EGER JOURNAL OF ENGLISH STUDIES

VOLUME VIII

EGER, 2008

EGER JOURNAL OF ENGLISH STUDIES

VOLUME VIII

EDITED BY
ÉVA ANTAL AND CSABA CZEGLÉDI

EGER, 2008

A kötetet nyelvileg lektorálta:

Charles Somerville

HU ISSN: 1786-5638

A kiadásért felelős:
az Eszterházy Károly Főiskola rektora
Megjelent az EKF Líceum Kiadó gondozásában
Igazgató: Kis-Tóth Lajos
Műszaki szerkesztő: Nagy Sándorné

Megjelent: 2008. december Példányszám: 100
Készült: az Eszterházy Károly Főiskola nyomdájában, Egerben
Vezető: Kérészy László

Eger Journal of English Studies ***VIII*** *(2008) 3–11*

Two Multiverses, "One Dizzy Symphonic Polyphony" – Béla Hamvas and John Cowper Powys*

Jacqueline Peltier

A magnificent conjunction indeed! Two of the greatest visionaries of the 20th century, two free spirits. One was persecuted, both are largely ignored in their respective countries to this day. The very last section in Béla Hamvas's *A száz könyv*, ('A Hundred Books'), was devoted to John Cowper Powys, whose works he described with a musical metaphor which I have borrowed for the title of my talk, and which surprisingly the Russian writer Mikhail Bakhtin was to use too:

> Most writers, poets and artists play on a single instrument, even the richest, such as Dante or Shakespeare. There are only very few works that use four or five voices simultaneously. But John Cowper Powys in his works scores for a symphonic orchestra and this dizzy symphonic polyphony has at first a crushing effect; then, after a while it begins to play a refreshing role in one's life; and finally it becomes life's prime necessity. (Hamvas, *A száz könyv*, 59, tr. Zoltán Danyi)

My point of departure is based on 'The Six Letters' that, as we shall see, Powys wrote to Hamvas, (an 'exchange' of which unfortunately the Hamvas letters are missing). They were published in 1993 in *The Powys Journal*, the Powys Society's annual publication, and triggered my curiosity. I wondered about this Hungarian writer of whom until then I had never heard, but who had so obviously delighted Powys. I was struck by the unquestionable enthusiasm and pleasure, obvious in Powys's very first reply, dated December 5, 1946:

> What you tell me about that work of yours entitled "Scientia Sacra" is of the greatest interest to me – in fact everything in this letter – which

* This is a revised version of the paper presented as a lecture at the Hamvas-Powys Symposium and it was dedicated to commemorate the intellectual relationship of the two writers, thinkers. The symposium was organised by the Departments of English Studies and Philosophy, Eszterházy Károly College, in Eger on 5 November 2008 to celebrate the double anniversary: the 45th anniversary of John Cowper Powys's death and 40th anniversary of Béla Hamvas's death.

> is a magical letter in its power of calling spirits from "the vasty deep" for it is full of all sorts of mysterious vistas *intimated & indicated*, as it were, *between the lines* rather than verbally elaborated or logically rounded off, & I can see your way of plunging into *media res* is like my own! (Powys, "Six Letters", 157-58)

Several times in the course of this correspondence which lasted only from December 1946 to October 1947, Powys mentions their "mental kinship", evoking "kindred spirits", "telepathic friendship" and "affinity of mind", certainly based on discussions about different subjects important to both, and the exchange of books. It is quite probable that the correspondence between them would have developed into a fascinating exchange, had it not been brutally stopped in Autumn 1947, at which date Hamvas could no longer have foreign correspondents.

Béla Hamvas is one of the first among the world-wide intelligentsia to have recognised Powys's genius. In the thirties already, Powysian leitmotives had struck a cord with his sensitivity and he had praised Powys's books in his book entitled *Introduction to the New English Novel*. The first letter he wrote to Powys in 1946 was motivated by his wish to translate the 'Introduction' preceding the volume of essays Powys had written. *The Pleasures of Literature* (1938) contains twenty lengthy essays on writers who were of paramount importance to Powys. It included, among others: the Bible, Homer, Dostoievsky, Rabelais, Dickens, Greek Tragedy, Saint Paul, Dante, Shakespeare, Montaigne, Wordsworth, Walt Whitman, Cervantes, Nietzsche, and Goethe. All these can also be found in 'A Hundred Books' by Hamvas. I will read you a short extract of the long Introduction to *The Pleasures of Literature*, because it shows, I think, why Hamvas would have been so interested in it:

> Magicians have never been able to control their angels or their demons until they discovered their names. The origin of all literature lies here. A word is a magic incantation by which the self exercises power – first over itself and then over other selves and then, for all we know, over the powers of nature. (...) Though books, as Milton says, may be the embalming of mighty spirits, they are also the resurrection of rebellious, reactionary, fantastical and wicked spirits! In books dwell all the demons and all the angels of the human mind. It is for this reason that a book-shop – especially a second-hand bookshop – is an arsenal of explosives, an armoury of revolutions, an opium-den of reactions. (Powys, *The Pleasures of Literature*, 1–2)

The two writers had in common a prodigious knowledge of all the great literature of the past, as well as an impressive body of works of their own. Both

were immersed in a quest for the return of 'The Golden Age', a spiritual quest for which they probed many philosophical systems. Neither ever craved celebrity, but lived a life of toil and hardship in difficult circumstances. However, they kept faith in their magical way of life. What probably ultimately saved their sanity was that they were both endowed with a great sense of humour.

There exist of course differences between Béla Hamvas and John Cowper Powys. Among his multiple works Hamvas had written novels, in particular *Karneval*, a major novel by all accounts, but I have the impression (and I beg to be forgiven if I am wrong) he was more than anything else a philosopher, a great thinker and essayist, who integrated Asiatic and Western traditions. Zoltán Danyi says in his Preface to the English translation of *Fák* (Trees): "… [Hamvas is] one of the few who can mould the essay form into an organic fusion of philosophy and of poetry of the highest order" (Hamvas, *Trees*, 11).

Hamvas also concentrated on art and music, both supreme concerns of his, whereas Powys wrote only one very philosophical and theoretical tract, *The Complex Vision*. He was more interested in writing practical essays for the common man, such as *Philosophy of Solitude* or *The Meaning of Culture*. He also wrote poems, monographies on Dostoievsky, Rabelais, Keats, James Joyce and Dorothy Richardson, as well as three volumes of literary criticism. But I would say that his particular genius lay in the writing of voluminous novels: he was above all a novelist.

Their social circumstances were also very different. Powys was born in 1872, one year after Marcel Proust, ten years before Virginia Woolf. He came from an upper middle-class family and, on his mother's side, could claim the famous poets, John Donne and William Cowper among his ancestors. While in Cambridge he decided he would not follow in his father's steps to become a clergyman, and became instead an itinerant lecturer for the two great English Universities, in a program mainly aimed at the average intelligent public, and thus despised by professional academics. For these lectures on various literary subjects, particularly on individual authors and poets, he soon developed a unique style based above all on imagination and inspiration, rather than on carefully prepared notes. In 1910 he left Great Britain and settled in the United States where he met with great success as a lecturer. He met a great variety of people: Charlie Chaplin, Emma Goldman, Paul Robeson, the dancer Isadora Duncan, Theodore Dreiser who became a close friend. But also humble folk: the black porters on the trains, the farmer next door or the poor immigrants who came to his lectures to improve their education.

He defined himself as "much more an actor than a thinker" and indeed he was an extraordinary orator. One of his friends, Maurice Browne, who was an important theatre manager in the United States, and knew him well, later remembered:

> When he spoke on a subject near his heart, he inspired his hearers. Once I heard him talk on Hardy for over two hours to an audience of over two thousand in a huge auditorium in the heart of Chicago's slums; throughout these one hundred and thirty odd minutes there was not a sound from his listeners save an occasional roar of applause or laughter; and when he had finished speaking we rose like one person to our feet, demanding more. The man was a great actor. (Browne 109)

At the end of the twenties he suddenly took the momentous decision to quit the "lecture circus" as he called it, and to live by his pen only. It was a courageous move for he was then fifty-seven and was heading for great poverty. That decade saw the publication of such major works as Joyce's *Ulysses* (1922) and Virginia Woolf's *Mrs Dalloway* (1925). *The Sound and the Fury* by William Faulkner came out in 1929 as did *Wolf Solent*, Powys's first noteworthy novel, to be followed by fifteen bulky novels, equally striking. It was thanked to Béla Hamvas's intervention that the original and unforgettable novel *Wolf Solent* was translated into Hungarian by a friend of his. The novel is centered on the eponym character, Wolf, who lives by what he calls his 'life-illusion'[1] or his 'mythology', a complex apprehension of the world through his sensations, what he felt was a certain power of projecting his soul into nature. By accepting a position as secretary to a Dorset squire, and becoming involved with other people's lives, and with two very different girls, one of whom he marries, he puts into jeopardy his sensations dearest to him. In the course of events, he will suffer a hard lesson, through an ordeal which will put in peril his 'mythology, to the point of becoming tempted by suicide, for he feels unable to cope with the world and the evil he discovers.

Another major book was his *Autobiography*, written at the age of sixty, which he defines as "the history of the 'de-classing' of a bourgeois-born-personality" (Powys, *Autobiography*, 626). It is a vastly entertaining work, in which in a digressive way he conveyed the intricacies of his character, and made a disarming display of his most obscure thoughts. Recently A.N. Wilson, a renowned English writer, has defined it as "one of the great books of the 20th century" (Wilson). Henry Miller who attended Powys's lectures in New York in the twenties wrote later in *The Books in My Life*:

> His words, even today, have the power of bewitching me. At this very moment I am deep in Autobiography, a most nourishing, stimulating book of 652 close-packed pages. It is the sort of biography I revel in, being utterly frank, truthful, sincere, and containing a superabundant

[1] A phrase which Powys probably borrowed from Ibsen, and which signifies the central idea which a human being must have of himself, if his life is to have meaning.

> wealth of trivia (most illuminating!) as well as the major events, or turning points, in one's life. (...) His book is full of life-wisdom, revealed not so much through big incidents as little ones. (135-36)

Powys returned to Britain in 1934 and settled in Corwen, a village in North Wales. Wales was after all the mythic Celtic land of his ancestors, and it was to give him the inspiration for his historical novel, *Owen Glendower* and above all *Porius*, which is perhaps the greatest of his 'romances', as he preferred to call them. In March 11, 1947 he mentions to Hamvas he was working on it:

> I am fascinated to see how near & close our minds and thoughts & ideas & inspirations are – for in the book a very long historic novel or really only *semi-demi*-historic! on Corwen in 499 AD I bring in *Merlin* under one of his Welsh names as "*Myrddin-Wyllt*" and I make him think of himself as an undying titan-god as none other than *Cronos* or *Saturn* himself and as struggling still to bring back the *Golden Age*! (Powys, "Six Letters", 163–64)

At the time Béla Hamvas was himself deeply engaged in his own polyphonic *Karnevál*.

The world as seen by Powys is his own. It was painfully won out of his battles with his own complex, protean personality, and its varied layers of manias, fears, frustrations, strange obsessions, his challenge to fate and to the Deity he named "the First Cause". Powys is not a 'literary' author, he is not concerned with formal perfection. He was a writer by inner necessity and therefore never attached much importance to his style, which can sometimes be extravagant, he never considered himself an "artist". Throughout his novels, the oblique effects of the action count more than the action itself. Great importance is given to mental states, to thoughts going on inside the minds of the characters, more than to their actions. He is intent on recording everything related to each of them, their sensations, their habits, their obsessions, even some irrelevant thought, such as we all sometimes have. The reader is never sure how the characters are going to evolve.

Powys had a rare openness of mind and showed far more advanced ideas than D.H. Lawrence, to take a famous example, in matters of sexuality. He describes its shades and complexities, its ambiguities. Except for sadism which Powys hates and condemns, he included homosexuality, onanism, fetishism and incest in his novels. He wrote that "no religion that doesn't deal with sex-longing in some kind of way is much use to us" (Powys, *Psychology and Morality*, 21-24).

On the philosophical level, Hamvas was influenced by Karl Jaspers first, and later by René Guénon, whom he closely followed in his elucidation and

clarification of ancient religious traditions. He was also deeply involved in esoterism, and an adept of alchemy. As for Powys, I would say that at bottom he was a practical philosopher, not a theoretician. He had had the classical education given to students of great English universities at the time and had read intensely. His own source of inspiration was based above all on a deep knowledge of pre-Socratic philosophers. He had mastered the main trends of Western philosophy, admiring Spinoza, and to a lesser degree Kant and Hegel, for he was far more interested in metaphysics than in ethics. He also often referred to Tao:

> There is too much expression. On all sides we are aware of too many things – and nearly all of them moving too fast! All this modern hubbub about self-expression is a sign of the disease. What we want is not more self-expression but less self-expression! The self is most deeply itself – as the Taoists taught – hen it liberates itself from the necessity of all this "expressiveness" and just flows like water, floats like air, melts imperceptibly into the immemorial strata of aeons-old rocks. The hour has come when the human mind should recognize its magic power; its power, not of expression, but of escape; not of self-realization, but of self-transmutation. (Powys, *A Philosophy of Solitude*, 226*)*

and was opposed to the Cartesian dualism of mind and body. Rejecting Nietzsche's theory of the superman, he declared himself the champion of tramps, misfits and the ill-constituted.

Without any doubt, though, it was for William James whom he found "a startling delight", that Powys had the greatest admiration, and his ideas took their origins from James's philosophy, who found the reality of things in the Many rather than in the One. James had concluded *The Varieties of Religious Experience* thus: "The whole drift of my education goes to persuade me that the world of our present consciousness is only one out of many worlds of consciousness that exist..." (James 519). It was from him that Powys acquired the important idea on which he based his own philosophy, that of a Multiverse, writing: "The astronomical world, however illimitable, is only one part and parcel of the Mystery of Life. It is *not* all there is. We are in touch with other dimensions, other levels of life" (Powys, *Autobiography*, 652). Powys's true dimension was that of a preacher, conscious of having a message to deliver, a druid or a shaman close to primitivism. He was in earnest when he declared: "My writings – novels and all – are simply so much propaganda, as effective as I can make it, for my philosophy of life" (Powys, *Autobiography*, 641).

And what is this "philosophy of life"? It is hard to draw any definitions in Powys's case, for with him things are never over-simplified and he could have

exclaimed, after Walt Whitman "Do I contradict myself? Very well then... I contradict myself". What we can affirm though is that his philosophy is not theoretical, but intensely practical. "Powys does not have 'views'" on philosophy, "he has passions", as a contemporary philosopher (and admirer) wrote (Diffey 27). The following statement may be taken as a genuine declaration of Powys's beliefs:

> My own feeling is – it may be a rooted insanity but I do not think so – that the only profoundly philosophical way of taking life is a threefold act of the intellect. First to accept our sense impressions of the world as the world's true reality, against all electronic reduction. Secondly, to accept what we feel of our consciousness and will as our deepest hint as to what causes the nature of this reality to be as it is. Thirdly, to force ourselves to enjoy in a particular way this self-made universe that we are for ever destroying and recreating. (Powys, *Autobiography*, 56)

Powys never owned a car, never had a radio, had never been on a plane. He was suspicious of science, which man has the means to use wrongly. He fought all his life against the practice of vivisection, "a wickedness" which, as he said, "contradicts and cancels the one single advantage that our race has got from what is called evolution, namely the development of *our sense of right and wrong*" (Powys, *Autobiography*, 639). A passionate and clear-sighted ecologist, long before our times, he was deeply conscious that there is a necessary link, a mysterious and compelling harmony to respect between a blade of grass, the humblest insect, man and the cosmos, which entails that we respect life under all its forms.

> A really lonely spirit can gradually come to feel itself just as much a plant, a tree, a sea-gull, a whale, a badger, a woodchuck, a goblin, an elf, a rhinoceros, a demigod, a moss-covered rock, a planetary demiurge, as a man or a woman. Such a spirit can gaze at the great sun, as he shines through the morning mist, and feel itself to be one magnetic Power contemplating another magnetic Power. Such a spirit can stand on the edge of the vast sea and feel within itself a turbulence and a calm that belong to an æon of time far earlier than the first appearance of man upon earth. It is only out of the depths of an absolute loneliness that a man can strip away all the problematical ideals of his race and all the idols of his human ambitions, and look dispassionately about him, saying to himself, "Here am I, an ichthyosaurus-ego, with atavistic reminiscences that go back to the vegetable-world and the rock-world, and with prophetic premonitions

> in me that go forward to the super-men of the future!" (Powys, *In Defence of Sensuality,* 100*)*

For Powys the greatest achievement possible is to feel an "unearthly exultation", an ecstatic state, provoked by a deep and willed mental concentration. In these moments of ecstasy our vision becomes the "eternal vision". He had one rule in his life and never tired of repeating it in his books: "Enjoy, defy, forget!" Powys and Hamvas took up Wordsworth's famous statement: "The pleasure which there is in life itself" (Wordsworth 132).[2]

When discussing religion, Powys declared to Béla Hamvas:

> I shall myself stay & remain an *atheist* but with strong polytheistical, heathen, religious, *not* mystical but rather *magical instincts*!! (...) [I am] a very *un-academic illogical disciple* of the *Pluralism* and the Polytheism of *William James* and I fancy I might say of *Walt Whitman!* (Powys, "Six Letters", 161)

As he became older, he got into the habit of praying to many different gods, to the Earth-Spirit, to the spirits inhabiting woods, trees, rocks. Describing his rituals in *Autobiography*, he writes that he had "a mania for endowing every form of the Inanimate with life, and then worshipping it as some kind of a little god" (Powys, *Autobiography* 629). He held special worship for trees and recommends, when we feel weary, to embrace one with our arms around it, for then: "you can transfer by a touch to its earth-bound trunk all your most neurotic troubles! These troubles of yours the tree accepts, and absorbs them into its own magnetic life; so that henceforth they lose their devilish power of tormenting you" (Powys, *Autobiography* 650).

