, Johnson's wife and Hester Thrale, with illustrations of the sites described by the traveller.

Regarding the translation method, Coletes (118-21) avoids domesticating the original but opts for *montañés* as the equivalent for *Highlander* instead of *habitante de las Tierras Altas*, which is devoid of the regional connotations the word may evoke in the North of Spain. However, to preserve the local flavour, he sensibly borrows Scottish words such as *coot* (166), *kail* (186), *plaid* (189), *kirk* (189), *glen* (219), *lough* (228), *brogues* (253), *filibeg* (256), *cairn* (261), *sgailc* (265), *dun* (303), *laird* (334), *tacksman* (335), *quern* (369) and *seanachadhis* (387). Translators of Johnsonian texts must be aware of false friends – as in *political*, *computation* or *distinction* – and the frequent use of Latinate vocabulary which conveys the impression of elegance and formality in English. Coletes's version is faithful in this regard, for he resorts to archaic expressions such as *principiar* (244), *prima tarde* (247) or *munificencia* (617). The Johnsonian essayistic style, recognisable for its balanced assertions, complex subordinate structures, embedded clauses and stretched periods in the argumentative passages, is also a challenge for the translator. The intricacy of the original is difficult to convey when

translating into Spanish. The main reason is that the distinction between a cultivated tone and a more neutral style in a Romance language such as Spanish does not rely so obviously on an alternative lexical choice to the native and more familiar word as in English. Johnson's rhetoric may almost go unnoticed in a plain Spanish version but again Coletes manages to preserve the marked style of the original by resorting to compensation strategies – the use of paraphrase for ready-made one-word equivalents – and avoiding the restructuration of sentences for the sake of naturalness in the target language.

The use of notes is in general adequate, particularly when cultural and historical references remain vague in the original or no familiarity on the part of Spanish readers is presumed. However, some footnotes –124, 126, 132 – may seem irrelevant, for they distract the attention of the reader as they pertain to the identity of some minor character. Similarly, a few linguistic notes – as that on *kirk* (189) – could be spared since the essential information is given by Johnson himself in the body of the text.

An extraordinary documentary task underlies this edition. This is patent in Coletes's effort to clarify the significance of historical characters and events or even correct Johnson's impressions by an extensive comparison of various editions and secondary sources. Boswell's *Journal of a Tour to the Hebrides* (1785) is mainly resorted to for the sake of accuracy but also modern English editions of the *Journey* – Lascelles (1976) and Levi (1984). As a result, Coletes spots some inaccuracies in the Johnsonian text and introduces amendments.

In an age of travel lovers, the Spanish edition of this exceptional eighteenth-century guide to the Hebrides is worth reading, as it offers the opinions of one of the most highly–regarded minds of the British Enlightenment, with all its virtues – political correctness was not one of them – and vices. *Viaje a las islas occidentales de Escocia* is the result of Coletes's long acquaintance with eighteenth century travel literature combined with his understanding of translation theory and his admiration for Johnson's *oeuvre*. Agustín Coletes Blanco certainly accomplishes something very unusual these days –to make the reading of an eighteenth century travel narrative a pleasurable and stimulating experience.

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Pedro A. Fuertes-Olivera and Ascensión Arribas-Baño 2008: *Pedagogical Specialised Lexicography.* Amsterdam: John Benjamins. ix + 165 pp. ISBN: 978 90 272 2335 7

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A new publication in the field of lexicography should be welcome. Lexicography after all has not been until rather recently a popular discipline in *academia*. This is more the case if (i) the topic is *specialised* lexicography, and (ii) the book has been compiled by Spanish scholars. If lexicographical studies in Spain have been a rarity, studies in specialised lexicography are to be certainly more than welcome.

In many aspects, specialised language lexicography deals with the same issues and shares the same problems as general lexicography: the planning of a dictionary, decisions on the entries to be selected, access to the sources underlying and supporting definitions, the structure of entries and, above all, the nature and concept of the definition itself. As specified in the title, the book is centred on 'pedagogical specialised' lexicography. Moreover, the 'specialised lexicography' analysed throughout the book is of a bilingual character: Spanish-English and English-Spanish. In addition to that, the authors include the *pedagogical* dimension, which in fact may affect any dictionary as well.

The book opens with an introductory chapter. The connection of this study to *Language for Specific Purposes* (LSP) is firmly established in the first pages. The rationale behind LSP cannot be separated from the emphasis on the specificity of the lexicon which characterizes the use of language in different disciplines and this is no doubt one of the most solid links between specialised lexicography (monolingual or bilingual) and the use of language by ever growing groups of speakers that need to gain an adequate understanding of the intricacies of linguistic usage in restricted communicative fields. Globalization increases a similar need among speakers of different languages willing to communicate with one another.

Chapter 2 discusses the 'Macrostructure, Mediostructure and Access Structure of Business Dictionaries'. The authors analyse how a sample of business dictionaries deal with meaning in relation to what they consider 'basic lexicographical issues': homonymy, polysemy and the form of the lexicographical article. Their conclusions on the 'state of specialised dictionaries' in this respect are not too encouraging.

Chapter 3 approaches the nature of definition with more detail. They refer to three kinds of definitions: terminological, encyclopaedic and semantic, as found – they specify – in monolingual dictionaries. No significant differences are found in the first two types. Regarding the semantic definition, the authors detect the widespread use of what they call 'traditional definitional styles'. This is what makes definitions more complex to students and hence less accessible. The business dictionaries analysed abound in conceptual information, which deviates from users' needs in encoding and decoding meaning.

Chapter 4 studies equivalences in business dictionaries. This is no doubt a key issue in bilingual lexicography. Culture and tradition play a significant role in the analysis of

equivalences. Equivalence among languages has much to do with the conceptualization of the outside world and we know that cultural values are the catalysts of concepts first and, in a second stage, the linguistic forms that act as vehicles of transmission to others. Context and situation are therefore two necessary ingredients in lexicography, and particularly in pedagogical dictionaries. The findings reveal important divergences in the samples analysed and the authors point out some positive actions to be taken, particularly in meaning discrimination.

Chapter 5 deals with the issue of 'Examples in Business Dictionaries'. This is again a key ingredient in lexicography. Examples of usage in fact are the primary source of meaning and their presence in dictionaries should grant them the reliability they need as faithful witnesses of linguistic use. The authors conclude once more that LSP lexicography still needs significantly more example-based definitions. Moreover, they point out that many examples are artificial, *ad hoc* examples. Such a practice does not help in the right direction, that is, the use of examples to illustrate real 'live meaning' or equivalences.