Béla Hamvas in his beautiful meditation *Fák* expresses the same idea. He wrote of the tree being "less demanding, more satisfying and more enduring", adding: "Of all living creatures the tree is the one whose life path is predicated upon submission to the embrace" (Hamvas, *Trees*, 27).

What makes Hamvas and Powys unique among the writers of the 20th century is their metaphysical vision of the world, and the equal importance given in this vision to all elements, animate and inanimate. For both there were many layers in so-called reality. Above all, they were philosophical anarchists, and had the greatest faith in the power and imagination of the individual. They strived to combine an esoteric way of life with a creative life. And indeed one cannot be separated from the other.

What Henry Miller wrote about Powys can indeed be applied to these two great spirits:

---

[2] William Wordsworth, 'Michael' A Pastoral Poem, line 77.

> The book which comes alive is the book which has been penetrated through and through by the devouring heart. (...) To encounter a man whom we can call a living book is to arrive at the very fount of creation. He makes us witness of the consuming fire which rages throughout the universe entire and which gives not warmth alone nor enlightenment, but enduring vision, enduring strength, enduring courage. (139)

Bibliography

Browne, Maurice. *Too Late to Lament, an Autobiography*. London: Gollancz, 1955.

Diffey, T.J. "John Cowper Powys and Philosophy." *The Powys Review* 2, 1977: 27–39.

Hamvas Béla. *A száz könyv.* MEDIO Kiadó, Hungary, 2000.

---. *Trees*. Trans. by Peter Sherwood. Preface by Z. Danyi, Editio M, Hungary, 2006.

James, William. *The Varieties of Religious Experience.* Penguin Classics, 1982.

Miller, Henry. *The Books in My Life.* New York: New Directions, 1969.

Powys, John Cowper. *Autobiography.* London: Macdonald, 1934/New York: Colgate Univ. Press, 1968.

---. *In Defence of Sensuality.* London: Gollancz, 1930

---. *A Philosophy of Solitude.* New York: Simon & Schuster, 1933.

---. *The Pleasures of Literature*, London: Cassel and Company, 1938.

---. *Psychology and Morality*, London: Village Press, 1975 (1923).

---. "Six Letters to Béla Hamvas and Katalin Kemény." *The Powys Journal* III, 1993: 157-176.

Wilson, A.N. "World of Books." *The Telegraph*, Oct. 20, 2008.
[http://www.telegraph.co.uk/culture/books/3562329/A-N-Wilson-the-real-business-of-autobiography.html]

Wordsworth, William. *The Poems of Wordsworth*. London: Oxford University Press, 1926.

Eger Journal of English Studies ***VIII*** *(2008) 13–21*

Notes on the Sublime Experience in Jean Rhys's *Wide Sargasso Sea*

Kamila Vrankova

The notion of endless space reflected in the title of Jean Rhys's novel includes the possibility of hidden meanings as well as the intense feeling of the unknown and the inexpressible, which permeates through the whole story and becomes an important source of the sublime[1]. This feeling, in fact, arises from the paradox inherent in Charlotte Brontë´s novel *Jane Eyre* (1847): one of its most important characters is given only a marginal and scant attention. It is Rochester´s first wife Bertha who enables the author to develop the plot, evoke a mysterious atmosphere and create an "objective correlative" for the main heroine´s anxiety of otherness. Nevertheless, the characterization of this disquieting figure is reduced to the unconvincing description of an evil inhuman monster.

The incongruity between the intensity of the suggested mystery and the incompleteness of explanation ("…she came of a mad family; – idiots and maniacs through three generations!", Brontë 270) has resulted in innumerative discussions of this figure in literary criticism (e.g. Richard Chase, Elaine Showalter, Judith Weissman, Peter Grudin, S.M.Gilbert and Susan Gubar, Thelma J. Shinn, Adrienne Rich, Barbara Hill Rigney, Sylvie Maurel etc) and has inspired a strong echo in creative literature (Jean Rhys). Both the critics and Jean Rhys have striven to find a more satisfactory interpretation of the questions arising from the tension between Brontë's schematic image of a madwoman, the

[1] Contemporary concepts of the sublime follow the ideas of Longinus (the experience of transcendence as an effort to express and to share intense feelings) as well as of Edmund Burke, in particular, his analysis developed in *The Philosophical Enquiry into the Origin of Our Ideas of the Sublime and the Beautiful* (1756).). In the period between Boileau and Kant, Burke contributed to the theme by creating a sharp distinction between the beautiful and the sublime. The feeling of the sublime, according to Burke, is connected with fear and the instinct for self-preservation. Immanuel Kant, one of Burke´s followers, in his *Critique of Judgement* (1790) defines the sublime as something which arouses the suprasensuous faculty of mind and brings man to the realization of his freedom from all external constraints. The links between the experience of the sublime and the feeling of powerlessness is further observed by J.-F. Lyotard, who focuses on the desire to express the inexpressible in the process of overcoming the feeling of emptiness.

role of an imprisoned wife in the Gothic novel and a suggestive demand for freedom and justice as voiced by Bertha's counterpart, Jane Eyre.

According to her own words, Jean Rhys was vexed at Brontë´s portrait of "the ´paper tiger´ lunatic, fighting mad to tell" Bertha´s story (Rhys 1984: 262). Brontë´s silent prisoner, whose opportunity for self expression is suppressed by the inability to master language, is given a voice by Jean Rhys. The "off stage" protagonist is taken "on stage" (Rhys 1984: 156).

Drawing on her own experience of the West Indies, Jean Rhys shows the fate of a young, unhappily married Creole heiress in a wider context of cultural differences, colonial conflicts and racial hatred. Born in Dominica as the daughter of a Welsh doctor and a white Creole mother, Jean Rhys came to England at the age of sixteen. Like her heroine, she had to undergo a complicated search for identity and Antoinette´s story reflects her own sense of alienation and displacement.

When Charlotte Brontë´s Rochester tries to explain his inability to comprehend the manners of his wife Bertha, he describes her tempestuous nature against the background of a stormy West Indian landscape:

> The air was like sulphur-steams […] Mosquitoes came buzzing in […]; the sea […] rumbled dull like an earthquake – black clouds were casting up over it; the moon was […] broad and red, like a hot cannon-ball […] (Brontë 271)

According to Rochester, it is the exotic origin and Creole blood that causes Bertha´s lunacy and, accordingly, her propensity towards sin and crime. The emotional intensity connected with the feeling of the sublime is linked to "unconscious fears and desires projected on to other culture, peoples and places" (Botting 154) and insanity is viewed in terms of racial prejudice. To emphasize the virtues of his beloved bride Jane, he finds it necessary to point out her English origin: "I would not exchange this one little English girl for the grand Turk´s whole seraglio; gazelle-eyes, houri forms and all!" (Brontë 301). In such remarks we can observe touches of what becomes obvious at the end of Brontë´s novel. The dark and mysterious distance-driven hero, seeming to embody Gothic and Romantic passions, undergoes the process of "domestication" and, following Jane´s example, turns into a defender of self-control, moderation and order.[2]

It is the fate of Bertha that continues to evoke a gloomy, subliminal atmosphere. Her story of an imprisoned wife draws on the Gothic theme of

[2] See Virgil Nemoianu´s *Taming of Romanticism* (Harvard University Press, 1984), a study of the English literary scene after 1815, in particular of "the tendency to turn romanticism into something both social and intimate, both practical and domestic, while preserving – to whatever extent – the original vision (48). He discusses the way how the motif of the Romantic hero is developed in the 19th-century English literature.

victimhood, developed, for example, by Horace Walpole in his *Castle of Otranto* or by Anne Radcliffe in *Sicilian Romance*. At the same time, her function in Brontë´s novel, like the function of Gothic villains (e.g. of M.G.Lewis´s Monk), is to represent the character of the other, of an estranged and weird being whose presence challenges the moral consciousness of other protagonists, violates their conception of goodness, unity and coherence and turns the narrative into a tale of Gothic horror. Her final removal from the novel allows the author to resort to the idyllic model and "superimpose it upon romantic aspirations" (Nemoianu 60). However, despite the calm and conciliatory mood of the conclusion, the Gothic undertones remain disturbingly vivid and burst out with a new intensity in the story of *Wide Sargasso Sea*.

In Jean Rhys´s novel, the conflict between European and West Indian consciousness is worked out through the same fatal relationship but from various points of view. As in *Jane Eyre*, on a surface level it is a conflict between conventional attitudes and emotional excesses. In contrast to *Jane Eyre*, it becomes the crucial subject of the narrative and its psychological, social, historical and geographical aspects are employed without suppressing the effects of the irrational and the mysterious. The "projective method" of landscape description, which is an important device of characterization in the novel, contributes to the escalation of the conflict.

Contrary to the wintry landscapes forming the setting of *Jane Eyre*, the summery clime of the West Indies in *Wide Sargasso Sea* is typical of Romantic topography and evokes the space of the traditional Gothic romance. The heroes´ response to the surrounding environment reveals much of their own nature: Antoinette´s (Bertha´s) love of the Carribean landscape corresponds with her passionate emotions, while Rochester´s sobriety reflects his fear of passion and a dependence on the security of the civilized world. Moreover, the heroes´ changing attitudes to particular places reflect the development of their mutual relationship, especially the shift from confidence and identification ("This is my place and everything is on our side"; Rhys 62) to estrangement:

> ´I feel very much a stranger here´, I said. ´I feel that this place is my enemy and on your side´. ´You are quite mistaken […] It is not for you and not for me. It has nothing to do with either of us. That is why you are afraid of it, because it is something else […]´ (Rhys 107)

This feeling of uneasiness, which originates in experiencing a particular environment as *something else*, results in the tragic inability to accept the other: the other landscape, the other culture and the other individual.

> ´Is it true … that England is like a dream?´ … ´Well … that is precisely how your beautiful island seems to me, quite unreal and like a dream´. (Rhys 67)

The physical and spiritual distance between the worlds of England and the West Indies and, implicitly, the unfulfilled desire and the failure of communication between the two main protagonists is implied by the image of the sea, suggesting a notion of vastness and emptiness.[3]. Moreover, the motif of the sea is put into a close connection with the nightmarish atmosphere and becomes a metaphor for the mystery and the hidden threat (the sargassos) that are foregrounded in the plot of Jean Rhys´s (as well as Charlotte Brontë´s) novel. It is a symbolic space where the external reality mingles with the reality of an internal world and where the deepest desires and anxieties of the soul are mirrored:[4] "When I woke it was a different sea. Colder. It was that night, I think, that we changed course and lost our way to England" (Rhys 148). Thus the image of sea is used to approximate the mental state of the heroine and the theme of hidden irrational and subconscious forces reappears in many crucial scenes, eg in the description of a bathing pool with flowers on the surface and the "monster crab" (Rhys 73) in its depths.

The atmosphere of hostility is intensified by the images of the forest ("I found that the undergrowth and creepers caught at my legs and the trees closed over my head"; Rhys 87), and "an alien moon" (Rhys 74). Rochester´s anxiety seems to spring from his awareness of the uncontrollable powers of nature which force their way into the civilized world and threaten to conquer it. It is the same fear of the unknown and the invisible that makes him distrust his beautiful exotic wife ("she was a stranger to me, a stranger who did not think or feel as I did…" (Rhys 78) and leads him to the denial of her right for an equal, independent existence ("She was only a ghost. A ghost in the grey daylight …"; Rhys 140).

The image of the forest concealing a sinister stranger appears in recurring dreamy visions of the heroine: "It is still night and I am walking towards the forest […] We are under the tall dark trees and there is no wind" (Rhys 50). As Anthony Luengo puts it, "the dense tropical forest", symbolizing "the increasing

---

[3] For Burke, the "greatness of dimension" is one of the most powerful sources of the sublime, while the image of human weakness is presented in contrast with the power of natural and supernatural forces. Immanuel Kant, one of Burke´s followers, in his *Critique of Judgement* (1790) defines the sublime as something which arouses the suprasensuous faculty of mind and brings man to the realization of his freedom from all external constraints.

[4] In the first chapter of *Moby Dick*, the image of sea (and of watery surfaces in general) is discussed with respect to its influence on human psyche. Melville gathers numerous mythological and literary sources considering water an enigmatic space where a key to the mystery of human identity is hidden. Gothic and Romantic fiction are both particularly concerned with this attitude and employs the motif of sea for its symbolic connotations, which is also the method of Rhys´s novel.

gloom and confusion" of Antoinette´s and Rochester´s mind should be seen as "a latter-day descendent of the many dark woods that appear in the novel´s late eighteenth and early nineteenth-century literary ancestors" (Luengo 167). While in *Jane Eyre* the disquieting notion of gloominess and danger is, in accordance with the tradition of the English Gothic novel, centred around an ancient house and its secret chamber, the impressive descriptions of the forest in *Wide Sargasso Sea* reflect the influence of neo-Gothic fiction, especially as it developed in America.[5]

Among the significant attributes of Antoinette´s dreams is the subliminal effect of silence, darkness and loneliness. The fear of the other person (who gradually appears to embody Rochester) is communicated through the reference to his face "blank with hatred" (Rhys 50). Almost the same words are used by Rochester describing Antoinette´s "blank hating moonstruck face" (Rhys 136). Thus, the repeated images of a "blank face" turn into a synonym of ultimate isolation, the loss of human touch and a terrifying nothingness permeating and destroying the relationship. The link between the motif of a stranger and the motif of a ghost is completed.

The spectral images permeate the heroine´s view of herself: "I went into the hall with the tall candle in my hand. It was then that I saw her – the ghost. The woman with streaming hair. She was surrounded by a guilt frame but I knew her" (Rhys 154) and suggest the notion of an othered self, which is reflected also on the level of grammar (the use of the pronoun her). The mention of a gilt frame suggests the image of a looking glass, which, as in *Jane Eyre* or *Wuthering Heights*, accompanies the theme of the divided personality. A similar experience is described in the following recollection:

> There is no looking-glass here and I don´t know what I am like now. I remember watching myself brush my hair and how my eyes looked back at me. The girl I saw was myself yet not quite myself. Long ago when I was a child and very lonely I tried to kiss her. But the glass was between us – hard, cold and misted over with my breath. (Rhys 147)

What Rochester may call vanity ("She´ll not dress up and smile at herself in that damnable looking-glass … vain, silly creature;" Rhys 136) is rather an expression of Antoinette´s "impossible desire for self-completion" (Howells 115). According to Helen Tiffin, Antoinette, as well as Jean Rhys´s other heroines, is "obsessed by mirrors and the need for outside opinion" (Tiffin 329), which determines her sense of identity and self-worth. It is this dependence that

[5] The development of American Gothic fiction is discussed in Leslie Fiedler´s *Love and Death in American Novel* (New York: Stein and Day, 1966). According to this study, "the haunting forest provided a handy solution to a basic problem that faced the Gothic in the New World: what to substitute for the centuries-old castle of the European Gothic writers?"

predestines her to the position of a mad person: her supposed madness is discussed by the people around her (hateful neighbours and relatives) long before her conflict with Rochester begins. It also predestines her to the victimized, ghost-like position, mentioned above: "Someone screamed and I thought, **Why did I scream?**" (Rhys 155). In another context, the word 'ghosts' is used instead of the word 'rumours' and reflects Rochester´s transitory recognition of the fatal consequences of hatred and envy: "We are letting ghosts trouble us. Why shouldn´t we be happy?" (Rhys 113).

Jean Rhys, transforming conventional machinery of the so called "terror Gothic", manages to exploit the supernatural element as an inseparable part of the characterization and setting. Moreover, she chooses a number of Ghost motifs to suggest the power of a hidden, subversive life undermining existing social and psychological orders. Her ghosts, exciting and increasing the disruptive atmosphere of the novel, are rather mental phenomena, the expressions of anguish of the main characters.

In *Wide Sargasso Sea*, the feeling of the sublime is increased by the motifs of houses, which, as in *Jane Eyre* or *Wuthering Heights*, function as organizing symbols for the novel. Thus Part One is connected with the country house Coulibri, the honeymoon cottage Granbois, "a very wild, cool and remote place" (Rhys 57,64), creates the setting for the Part Two, and the final incidents take place in Charlotte Brontë´s Thornfield.

According to Elaine Campbell, Rhys´s portrait of Coulibri is primarily a Gothic device but at the same time it gains in importance because of its socio-historic context. She considers Coulibri as the double for Brontë´s Thornfield: "…it is an almost cynical doubling for Rhys to see Antoinette´s burning of Thornfield Hall as a double exposure of the freed slaves´ burning of Coulibri" (Campbell 313).

In the destruction of Coulibri Jean Rhys reverts to the Gothic mode through the theme of ruins, symbolizing the end of the aristocratic authority that the building was to represent. The repeated employment of ruins in *Wide Sargasso Sea* can be also seen in terms of "a romantic statement of deeper, more universal significance of the kind made by Radcliffe" (Luengo 167). The ruins represent both the world of the past and the world of the sacred, as the place, suggesting the notion of a religious cult and magic rituals, has all attributes of a pagan temple. This circumstance helps to create a tension between the "civilized" (Rochester´s Christianity) and the "wild" (the natural religion of the West Indies), which is impressively employed also in *Wuthering Heights.*

Jean Rhys´s novel opens with the Gothic image of a haunted interior: "Mr Luttrel´s house was left empty, shutters banging in the wind. Soon the black people said it was haunted, they wouldn´t go near it." (Rhys 15) As in the traditional Gothic tales, this motif is connected with a mysterious incident (the disappearance of the owner) and with reference to the haunted past permeating

the house. In *Wide Sargasso Sea*, however, the author does not indulge in describing fantastic crimes and demonic villains. Instead, she makes her haunted house an emblem of the historical consequences of slavery and racial confrontation in British colonies.

The plot of *Wide Sargasso Sea* revolves around the Gothic theme of an imprisoned wife. Though the crucial motifs concerned with the imprisonment (as well as with the model story of Charlotte Brontë) appear in Part Three, from the very first sentence of the novel there is a number of hints suggesting the reality of exclusion and restriction: "They say when trouble comes close ranks … But we were not in their ranks." (Rhys 15)

The heroine is introduced as an orphaned daughter of a West Indian plantation owner, whose family was impoverished by the liberation of the slaves after the Emancipation Act in the early nineteenth century. But emancipation for some means bondage for others. The heroine´s widowed mother is trapped in isolation, belonging neither to the black community nor to the dominant class. Accordingly, Antoinette becomes a double outsider: "*white nigger*" for the Europeans and "*white cockroach*" for the Blacks.

Having experienced the tragic consequences of wild, irrational hatred (the death of her brother Pierre and her mother, the loss of home), young Antoinette turns to a nun: "Such terrible things happen … Why?" The answer is, as in all other cases, suspended: "We do not know why the devil must have his little day. Not ye*t*." (Rhys 51).The mystery of evil, in Gothic tales usually associated with the figure of a villain, is further complicated in *Wide Sargasso Sea*. Jean Rhys connects it with thoughts and deeds of ordinary people. Even Rochester, fatally wounding the heroine, is considered as "not the best, not the worst". The violence marking mutual relationships in the novel often seems to be motivated (as in Coleridge´s *Rime of the Ancient Mariner* or in Golding´s *Lord of the Flies*) quite irrationally: "´They (black neighbours) are children – they wouldn´t hurt a fly.´ ´Unhappily children do hurt flies,´said Aunt Cora" (Rhys 30).

The nun´s words "not yet" contain, however, a promise of the answer. It seems to be hidden behind the lines of Daniel Cosway´s letter: "they are white, I am coloured. They are rich, I am poor … of all his (Antoinette´s father´s) illegitimates I am the most unfortunate and poverty stricken" (Rhys 81). It is the concern with money and possessions that leads Tia to betray Antoinette. It kindles the hate of the black neighbours and makes Rochester marry an unloved woman. Even Amélie´s betrayal and Grace Poole´s silent approval of the Thornfield crime are bound up with money. Finally, Antoinette´s complete dependence on her husband and, consequently, her ruin, is sealed by the fact that after the marriage her fortune is taken by Rochester.

Critics detected similarities between Antoinette´s fate and that of black slaves in the West Indian world. According to Helen Tiffin, "in the marriage between Antoinette Cosway and Rochester, the imperial/colonial relation is

clear" (Tiffin 338). As C.A. Howells puts it, "the drama of Rhys´s novel is the drama of West Indian history focused through the figure of the mad wife in *Jane Eyre*" (Howells 107).

The money initiates Rochester´s metamorphosis in the direction of the Gothic villain. Being introduced as a romantic suitor reminding us of the gentle young heroes as Walpole´s Theodore or Radcliffe´s Valancourt, he quickly turns into a Faust-like figure: "I have sold my soul or you have sold it, and after all is it such a bad bargain?" (Rhys 59). The fatal role of money in Antoinette´s life is repeatedly suggested throughout the novel and the recognition of its power is voiced in Part III, where the mad heroine is, in fact, the only person capable of understanding the reality of Thornfield: "Gold is the idol they worship" (*WSS*, 154).

To sum it up, in *Wide Sargasso Sea* the Gothic theme of otherness is worked out through the conflict between European and West Indian consciousness. Responding to Charlotte Brontë´s description of insanity in terms of racial prejudice (in *Jane Eyre*, Bertha´s lunacy originates in her exotic origin and Creole blood), Jean Rhys offers a reconstruction of causality and shows that it is racial prejudice that violates order and eventually drives the heroine to madness. Moreover, the sin of greed and dependence on luxury (in *Jane Eyre* embodied by Bertha) is connected rather with the cultured Christian society. Thus the traditional motifs of horror fiction (ghosts, nightmares, haunted places, dark forests, ruins or boundless ocean horizons…) are incorporated into a complex, inward account of alienation and misunderstanding. The notion of the sublime arises less from the conflict between the moral order and an evil influence than from the tension between the familiar and the other, and from the difficulty to cope with the reality of cultural, religious but also individual differences.

References

Botting, Fred. *Gothic*. London: Routledge, 1996

Brontë, Charlotte. *Jane Eyre*. 1847. Ed. Mary Ibbett. London: Wordsworth Classics, 1992

Campbell, Elaine. "A Report from Dominica, B.W.I.", *World Literature Written in English*. Arlington: The University of Texas at Arlington, 1978

Howells, C.A.. *Jean Rhys*. New York: St. Martin Press, 1991

Luengo, Anthony. "*Wide Sargasso Sea* and the Gothic Mode." *Critical Perspectives on Jean Rhys*, ed. P.M. Frickey. New York: Three Continents Press, 1990

Nemoianu, Virgil. *Taming of Romanticism*. Harvard University Press, 1984

Rhys, Jean. *Letters 1931-1966*. London: Andre Deutsch, 1984

---. *Wide Sargasso Sea*. (1966) Ed. Francis Wyndham. London: Penguin Books, 1968

Tiffin, Helen. "Mirror and Mask: Colonial motifs in the novels of Jean Rhys", *World Literature Written in English*. Arlington: The University of Texas at Arlington, 1978

"Labour of Love" – Ovidian Flower-Figures in William Blake's *Songs*[*]

Éva Antal

Dixit et ignotas animum dimittit
in artes naturamque novat.
(Met 8.188-9)

To create a little flower is the labour of ages.
(A Proverb of Hell in MHH)

In deconstructive writings we can often find references to Ovid's *Metamorphoses* as the Ovidian work presents the anthropomorphic process of prosopopoetic naming in its narratives. However, while Paul de Man thinks that in the stories "anthropomorphism freezes the infinite chain of tropological transformations […] into one single assertion," J. H. Miller emphasises the power of "aberrant figurative language" exercised by the gods (via Ovid) (de Man 241 and Miller 5). Actually, in the literary allusions to *Metamorphoses*, we can see 'the allegorisation of linguistic power' revealed by the Ovidian (not only deconstructive) readers. In her collection of essays, *The Metamorphosis of Ovid,* Sarah Annes Brown, tracing the so-called 'Ovidian' line in English works, discusses the different levels of *Ovidianism* emphasising that such research is definitely fruitful:

> Identifying a relationship between two poets, pinpointing verbal *echoes* or the provenance of a plot motif, does not necessarily enhance our appreciation of a text, or affect the way we interpret it. We have to perceive a dynamic interplay of some kind between the two works if source hunting is to become an interpretative tool not just a footnote opportunity. […] So an understanding of the way one text lies behind another text (or image) may radically *alter* our perception of that later

[*] The final version of the text was completed with the assistance of a Hungarian State Eötvös Scholarship supplemented by a grant from the Hungarian Scholarship Board (Magyar Ösztöndíj Bizottság) in London, in Spring 2008.

> text, offering new interpretative possibilities (Brown 14-16. Italics are mine. É.A.)[1]

Echoing Brown's ideas, in the present paper I intend to map connections between Ovid's *Metamorphoses* and William Blake's *Songs* concentrating on their transformed anthropomorphic flower-figures. I will analyse the Ovidian reminiscences in the Blakean "unmediated visions," reflecting on "the inherent tension that resides in the metaphorical language" of the mythological stories and the lyrics (de Man 7).[2]

William Blake (1757–1827), being the forerunner – or one of – the Romantics, started to write poems in the fading decades of the Augustan period of neoclassicism. Actually, he was less influenced by the greatest satirists' – Pope's, Swift's, Gay's, and Dr Johnson's – works than by the new trends of nature, Graveyard and Gothic poetry. Moreover, in his works, the classical English and ancient sources and readings were re-contextualised by his greatest inspiration, the *Bible.* Apostrophising the Bible as the Great Code of Art, "he warmly declared that all he knew was in the Bible" (quoted in Tannenbaum 3). Although Blake knew and read the great classics of literature, he displays an ambiguous relation to the dominant neoclassical trend of his own age, namely, the imitation of the style, patterns and forms of the classical Greek and Roman literary works. On the one hand, in several of his writings the deeply Christian poet ardently attacks neoclassicism and the copying of the great classical authors. In "Preface" written to *Milton,* he claims that "we do not want either Greek or Roman Models if we are but just & true to our own Imaginations." Here he also names the 'spiritless' ancient authors: "[t]he Stolen and Perverted Writings of Homer & Ovid, of Plato & Cicero, which all Men ought to contemn, are set up by artifice against the Sublime of the Bible" (Blake 480). According to S. Foster Damon, Blake thought that the original source of the Greek and Latin accounts of the Creation and the Flood could be only the Bible, therefore the classical writers not only 'robbed' the text, contextualising it in Greek or Roman culture, but also deprived it from its spiritual sublimity (Damon 313). Writing

---

[1] It can happen that *Metamorphoses* transforms our reading of Blake. Actually, Brown's ideas echo Charles Martindale's on hermeneutics quoting T. S. Eliot's "Tradition and the Individual Talent" ("Introduction" in *Ovid Renewed*, ed. by Charles Martindale, Cambridge and New York: CUP, 1989, 2). In her work she tries to show the indebtedness of English literature to the classical work. Here we can find an impressive list of English authors starting from the greatest ones, such as Chaucer, Spenser, Shakespeare, and Milton through Marvell, Keats, and Beddoes to Browning, Joyce, and Woolf.

[2] In the writing of my text on the flower-figures, I was greatly inspired by not only the proximity to 'divine nature' expressed in the Greek stories and Blake's works, but also by de Man's writings on the 'nature' of the rhetorical tropes in romantic poetry.

about Virgil's poetry ("On Virgil"), Blake also expresses that the ancient cultures seemed to support and foster arts and sciences, however, being a "War-like State," they were rather destroyers than producers (Blake 778).

On the other hand, in his poetic works (and also in his paintings) Blake the visionary frequently alludes to the fantastic stories of Greek and Roman mythology. As he says in *A Vision of the Last Judgment:*

> Vision or imagination is a Representation of what Eternally Exists, Really & Unchangeably. Fable or Allegory is Form'd by the daughters of Memory. Imagination is surrounded by the daughters of Inspiration, […] Let it here be Noted that the Greek Fables originated in Spiritual Mystery & Real Visions, which are lost & clouded in Fable & Allegory, […]The Nature of my Work is Visionary or Imaginative ; it is an Endeavour to Restore what the Ancients call'd the Golden Age. (Blake 605)

While Blake attacks the simple work of memory and imitation, he defends the original power of Greek imagination, which is related to the only true source of inspiration, and finds its expression in the visionary transformations.

For Blake the storehouse of these sublime though pagan visions was Ovid's *Metamorphoses,* which he probably read in Sandys' translation in the early 1780s then in the original in 1800s, and he was fascinated by the imaginative figurality of Ovid's work. As it is recorded in Bentley's *Blake Records* the poet was very fond of Ovid and in his youth, besides Shakespeare's works, his favourite readings were Ovid's writings (Bentley 428 and 527). Furthermore, above his desk, next to Dürer's *Melancholy*, there was a painting about an Ovidian figure as it is recorded in Gilchrist's biography:

> Samuel Palmer, in a letter to Gilchrist of 23 August 1855, wrote that Blake delighted in Ovid, and, as a labour of Love, had executed a finished picture from the *Metamorphoses*, after Giulio Romano. This design hung in his room, and close by his engraving table, Albert Dürer's *Melancholy the Mother of Invention*, […]. (Bentley 565. n. 3. and Gilchrist 324)

Giulio Romano (1492–1546), the Italian mannerist painter and Raphael's pupil, was rather famous for his highly sexual works, such as the scandalous drawings, *I modi: Positions* illustrating Aretino's erotic sonnets. Although the importance of sexuality is also emphasised in Blake's works, a stronger connection between their *oeuvre* should be revealed, namely that Romano, similarly to Blake, dedicated several of his works to Greek mythological love-stories. As Janet Cox-Rearick comments, the eroticism of the earlier drawings also pervades Romano's

later Mantuan paintings and frescoes in Palazzo Te, when the "greatest inspiration […] was Ovid's *Metamorphoses*, specifically the stories of the amorous adventures of the gods (particularly Jupiter), known as the Loves of the Gods" (76). [3]

Thus, it can be imagined that the painting above Blake's desk, showing an Ovidian episode designed in Romano's style, might show a passionate love scene of *Metamorphoses* emphasising virility. Nevertheless, regarding the title of the other picture, *Melancholy*, and the placing of these two together, we should assume that a more spiritual drawing hung in Blake's working-room, which was related to the idea of human transformation as it had a central role in his way of thinking. In his *Songs of Innocence and Experience* (1789-1794) Blake tries to show "the Two Contrary States of the Human Soul" basically relying on the Biblical description of the alterations, or rather *transformations*, in human conditions before and after the Fall (Blake 210). However, embedded in his Christian universe, we can find several references to Ovid's mythical transformations – mainly, in his flower-poems.

In Ovid's *Metamorphoses* we can come across lots of references to flowers: the word itself, either in singular or plural, appears more than 40 times in the 15 books. In several cases flowers are taken as natural beauties, which the "the soft breeze of tender zephyrs wafted and caressed" (*Met* 1:108), or, as springtime flowers "bloomed" in the pastoral landscape (*Met* 2.27; 7.284; 15.204).[4] In other passages flowers are used as decorations in garlands (*Met* 10.123; 13.928) and at commemorating feasts (e.g. *Met* 9.87; 15.688). In the text, besides their natural and occasional usage, flowers are taken metaphorically as *flowers of rhetoric*, referring to someone's youth (*Met* 7.216 and 9.436), beauty and virginity (e.g. *Met* 10.85 and 14.764). In addition to general references, several flower-types appear; most frequently violets, lilies, and roses. These flowers are associated with specific colours – white, crimson, purple, and yellow – and their colours

[3] In the Camera di Ovidio *The Rape of Europe* is accompanied by the depictions of the rape of Proserpina by Pluto and of Amymone by Neptune. The expressive drawings illustrate the Ovidian episodes when Jupiter transformed himself into different animal guises so as to seduce the chosen mortal maidens. While the above mentioned works are really erotic, in the pornographic *Jupiter and Olympias* the God disguised as a half-serpent, half-eagle beast is just about to rape the woman, which is indicated by his erection (Cox-Rearick 84-85).

[4] In the paper, the direct quotations are from Mandelbaum's poetic translation, subsequently abbreviated as *Met,* while the numbering of the lines follows the original Latin text. Besides the Latin text, I read and used different English translations of Ovid's Metamorphoses: Mary M. Innes popular prose translation (Harmondsworth: Penguin Books, The Penguin Classics, 1955, repr. 1961), the seventeenth-century verse translation made by Sandys (1626) and the eighteenth-century version published by Garth (1717) as Blake was supposed to read the former one.

can fade, mingle, or change. Moreover, tragic stories are started with the heroine's picking of flowers, usually lilies and violets. We can think of Europa's garlands, with which she decorated the white bull's horns (*Met* 2.867-8); Proserpina's favourite flowery meadow where she is ravished (*Met* 5.390-401); Salmacis' flower gathering by her pool before her passionate attack on Hermaphroditus (*Met* 4.315), or Dryope's unfortunate lotus-plucking (*Met* 9.340-5). On the whole, to quote Charles Paul Segal's statement, in the Ovidian landscape flowers "are traditionally associated with virginal purity and also with its vulnerability […] the flower-motif reflects the loss of innocence" (33-4). In my paper, after these general remarks, I will concentrate on the Ovidian episodes of miraculous transformations where a flower-type is put in the centre. In *Metamorphoses* these are the lily, the rose, the narcissus, the lotus, the hyacinth, and the heliotrope in the episodes of Proserpina, Adonis, Narcissus, Dryope (and Lotis), Hyacinthus (and Aiax), and Clytie, respectively.