Chapter 6 offers the results and conclusions of the study. The following points stand out: (i) The prevalence of nominal style, as a proof of the 'relevance of the noun term' in the specialised use of language. It can be added that this finding matches the distribution of the parts of speech in general language. The following data, based on Spanish, illustrate this fact: nouns take 25% of the words in discourse, verbs 15% and adjectives 6.9%. (ii) Homonymy, polysemy and the lexicographical article are not given the prominence they should have in LSP meta-lexicography. As a result, theory and practice may be said to be divorced and this affects the right conceptualization of the business domain. (iii) Changes in improving definitions or definitional styles have not been adequately digested and incorporated by LSP. (iv) Equivalences in bilingual specialised lexicography are often used indiscriminately, following different criteria and far from adjusting to the eight "categories of elements which can contribute to meaning discrimination of the lemma or its equivalent" (137). (v) Examples, as the real source of the meanings found in dictionaries, do not fulfil the function they should be assigned, either because they are often 'invented examples', or because they are absent.

The book is clearly and 'efficiently' written: it includes what the authors aim to include and they transmit the message they want to transmit, with precision, accuracy and in plain words. The academic nature of the topic is embodied within a clear style, despite the intricate concepts which are often the subject of debate. Its pedagogical character goes hand in hand with the title of the work, focusing on '*pedagogical* specialised lexicography' as the leitmotiv for analysis. From that point of view, the book meets the goals the authors' claim in the introduction and deserves reading.

This study approaches LSP from a lexicographic perspective. Time was ripe for such a decision. LSP studies have largely taken care of language teaching and neglected the field of lexicography, which is at the very centre of language in specialized domains. LSP dictionaries had developed, rather, as a 'practical and minor appendix' of general monolingual and bilingual dictionaries. This monograph is concerned with LSP dictionaries as autonomous works, fully integrated in the lexicographic discipline and pointing to users with specific needs and problems when looking for meaning in specialized linguistic areas. When referring to macrostructures (chapter 2), the book advocates their analytical character because that is what users (LSP students and

translators) really need. For a similar reason the authors are not in favour of the familiar distinction between lexicography and terminology and therefore propose abandoning the traditional method of onomasiological work in favour of a semasiological approach, which has a long tradition in learner's dictionaries.

Polysemy and homonymy, sense differentiation and sense ordering, the treatment of definitions, examples and equivalents are all at the core of the lexicographic work. The authors face those issues and offer their own perspective in order to solve the problems discussed. Some would require a more thorough analysis Sense differentiation is one of them.

The problem of word senses are the senses themselves: "There is no decisive way to identifying where one sense of a word ends and the next begins" (Kilgarriff 2006: 43). Still, we are gaining a better understanding of lexicographical work, among other reasons because we have more adequate tools for handling lexical information and data and because we may take valuable insights from other disciplines, such as general linguistics, sociolinguistics, linguistic variation, lexicology, corpus and computational linguistics and language teaching/learning. All those disciplines add new elements useful for a better description of meaning. The more we know about words and meanings and the way they relate to each other the more we are brought to the conclusion that meaning is not easily isolated into words or senses as traditionally considered. Meaning and meanings are a complex web of semantic relationships, organized as an intricate network, with multiple connections in a tridimensional space. The structure of the neural network itself is probably the best model to look at when looking for structural similarities. Cantos and Sanchez (2002) suggest a constellation- like organization when explaining lexical dependency and attraction. The constellational model allows for web-like semantic constructs around lexical units (be they words or phrases) and aids the understanding of semantic interconnections among words. Polysemy, synonymy, antonymy and homonymy, for example, find a better comprehension in this model, particularly regarding sense differentiation and the multiple crossings of shared features among words, even if apparently they are not so closely related. LSP lexicography will also benefit from this approach in the 'visualization' of meaning and senses. If we analyse the semantic components of two lexical items, *lumber* and *log*, and relate them to *wood*, we obtain a constellation-like semantic construct, as shown in figure 1.

It can be appreciated here that *lumber* and *log* are connected through one of their semantic features ('wood as a hard fibrous substance'), while at the same time, the term *wood* shares directly with both this same feature. Other semantic features of *wood*, (an 'area with trees' for example) are only indirectly related to *lumber* and *log*. Semantic and partial interconnections among lexical items, the hierarchy governing those interconnections and the non-linear character of such interconnectivity often make sense differentiation quite difficult. The constellational model offers a useful help to capture meaning relationships and place them in the right hierarchical level.
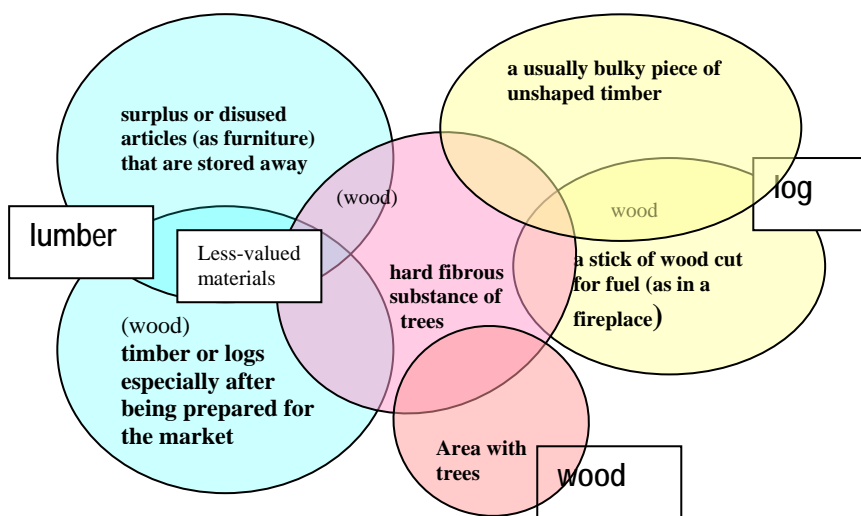
Figure 1: Example of a constellational model of meaning relationships

The authors advocate for the inclusion of definitions together with translation equivalents in bilingual dictionaries. This is no doubt an excellent initiative from a pedagogical point of view. Some practical and positive consequences may also be added to that. However, the complexity of such an initiative is high and publishers may find it too expensive to implement. Definitions of that kind would require in fact merging two dictionaries into one: the monolingual dictionary and the bilingual. Moreover, since the conceptualization of the world through language is not the same in different languages, the monolingual dictionary of the source language should be significantly enriched with many elements from the target language in order to adequately match the conceptualization of both communicative systems. The work involved in such a task is not to be underestimated.

The analysis by the authors of 8 business dictionaries gives ground to conclusions regarding a model which may better serve the needs of LSP users. The model entry they propose takes into account the passive and active sides of a business dictionary. Current practice of learners' dictionaries is also taken into consideration in this proposal. In this respect, they also claim that the specialised dictionary of the future should include a kind of conceptual introduction to the subject matter they deal with (Bergenholtz and Nielsen 2006; Fuertes-Olivera forthcoming). The usefulness of this suggestion is an open question, since access to the Internet may solve this problem with no extra investment by authors and publishers.

A book on lexicography, be it specialised or not, must necessarily come across some fundamentals of semantics, lexicology and the conceptualization of the world through language. Moreover, dictionaries are large and extensive works, with thousand of entries which must keep a homogeneous structure in order to facilitate the search and to easily capture the meaning of the definition and/or the explanation of this meaning. Both aspects require that any study on dAs is often remarked. The elaboration of

dictionaries requires practical skills, but at the same time must take a stand (consciously or not) on important theoretical issues. Among them, we may mention the nature of the word as a potential 'container' of meaning, the nature of meaning itself, the organization of meaning in our mind, the cognitive and referential aspect of meaning, the nature of definition and the types of definition. And dictionaries must also cope with one of the most serious problems in defining: the limitations derived from defining words with other words. Not all of those issues are commented on or analysed in this book. But some of them are, to the extent you can expect in a work of 165 pages, that is, in some cases only incidentally or partially. Two of them are particularly relevant here: the concept of definition, at the core of any dictionary, and the issue of equivalents, at the core of any bilingual dictionary.

Defining implies, among others, two basic issues: (i) a correct understanding of what is meaning and its organization, and (ii) the identification of the semantic features that constitute lexical items. Contrary to what one could expect, the types of definition are secondary to that. In fact, you can only proceed to the classification of definitions once you 'have them there'. It is well known that meaning is not to be equated to the real thing we can touch or sense; it is a reference to reality, a mental construct we build on the basis of the abstraction taken from the real world. Second, such a mental semantic construct would not be possible without an adequate organization among the many elements which integrate the construct. Organization guarantees comprehension, and implies locating everything in the right place regarding other elements in the construct. Such organization works as a basis for establishing relationships of various kinds among the elements affected. Chaos is thus avoided.

Capturing the semantic mental organization is also the key for a correct understanding of the relationships among meanings. And perhaps the clearest conclusion regarding these relationships is their hierarchical character. Organization into hierarchies is an efficient way of conceptualizing and understanding the world. As far as we know, the world itself is hierarchically structured and this is exactly the model we follow for organizing the references to the world inside our brain. The assumption of this hierarchical organization is the key to understand the nature of the definition itself and the types of definition in use. It is almost a commonplace to claim that there are better ways of defining, and hence ask for new improvements in definition. The claim is sound *per se*, but the question is how the improvement should be implemented. The *genus et differentiae* type of definition (usually referred to as the *classical* type of definition) is widely used by most dictionaries. This type of definition departs from a classification of the *definiendum* into a *genus* first, and then proceeds with the identification of the features that count for the differences among the elements of the same *genus*. This definition is not arbitrary: it responds and adjusts to the hierarchical organization of the meanings stored in our minds. And we must affirm that this is a most efficient way in order to identify the elements within a construct, since it facilitates rapid access to the place every meaning or sense keeps within a whole and the kind of relationships they keep with the rest of known elements within the same construct. The quality of a definition depends directly on the success or failure in the identification of the *genus* the *definiendum* belongs to (i.e. the place of the *definiendum* in the hierarchy) and the detection of its *differentiae* regarding other elements within the same hierarchy.

The authors of this book refer to this kind of definition as a 'semantic definition' and they are right. Suggesting changes in the kind and nature of the definitions would require however a more detailed analysis, which is beyond the scope of the present study.

The *genus et differentiae* type of definition is not only the 'classical definition'; it is probably the definition that best adjusts to the semantic mental construct we build in our minds. Other definitions may complement this one, but hardly substitute it. Encyclopaedic (and often functional) definitions, for example, are usually considered 'descriptive definitions', but in fact they function as a part or an appendix of the classical definition in so far as they basically describe the *differentiae*, that is, the features that are specific of the *definiendum*, which constitute a larger account of their differences regarding other elements, within the same category or outside it. They do not usually inform on the place the *definiendum* keeps in the lexical hierarchy (because the *genus* is not habitually specified). Other types of definitions include options with the 'equivalents' of the *definiendum* (as in bilingual dictionaries). When words are defined by means of synonyms or phrases we are offering equivalents close in meaning to the word defined. We are directly assuming that the equivalent belongs to the *genus* of the *definiendum* and that the *differentiae* are common to both (even if that is rarely the case). The main weakness of this kind of definition is that the reader must previously know both the *genus* and the *differentiae* of the equivalent in order to grasp the meaning of the item being defined. So how is all this related to the book under review? Are you pointing out weaknesses or just demonstrating superior knowledge?

Dictionaries, as repositories of language, should include as much information as possible in order to gain an adequate understanding of the language or languages they deal with. But limitations cannot be left aside. It may be that novelties in modern lexicography could be related in a great extent to decisive changes in the amount of information we can now include in lexicographical works, particularly in electronic dictionaries, which are no doubt substituting paper dictionaries in real usage. Users in fact do not open a book to look up the meaning of a word when they are working with a computer; they rather prefer to look for that information in the Internet, or directly in an electronic dictionary. If we focus on the electronic dictionaries of the future, size limitations will be almost irrelevant compared to paper dictionaries. Also irrelevant is the access to sources for defining (corpora and the web as a corpus), since these tools are now easily available to lexicographers. From that perspective, many of the ideas advanced by the authors of this book will easily find their way into the electronic dictionaries of the future. It must be kept in mind that electronic dictionaries at the moment are just paper dictionaries in an electronic format; the electronic dictionaries of the future have not yet been published.

Many other points could be highlighted and commented, all of them relevant in lexicography. Let me stress as a final remark the relevant work of the authors in publishing this book on specialised lexicography and strongly recommend its reading to scholars and students interested in LSP. They may find in this book a coherent and sound guide to correctly focus on the main problems and issues in the field. Still, further reading would be needed for a deeper understanding of some issues proper to general lexicography.