Likewise, in Blake's textual and visual works, flowers gain importance as well. His Flowers, dignified with a capital, are shown as individuals and Blake is concerned "with the hidden causes of [their] wondrous achievements" (Tolley 125). In his *Songs*, similarly to the settings of Ovid's work, the flower-figures are placed in pastoral landscapes recalling the Eden like world of innocence.[5] In the very first poem titled "Introduction," it is revealed that these *Songs* are requested by an angelic child, who wants every child to understand the poems: "And I wrote my happy songs / Every child may joy to hear" (Blake 111). In *Songs of Innocence* we cannot read about specific and special flowers, only happy blossoms and joyful buds (e.g. in "The Blossom" and "Night"). In the poems, blossoms and buds, being the signs of spring, are also taken metaphorically: in "The School Boy" the dreary classes threaten the boy depriving him of his "youthful spring" "if buds are nip'd / And blossoms blown away" (Blake 124). Although the vernal and peaceful atmosphere recalls the Ovidian, in *Metamorphoses* the pastoral landscape evokes desire and heightens the dangers innocent maidens have to face in the "sensual paradise" (Segal 9).[6] In Blake's *Songs* the happy spring days are associated with childhood and the innocence man had before the Fall in the Garden. In the ironically innocent "Holy Thursday," the phrase "flowers of London town" refers to the colourfully

[5] Actually, not only in Blake's *Songs*, but also in his prophecies we can meet the atmosphere of the sensual Ovidian pastoral, for instance, in the introduction of *Europe, A Prophecy*, a Fairy sitting on a tulip promises a book written on petals of eternal flowers (Blake 237). I can also mention the description of the vales of Har in *The Book of Thel*, of Beulah in *Milton* and *Jerusalem*, or, of the highly seductive landscapes in *Vala, or the Four Zoas*. To find and analyse the connections of these works and *Metamorphoses* can result in another paper.

[6] In his work Segal emphasises the sexual symbolism of the Ovidian landscape, analysing the motifs of caves, water and flowers in *Metamorphoses*.

dressed children marching from their Charity Schools to the St. Paul's Cathedral, which, even in an ironic context, can express the naivety and purity of the cheerful poor children (Blake 122). Contrasted with it, in *Songs of Experience* the tragic stories of individual flower-figures are told. That is, Blake's two series display the complexity of the Ovidian flower-symbolism: the flowering and de-flowering of innocence. The loss of innocence here is contextualised in love relationships since in *Songs of Experience* the individual flowers represent different aspects of love (Grant 334).

In Blake's 'flowery' imagination the symbolically over-burdened lilies and roses are put in the centre. In his *Dictionary* Damon several times remarks about Blake's late prophecies that the rose, the traditional symbol of love, is associated with the lily, which is regarded as the ideal state for man (Damon 240 and 351). Before his *Songs* in one of his juvenilia titled "How sweet I roam'd," a story of seduction is told and the two flowers appear together:

> He shew'd me lilies for my hair,
> And blushing roses for my brow;
> He led me through his garden fair,
> Where all his golden pleasures grow. (Blake 6)

The female winged creature in the poem is trapped and imprisoned by "the prince of love" in "his golden cage" (Blake 6). The poem recalls the suffering and escaping Ovidian heroines and reminds us that while the rose, especially the red rose, is regarded as the traditional symbol of passion, in Greek culture the lilies are related to death. Besides the pagan symbolism of the flowers, we cannot forget about their Christian iconography, where the red rose either stands for Mary's, or Christ's suffering, and the white lily refers to the Blessed Virgin's angelic purity. In his *Songs of Experience* Blake relies on the rich symbolism of the rose and the lily so as to find his central flower-figure in the 'spiritual' sunflower.

In one of his rose-poems, "The SICK ROSE," a red coloured flower-figure is suffering – according to the speaker. The beautiful rose-like maiden's love is corrupted by an invisible winged creature who "[h]as found out thy bed / Of crimson joy : / And his dark secret love / Does thy life destroy" (Blake 213). The voice describing her misery seems to speculate about the rose's sickness, which may be caused by her desire, one-sided love, or pregnancy. The poem titled "The Angel" can be read as the explanation of the previous poem, where the "maiden Queen" is speaking about her secret angel-like lover. Searching for the roots of the imagery used in the poems, we are likely to think of Venus and Adonis' tragic love-story. Venus accidentally but fatefully falls in love with

Adonis, Myrrha's son, and when the hunting boy is killed by a boar she creates the red anemone from his immortalised blood-drops:[7]

> […]she sprinkled scented nectar on
> his blood, which then fermented, even as
> bright bubbles from when raindrops fall on mud.
> One hour had yet to pass when, from that gore,
> *A bloodred flower sprang,* […]
> And yet Adonis' blossoms have brief life:
> His flower is light and delicate; […]
> Anemone – 'born of the wind' – because
> Winds shake its fragile petals, and they fall. (*Met* 10.731-39)

The anemone, also referred to as 'the short-lived lily,' is "an enduring reminder of the fate of the short-lived Adonis" (Hardie 69). Nevertheless, we should admit that Venus cannot be referred to as 'the maiden Queen' and the delicate anemone (cf. Greek *anemonos* as 'wind') hardly resembles Blake's superb red rose. The two poems more convincingly recall a story told in 'another' *Metamorphoses* known as *The Golden Ass* by Apuleius; namely, Psyche's story. Psyche, the beautiful 'maiden Queen,' is frequently visited at nights by her secret invisible husband, Amor, in a mysterious castle. Due to Psyche's curiosity, the lover's identity is revealed, and, as a consequence, the lovers lose each other. Following several trials and only after Psyche's death, when Amor wakes her up by an immortalising kiss, can they be happy together.

Contrasted with the Ovidian and Apuleian love of gods, in the other rose-poem titled "My pretty ROSE TREE," different aspects of human love are discussed. The poem is mostly read as a depiction of a married couple's feelings toward each other. The man is tempted by a wonderful inspiring flower "such a flower as May never bore," but, rejecting the offer, he remains faithful to his "rose tree" that reacts ungratefully to his 'sacrifice'. Although the topical connection with Ovid's work is obvious in *ars amatoria*, Blake's poem discusses the moral issues of love, which Ovid neglects in *Metamorphoses*. In the flowery description of the "conflict between desire and duty, impulse and rules" (Grant 336), the possessive and selfish characteristic of human love is emphasised by the repetitive usage of the possessive pronoun 'my':

---

[7] Although in the present paper I do not intend to collect all of the Biblical references to flowers, I cannot help highlighting some of the – rather exciting – parallels and coincidences. For instance, in the Bible the anemone is frequently identified with the "lily of the fields" (e.g. Matthew 6:28-29), or, the "lily of the valleys" (e.g. Canticles 2:1-2, 16) standing for the transient beauty of human life.

Then I went to *my* Pretty Rose-tree,
To tend her by day and by night;
But *my* Rose turn'd away with jealousy,
And her thorns were *my* only delight. (Blake 215. Italics are mine. É.A.)

The man actually imprisons his partner who reacts accordingly – to ownership with distrust. Moreover, the girl also has something torturing of her own: *her* 'thorns'.[8] E. D. Hirsch asserts that the poem depicts "a double crime against the divine – the speaker's for not following instinct, and the rose tree's for not advocating" (253-54). On the whole, in the poem, being contextualised in human world, selfish love recalls Ovidian reminiscences as well.

The rose-tree, as a rose bush, hints at the possibility of childbearing. In *Metamorphoses* the flower related to maternal love is the lotus in the Dryope-episode. In fact, the lotus does not appear in Blake's *Songs*, but it is mentioned in an early prophecy, *The Book of Thel.* In the prophecy, the main character, Thel, who lives in a luxurious pastoral of eternal spring, wants to know the meaning of life. In the valley of the river Adona, "the lotus of the water" flowers and later "the Lilly of the valley," one of Thel's alter-egos, is questioned in her self-quest. Here Dryope's story is echoed as Thel's troubles are caused by her innocence, that is, her ignorance of sexuality and motherhood. In *Metamorphoses*, nursing her son, from the purple water-lotus "Dryope had plucked / some blossoms to delight her infant son" when "drops of blood […] dripped / down from the blossoms" and she was punished by being transformed into a lotus-tree (*Met* 9.342-5). Actually, Dryope's tragedy is caused by her ignorance of other women's suffering as the assaulted nymph Lotis' transformed body is hidden in the lotus-flower. Besides her physical transformation, Dryope also experiences a mental one as in her last warning she asks her son not to pluck flowers, that is, she tries to defend innocent maidens from being deflowered. Although in *Thel* the motherlike figure is the Clod of Clay with her baby-worm, the appearance of the lotus, quite a rare flower in eighteenth-century poetry, calls the attention to the common *lot* of women: the loss of virginity and having children.

In *Thel* the lily basically stands for innocence and in its illustration the flower is shown as a miniature version of Thel, the unborn spirit. Similarly to the prophecy, in the song, "THE LILLY," the flower stands for sincere purity:

[8] The symbolism of thorns is rather complex: we can think of Christ's suffering, or the thornless roses of Eden. In Greek mythology, the first red rose was said to appear on the earth when Venus, running to the wounded Adonis' help, stepped into the thorns of a white rose and her blood coloured it. See more on it in Jean Chevalier and Alain Gheerbrant, *Dictionary of Symbols*, trans. by John Buchanan-Brown (Penguin Books, 1996), 813-15.

The modest Rose puts forth a thorn,
The humble Sheep a threat'ning horn ;
While the Lilly white shall in Love delight,
Nor a thorn, nor a threat, stain her beauty bright. (Blake 215)

The lily represents here purity and not innocence as she is honestly capable of giving herself in love, which is not without sexual fulfilment. Consequently, together with its Christian and pagan connotations, the lily becomes the emblem of "the purity of gratified desire" (Johnson 169). It is placed last on the floral plate as for Blake this flower represents the ideal love: Love that is described in the flower-imagery of another song, in the *Song of Solomon*. As in the Biblical song the female speaker confesses: "I am the rose of Sharon, and the lily of the valleys. As the lily among thorns, so is my love among the daughters" (Canticles 2:1-2). In addition to its spiritual contents, the song is highly erotic and sexual, and its atmosphere echoes with the tone of the Blakean songs and the desire of the Ovidian heroines.

However, the most complex poem displaying strong Ovidian influence, is the middle one of the three songs, "AH! SUN-FLOWER." In this song several of the above mentioned amorous figures and their flowers are haunting: Clytie, Narcissus, Hyacinthus, Proserpina, and Venus. I agree with William J. Keith, who claims that "an Ovidian metamorphosis-theory lies at the very core of the poem" (59). To be more precise, we cannot speak about a theory, rather a vision with flower-figures and images. The most obvious Ovidian episode is the one related to the flower of heliotrope that gives the central figure of the poem. In *Metamorphoses* Clytie fatefully falls in love with the Sungod, Apollo, and in her maniac longing she wastes away. After causing Apollo's other beloved, Leucothoe's death, in her jealous fixation, she keeps following the path of the sun in the sky day by day:

And now the nymph begins to waste away:
[…] she touched no food, no drink; her only fare
was dew and tears; she never left that spot;
and all she did was stare – she watched the god,
keeping his face in view, his path across the sky.
[…] and weirdly pale, she changed in part
into a bloodless plant: another part
was reddish; and just where her face had been,
a flower, much like a violet, was seen.
Though held by roots that grip, forever she

Turns towards the Sun; she's changed, and yet she keeps
Her love intact. (*Met* 4.259-70).[9]

This way the sunflower becomes the emblem of desire and in the first stanza of Blake's song it also symbolises longing though a more spiritual one. At the same time the second stanza hints at the transformed and transforming figures of *Metamorphoses,* who are destined to die and suffer in their tragic love:

Ah, Sun-flower, weary of time,
Who countest the steps of the Sun,
Seeking after that sweet golden clime
Where the traveller's journey is done.

Where the Youth pined away with desire,
And the pale Virgin shrouded in snow
Arise from their graves, and aspire
Where my Sun-flower wishes to go. (Blake 215)

Concerning the colour-symbolism of the poem, the sun imagery of the first stanza is mainly characterised with golden yellow, while the second with white giving the images of death – 'shrouded' and 'graves'. The dying youth and the corpse-like virgin like spirits seem to leave their graves longing for the 'golden clime'. They can be taken as spirits but, I think, they are rather flower(figure)s growing on graves and watching the sun-path together with the heliotrope. Although in "THE LILLY" Blake relies on the Christian iconography of the flower (viz. it stands for purity and the Blessed Virgin), here he mainly uses its Greek connotations, namely, the lily – that is, the *asphodelus* – is associated with death and afterlife. The Greeks believed that there was a large meadow overgrown with asphodel in Hades (mentioned in Homer's *Odyssey*, XI.539, XI. 573 and XXIV.13). Furthermore, they planted white asphodels near tombs, regarding them as the form of food preferred by the dead. Actually, the flower itself belongs to the family of the *liliaceae* – together with the narcissus, the hyacinth (also named as martagon lily), and the anemone (Rose 88-90).

[9] Actually, the flower Clytie is transformed into is not the sunflower, the golden yellow *helianthus* (viz. *Helianthus annuus*), but the violet-typed lilac-blue or purplish *heliotrope*, or marigold (viz. *Heliotropium europaeum*), of which leaves always turn towards the sun. As Keith also notes, "the sunflower derives its name from its appearance, not from any habit of turning its face toward the sun. […] In earlier centuries, however, a number of sun-like flowers were called heliotropes" (57). The English 'sun-flower' refers to the helianthus ('sun flower,' *helios anthus)* and not the heliotrope, yet the latter one is associated with the special movement of 'sun turn,' that is *helios tropein*. In Blake's song, the above mentioned botanical differences are not thematised, though, with its golden yellow colour, the helianthus is visualised.

The same type of flower, a lily, appears in the story of the virginal Narcissus, who is the prototype of 'the Youth [who] pined away with desire'. He falls in love with his own beautiful reflection and in his stupefied (viz. the Greek *narke* as numb) gaze he becomes the emblem of selfish homoeroticism and unfulfilled desire in *Metamorphoses*:

> Yes, Yes, I'm he! I've seen through that deceit:
> My image cannot trick me anymore.
> *I burn with love for my own self: it's I*
> Who light the flames – the flames that scorch me then.
> […]
> If I could just split from my own body!
> The strangest longing in a lover: I
> want that which I desire to stand apart
> from my own self. (*Met* 3. 463-70)

Having realised that his beloved is his own self, he accepts his fate and his body mysteriously fades away: "They had prepared the pyre, the bier, the torches; / but nowhere could they find Narcissus' body: / where it had been, they found instead a flower, / its yellow center circled by white petals" (*Met* 3.507-10). The today known narcissus is yellow centred – like the daffodil[10] – but they were originally lily-white, and Narcissus' death coloured the heart of the flower commemorating his beauty. Accordingly, in the episode Narcissus' figure is only a shadow, a reflection and his disappearing body leaves a mark, a tint on an existent flower, the lily-typed asphodel.

Similarly, in Hyacinth's story, after Apollo's beloved had died in an accident, his blood stained the earth leaving an imprint:

> […] the blood that had
> been spilled upon the ground and stained the grass
> is blood no more; instead – more brilliant than
> the purple dye of Tyre – a flower sprang;
> though lily-shaped, it was not silver-white;
> this flower was purple. Then, not yet content,
> Phoebus […] inscribed upon the petals his lament:
> With his own hand, he wrote these letters – AI,
> AI – signs of sad outcry. (*Met* 10.209-17)

[10] The English name of the flower, daffodil, or *affodil*, is etymologically related to the Greek *asphodelus* as the original Greek word was taken into Latin as *asphodilus* which later was distorted into *affodilus* in Medieval Latin. See more on it in Keith 60-1.

The newly sprung flower with its mourning sounds is recalled in another episode of *Metamorphoses*, when the great hero, Aiax kills himself. From his blood "a purple flower sprang, the very same / that had – long since – sprung up when Hyacinth / was wounded. On the petals one can read / these letters, 'AI-AI,' asking us to think / of Ajax' name and Hyacinth's lament" (*Met* 13.394-8). Although the same flower is referred to, the latter heroic one is associated with the larkspur (*Delphinium Ajacis*), while the former flower of love with the hyacinth proper. As Barkan remarks, "the flower to which he gives his name is a sign both of his immortality and […] his suffering is literally imprinted on the flower in the *aiai* (or 'alas') that shows on the petals" (80). The hyacinth speaks in the language of mourning and tragic love, while Ai-ax/Ai-as is remembered as a 'man of woe,' and the fateful 'Ai Ai' is echoed by the Blakean 'Ah!' in the title of the poem. Contrasted with the imprinted and blood-stained fatal lilies, the white lily in the song "THE LILLY" remains spotless and purely bright.[11]

The 'pale Virgin' cannot only be associated with Clytie, but also with all the suffering amorous maidens and nymphs of *Metamorphoses*. In the line, "the pale Virgin shrouded in snow," Keith clearly sees a reference to the virginal figure of Proserpina (59), who "was playing, gathering / violets and white lilies" (*Met* 5.391-2). That is, she was picking snow-white asphodels in the fields of death visualised as her shroud (viz. winding sheet), when Pluto ravished her. Afterwards, she was destined to live partly in the downworld with her husband, which period is marked by the dying of nature in autumn and winter, then she spent the other two seasons happily with her mother, Ceres on the earth: "he [Jupiter] divides / the turning year into two equal portions. / Proserpina is shared by the two kingdoms / the goddess [Proserpina] is to spend six months beside / her husband [viz. Pluto], and six months beside her mother" (*Met* 5.564-568).