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Antonio García Gómez 2007: *Habla Conflictiva como Acción Social. Discurso y Cognición.* **Oviedo: Septem Ediciones.151 pp. ISBN 13:978-84-96491-52-6**

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Television is a part of our lives and conflict talk is an important part of it. As such it deserves our full attention (cf. Hutchby 1996). Television programmes with a focus on discussion and argumentative and opinionated content consciously use verbal conflict to try to manipulate, change or at least modify aspects of social life that affect us (cf. Carbaugh 1988). The study of controversial discussion has been approached from many different angles, for different purposes and often from a one-sided view. Within the field of linguistics, there are very few works that combine social psychology and discursive analysis (but see Grimshaw 1990; Hutchby 1996; Lorenzo-Dus 2000). In this sense, García Gomez's analysis of conflict talk in talk shows is a worthwhile contribution to both fields; it brings together the principles of social psychology and discourse analysis in an attempt to define this complex phenomenon and explain how it is used by participants in order to establish and construct their own social identity in line with authors such as Carbaugh (1988: 61-86) and Livingstone and Lunt (1994) who deal with those aspects.

The analysis focuses on the pragmatic strategies (with particular emphasis on verbal politeness) that the participants in a discussion use in order to construct, negotiate, manipulate or alter their own reality. From amongst many examples of talk shows, García Gómez has chosen to analyse the television programme *Kilroy*, which was successfully broadcast between 1986 and 2004 on British television (BBC1). In this respect, García Gómez's book can be viewed as following the same methodology seen in the works of, for example, Lorenzo-Dus (2000), who also examines the construction of identity in *Kilroy*, and Thornborrow (1997, 2007), who argues that it is through 'positional' stories that talk shows participants adopt a stance in favour or against a particular argument.

On the whole, García Gómez's specific choice of the television programme *Kilroy* and the framework for the analysis are satisfactory. In *Kilroy*, conflict talk emerges from the confrontation between two groups; the 'wrongdoers' and those who disagree with the wrongdoers' behaviour. In discussing what is right and what is wrong, the participants engage in verbal duels in which each type of participant chooses the strategies that will help him/her save face before the audience. Special attention is paid to politeness strategies and the concept of the *self*. Politeness strategies are classified according to the concepts of inclusion vs. exclusion. That is, speakers will use different strategies according to their objectives, which range from moving from one group to the other and gaining group approval to attacking the actions of a group in particular. As for the concept of the *self*, García Gomez's work highlights its dynamicity and the fact that it may be activated or de-activated during discussion (e.g. participants with

more discourse power usually abandon their *self-individual* and adopt their *self-social* so as to impersonate and transmit what is socially accepted behaviour).

The book starts with the author's definition of conflict talk, followed by a justification of his choice of analytic framework. Departing from the principles of social construction, the author proposes a combination of social psychology, discourse analysis and politeness theory in order to study conflict talk. Chapter 1 starts with some preliminary considerations of conflict talk as social action and then gives a justification of the structure chosen for the analysis in chapter 2. It concludes with an introduction to the three variables that will determine the function or dysfunction of conflict talk (22), namely: contextual factors, personality factors and credibility factors. Chapter 2 characterises the use of conflict talk as one type of social action that extends to three perspectives: psychological, sociological and psycho-sociological. He chooses the last one as the best option that would help characterise conflict talk within the talk show context. One relevant feature of conflict talk, according to García-Gómez, is that it should never be defined in terms of bad or good but in terms of functionality. He thus establishes a continuum, with dysfunctional at one extreme and functional at the other, which represents conflict. Chapter 2 also deals with the principles under which the corpus has been compiled.

In Chapter 3, the author suggests the union of both pragmatic-discursive and psychological dimensions as the most suitable framework for the study of the conflict talk featured in *Kilroy*. In the pragmatic-discursive field, he justifies the decision to draw upon verbal politeness to examine the interpersonal level of conflict talk. However, as the author states, the study would be incomplete without a psychological study, for "the emotional state has a direct influence on strategies of politeness" (42). Thus, García Gómez offers a classification of self-categorisation in order to be able to classify and understand "the variety of ways in which an individual can build his/her identity" (45). Following Turner (1987), García Gómez argues that participants compare themselves with the rest and thus perceive similarities and differences which make them adhere to one or other group. At the same time, group-identity requires a certain type of behaviour, which can be seen to respond to three different variables: a) *ethnocentrism,* or the process through which an individual considers as positive the values represented by his/her group; b) *intergroup favouritism,* or the process by which an individual adopts a type of behaviour which benefits his/her group; c) *intergroup differentiation,* or the process by which an individual adopts a type of behaviour which emphasizes the differences between his/her and the other group.

Chapter 4 gives attention to the process of the construction of social identities within controversial discussions, defending again the fundamental role of discursive psychology and explaining its objectives. These can be summarised as follows. First, the author justifies why the definition of conflict talk is only possible if we unite discourse and cognitive dimensions. Second, he tries to explain the process of social categorization, social comparison and the building of social identity on the part of the participants, while concomitantly taking the concepts of dynamism and speakers' positioning into account. Finally, the relationship between the discursive and psychological levels is established as a type of social action in *Kilroy* (53). The chapter concludes by establishing three variables that are common to participant positioning,

namely: a) the notion of *agency* which is defined according to the level of responsibility that the speaker assumes over the action – as a mere spectator or as the victim or the result of a particular action; b) *responsibility* over the action itself; and c) the *intentionality* present in the action itself. My reservation here is that the list of factors and the framework itself seemingly fail to account for the possibility that strategies may be pre-established, pre-designed and, therefore, that there may be an intent to manipulate the outcome of the discussion, which possibly affects the conflict talk being performed. The author himself acknowledges this implicitly when he points out that: "the acceptance of one role or another as regards the speakers determines their discursive rights" (30). This, in my opinion, is crucial when analysing TV discourse or broadcast talk in general (cf. Scannell 1991). Television conflict talk is used first and foremost as a means to attract audiences (Lorenzo-Dus 2009). Works such as those by Gregori-Signes (2000, 2002) which provide quantitative results on the use of turn-taking in similar programmes, have clearly indicated the relationship between verbal conflict, type of turn (question, comment, challenge etc.) and the role of the speaker (Gregori-Signes 2002) as well as between the category/role adopted in the programme and the type of turns that seem to prevail in their discourse. Therefore, in broadcast talk one should always consider the possibility that these roles may well be explicitly performed and so the discursive strategies may be adopted by the participants. In other words, are the strategies of inclusion and exclusion, used in Garcia Gomez's analysis and the distribution of power pre-established by the directors of the programme, or do they emerge spontaneously? Is the distribution of strategies pre-established by the talk show itself with the purpose of attracting the audience? An attempt to answer these questions in more detail is what García Gómez's analysis seems to lack.

However, this is well counterbalanced by García Gomez's choice to study in detail the politeness strategies used by the different types of participants (i.e. less vs. more powerful participants in the interaction could be differentiated on the basis of the types of discursive strategies that prevail in their discourse). His analysis of politeness strategies, therefore, helps clarify what the position of each participant in the verbal conflict is, as well as his/her power relation vis-à-vis the rest of the participants. Moreover, García Gómez's use of self-categorisation theory justifies the fact that, throughout the duration of the programme, one participant may choose to change to a category that may or may not agree with their personal category (*self-individual*) in the outside world, thus implying that broadcast talk may not always reflect real life. His decision to raise the concept of the *self* as something dynamic is thus very pertinent (cf. Terry, Hogg and Duck 1999). In this sense, he adds: "I would expect that in different contexts, motivation would vary, and therefore, that it would alter the process of self-categorisation" (45).

The bulk of the analysis is concentrated in Chapters 5, 6 and 7, which focus on the roles adopted by the speakers with lesser (usually the wrongdoers) and greater discursive power; and analyses the inclusion and exclusion strategies used by these two basic speaker types. Notwithstanding the qualitative – as opposed to quantitative – analysis provided in the book, one aspect lacking in the classification of speakers is the basis upon which this classification has been established. It may well be the case that the type of strategies that prevailed among the wrongdoers, for example, coincided as well

with those used by more powerful speakers. Nevertheless, it would have been useful to include qualitative information leading to such a clear-cut division, since the distribution and examples presented in the analysis give the impression that speakers always conform to what is expected from their category. This takes us back to the questions raised above: were the participants asked to follow any pre-arranged rules which limited the strategies they ended up including in their discourse? Were there examples in the corpus in which speakers did not conform to these rules and used unexpected strategies from the analysis? A possible reason hinted at, but not sufficiently explained, by the author is provided on page 109: "speakers who have more discursive rights know that they are in possession of the truth since they are backed by the audience. This will grant them the power to use coercive and persuasive strategies in a try to alter and change the other speaker's beliefs and social behaviour".

García Gomez's analysis links the use of less discursive strategies with the tendency to forget one's own personal dimension and to perform instead a *self-social* role. Thus, more powerful speakers in his corpus positioned themselves within sanctioned norms (i.e. they performed the *self-normative*) and exercised their power by punishing those who did not comply with such norms (i.e. they performed the *self-disciplinary*). The *self-normative* is characterised (according to the features introduced in chapter 4) by [-] agency, [±] responsibility and [-intentionality], and his/her strategies are oriented to satisfying both the negative and the positive image of one's interactional opponents. The *self-disciplinary* role, in turn, is characterised as [+] agency, [+] responsibility and [+intentionality]. Performing this role clearly positions the speaker as an active member of society who belongs to a social category that is radically different from that of his opponent (122). Accordingly, the politeness strategies that tend to be used by the *self-disciplinary* are bald-on record strategies against both the positive and negative image of the opponent.

Participants with less discursive power, on the other hand, use strategies of inclusion in order to move socially from one undesirable social group to a better one (e.g. from being unfaithful to one's wife to being faithful). In order to do so, they often perform *self-redeemed* or *self-altruist* roles. The former shows a higher degree of involvement and identification with the exo-group, or the one he intends to become part of, after repenting. The latter shows a lesser degree of identification with the exo-group and just looks for its approval. The different features for each type can be summarised as follows.

a) *Self-redeemed* positioning is classified as [+] agency, [+] responsibility, [-intentionality]. Thus the speaker, after having evaluated the characteristics of the exo-group, decides that s/he wants to improve his/her social identity. In this process s/he uses a range of negative and positive politeness strategies in an attempt to gain the acceptance of the exo-group, namely, positive politeness, which tries to please the opponents' image and find things in common with the exo-group, and negative strategies addressed to avoid any impositions on others.

b) *Self-altruists* positioning, on the other hand, only looks for approval and is more autonomous. Its characteristics are [±] agency, [±] responsibility and

[±intentionality], thus indicating that there is usually a dual manipulation of all these features which will allow the speaker to distort reality in order to gain approval. The politeness strategies used are those that help him face the attacks to both his negative and positive image, and those oriented to satisfy his own positive image.

Both types of speakers (less and more powerful speaker types in García Gómez' data) make use of strategies of exclusion. The less powerful speakers do so by performing the *self-victim* and *self-antisocial* roles. The *self-victim* is characterised by [-agency], [-] responsibility and [-intentionality]. The use of politeness strategies aims to satisfy the positive image of the opponent. The *self-antisocial* on the other hand, is characterised by [+agency], [-] responsibility and [+intentionality] and performs direct attacks on both the positive and negative image of the opponent. In sum, the analysis in chapters 5, 6 and 7 is rigorous and neatly illustrated with examples and tables that summarise the different positions adopted by the speakers in order to reach their goals. It could have been improved, however, by having recourse to works within the field of critical discourse analysis (for instance, Wodak and Meyer 2001 for a framework of analysis). This would have enriched the evaluation of the strategies and of the participants themselves, showing even more clearly that the relationship holding between power, language and action and therefore ideology or positioning is intrinsically linked when facing a controversial theme.

Finally, in chapter 8 conclusions are laid out which confirm the adequacy of the adopted framework for analysis. In particular, the analysis seems to have confirmed the initial hypothesis that suggests that the self is a "reflexive, social and discursive product" (Giddens 1991; Lorenzo-Dus 2000) and that the analysis of discourse politeness strategies facilitates the understanding of the categorisation and social comparison of different social identities adopted by participants. We should not forget, however, that throughout this process, language develops a fundamental role both in terms of the speakers' roles and in terms of the adoption of the various identities. This would support certain claims made by critical discourse analysts when they argue that "language is not powerful on its own – it gains power by the use powerful people [and less powerful people, we should add, CGS] make of it" (cf. Wodak and Meyer 2001: 10).

In terms of target audience, this book would be recommendable for any university course on sociological, cultural and even discursive aspects in relation to the individual and his/her identity or positioning when discussing a socially controversial issue. The analysis of *Kilroy* programmes by García Gómez, moreover, provides a framework for analysis that can be translated and applied to discourses of a different nature, mainly those in which the role of the author clearly implies the adhesion to one social group or another. At the same time, it facilitates the understanding of the dynamics of conflict talk and other types of broadcast talk. What is more, the book is clearly and reasonably structured, which eases its reading. The reader feels that s/he is all the time being guided step by step and informed of what is under analysis, including quotation and references to each of the sources used or to back up every statement made. One greatly appreciates the organisation of the chapters as well as the meticulous presentation and clarity of the conclusions and introductions in each chapter. Last but not least, the publication of this

type of work in Spanish certainly enriches the field of intercultural pragmatics. Often publications about programmes broadcast in English are published in English. The work presented here, therefore, allows an insight into this type of programme which is not easy to find.