Obviously, besides the Ovidian references, the poem has strong spiritual connotations. The expressions of "golden clime" and the end of "the traveller's journey" clearly refer to the end of human life hinting at the possibility of afterlife. Regarding the heliotrope and its philosophical implications, in Book 15 of *Metamorphoses* Pythagoras asserts the immortality and the reincarnation of the soul claiming "but over our soul – be sure – death has no sway: / each soul, once it has left one body, takes / another body as its home" (*Met* 15.157-9). He also speaks about the true nature of transformations:

> 'There is no thing that keeps its shape; for nature,
> the innovator, would forever draw

[11] Regarding its origin, the anemone is another lily-flower that is created from the dead Adonis' blood *staining* the ground (*Met* 10.731-9). Furthermore, at the very beginning of Book 4 the metamorphosis of the crocus is mentioned (*Met* 4. 283-4). Both of them belong to the family of the bulbous *liliaceae* – the Greek humanised flowers.

forms out of other forms. In all this world –
you can believe me – no thing ever dies.
By birth we mean beginning to re-form,
A thing's becoming other than it was;
And death is but the end of the old state; […]. (*Met* 15.252-8)

With Pythagoras' statements, the idea of metamorphosis is *altered*, and the 'miraculous transformations' of bodies into flowers, animals, rivers, or winds, are said to be related to nature. Accordingly, if the soul is immortal, the dead lovers' alterations can be taken as an "untragic alternative to death" (Galinsky 61). The Blakean meaning of the sunflower given by Damon is also true with regards to the other flower-figures of *Metamorphoses*: "The sunflower, rooted in the earth yet keeping its blossom turned towards the sun, is a symbol of man's spiritual aspirations, which cannot be attained while he is still rooted in the flesh" (390). In Blake's song, the personified flower-figures are imprisoned by their unsatisfiable longing: Narcissus cannot fulfil his self-love, Proserpina cannot escape her sexual abuse – in their mortal form. Nevertheless, there is great power in human aspiration, which is emphasised by five expressions in the poem: 'seeking after,' 'desire,' 'arise,' 'aspire,' and 'wishes'.

John E. Grant calls attention to the placing of the three floral poems on the same plate, and he claims that "as a group the poems evidently present a threefold vision of love […]'earthly love, poetic love, and Human love'" (333). In this context, the last poem, "The Lilly," is the most spiritual showing that "however subject the natural body might be to force and threats, man's spiritual body, like the Lilly, could never be essentially debased" (Grant 345). For Blake, flowers, being transient creatures, do not only stand for man's short earthly life but, due to creative imagination expressed in the Ovidian fables or Blake's *Songs*, they can also speak about man's spirituality. The different kinds of lilies – narcissi, martagons, hyacinths, and loti – do not only symbolise death and afterlife, but also the spiritual connection between life and death. This is the main point where Blake departs the Ovidian flower-symbolism. In *Metamorphoses* the source of the transformed figures is always an outside divinity while Blake internalises it, emphasising that the source of spiritual transformation should be looked and found inside man.

In the last 'flowery' poem, "The Garden of Love," Blake provides a rather ironic reading of the Ovidian tragic love-stories:

So I turn'd to the Garden of Love
That so many sweet flowers bore;
And I saw it was filled with graves,
And tomb-stones where flowers should be; (Blake 215).

In the world of experience, where true love fails and lovers are fated, creative imagination is destined to be "lost & clouded in Fable & Allegory" (Blake 605.). According to Blake, though the idea of transformation is divinely inspired, in the heart of *Metamorphoses* the main drive of the events is selfish love and the desire for possession, that is, "*amor sceleratus habendi* [the cursed love of having] (*Met* 1.537-38)" (quoted in Lynn 32). In the fables we can read about not true visions and spiritual mysteries but allegorical commemorations over tomb-stones of lovers. In this sense the mythical narratives tell the stories of the repetition compulsion, commemorative repetitions of the dead beloved – practised in yearly festivals.[12] I agree with Harold Bloom that the flower-figures "have not escaped nature, by seeking to deny it; they have become monuments to its limitations" (140). The sunflower-song can also be read ironically, as all of the flowers/figures are imprisoned in vegetation, in their natural cycles – even the goddess Proserpina is forced to follow the order of the seasons.

Furthermore, the Ovidian gods and goddesses cannot escape their fate as "*fatum*, the agent of death" is their superior (Kajanto 18). In the above mentioned episodes, being victimised by passion, they cannot save their beloved ordained by Fate to die. As Solodow remarks, "there are plenty of gods, but no divinities," no almighty omnipotent agents (93). Nevertheless, being immortal, they cannot accept death, and try to conquer it transforming their dead lovers into living natural entities. Venus, after his tragic death, transforms Adonis into the transient flower of love; Apollo creates a hyacinth from the dead body of his lover; Narcissus' beauty is preserved in a flower named after him; while in the sunflower Clytie's mortal love is immortalised. The latter episode with its love-preserving transformation, "*mutata servat* might almost serve as a motto for the *Metamorphoses*" (Solodow 183).

According to Solodow, the Ovidian metamorphosis is a process marked by continuity between the person and the transformed entity. It is a process of clarification

> by which characteristics of a person, essential or incidental, are given physical embodiments and so are rendered visible and manifest. […] a

[12] In *Ovid's Poetics of Illusion* Hardie puts emphasis on the festivals and celebrations held yearly that were related to the myths: "Metamorphosis as a process that closes the narrative of a human life takes the place of death. But metamorphosis as product is structured according to the logic of funerary commemoration and memorialisation. The dead person himself ceases to exist, but enjoys survival of a kind, through modes of both continuity and transformation: continuity, through the memory-images stored in the minds of those who knew him in life; transformation, in the surrogate existence of funeral memorial and funeral inscription" (81). Nowadays the Greek 'celebrate' the day of death of the deceased relative every year and the commemoration is named 'mnemosyno' (cf. Mnemosyne).

> change which preserves, an alteration which maintains identity, a change of form by which content becomes represented in form. (174)[13]

It seems rather difficult to provide a general definition of the specific transformations and, though this definition is applicable, it fails to emphasise one element: creativity. In the stories creative fantasy works and the transformators are artists, or creators, while – to some extent – the transformed creatures become works of art.

Although the ideas of creative transformation, the connection between the mortal and eternal, and the victory of love over fate come from Ovid's *Metamorphoses,* the pagan author cannot escape Blake's Christian judgment. As he explains in *A Vision of the Last Judgment*:

> In Eternity one Thing never changes into another Thing. Each identity is Eternal : consequently Apuleius's Golden Ass & Ovid's Metamorphosis & others of the like kind are Fable ; yet they contain Vision in a sublime degree, being derived from real Vision in More ancient Writings. […] A Man can never become Ass nor Horse ; some are born with shapes of Men, who may be both [sic!], but Eternal Identity is one thing & Corporeal Vegetation is another thing. (Blake 607)

Actually, the tragic stories reveal "the impossibility of true metamorphosis: the outward form may change but not the eternal identity" (Damrosch 149). According to Wittreich, Blake, following the Renaissance commentators, distinguishes the allegories of the ancients and of the apostles as "they observed a fundamental difference between the classical habit of perverting truth through allegory and the Christian habit of concealing eternal truths in allegory […]" (177). But we should admit that, as the first 'true' critic of Ovid, Blake concentrating on the Roman poet's visual imagination and artistic freedom, emphasises the connection between the poetic and divine creation. Imagination is claimed to be the only power that makes a true poet as it is the divine vision (Blake 782). In his *Songs*, Blake calls the attention not only to the striking visual imagery of Ovid's work, but also to the power of the transforming gods' creativity. In the floral language of the introduction of his prophecy, *Europe*, Blake describes his confronting the fairy-like inspiration: "[…] as we went along

[13] Galinsky expresses similar view: "Most metamorphoses deal with the changing of a person into something else, such as, for instance, a tree, a stone, or an animal. Regardless of the way they are brought about, such transformations often are not capricious but turn out to be very meaningful because they set in relief the true and lasting character of the persons involved. The physical characteristics of the personages are subject to change, but their quintessential substance lives on" (45).

/ Wild flowers I gather'd, & he shew'd me each eternal flower […]" (Blake 238). That is, the imaginative eye can see that the vegetative universe hides the secret of eternity, it can see that "[t]he Vegetative Universe opens like a flower from the Earth's center / In which is Eternity" (Blake 633).

Accordingly, my rhetorical reading 'opens up' the allegorical and ironical potentialities (and make them flourish) that are hidden in Ovid's and Blake's flower-symbolism. What's more, I think, the Ovidian allusions are transformed and built up in the Blakean oeuvre. Here in his *Songs* sexual desire is shown sinful, but only experience can lead man to insight, only through experience man is able to reach a higher state of innocence. The Ovidian flowers cannot escape cyclical changes, yet they at least display the possibilities of some transformation/alteration. Later Blake realises the importance of cycles and speaks about the spiral of changes, the vortex, where spiritual development is possible. As Mitchell asserts, "Blake uses the word 'vortex' […] because he wants an image that suggests both convergence toward a center or apex (the 'inner being' of the object) and doubleness, the interaction of contrary forces" as for him "vision does not travel in a straight line, but oscillates between contrary forces, converging on a moment of illumination" (Mitchell 72). In his *Songs* Blake expresses that love and desire, from the viewpoint of innocence is fatefully tragic, but it is inescapable. In *Milton* he says, "[m]en are sick with Love" (Blake 521), which echoes the sexual love-sickness of the Song of Solomon (Canticles 2:5; 5:8) (Tolley 127). In his later prophetic works Blake elaborates on the importance of passion and sexuality that is fatefully human but, regarding its origin, is also divine. That is, in human love and sexual desire the source of divine love can be traced with the help of imagination:

> This world of Imagination is the world of Eternity ; it is the divine bosom into which we shall all go after the death of the Vegetated body. This World of Imagination is Infinite & Eternal, whereas the world of Generation, or Vegetation, is Finite & [for a small moment *del.*] Temporal. (Blake 605)

While in the transformations of the Ovidian narrative love tries to conquer fate that even the anthropomorphic gods and goddesses cannot escape, the Blakean love/passion is doomed to die so as to 'resurrect' in its altered version in the later works. In the name of Love, 'flowery' human life is shown by Blake as the labour of love; thus, he *transforms* the meaning of the maxim: *AMOR FORTIOR MORTE.*

Bibliography

Apuleius. *The Golden Ass*. Trans. by Robert Graves. Penguin Books, 1950.

Barkan, Leonard. *The Gods Made Flesh. Metamorphosis & the Pursuit of Paganism.* New Haven and London: Yale UP, 1986.

Bentley, G. E. *Blake Records.* Oxford: Clarendon Press, 1963.

Bible, The Holy. King James Version. Glasgow: Collins' Clear-Type Press, 1971.

Blake, William. *Complete Writings*. Ed. by Geoffrey Keynes. London: Oxford University Press, 1976.

Bloom, Harold. *Blake's Apocalypse – A Study in Poetic Argument*. New York: Doubleday, 1963.

Brown, Sarah Annes. *The Metamorphosis of Ovid.* New York: St. Martin Press, 1999.

Chevalier, Jean and Alain Gheerbrant. *Dictionary of Symbols.* Trans. by John Buchanan-Brown. Penguin Books, 1996.

Cox-Rearick, Janet (ed.). *Giulio Romano – Master Designer.* Seattle: University of Washington Press, 1999.

Curran, Leo C. "Transformation and Anti-Augustanism in Ovid's *Metamorphoses.*" *Arethusa* 5 (1972): 71-91.

Damon, S. Foster. *A Blake Dictionary.* Hanover: University Press of New England, 1988.

Damrosch, Leopold Jr. *Symbol and Truth in Blake's Myth.* Princeton: Princeton University Press, 1980.

de Man, Paul. *The Rhetoric of Romanticism*. New York: Columbia University Press, 1984.

Fantham, Elaine. *Ovid's Metamorphoses.* Oxford: Oxford University Press, 2004.

Galinsky, G. Karl. *Ovid's 'Metamorphoses'.* Oxford: Basil Blackwell, 1975.

Gilchrist, Alexander. *Life of William Blake Pictor Ignotus.* Ed. by Richard Holmes. London: Harper Perennial, 2005.

Grant, John E. "Two Flowers in the Garden of Experience." *William Blake – Essays for S. Foster Damon.* Ed. by Alvin H. Rosenfeld. Providence: Brown University Press, 1969. 333-367.

Hardie, Philip. *Ovid's Poetics of Illusion*. Cambridge: Cambridge University Press, 2002.

Hirsch, E. D. *Innocence and Experience: An Introduction to Blake.* New Haven: Yale University Press, 1964.

Johnson, Mary Lynn. "Emblem and Symbol in Blake." *Huntington Library Quarterly* 37 (1974): 151-70.

Kajanto, Iiro. *Ovid's Conception of Fate.* Turku: Turun Yliopisto, 1961.

Keith, William J. "The Complexities of Blake's 'Sunflower': An Archetypal Speculation." *Blake – A Collection of Critical Essays.* Ed. by Northrop Frye. New Jersey: Prentice-Hall, 1966. 56-64.

Lynn, Enterline. *The Rhetoric of the Body from Ovid to Shakespeare.* Cambridge: Cambridge UP, 2000.

Martindale, Charles (ed.). *Ovid Renewed.* Cambridge: Cambridge University Press, 1989.

Miller, Joseph Hillis. *Version of Pygmalion*. Cambridge, Massachusetts: Harvard University Press, 1990.

Mitchell, W. J. T. *Blake's Composite Art*. Princeton: Princeton University Press, 1978.

Ovid. *Metamorphoses.* Trans. by Mary M. Innes. Harmondsworth: Penguin Books, The Penguin Classics, 1955, repr. 1961.

---. *Metamorphoses.* Trans. by Allen Mandelbaum. New York and London: Harcourt, Inc., 1993.

Rose, H. J. *A Handbook of Greek Mythology.* New York: E. P. Dutton & Co., 1959.

Segal, Charles Paul. *Landscape in Ovid's 'Metamorphoses' – A Study in the Transformations of a Literary Symbol.* Wiesbaden: Franz Steiner Verlag GmbH, 1969.

Solodow, Joseph B. *The World of Ovid's 'Metamorphoses'.* Chapel Hill & London: The University of North Carolina Press, 1988.

Tannenbaum, Leslie. *Biblical Tradition in Blake's Early Prophecies: The Great Code of Art.* Princeton: Princeton University Press, 1982.

Tolley, Michael J. "Blake's Songs of Spring." In *William Blake. Essays in Honour of Sir Geoffrey Keynes.* Ed. by Morton D. Paley and Michael Phillips. Oxford: Clarendon Press, 1973. 96-128.

Wittreich, Joseph Anthony, Jr. *Angel of Apocalypse – Blake's Idea of Milton*. Madison: The University of Wisconsin Press, 1975.

Eger Journal of English Studies ***VIII*** *(2008) 41–49*

Beyond Divisions: The West in Contemporary Irish Poetry

Péter Dolmányos

The predominantly rural world of the West of Ireland functions as a special location in Irish literature and culture. The usual political division of the island into South and North is at once nullified by the concept of the West – though part of the Republic (the simple fact is that Northern Ireland is the north-eastern part of the Irish Isle), the West appears frequently especially in the poetry of the North, often, though not always, with a deliberately post-divisionary purpose, or at least generously forgetting about the fact that the West is part of the southern state.

The political division of South and North reflects something of an economic one as well, though it has become less dramatic due to the spectacular development of the Republic and the joining of the European Economic Community (now European Union) of both the Republic and the United Kingdom in 1973. This notion of division corresponds to general common belief in a difference between north and south in a global context too. Yet the principal division reflecting difference in economic and cultural development is more easily discernible in the context of the modern world of Europe along the East-West axis. East in the European environment means a time lag, a less developed world, whereas the West is the embodiment of the modern and the latest, it is generally the most highly developed part of the continent. In the Irish context, however, the situation is just the reverse of the general pattern: the East, located closer to the mainland of the United Kingdom, is the developed part, and the West, facing the Atlantic Ocean, is the backward region – and perhaps in many ways it is also the backyard of the island as well. By its very nature of being isolated, coupled with its harsh physical conditions, the West is the place that has preserved the most of the world of the previous centuries and it is therefore seen as the 'authentic' Irish world. Traditions which survived in the West were idealised by the Romantic agenda of the Revival, and the counter-move to demythologise the very same traditions was also played out in the course of the 20th century.

For the present poets the place becomes what it is: a repository of values from another world, a world that is a simple and old one where life is neither

black nor white but a fine gradation of greys coalescing into one another – life as it is in any place in the world, not worse or better but different, and this very difference is the basis of its inspiring powers. The natural dimension of the West is a hauntingly beautiful landscape which is at once hostile in many of its physical features – harsh climate and poor soils make life particularly difficult in the region. The beauty and the harshness combine to forge a sublime world, the sublime as real landscape, which is richly captured in the work of several contemporary Irish poets. The cultural dimension of the West offers an experience of traditional Irish life, in many ways a very distant one for modern poets. The distance can function as a finding of roots for some and the recognition of its essentially alien nature for others; such profound experiences single out the West for several poets as a region apart and independent of the internal divisions of the island.

The poet who has discovered a second home in the West is Michael Longley. His favourite County Mayo has featured significantly, together with other western locations, in his poetry from early times on, acting not principally as an escape but rather as an alternative to his Belfast home. Though Mayo is a part of the Republic, Longley identifies it as the West, by which move he transcends the usual division of the island into South and North, attaching no significance to the border in the process, so much so that journeys to the place are never mentioned, it is only the destination that is focused upon, as if the speaker of the poems were a resident of the place rather than a visitor.

Longley's long-standing concern with the West is first demonstrated in the poem "Leaving Inishmore." The location, one of the Aran islands, is the place to leave on the occasion; what is usually a destination elsewhere is the point of departure here, though it turns out to be the end of a holiday, so the leaving is in fact a return to the usual place of habitation for the speaker. The island is seen in the frequent associations of the western off-shore territory of Ireland – quiet alternation of "Rain and sunlight" (Longley 54), a place undisturbed by events outside it, it is peacefully locked into the natural cycle with nothing to endanger it. Apart from the change of seasons and the subsequent waves of visitors time is suspended, it is a world of "a perfect standstill" (ibid), nominated "the point of no return" (ibid) by the speaker to make it immune to change, to turn it into an enclave that serves as a refuge from the quotidian and the general pattern of mutability.

As Robert Welch notes, Longley approaches the west in a double perspective:

> The west in Longley is linked to the puritan attitude to landscape, which has two aspects. On the one hand there is the 'good place', the locus amoenus where human and natural worlds are in accord […]. On the other hand there is the sense that landscapes, even beautiful ones,

> may be false, lures to trap the sensitive mind, weakly seeking rest, relief from tension. (Welch 58)

Implications of this are already present in this early poem, yet the wonder outweighs the suspicion. In the course of later poems the duality takes the form of an image of a visitor gradually growing familiar with the place yet remaining a visitor – frequent returns to western locations gift the speaker with an intimacy that prompts him to regard the place as his second home yet he never forgets that 'second' never functions without a 'first.'

The first part of the poem "To Derek Mahon" is set in Belfast, as the point of departure for a memorable outing in the West. The nightmare of Belfast finds its antithesis in the peace of the West though the speaker is aware of their status as strangers in that land. The two Belfast-born Protestants find a place in the West at once exotic and alien, they are "Eavesdroppers on conversations / With a Jesus who spoke Irish" (Longley 82). Yet as time passes something alters, they recognise some ground on which they feel attached to this island location and perhaps the date is not insignificant in this change as "That was Good Friday years ago" (Longley 83). Despite the strangeness of the place it acquires a magic dimension to exert a haunting effect on the visitors; the simplicity of the old ways and the exoticism of the bilingual environment keep them momentary captives of the island, momentary only since the time comes when they have to leave.

The experience of the West in such circumstances leads to the transformation of the place into something profoundly important for Longley. The proper significance of the West is demonstrated in the short poem entitled "The West," which depicts an intensely private world where the major experience is facing oneself. The persona is either engaged in the activity of listening to the radio for "news from home" (Longley 94), or observes himself in a strangely duplicated form as he walks up to the cottage functioning as his "home from home" (ibid). The details of the cottage and the surrounding world imply a simple place with a rather frugal degree of comfort yet this is to the advantage of the persona as introspection is facilitated and encouraged in such an environment. The place gives the impression that the passing of time has been suspended, the two activities are basically static and contemplative, opening a dimension to life which is unimaginable in the city. This is the poem which then becomes Longley's milestone in his treatment of the West: the later poems return to this kind of destination, turning the speaker into a familiar face in the region, slowly shedding his visitor-image. The shift from "news from home" to "home from home" contributes to this 'rite of passage,' with the first "home" of the latter phrase receiving increasingly more emphasis – the visitor has taken up home in the destination, the exotic has become a part of the normal.

"Carrigskeewaun" is a set of pictures from life in Longley's West, providing a kaleidoscopic account in five sections, each with its own title. The details captured are almost all natural ones, there are only few man-made elements mentioned. The opening sections evoke a place in which human presence is an intrusion. It is "ravens' territory" (Longley 96) with the corresponding relics of death and decay, the speaker is only a visitor there, standing still. His first movement disturbs the birds of the place and makes them fly away, only a swan decides to remain on the spot. Other human presences are discovered in the form of traces – "cattle tracks," "footprints of the children and my own" (ibid); these are memorials of the previous day found on the strand. The human construct of the "dry-stone wall" (Longley 97) leads the speaker to reflection and turf-smoke evokes the image of a home: "Steam from a kettle, a tablecloth and / A table she might have already set." (ibid) The closing image of the poem is that of a lake, having the power of mirroring the world around it and an even more extraordinary feature: "For a few minutes every evening / its surface seems tilted to receive / the sun perfectly" (ibid).

The world depicted in the poem is one out of time, dominated by representatives of nature, virtually excluding human civilisation. Though Carrigskeewaun is a reference to a human place, apart from the turf smoke the human presence associated with settlements is basically missing. That it is a world where time appears suspended is supported by the image of the "cattle tracks" and "footprints" on the strand – normally these would be erased by the water in its constant interaction with the shore. The suspension of time is not the only appearance in this place: the lake's mirroring of the "sheep and cattle that wander there" (ibid) creates a duplication, on the level of reflection, of reality, and the special power of the water surface "to receive / The sun perfectly" also "seems" to do this. Despite the implication of 'seeming' the unlikely event of the tilting of the water surface is still a possibility and this vision is facilitated by the location itself.

"In Mayo" provides details of life in a small town in the West, thus it complements the perspective of the previous poem. The approach, however, is a rather interesting one: the speaker's attitude reveals intimacy with the place yet he also offers a glance of himself from the point of view of the natives of the place, thus his status as a stranger in the location is also expressed, which reasserts the double perspective hinted at in the poem 'The West'. The place seems to escape the passing of time – both the natural world and the human population are engaged in the routine of life lived in a place detached from the outside world, undisturbed by a wider context. The visitors, though feeling intimacy towards the place, remain essentially strangers, their movements are riddles for the local people, their actions are "episodes" (Longley 118) in the history of the place and sometimes even approximate miraculous dimensions such as "the mushrooms / That cluster where we happen to lie" (ibid).

Life is easily imagined in such a location for the speaker as the generalising vision is outlined in section IV. From among times of the day "Dawns and dusks" (Longley 119) are pointed out, mysterious intersections of day and night, and there is an image of "swans / That fly home in twos, married for life" (ibid). This image has its own fine reverberations suggested by flying home and life-long marriage, and also enters into a relation with the solitary swan of "Carrigskeewaun" and the numerous flock of Yeats, and Heaney's swan-covered lake is not an alien allusion here either.

"Landscape" is set in an unidentified location, the only point of reference is its proximity to the sea, yet the terms of the poem firmly associate it with the West. It is a place of high winds, a "place of dispersals" (Longley 126), where cloud shadows possess the power of clothing and unclothing the speaker and where the wind is more a destroyer than a preserver – it "fractures / Flight – feathers, insect wings / And rips thought to tatters" (ibid). Yet there are moments of insight, though they may be rare and short-lived: "For seconds, dawn or dusk, / The sun's at an angle / To read inscriptions by" (ibid). The visionary moments are confined to the natural world, yet the closing image is a potent one concerning mediation: "A mouth drawn to a mouth / Digests the glass between / Me and my reflection" (ibid).

For Longley the West is a curious place at first, a destination for outings, which occasionally possesses revelatory potential. Frequent returns familiarise the place with the speaker of the poems yet a double perspective prevails – the speaker remains a stranger who is increasingly more intimate with the destination, and the West becomes his "home from home". Growing familiarity with this particular world allows more profound observation of its reality: Longley's West appears a place out of time in which only the cycles of the natural world hint at an awareness of the temporal dimension of existence yet even this implies permanence rather than mutability – routine thus becomes the unspectacular embodiment of the otherwise visionary intersection of the timeless with the temporal.

Richard Murphy's relation with the West is more intimate due to biographical reasons: he was born in the West and lived there for a long time. His perspective accordingly is that of the inhabitant with a thorough knowledge of the place; whatever magic is there is considered an integral part of a known and lived environment, thus its observation is all the more significant in the way it happens since either proximity or familiarity could reduce its potential yet neither of them actually does so.

The telling name of a promontory in "Little Hunger" indicates a shoreline eroded by the sea. The speaker wants to find proper pink stone to construct his own house out of old ones, "roofless homes huddled by the sea" (Murphy 84). It is a strange mission to collect items from abandoned and disintegrating houses to construct a new one out of them, and the idea of 'recycling' is reinforced by the

speaker's assertion of his work being the "dismemberment" (ibid) of others, with the nearly paradoxical idea of a "fragment" bringing it all to completion, "To make it integral" (ibid).

Granite boulders prompt the question of the poem "Omey Island": what purpose left them stranded where they are, whether it was nature or man preparing the scene. The land contemplated is reminiscent of a stone quarry and thus the image of an abandoned place fits it well, yet equally possible is the purely natural way of its formation, with the sea as its only agent. The last stanza tilts the balance towards the sea, its impersonal waves are fully ignorant of human purpose but at the same time generous enough to provide help: "the ocean / Explodes at the quarry-face of the shore / Without a notion of hearths, lintels, and tombstones" (Murphy 87) yet it has the power "to disgorge / Enough raw granite to face a whole new town."(ibid)

The seeming separation of nature and the human world and the implication of nature's indifference towards the human being create the image of the West as a frontier, a world that calls for human ingenuity to overcome the obstacles to be encountered in the place. Though Longley's accounts of the West occasionally also include elements that recall the harshness of the environment, he does not allow these to dominate his vision of the place. Murphy calls attention to the difficulties of *constructing* a home whereas Longley focuses on *finding* one, which indicates the main difference in their approach to the place.

Eavan Boland's poem "On Holiday" has a destination in the West, yet it is no longer seen as a mystical and magic place but rather a backward world with unfavourable physical conditions and which has lost its cultural rituals. The place evoked is Ballyvaughan, it is defined by "Peat and salt" (Boland 84) yet water could easily be added, as the "sheets are damp" (Boland 85) and this creates the impression that this damp would penetrate to the bones. The old beliefs are no longer a practice, there is now no milk left on the windowsill against "the child-stealing spirits" (ibid). The peculiar situation of the speaker, however, recreates something of the old tradition: it is a holiday with a child, and a "superstition feast / of wheat biscuits, apples, / orange juice" (ibid) are left instead of the milk, just to be found eaten later. The 'revision' of the old tradition in a harmlessly mocking form means that something of that tradition is still preserved, therefore some form of continuity is established; this is reinforced by the context of a holiday with a child, suggesting the passing on of knowledge.

For other visitors the West becomes a reminder of the category of elsewhere apropos of their visits. Even family history may prove weak in the face of expectations during a visit to the place, as it is communicated by Paul Durcan's poem "Going Home to Mayo, Winter 1949": the West of Ireland does not turn automatically and magically into a real home for Durcan despite his family ties in that region. The poem has a title which marks its subject with

Wordsworthian precision, locating the action in space as well as in time. Journeys of the indicated type raise a number of expectations in the reader, especially when the word home is explicitly featured, yet the division of the poem into two sections suggests something of the ambivalence of the concept itself in its mid-twentieth century Irish context.

The point of departure is "the alien, foreign city of Dublin" (Durcan 34) with the immediate aim of offering one part of the contrast to be elaborated in the poem, the place which is left behind in favour of another called "home." The distancing of Dublin from the speaker along the axis of affection prepares for a peaceful arrival at a country place verging on the legendary and therefore something very close to essential human experience. The futile race with the moon on the way is easily forgotten as the destination is being approached, and the magic of the Irish countryside overwrites the quotidian memory of Dublin: "Each town we passed through was another milestone / And their names were magic passwords into eternity." (ibid) The climax of the arrival is expressed in a language at once eloquent and profound, with the deeply human vision of father and son walking by the river talking to each other, "an unheard-of thing in the city" (ibid).

The vision, however, has its own cracks woven into it. "Life's seemingly seamless garment" (ibid) opens up the ironic distance between the real and the apparent, thus the liberating environment is soon found alien too. The second section of the poem begins with a strong "But" (ibid) and the almost idyllic picture comes to an end: "But home was not home and the moon could be no more outflanked / Than the daylight nightmare of Dublin city" (ibid). The speaker leaves it unspecified, though, whether this recognition comes because of the inevitable temporariness of the visit or because of a general feeling of anxiety. The return to Dublin reawakens the "mutual doom" (ibid) of father and son, on another level, of one human being to another – the curse of modern city life expressed best by the commonplace word 'alienation.' All the landmarks of the city function as reminders of this isolation of one person from another, thus the speaker of the poem, in the final analysis, remains without a home by the end of the journey: neither the city nor the country can function as a place which embraces and sustains him in a context which would deserve the warm designation of home – the former is his present habitation and the latter preserves the family ties, so the conclusion of the poem is all the more uncomforting. The West, then, for Durcan is just another place where he is reminded of the modern plight of not feeling at home anywhere, thus it is a universal enough place to be regarded beyond division of any kind.

Though Derek Mahon, unlike some other poets, does not approach the West with a peculiar expectation of a place possessed by magic, one particular western location has a lasting effect on the speaker of the poem "Thinking of Inis Oírr in Cambridge, Mass." Though the title appears to embody dislocation itself – a

Northern poet in the United States recalls a place in the West of Ireland – the poem stands on firm ground as it presents the perfect picture preserved in the memory of the speaker. The location possesses sublime powers as "Reflection in that final sky / Shames vision into simple sight; / Into pure sense, experience" (Mahon 29). The scene is conjured in a dream which at the beginning does not make clear whether it is based on actual experience or a simple fantasy; the end of the poem, however, provides the missing piece of information in relation to the basis of the dream: "I clutch the memory still, and I / Have measured everything with it since" (ibid).

The "final sky" is the experience that awaits the speaker in the West and which provides him with something of an etalon. The usual cultural significance of the Aran destination is not hinted at: the experience is purely contained within the confines of the physical environment as it is the sky that provides the reflection. Yet the vision is received and this event is only possible in this particular place, which singles out the West as a location with its own imaginative appeal.

The West of Ireland does not leave these poets without a lasting effect on them. At the same time the image of the West does not escape the effect of the poets either – the former associations of the West as the scene of genuine Irish life and culture are evaded, and in most cases the place becomes a location with particular physical dimensions – the West is principally regarded as a landscape which occasionally accommodates human communities as well. The harshness of the landscape itself is not overlooked yet it is the wild and fascinating beauty of the place which rules the perspectives – the power of the sea and of the wind is translated into a sublime dimension rather than into the depressing reality of a hostile environment. Natural and human communities live out their life against this background, yet the temporal dimension is lulled by the motif of cycles and routines which combine to create the sense of the suspension of the passing of time and by this a glimpse of the timeless in the temporal is allowed. This suspended temporality becomes the most apparent distinct feature of the 'modern' West.

This modern West with its seemingly timeless reality, however, does not retain its earlier virtually equivocally accepted ideal status. The earlier association of the West with the desired ideal state of innocence gives way to a more ambivalent image as the place with its human community becomes a "home from home" for one poet but it remains just another alien place for another, which is all the more telling as the former poet is stranger to the West whereas the latter has family ties in the region. Nevertheless, one common denominator exists for all these poets – their meeting with the West provides them with a profound experience which points beyond any division of the island into distinct units, thus the West manages to retain something of its traditional image as the repository of genuine values yet these are essentially general in

their nature, without any further political or territorial qualifications. That these are part of the aura of the West and their experience is conceived in the region is due principally to the fact of the strangeness of the place – the perspective of the visitor calls for alertness and this facilitates discoveries that would not occur otherwise. The imagination is simultaneously aroused and lulled, and the "Reflection in that final sky" indeed becomes "pure sense, experience" (Mahon 29).

References

Boland, E. *Selected Poems*. Manchester: Carcanet, 1989

Durcan, P. A Snail in my Prime. New and Selected Poems. London: Harvill, 1993

Kenneally, M. (ed.) *Poetry in Contemporary Irish Literature*. Gerrards Cross: Colin Smythe Limited, 1995

Longley, M. *Poems 1963–1983.* London: Secker and Warburg, 1985

Mahon, D. *Collected Poems.* Loughcrew: Gallery, 1999

McDonald, P. Mistaken Identities. Poetry and Northern Ireland. Oxford: Clarendon Press, 1997

Murphy, R. *Collected Poems 1952–2000*. Winston-Salem: Wake Forest University Press, 2001

Welch, R. "Michael Longley and the West." In: Peacock, A. J., Devine, K. (eds.) *The Poetry of Michael Longley.* Gerrards Cross: Colin Smythe Limited, 2000, pp. 51–72.

Re-Reading the Reforgotten Text: John Fowles' *Mantissa*

Tibor Tóth

I start from the assumption that John Fowles' novel entitled *Mantissa*[1] published in 1982 in Paris can be interpreted as a book which sums up its author's earlier approaches to the theme of freedom, and that the hypothesis refers to the freedom of the author, of his characters, of his texts, the genre and his readers. I intend to follow the guidelines formulated by authorised interpretations of John Fowles' art, to which I add my interpretations based on a close reading of the novel in the hope that the conclusions will justify the compatibility of my statements with some relevant theses formulated by contemporary theories.

The methods by way of which I approach the above mentioned thesis are determined by the complexity noticed by Pamela Cooper in her excellent survey of John Fowles' works entitled *The Fictions of John Fowles: Power, Creativity Femininity.* She asserts that the novelist's latest work repeats themes more convincingly formulated in his earlier works, but observes the original quality of the artist's handling of his material in *Mantissa:*

> As a whole, Fowles' *Mantissa* is a reconfirmation of the woman in her passive, instrumental role relative to art, language, and narrative, a kind of 'road not taken'. (193)

The complexity of the novel attracted the attention of Mahmoud Salami as well who in his book entitled *John Fowles Fiction and the Poetics of Postmodernism* formulates the thesis that the novel foregrounds the subjective authority behind the illusion of objectivity and defines the novel as a book which is about nothing else but itself:

> By and large *Mantissa* is a novel that challenges its own narratological making. Indeed it is a linguistic fantasy, a self-contained text that reflects nothing but itself. (191)

---

[1] Fowles, John. 1982. *Mantissa*. Boston: Little, Brown and Company. All quotations are from this edition.