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Sandra Mollin 2006: *Euro-English. Assessing Variety Status.* **Tübingen: Gunter Narr Verlag. xi + 214pp. ISBN 13:978-3-8233-6250-0**

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The concept of *Euro-English* is becoming more and more familiar to all those people who are interested in the varieties of English around the world, or so-called *World Englishes*. Much literature by well-known scholars (Kachru 1992; Kachru, Kachru and Nelson 2006) has dealt with the different varieties of English all over the world. Different models (McArthur 1987; Kachru 1992) have been created in order to distinguish the different worldwide varieties of English. However, the most popular is Kachru's (1992: 356-57) 'three concentric circles' model. This makes a three-way distinction: first, those countries in which English is the native tongue, the Inner Circle countries such as the US, the United Kingdom, Canada, Australia and New Zealand, (curiously, Ireland does not appear in this circle); second, the Outer Circle or countries with non-native, though institutionalised varieties of English, (Bangladesh, Ghana, India, Kenia, Malasia, Nigeria, Pakistan, Philippines, Singapore, Sri Lanka, Tanzania and Zambia); the third circle is the Expanding Circle, which includes those countries in which English is regarded a foreign language (China, Egypt, Indonesia, Israel, Japan, Korea, Nepal, Saudi Arabia, Taiwan and URSS).

No European countries are included in this theory, even though it is beyond doubt that English has gained great importance in the European context, being the first foreign language studied in most European educational systems. Berns (1995: 8-9) applies Kachru's theory to the context of Europe, distinguishing the Inner circle countries, Great Britain and Ireland, where English is the native language; the Outer circle, composed of Holland, Germany and Luxemburg, where English works as an international language, and the Expanding circle, where English has the role of international language and is learned as a foreign language. This group includes Belgium, Denmark, France, Greece, Italy, Portugal and Spain.

In the last decade, certain scholars (Modiano 2001; Seidlhofer 2001; Jenkins 2001) started mentioning the possibility of recognising and labelling a variety of English that has developed in Europe. If there is a 'British English' an 'Irish English', why can't we consider the existence of a 'Euro-English' variety? Today this debate is relevant, along with that of English as a *lingua franca,* and scholars seem to be in agreement about the emergence of a variety of European English or 'Euro-English'.

This book begins with a thorough review of the concept of Euro-English since the coining of the term until present-day debate on this issue. It is structured into seven main chapters whose titles will be mentioned throughout this review. In addition, the author includes three Appendices; A, B and C. The first comprises two tables with sociolinguistic figures reflecting the numbers of native speakers in EU member states per language. Appendix B includes figures of words that supposedly belong to the Euro-English corpus based on Wordsmith's WordList, and Appendix C is composed of two

different sections; first, the list of universities sampled in the study, and second, the questionnaire used in this research. Finally, the bibliography used in the study is quite extensive, and includes the main works that have been carried out in this field. This research is the result of the author's Doctoral Dissertation submitted in 2005 to the University of Freiburg under the title *The Institutionalization of Euro-English? Form and Function of an Emerging Non-Native Variety of English in Europe.*

Chapter One, 'Introduction', gives a brief description of the concept of Euro-English and the different models that have been previously referred to, as well as a short summary of the content of each of the seven chapters. Mollin outlines that "there is one definition to be made" (3) for the concept of Euro-English and justifies the need to cover this gap in academic research.

Chapter Two, 'On Euro-English: A Review', is a preliminary section which offers a review of all the works that have dealt with the use of English in Europe. The writer looks back to the 1980s, when Ferguson (1992) remarked on the widespread use of English in the European continent, as well as the appearance of certain features (uses of tenses and details of pronunciation), which began to be associated with what he called Continental English. However, according to Mollin, the term 'Euro-English' can be dated back to 1986 with Carstensen. Mollin states that the concept of 'Euro-English' should be "reserved for an institutionalised variety of English in Europe while a new term for Anglicisms in European languages should be invented" (5). She also refers to other scholars (Modiano 2001; Seidlhofer 2001; Jenkins 2001) who have studied features of this variety of English. Nevertheless, it seems that Mollin does not put enough emphasis on the crucial contributions by these well-known scholars, and even questions their treatment of the subject.

Chapter Three, titled 'Background: English Worldwide and New Englishes', introduces the theoretical background to this research. A summary is made of the expansion of English across the globe and its present day status. The author refers to three researchers who have defined *language spread*. In 1988, Quirk provided a model of spread (demographic, imperial and econocultural) of English in Europe (14); In 1992 Phillipson talked about the linguistic imperialism of English, and in 2002 Brutt-Griffler basically distinguished 'speaker migration' and 'macroacquisition' as the definition of language spread (14). The different phases of English expansion are also described; the first involved Ireland, Scotland and Wales (from 11th to 19th century); the second phase added North America, Australia, New Zealand and South Africa (from the 17th to the 19th century); the third was the period of British rule (16th to 20th century), which affected South Asia, South East Asia, West Africa, East Africa, the Caribbean and the Pacific. Nowadays, we are in the fourth phase (the 20th and 21st centuries), which started in 1945, with English being the first language of international domains and large-scale learning as a foreign language throughout the world. This dominance of English has been ensured by the support of the US, with its pioneering position in the electronic revolution, and it involves the whole world. In this chapter, Mollin offers an interesting summary of the spread of English around the world from the 11th to the 21st century, highlighting the role it plays nowadays.

Chapter four, 'The Functions of English in Europe', reviews the linguistic landscape of Continental Europe. It includes all the countries that belong to the European Union,

where currently twenty different languages are regarded as official, and a number of autochthonous minority languages are not official. The analysis of the number of native speakers per language within the EU reveals that German is the most spoken language with over 90 million speakers, followed by English, Italian and French (between 50 and 60 million). Spanish, Polish and Dutch have 15 to 40 million native speakers. Europe, in comparison with the other continents, has the lowest number of different languages spoken (with only 3% of the total number of languages currently spoken in the world). The second part of this chapter focuses on the use of English in Europe, the bilingualism with English in Europe being the first issue dealt with. The author uses as a research tool the *Eurobarometer* survey; the results show that 75% of the inhabitants in Malta, Denmark, Sweden and the Netherlands claim to be bilingual, while the remaining countries achieved lower scores.