Katherine Tarbox' praises John Fowles for the spirit of exuberant playfulness and the well-developed sense of comedy in *Mantissa:*

> The plot is constantly being rewritten before our eyes by the characters themselves, who change both shape and identity with the snap of the finger. The only thing that is sure is that the action (if indeed action can be said to take place inside a brain) represents the monumental struggle between the author and his protean Muse, whose actual existence is highly suspect. (120)

John Fowles' fiction does not deny the presence of the absurd quality of existence in the fictional world, but, Samuel Beckett's definition of life/existence and both writers suggest that if we manage to defer the finality of life as journey its variations are desirable, possible and actually timeless.

In *Mantissa* these variations are performed in a form which contradicts the conventional requirements of fiction as the alternation of descriptive and conversational passages, and telling and showing collapse into one dynamic flow of dramatised performance designed to defer the finality of the (spiritual) world and to deny its limits. If we were to apply John Fowles' principles to Samuel Beckett's famous metaphor we could say that death, life, mother and child are performing an incessant ritual which is a permanent beginning of an end. Understandably John Fowles shifts the emphasis from the act of giving birth to the act of creation or conception.

Thus man and woman are accessible as impersonations of the powers at work, they are ideal enemies whose encounters can lead to conception and they are also conventional symbols that can stand for the two basic elements which contribute to the spiritual dimension that constitutes the 'real life' quality of any work of art. Mahmoud Salami speaks about the same aspect of the novel although his intentions are definitely of another nature:

> Generally, Erato represents the archetypal anima who helps to create Mile's own subjectivity; she teaches him the ways of regaining his sense of creativity. […] The figure of woman is constructed in *Mantissa*, as indeed in all Fowles' fiction, as a "kind of reality," an existential figure who leads the man through difficult passages into self-discovery and authenticity, and indeed an enigmatic and erotic muse who inspires her writer. (Salami 200-01)

We can state then that in *Mantissa* John Fowles opts for an incessant dialogue between an imaginary artist and the different impersonations of his Muse as a technical solution and in that novel the fact that the artist is a man and the muse is a woman has obvious advantages because this way John Fowles can discuss

the state of contemporary fiction against the variations of a weird 'history' of this genre from the time of the creation of the Greek alphabet to present supported by the image of woman and man uniting and confronting each other in the name of a process which can be interpreted as conception. John Fowles achieves this by wiping out the limiting power of objective time as traditional time dimensions are excluded from the novel and they are replaced by meaningful subjective dimensions, which refer to the creative process and the aesthetic dimension.

These subjective dimensions are not rendered meaningful by way of flashbacks or other experimental techniques, but through a process John Fowles terms 'reforgetting.' The tension between talent and inspiration stems from the permanent desire to be seduced in a spiritually creative process of both parties involved. This kind of 'conflict' has no intention to develop, its progress is closely related to John Fowles' idea that the artist is tempted to think of himself as a myth.

We witness a 'spiritual duel' where none of the challengers can or even has the intention to win. John Fowles supports the logic of this permanent desire to be seduced by giving talent male identity and shaping inspiration as a perpetually transforming woman. Man accumulates the identity of all possible males from Zeus, via Homer, Shakespeare, T. S. Eliot to Miles Green while woman reveals an identity which includes the identities of a Greek goddess, the Dark Lady, a punk guitarist, a late twentieth century poetess or Dr. Delfie.

The two influences at work in any creative process are thus envisaged as man and woman and their permanent desire to be seduced defines the sexual encounter as central metaphor. Consequently the only 'action' that can be described in conventional terms is interpretable as the two characters are trying to seduce the other sexually with the intention of dominating the process of (artistic) creation. Under the given conditions all transformations are rendered emphatically rational and consequently the 'unquestioning' presentation of the inexplicable becomes a central principle.

In view of the above preliminary statements a quotation taken from Descartes can be taken as announcing the theme of the novel. The quotation reads as follows:

> Then, carefully examining what I was, and seeing that I could pretend that I had no body, that no outer world existed, and no place where I was; but that despite this I could not pretend that I did not exist. (No page number.)

The Descartes paragraph specifies a relevant aspect of the ward. It is an inner space, where separation from the material world is desirable, possible and

ultimately it is a fictional fact. This means that that the setting is 'spiritual' and that the character(s) is (are) kind(s) of variations and 'appear in different attire.'

The time of the action cannot be interpreted conventionally either: first because the setting has no connection whatsoever with the exterior world, second because the passing of time is 'measured' by pages. The general mood or atmosphere of the novel is 'coded' privately as well: it is dominated by 'a luminous and infinite haze.' Thus the initiatory perspective is obscure in the extreme and it invites precaution. We discover that it is not only that it is formulated in the negative: "Not language, not location, not cast" (*M*.3), but the identity of the source of the speaking voice is 'forgotten'. The dominant pronoun is 'It,' or as the text formulates it 'It' was bereft of pronoun: "It was conscious, evidently; but bereft of pronoun, all that distinguishes person from person; and bereft of time, all that distinguishes present from past and future." (*M*.3) At this point we tend to disagree with Mahmoud Salami who asserts that the novel's illusion of objectivity is maintained "by the third-person narrator who appears as an omniscient "he," although it is Miles Green himself who writes this fantasy" (191).

The conflict between reality, fictional reality and what is beyond is inherent, but it denies interpretation. The way in which this double fictional remove from reality functions is demonstrated by the reverse process employed by the protagonist who intends to achieve 'a kind of' identity. The protagonist defined by 'It' becomes an 'I of sorts' (*M*.4) and this 'I of sorts' desires to 'reforget' instead of to remember.

All its/his answers continue to be formulated in the negative: "Name! No name. Nothing. No past, no whence or when" (*M*.5). What is more: "He would have liked to close his eyes, to have peace to reforget, to be once again with the sleeping blank page oblivion" (*M*.6).

The 'blank page oblivion' refers to authentic non-existence as a form of existence, because it refers to a page that can be 're-populated.' The element of motivation identified at this phase is the desire to regain this 'blank page oblivion.' The 'doctor' achieves some progress by challenging it/him with interpretable, memorable 'pages'. Miles can and does tell her that *Pickwick Papers* was written by Dickens and *A Midsummer Night's Dream* by Shakespeare. He can even remember protagonists which exist on those pages: he mentions Bottom and Titania. This is the first step to Miles Green's sense of male identity: memories of spiritual power belong to the 'he' who also happens to have a name.

The 'locus' is the skull of the fictional artist which hosts the grey cells, which become after all, the setting, time, and characters of the novel is defined as a ward. If space is identified in terms of the spiritual reflection of the idea of space contained in a ward-like skull, time is interpreted in the context of another dimension, which is presumably a fictionally material one. We suspect that the

pages that measure time are the ones we are reading. To further complicate the situation, the protagonists pretend to be ignorant of the situation and their own statuses.

The 'doctor' offers us a vague and quite evasive definition of the conflict yet the attentive reader senses that if there is hope to grasp the conflict it can be identified as a kind of 'dis-cordia' - a kind of tie which both links and separates - between the spiritual and the spiritually (fictionally) real: "You've mislaid your identity, Mr. Green. What I have to work on is your basic sense of reality" (*M.*14).

The erotic interlude shocks and horrifies the 'patient' but the doctor addresses him in a strict and cold voice and orders him to take an active part in the less than conservative treatment. Miles Green, a decent gentleman, wants to escape the uneasy situation created by his own subconscious, but he cannot resist his imagination. His mental experience tries to retain decency and respond to temptation simultaneously and ignores the fact that the 'rape the other way round' is a metaphor of the creative process in which the muse is trying to inspire the artist to discover a new identity for himself. The conventional logic, the prudery of the artist stands for the conscious and his attempt to overcome the unconscious will be ridiculed dryly by the latter: "Couldn't I … on my own?" "We re not testing your ability to produce mere *sperm*, Mr. Green" (*M.*20).

Miles' attempt to "reforget" the game and exclude the Muse/ Dr. Delfie only inspires a second 'agent-provocateur': the Muse doubles and her 'incarnation' is Nurse Cory. The Muse/Dr. Delfie/ Nurse Cory are/is there to liberate Miles Green's creative imagination from the yoke of his conscious.

Green Miles tries to reject the sexual provocation of the two muses with no success and the Nurse manages to appeal to his instincts. The discourse, the words used to describe the sexual teasing belong to the realm of art and indicate that the act has to be interpreted in terms of the creative process. "To the now quite unashamedly suggestive synecdoches of her tongue were added quiverings and tremulous little borings" (*M.* 31). Mahmoud Salami discusses a number of feminist critiques of *Mantissa* and he hits upon the idea that the freedom of the Muse is both desirable and avoidable in the context of the novel:

> In *Mantissa* the woman figure is constructed as the fertile mother, the mystic virgin, the attainable muse for the recreation of Miles's own subjectivity, and the "lacuna," the linking space among his split imagination, his divided self, and his fragmented texts […] Miles's subjectivity seems trapped within the textual limits of his fantasies […] that is why he wants to free himself from the determination of the author […] he wants to achieve unique identity rather than to remain as a device in someone else's text. (213)

Of course there are a number of texts which have to be avoided as the artist's visions or illusions of the Muse follow one another in the flow of the creative process. The Muse uses her variability as inspiration to bring out the desired result. She explains to Miles that their only role is to provide him with a source of erotic arousal and offers him the choice of positions from the Kama Sutra, Aretino, the Hokuwata Monosaki, Kiney, or the Sjöstrom. Miles loses control over the events and the Muse orders talent to "stop verbalizing" (*M.* 41), as words can create another kind of reality and that reality is subservient to the conscious.

Miles Green 'falls victim' to what he interprets as 'rape, the other way round.' We have already been warned that the sources of this situation are ancient pages as the Muse/Dr. Delfie/Nurse Cory mention(s) those famous guides to sexual satisfaction.

It is when Miles Green decides that the whole 'treatment' was not that bad after all that he is congratulated by The Muse/Dr. Delfie/Nurse Cory for having written the pages we have just read: "Hey Mr. Green, who's a clever boy? Who's in luck?" "It's a lovely little story. And you made it all by yourself" (*M.* 44). The very moment the sexual intercourse is consummated it looses its permanence and becomes a topic for discussion.

We have already mentioned that the formal elements of fiction were refused their traditional authentic status. The last variation of the Muse testifies that we are reading a curious novel about the conception of fiction in which both context and experience provided by literary texts seem to refuse traditional interpretation. Miles Green, who is at the same time a 'he' and an 'it,' is a traditionally interpretable artist-image rather than artist, and is 'more' emphatically an idea than a fictional embodiment, a surrogate of John Fowles. The Muse(s) declare(s) that it is the 'id' of the 'idea' that needs treatment, and she/they 'act out' the secret desires of the idea. The Muse exploits her advantage and cannot resist temptation to hint at her divine quality.

> 'Look, Mr. Green. Listen….It was conscious of a luminous and infinite haze, as if it were floating, godlike, alpha and o-me-ga …' She flashed him a vivacious smile. 'Is that how you pronounce it, Mr. Green? It's Greek, isn't it?' She did not wait for a reply, but went back to her reading. ' … over a sea of vapor and looking –' (*M.* 45)

Dr. Delfie and Nurse Cory vanish, an event, which is explicable and logical as they are shown as inspiration-like participants in the writing process, so they quit "leaving nothing but a flutter of falling white typescript" (*M.*50). Nemesis, for this is the name given to the apparition who bursts into the ward calls Miles Green a 'bastard, fuckin' chauvinist pig.' The two don't quite share the same discourse and register and the artist has no other choice but to tame the twentieth

century variant of 'inspiration' by 'reforgetting' her to her initial status and as a result the woman wearing the symbols of three contemporary subcultures metamorphoses into an archetypal muse.

> Her right hand begins to pick a scale, a remote one, the Lydian mode. The transition is melting rather than instantaneous, yet extraordinary. … (an) unmistakable and immemorial divinity. (*M.*57)

This dreamlike figure warns the author that most men fall to their knees when they see her, the daughter of Zeus resolves to give the artist ten sentences to make a full, proper formal apology or she will ask for divine revenge. The immorality of the Muse provokes a text, which displays the artist's talent to avoid finality, that is, to reproduce divine quality by way of the creative process. The apology documents the presence of a famous literary experience, namely that of James Joyce's *Ulysses*.

Mahmoud Salami quotes Faulkner when trying to establish the silent discourse quality characteristic of the whole novel, which links with our earlier identification of the artist's attempt to replace the voice of the silenced muse. We should remember that he silenced her because the artist wanted to avoid being caught in somebody else's text, which of course was also of his own invention.

> And so for a two-page paragraph in which Miles attempts to break the novel's silent discourses by actually 'voicing' the narrative's mechanical devices. … mechanical devices or a system of signs that reflect nothing but other signs; there is no corporeal reality behind these systems. (198)

When it dawns on Erato that she has been trapped she tries to put the blame on the chaotic character of the genre and supports her infallibility by telling the artist that her divine family considers contemporary fiction to be a huge joke and she declares that contemporary theories of fiction are worse than the worst joke ever invented.

> Of course the whole genre is a mess. Death of the novel, that's a laugh. I wish to all my famous relations it was. And good riddance. … It's what I loathe about this rotten country. And America, that's even worse. At least the French are doing their best to kill the whole stupid thing for good. (*M.* 66)

The Muse protests saying that there has been enough pornography in the ward and the artist has to tell her that it is impossible to switch the light off in the

ward because he wants to keep an eye on inspiration. The Muse is enraged by the artist's lack of confidence in her and she sets on to demonstrate her contribution to the making of the text which reads "both demure and provocative, classical and modern, individual and Eve-like, tender and unforgiving, present and past, real and dreamed, soft and […]" (*M.* 71).

The Muse formulates the quality of the classical literary influences as intertexts and she prepares a later intervention by way of which she mislays the identities of virtually all the great artist's of the past to demonstrate the importance of her metamorphosed impressions over authentic interpretations of the great woks of literature. The Muse speaks of her contribution to the works of the 'frog poet' whom she identifies as Verlain, The artist reacts by giving an interesting definition of fiction and decides to call the Muse by her authentic name.

> 'You know perfectly well why you were landed with fiction. It was nothing to do with picking the short straw. It's just that you could always lie ten times better than all the rest of your sisters put together.'
> 'What sisters? I haven't got any sisters.'
> 'Oh sure. And your name isn't Erato and –'. (*M.*84)

The Muse does not like being stuck with authenticity and she uses the advantages offered by her multiple statuses as a series of fictional characters and inspiration, of course her basic strategy is once again deceit. She complains that she is just one "miserable fantasy figure" the artist's "diseased mind is trying to conjure up out of nothing." (*M.* 85) Deeply hurt the Muse announces that she wants to quit the ward, to which the artist announces to her that it is his will that determines the length and quality of the fictional intermezzo.

Talent and inspiration discover that although their equally important participation in the creative process is incontestable they are in the spiritual sphere of an author yet they sense the possibility of another 'somebody' "who's pulling *his* strings?" (*M.*88)

The artist suspects the Muse of knowing something of the nature of those strings and the Muse cannot help calling him naive, and 'outdated' and provides proof of her capacity to 'update' the creative process she is just visiting.

> My God, when I think in this day and age … it's pathetic. The world's full of highly pertinent male-female situations whose fictional exploration does subtend a viable sociological function – and yet this is the best you can come up with. Muses … I mean, Christ. As if any contemporary woman who actually existed would talk in that revolting fey, coy way about shepherds and pipes and – (*M.* 88)

The Muse admits that she is breaking the artist's rules because she is sick of them and she is fed up of pretending that she exists in ways in which she never would if she did exist and her attitude leads to the artist's questioning the possibility of her desire and he replies that she cannot not exist and actually be because the two concepts are mutually incompatible. The principle is that of existence by way of 'reforgetting' non-existence in the form of an existence that can be conceived as the denial of its availability in conventional terms, much in the way suggested by the Descartes motto we discussed earlier.

This means that the existential is dominated by the aesthetic, but this dominance as we have seen can only be explained through situations taken form the 'domain' of life. The Muse is asking for 'marketable' impersonations.

> Moreover, she ought – if she did exist – to do a little market research on herself. Try knocking on a few doors. 'Hi. My name's Erato. I sell inspiration on the never-never. Can I interest you in an epithalamion? May I show you our new bargain line in personalized alcaics? They'd just laugh in her face. If they didn't think she'd escaped from the nearest nuthouse. … Any way, they can do all she used to do by computer and word-processor now, ten times better. I could even feel faintly sorry for her, poor old milked-out cow. If she did exist. (*M.* 91)

The Muse proposes partnership in a new novel, this time one that appeals to contemporary criticism and public expectations and she opts for a more realistic external context, a casual friendship, going to the theatre, discussing books and instead of writing about talent and imagination she suggests more modern topics. "Politics. Issues like abortion and street violence. Nuclear disarmament. Ecology. Whales. White bread." (*M.* 101)

What follows is an inverted satire of contemporary best-sellers about a Cambridge graduate in English, a businessman who make love in the steamy pouring rain. The Muse becomes a 'Messalina de nos jours' who makes love to everybody out of despair.

The 'poor old milked-out cow' inspires solutions that she thinks would make the book marketable. She could become a nun, because the Vatican scenes sell well, the businessman could go to Rome for the beatification ceremony with his new lover, a homosexual one, because thirteen per cent of the readers of English-speaking 'buyers' are gay, and because Catholics represent twenty-eight per cent of the readers the businessman has to be a Catholic and the last scene would show the statue of the Muse, or lady poet, or rather a nun and the businessman would place unripe bananas at the feet of the statue in secret.