In this chapter, the role of English is analysed from a variety of perspectives. In education, English is the most prominent foreign language in all educational systems in Europe, as Eurydice (EU education network) states. According to data from 1999/2000, 66.17% of all pupils study English, 12.21% learn French, and 11.16% choose German, in secondary education. In administration each state uses only its own national language(s). Nevertheless, the working languages of the official EU apparatus are English and French. In the media, the author focuses on the consumption of international media (*The International Herald Tribune* and *CNN)*, and the results show that the analysis of television, radio, cinema and the printed press reveal that there are no productions in English for Europeans by Europeans. However, as regards cinema, the most successful productions come from English-speaking countries. Research on the Internet reveals that English and the national languages are the only important languages. The use of English is also shown as a contact code used between people who do not share a mother tongue in Western Europe. Finally, in the area of creativity English has made the smallest inroads, since authors prefer to write in their native languages, with the exception of song writers and slam poets who are trying to reach a global audience. The author provides extensive and valuable samples of the important status of English in European society. However, the method used in this research might make us question its academic reliability. For example the *Eurobarometer* survey is questionable as a reliable research medium since it is conducted by the public opinion section of the European Commission taking a random selection from the population or electoral lists (depending on the country). The original purpose of the data obtained from these surveys was probably not to aid academic research and therefore the researcher was not present while it was being conducted. It would have been different had the author conducted her own survey. In contrast, the use of *Eurydice* as a source to analyse the impact of English in European educational systems is, to the reviewer's knowledge, a more reliable and accurate research tool.

Chapter five is titled 'Evidence for the Formal Independence of Euro-English', and the guiding question is: Does Euro-English have its own independent form? It aims to analyse whether there are specific features that can make English a nativised variety. The author carries out an empirical study in an attempt to find a specific corpus of Euro-English (spoken and written). She examines different registers or linguistic situations: spoken English, informal (online) writing, and transcriptions of recordings

from the European Commission's online archive. After studying this data, Mollin suggests some features that might distinguish Euro-English. From the lexical point of view, a word such as *actual* is used in the sense of 'current', and not with the meaning of 'real'. *Possibility* is used by European speakers in the sense of 'opportunity'. In terms of verbs, *have* is by far the most frequent, followed by *be*, and less frequently *do* and *put*. There are also some specific words that are unique to Euro-English, for example: *Euro, Euro-zone, Euro-area, member states, additionality, internal market, Berlaymont*. As regards grammar, a number of aspects are studied: countability and number, relative pronouns, articles, the auxiliary *do*, adverbs, question tags, prepositions, complementation, inversion and aspect. The findings reveal that the specific uses of some individual cases are more closely related to the speaker's proficiency in English, frequently considered incorrect use, rather than to the deliberate choice of that use by European speakers. For the author, these facts are indicators that Euro-English should not be seen as a nativised variety, but rather as "an amalgam of idiosyncratic learner Englishes" (155). In contrast to Mollin's theory, the data provided in this analysis might be regarded as the early emergence of a European English variety - a variety which is defining itself on the basis of the choice of certain words and structures instead of others and that differs from native uses of English, in addition to the creation of new terms *(Euro-zone, Euro-area)* that belong to the specific context of Europe.

The main objective of chapter six, 'Evidence for the Acceptance of Euro-English', is to deal with the matter of the institutionalisation of Euro-English. The author provides certain hypotheses about the unwillingness of Europeans to accept a variety of English as their *lingua franca*. On the one hand, considering the tradition of monolingualism and linguistic nationalism in Europe, Mollin states that "the notion that a language belongs to its own nation is more common in Europe than anywhere else in the world" (158). On the other hand, an indirect indicator for the acceptance of Euro-English is the motivation for learning English.

For this research, a questionnaire survey was used as the unique method of studying attitudes towards English across Europe. It was administered via e-mail, and the sampling was the population of academics across Europe, as university lecturers' e-mails are easily accessible. The total number was 4230 addresses from 21 countries. The questionnaire was composed of three sections; the first being elicited to analyse the error correction by means of a set of sentences that had to be checked by the respondents offering a correct alternative in case of mistakes; the second section asked for personal data required as sociolinguistic variables: age, country of origin, mother tongue and branch of science (Natural Sciences, Social Sciences, or the Arts); the third targeted the respondents' general beliefs and attitudes towards English by questioning their agreement or disagreement on a scale of five items that ranged from *strongly disagree* to *strongly agree*.

Two rounds were necessary. After both were completed, 746 completed questionnaires were obtained. The degree of participation varied depending on the countries, and the average age of respondents was 43 years old.

The results show that the majority of respondents (52.2%) assess their competence in English as 'fairly good'. As regards their target variety, the highest score (30.9%) is for respondents who choose 'international English', followed by 'professional English'

or 'scientific English'. The British English variety is chosen more frequently than the American variety by learners.

The attitudes of the Europeans towards English used as a *lingua franca* can be regarded as positive. In fact, it is seen as a *lingua franca* that complements their language repertoire, but it is not perceived by Continental Europeans as a substitute for their own languages. A percentage of 83.14% of respondents consider their mother tongue more important than English, and only 6.79% argue the opposite. Other questions in the survey show that most Europeans (59.29%) are not bothered about mistakes of other learners as long as they understand. Another statement says that "Schools should teach English not as the native speakers speak it but for efficient international communication"; this has more opponents (43.43%) than supporters (33.10%). The younger respondents seem to be the most conservative. Attitudes among Europeans seem to prevent an institutionalisation of Euro-English. All in all, this chapter provides valuable data on sociolinguistic aspects that are usually analysed by means of questionnaires. Nevertheless, an objection might be made to the sample, sinces it only focuses on university lecturers from European universities, (mostly highly qualified middle-aged people – average age 43), and it calls into question whether this sample really reflects the attitudes and viewpoints of the whole European society. There seem to be important sectors of population (e.g. according to age or qualification) that remain unrepresented in this analysis. Furthermore, the complementation of interviews (face-to-face or by telephone) with another research tool such as the interview might have enriched the study, since interviewing a representative of each population sample could have made the analysis more rigorous.

Chapter seven, the concluding chapter, tackles the legitimacy of the label *Euro-English*. After the analysis presented above, the author concludes that Euro-English is not a variety as had been believed, but merely a means to aid communication between non-native speakers. The responses of the participants in this study display positive attitudes towards non-nativeness, but they clearly aim for a native-speaker standard. Thus, the label *Euro-English* cannot be applied to any variety of English spoken in Europe. According to Mollin, "the term should be discarded. Continental Europe is, as far as English is concerned, norm-dependent but not norm-developing" (199). However, the acceptance of this subject may be important, since it implies a recognition of the sociolinguistic reality of Europe. In other words, if we discard this concept, we deny the possibility of emergence of a European variety of English. Recent research by Berns (2009: 196) supports this idea.

The overall concept of the book is extremely interesting. It deals with the timely topic of whether a variety of English exists in Europe, and consequently, whether the label *Euro-English* is appropriate or not. After analysing this issue, covering a wide variety of sociolinguistic variables, the author concludes that the label *Euro-English* should not be applied to any variety of English. Despite the objections made to some of the research sources employed in this study, we still consider that the work treats a crucial topic in the field of present-day sociolinguistics. This book uses an accessible style and is sufficiently accurate as to be considered a praiseworthy contribution for scholars in the fields of sociolinguistics and world Englishes. This book is highly

recommendable as essential reference material as it brings another viewpoint, debate and criticism to this fascinating topic.

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- Discussion of theoretical implications and/or practical applications.
- Command of recent bibliography.
- Linguistic appropriateness, textual organisation and satisfactory presentation.
- Readability and conciseness of expression.

Concurrence: Authors are expected to know and heed basic ground rules that preclude simultaneous submission, duplicate publication or any other kind of self-plagiarism. Prospective contributors to *Atlantis* commit themselves to the following when they submit a manuscript:

- That no concurrent consideration of the same, or almost identical, work by any other journal and/or publisher is taking place.
- That the potential contribution has not appeared previously nor is about to appear within two years, in any form whatsoever, in another journal, electronic format or as a chapter/section of a book.
- If, after two years, a contribution first published in *Atlantis* is to be reprinted elsewhere, permission is not required but the author should credit *Atlantis* for the contribution's first appearance. If in doubt about any of the above, the author should consult the General Editor.

What to send

The recommended length for articles and interviews is between 6,000 and 8,000 words. Book reviews should be between 2,500 and 3,000 words. Manuscripts should be double-spaced with wide margins. The first page of each article must include a 100-200 word summary written in English, followed by a list of six to ten keywords. A similar summary and keywords are required in Spanish, on a separate file. These will be provided by the Editors for those contributors who do not handle Spanish.

Your contribution should reach the Editor in <u>TWO</u> double-spaced, point 12 clear computer printouts with wide margins. <u>Additionally, please send the General Editor an electronic version (MS Word for Windows) as an e-mail attachment</u>. Please see the inside front cover for the Editor's addresses.

Anonymity policy. All details of personal identification, including your name in citations and references, must be absent from both the hard copy and the electronic manuscript, as well as from the file properties. The author's name should be replaced by 'author' throughout the paper. If the submission contains any element of identification of the author, it will not be sent to referees.

The author must submit the following information on a separate sheet. Personal details should be absent from the manuscript itself.

- Title of the manuscript
- Author's name
- Institutional affiliation and full postal address
- Home address
- Telephone numbers (both home and office)
- Fax number and e-mail address (if applicable)
- Word processor and version used to format the document
- Total number of words, including works cited and notes

Assessment policy

Submissions to *Atlantis* are evaluated anonymously (double-blind) by three specialists from the journal's international Board of Referees. Acceptance by at least two specialists is a condition for publication.

Conventions and style

Titles of contributions. For articles, type the title at the top of the page on which the text begins. Do not italicize your title or capitalize it in full. Italicize only a published work in the title or a cited word in a linguistic study. Capitalize only the first letter of the first word and of all significant words (nouns, adjectives, verbs and adverbs) as well as proper nouns which appear in titles. Do not use a period after titles. The title should not carry a reference to a note, unless by the Editor; in articles or other contributions put necessary acknowledgements or explanations in a footnote to the first or last sentence of the first paragraph, not to the title.

Quotation marks. Double quotation marks (" ") are used to enclose quoted speech or writing only. For quotations within run-on quotations use single quotation marks. If there are quotes within an indented quotation, the double quotation marks are used. Single quotation marks (' ') are used in the following ways: a) to enclose titles of articles, essays, short stories, short poems, songs, chapters and sections of books, lectures and unpublished works other than dissertations; b) to enclose quotations within quotations; c) (usually called 'scare quotes') to indicate that the word or phrase is being used deliberately in an unusual or arguably incorrect sense, as well as for not yet wholly standard terms; d) for English or Spanish translations of words or phrases from a different language (*agua* 'water')

Section headings. The inclusion of section headings should be kept to a minimum. Section headings must begin from the left margin, with no period at the end. Headings may be numbered. The use of Arabic numerals is recommended. Centred Roman

numerals may be used when there is no heading title. If absolutely necessary, further division within a section should follow the same format used for section headings. They must be preceded by Arabic numerals separated by full stop (e.g. 1.1). Do not capitalize headings in full.

Punctuation. In general, make your usage as consistent as possible. Although the finer points of punctuation are often a matter of personal preference, the main purpose is clarity, and here it is wiser to follow established convention. Do not use commas (,) before "and" and "or" in a series of three or more. Never use a comma and a dash together. A comma can never precede a parenthesis; it must always follow it (such as this), if required by the context. A dash (–) is not the same as a hyphen (-). The former is used to introduce an explanation (you must arrive on time—not two hours late), and the latter joins words in a compound such as twenty-four. Do not confuse them. Question marks (?) and exclamation marks (!) should not normally be used in scholarly writing. Periods (.) close notes and bibliographical citations as well as complete sentences in text and notes. The period is placed within the parenthesis when the parenthetical element is independent: ". . . the language is both subliterary and transpersonal (in contrast, allegory, for example, is transpersonal but not subliterary)". but ". . . the language is both subliterary and transpersonal. (On the other hand, allegory, for example, is transpersonal but not subliterary.)" Square brackets ([]) are used for an unavoidable parenthesis within a parenthesis, to enclose interpolations or comments in a quotation or incomplete data and to enclose phonetic transcription. (Slash marks [/] are used to enclose phonemic transcription.)
Note that a period or comma is placed before a superscript indicating a note, for example: "…with whose king he has negotiated the monopoly of the sugar trade with England.[14]"

Works Cited. In the titles of books and articles each main word is capitalized, i.e. nouns, adjectives verb and proper nouns. The first names of authors and editors should be given in full, rather than as initials. Publisher's names are appropriately abbreviated in the list of works cited. For example, Macmillan Publishing Company, Inc. becomes simply Macmillan. Any university press will be abbreviated according to one of two patterns: U of Miami P or Toronto UP.
Bibliographical references should follow the following style:

> Danby, John F. 1961: *Shakespeare's Doctrine of Nature: A Study of* King Lear. London: Faber.
> Carnero González, José 1982: 'Calipso y Penélope en *Ulysses*'. *James Joyce: A New Language: Actas/Proceedings del Simposio Internacional en el Centenario de James Joyce*. Ed. Francisco García Tortosa, et al. Sevilla: Depto. de Literatura Inglesa de la Univ. de Sevilla: 167-74.
> Kastovsky, Dieter 1986: 'The Problem of Productivity in Word-formation'. *Linguistics* 24: 585- 600.

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