Her 'fiction' is actually prostituting through the 'symbols' she uses the vary nature of the metaphor which supports the greater narrative context in which they exist. The loose 'moral and ethical' principles of inspiration provoke talent

to pretend that he accepts the Muse's version of the creative process, so he pretends to join the irresponsible attitude of the Muse by employing the vulgar banana-penis symbolism of her fiction, yet the scene he creates is telling of the risks serious talent might face had he accepted the help of inspiration indiscriminately.

Miles Green incorporates the primitive symbol into his mock suggestion and pretends that he has accepted the rationale and he says that he could drop a banana at the top of the steep flight of steps leading up to the church and the result would be a spectacular catastrophe because he would slip and break his spine on his way down, as the story invented by the Muse 'breaks the neck' of aesthetic dignity.

The Muse instantly tries to put the blame onto the artist implying that it is talent that has no taste but the artist denounces her hypocrisy and as if to remind her of her more noble standing with respect to fiction he asks for some explanation for the twenty-four black querillas he suspects could stand for the twenty-four letters in the Greek alphabet. Finally he calls Erato "a goddess of a very inferior and fifth-rate kind" (*M.*114).

Disgusted by the fictional environment created by inspiration Miles Green wants to leave the uneasy partnership:

> Well … The sex was just a metaphor, for heaven's sake. There has to be some kind of objective correlative for the hermeneutical side of it. Even a child could see that. (*M.*116-17)

Katherine Tarbox argues that the reality of the novel is altered when the two protagonists disappear to have their one perfect sexual congress, because as she suggests the quality of fiction is a function of the quality of the sexual meeting between the two voices of the novel. "Good lovemaking is a metaphor of good writing, a symbolic harmony of writer and Muse" (Tarbox 125). The Muse is told that people are very serious about fiction and the artist tells the muse that her pagan education gives her a false sense of priorities and her task, as a muse responsible for fiction should be understood as a grave mistake because she must have realised that fiction is a "profound and difficult field for inspiration" (*M.*117) and the responsibility it means exceeds the possibilities of a Muse whose previous experience was with 'love ditties.' The Muse creates the medium for an ironic critique of theories, which stress the exclusive right of the reflective or the reflexive mode in fiction. "I can't understand, if there's place for humor in ordinary life, why there can't also be in the novel. I thought it was meant to reflect life" (*M.* 118).

The artist's answer touches upon a problem often discussed by John Fowles, the ironic quality of the context expresses the author's attitude regarding

fashionable theories of fiction and their pernicious effects on contemporary narrative modes and of course he employs inverted irony.

> Oh God. I honestly don't know where to begin with you. The reflective novel is sixty years dead, Erato. What do you think modernism was about? Let alone post-modernism. Even the dumbest students know it's a *reflexive* medium now, not a reflective one. Do you even know what *that* means? (*M.*118)

Yet, as Pamela Cooper states it the novel is designed to simultaneously mystify and enlighten the process by way of which works of art are produced.

> In this way *Mantissa* is a very ambiguous document; at once self-mocking and self-ingratiating, it is a text that seeks, … to expose and to protect itself simultaneously – and to effect that very protection through exposure. (Cooper 210)

The Muse also learns that the classical realist novel failed to meet the expectations of the fashionable theories of serious contemporary fiction and its artistic techniques were banished to less serious forms of entertainment.

> If you want a story, character, suspense, description, all that antiquated nonsense from pre-modernist times, then go to the cinema. Or read comics. You do not come to a serious modern writer. Like me. (*M.* 116-119)

The alternative for these conventional assets is stress on mode of discourse, 'metaphoricality,' 'disconnectedness,' and 'ateleological self-containedness.' The interesting aspect of this lecture is that we are reading a book which meets the above mentioned expectations in that it stresses the importance of its own discourse, it is constructed on the possibilities created by the metaphorical implications of man-woman relationship and evolves by way of refusing its connection with reality.

Miles Green recommends Erato to read 'Jong' (*M.*121). It is Miles Green's turn to dismiss inspiration of the classical kind and he does so on both the account of contemporary fiction and contemporary reality.

> You still go on as if the world's a pleasant place to live in. There's no more flagrant giveaway of superficiality or approach to life in general. Every internationally admired and really successful modern artist of recent times has shown it's totally pointless, black and absurd. Complete hell. (*M.*121)

Erato can't believe her ears when she is told that life is a complete hell even if one is an internationally admired and really successful artist, but is not really shocked when she is offered a contract: "And one last thing. I also think, I'd be happier if in the future we operate on a financial basis. I'll give you a little fee for anything I use, right? I can always claim it against tax as research" (*M.*132). Mahmoud Salami remarks that the novel is a critique of itself and compares it to John Barth's short story "Title" in *Lost in the Funhouse*.

> This story is a critique of itself, a story about a story dealing with its own social construction and the writing of its own love story. […] Indeed *Mantissa* deals with the ways stories can be imagined and Miles practices these fantastic constructions in relation to Erato, who is equally important to these constructions. […] Thus in *Mantissa* Fowles is making fun of such fiction and of the important role given to critical theory. In relation to self-reflexive fiction, Miles (and Fowles) stresses ironically that there is no place for humor in the novel. […] There is also a sense of anxiety within both the character and author about the prominence given to criticism and critics rather than to fiction itself. (Salami 198-99)

Yet deceit is consistent in the novel and the 'realistic preamble' collapses in the very moment the artist discovers that the Muse has removed the door an event, which seems contrary to his intentions so he answers her magic with magic, and clicks his thumb and finger, but the wall remains unchanged. He walks back to the Muse to be reminded that the basic rule of the play is that neither talent nor inspiration can leave the creative process, or more plainly the Muse announces to the artist that he cannot walk out of his own brain.

The artist announces that the Muse has no power to change his feelings. And formulates his criticism of the role inspiration played in the creative process.

> 'I mean every word I said just then. You've ruined my work from the start … I was going to follow in Joyce and Beckett's footsteps. … Again and again you've made me cut out the best stuff. That text where I had twelve different endings – it was perfect as it was no one had ever done that before. Then you get at it, and I'm left with just three. [*FLW*] (*M.*128)

Inspiration dictated all his texts and he was functioning like a typewriter so the French theoreticians' dilemmas concerning the question whether the writer himself is written or not could be answered through their case.

In part three an old sister joins Dr. Delfie in the ward where Miles Green is about to recover from his former knock out (the Cretan mode) and the matron disagrees with her methods of treatment and threatens to report to Mrs. Thatcher about the fact that the she employs Dr. Lawrence's new mastectomy incision, a method demonstrated with surgical crayon on the muse's naked bosoms.

The enraged Muse starts kicking the artist the moment the intemperate sister disappears from the ward, the door of the ward opens to reveal the same room in which his solitary double suffers and the Muse announces that she joined him out of pity because for her his superficial level of intelligence, mental instability, indebtedness to a "cheaply iconoclastic spirit of a talentless and self-destructive culture" (*M.*145) inspired pity.

The Muse starts enlisting her contributions to works of art that praised her beauty and mystery.

> 'Black girl, that's a joke. Who do you seriously think you're talking to? Who do you think was the Dark Lady of the *Sonnets*, for a start? You name them, I've known them. And not just Shakespeare, Milton, Rochester, Shelley. The man who wrote *The Budoir*. Keats, H. G. Wells. … I even spent an afternoon with T. S. Eliot.' (*M.*148)

She seems not to have enjoyed the company of the great talents too much and she formulates her discontent in the context of her permanent desire to be seduced. She explains this desire by way of juxtaposing the sexual dimension onto the scene of temptation. The artist wearing his 'Adam's costume' has to listen to the Muse's reinvention of the Biblical scene: "Any woman could tell you what the serpent really stood for. He just wasn't up to the job" (*M.*149).

The artist, like his ancestor Adam, is not up to the job so imaginary Eve is telling him that he is a tenth-rate hack and that she finds it natural that the *Times Literary Supplement* calls him "an affront to serious English fiction" (*M.*150). The Biblical formula for the permanent desire to be seduced, excludes the possibility of the intrusion of authentic 'exterior' material into the spiritual dimension of the novel. The Muse after being transformed into a visible woman makes love with the artist on the old rose carpet.

The detachment of the aesthetic dimension from the existential one is documented by the closing passages of the third section as talent and inspiration are in a room with glass walls where they are watched, while making love, by nurses, doctors, cleaners, porters, staff of all kinds and their attitude convinces the reader that participation in this chaotic love-hate argument which is the creative process is a privilege envied by many.

> And there they watch, with a sad and silent concupiscence, as the dispossessed contemplate the possessed; or the starving, at a restaurant

> window, the fed and feeding. The only thing private still left sacrosanct, is the word. Not that words are now being sounded inside that room, but only fragments of alphabet. The situation only lasts a second and then once again all external is excluded. (*M.*156)

The motto of the fourth part is taken from Marivaux's *La Colonie* and promises further conversation "deux beaux yeaux n'ont qu'a parle" continues with Flann O'Brien's slightly adapted words: "By God she can do the talking. She has seen more of the world than you and me, of course, that's the secret of it" (*M.*158).

Yet the motto does not elucidate the problem of who is being written in the book by whom that is it suggests that the plausibility factor remains a function of authorial will in the last part of the novel as well. But authorial will can only be defined as the permanent desire to be seduced because the narrative 'I' has been consistently split between the different impersonations of Miles Green and Erato. Miles Green and Erato, man and woman, talent and inspiration are involved as the partners who are complementing each other on the sexual performance they managed to provide. It is useful to remember that earlier in the novel Miles Green explained Erato that sex was an objective correlative for the creative process behind the conception of a work of art.

Reforgetting brings about a nostalgic tone as Miles speaks about the evening when the Muse first visited him and the two agree that they need each other, and that although they were both sick of imagining they managed to challenge the curse of fiction and write the absolutely impossible, the unwritable, the unfinishable, the unimaginable, the endlessly revisable text without words that allowed them to be their real selves at last.

The text they are discussing is of course the text we are reading. Making love is maintained as a central metaphor for the creative process as Miles Green defines the curse of fiction as the boring stretches between the sexy bits. A return to pagan liberalism regarding sex is supported through the Muse's complaint that she hadn't been seduced for almost seventeen centuries before she made love to Miles Green because of the awful Christian morality that became dominant. Erato confesses that it was the artist's seductive charm that attracted her, not his genius in turning his ideas into art.

At this point the temptation to associate the artist with John Fowles is stronger than anywhere in the novel, since John Fowles has repeatedly formulated his difficulties with turning his ideas into words. The above possibility fuels the suspicion that John Fowles is formulating a mock-ironic critique of his doubts. The Muse is doing her best to reveal her permanent role in the artist's desire to participate in the creative process. "And if it was the other thing, and you *could* write it all down, I just couldn't be with you at all. I'd have to go back to being a shadow on the brain-cell stairs, a boring old ghost in the machine" (*M.*170).

Erato announces her commitment to free the world of words from under the yoke of platitudes and she supports the necessity of abandoning the existential offering a weird history of literature. She demonstrates her contribution to the freedom of the 'alphabet' by invoking 'the historical fact' that 'ghastly Clio' regarded the alphabet as the inland- revenue's best friend and doomed letters to express only platitudes but as the other Muses decided that the mortals needed an example that the alphabet could be used for literary accounts as well she "did once scribble a little something down" (*M.*171).

The 'little something' she is speaking about is *The Odyssey* she calls a 'kind of fluke best-seller,' of somebody, who had something to do with her nose (Publius Ovidius Naso), to whom she attributes some famous odes, which were actually written by Horace. Then she seems to remember a 'lovely thing' written by Horace, which actually was written by Catullus, whose Livia she was. The artist reminds her that the name of the woman who inspired Catullus was actually called Lesbia. Mahmoud Salami interprets the above passage as proof of the woman's attempt to construct her independent self, but of course the misinterpretation of this private history of universal literature can be interpreted in other ways as well.

> Thus the power she claims to have is illusory and the reader knows that she is the product of Miles's deluded mind. (Salami 209)

On page one hundred and eighty-three the muse announces that all they do nowadays is talk in his unwritable non-text that could be one hundred and eighty-three pages and the artist promises to find something more pleasant next time. On page one hundred and eighty four the leading point of view is handed over to, or taken over by the omniscient narrator. The author whose creativity is a function of talent and inspiration paradoxically sets to explain to the reader what his standing in the given situation, or rather in the text which has just been declared a non-text, is. The omnipotent voice announces that all male sympathies must go to Miles Green, then cunningly softens the tone by adding "or so Miles Green himself overwhelmingly feels" (*M.*184).

The authorial voice acts as an intermediary between text and reader for most of the remaining part of the novel. We are told that Miles Green realises "The notion that the muses are shy and fugitive is one of the grossest deceptions ever perpetrated on man." (*M.*186) The realisation admits that the conversation between talent and inspiration is unavoidable although talent should vary the target of his permanent desire to be seduced. This means that the 'Delphi Dancing Girls' did not help the artist and everything that was good literature produced by the artist was "not because of, but in spite of, Erato" (*M.*186).

The statement is meant to point at Erato's errors but does not deny her power. We are told that she can inspire if she wants to as illustrated by the good

job she did when she impersonated the Dark Lady, Lesbia, Calypso or even when she contributed to the writing of *Ode on a Grecian Urn*. Contemporary literature seems to be a more complex problem and inspiration fails to provide for twentieth century fiction because she cannot cope with her spiritually female dimension in the artist's creative 'reality,' and yet she feels resentment at being physically attracted to him. Her attempts at interpreting the creative process in terms of carnal desires being met could explain her lack of style adequate to a divinity, what's more her "being just one, more brainwashed, average twentieth-century female" (*M.*187).

The authorial voice tells us that carnal desires lead to variations that are physical, passionate, free of dialogue, experimental, and supremely irreproducible in text, yet the permanent desire to be seduced has nothing to do with physical reality except that sex can function as an interpretable objective correlative. At this point the logic of the authorial voice fails to be consistent, yet this is certainly one more possibility employed by John Fowles in the spirit of freedom which keeps the fictional material together:

> And now! It is her fault entirely. With women one always in a bog of reality, alias words. […] It could be seen as a huge conspiracy, really; and who was at the heart of it? Who else but this totally slippery, malicious and two faced creature beside him? (*M.*188)

The closing lines reforget the atmosphere of the opening scene:

> The oblivious patient lies on his hospital bed, staring, in what must now be seen as his most characteristic position, blindly at the ceiling; conscious only of a luminous and infinite haze, as if he were floating, godlike, alpha and omega /and all between/, over a sea of vapor. (*M.* 196)

Most of the novel is, technically, a dialogue between 'inspiration' and the 'creative medium.' Descriptive passages are rare, and when they are employed their sources are wrapped in utmost obscurity. Similarly the dialogue confers an inauthentic status on the artist and the Muse and we were trying to suggest this by using different definitions when speaking about them like artist, talent, patient, lover for Miles Green and muse, inspiration, doctor, nurse for Erato.

The theme itself is declared and deconstructed repeatedly with the result that we are to understand that the artist who is traditionally the individual endowed with creative talent and normally seeks the help of the Muse creates his own Muse and yet their relationship is not without problems mainly because the freedom to exist is defined as the right to participate in their encounter with each

other and the different spiritual reflections of both the existentialist and the aesthetic dimensions they continuously deny and acknowledge.

Katherine Tarbox when discussing John Fowles' game with pornography states that the apparent inconsistencies of the game create much of the 'comic bickering' and entitle both participants to accuse each other of being pornographers. She also argues that physical parallels match the many rhetorical parallels and identifies the fugal manner behind the structure of the 'plot'.

> Fowles interweaves the characters' identities in his fugal manner. […] The ability of each to perform magic sets up an equivalence between them.[…] The two voices go around in a closed pattern and, as in a fugue, reveal themselves to be one voice shattered into variations. (Tarbox 124)

The basic constituents of fiction are also suspended between two states of 'blank page oblivion,' which conventionally could be defined as the frame of the 'nonfiction' we are reading, but as we have stated, 'blank page oblivion' is the source for the freedom to 'reforget.' This means that we have access to our private codes, only if we allow for the private codes formulated in the 'paging' course of the conversations between characters, characters and sources, or characters and artist.

If one does not want to go on ad infinitum, in the way in which Miles Green is trying to 'please' the muse in a sentence that 'lasts' eight pages, one has to use traditional referents to define the participants in the conversation. We may say that the conversations are between the variations of the artist and muse figures in a head dominated by the thought that the dimensions of time and space, of life as determined by the material world and the spiritual one, might be accessible. John Fowles expressed his conviction that "there may be a way for all of us, for you and me, to go back in time, so we could theoretically say, I feel like a talk with Shakespeare" (Mihaies 23).

John Fowles' protagonists are not searching for an authentic identity, or an author. They do not want to achieve their individual freedom because they are actually elements of the process of 'reforgetting' into a 'blank page oblivion,' which can theoretically be equated with an eternal novel of freedom, which undermines its own generic conventions as Katherine Tarbox observes.

> The work's theatricality, its prodigious amount of dialogue, its boastful adherence to the unities of time and place, and its stage conventions indicate that once again Fowles is undermining generic conventions (Tarbox 125)

The theoretical and imaginary quality of Miles Green' and his Muse(s)" identities, the privately code system they employ generate a process Lavers calls 'work' (202) but Barthes's definition seems more intelligible.

> Woven entirely with citations, references, echoes, cultural languages (what language is not?) antecedent to contemporary, which cut across it through and through in a vast stereophony. The intertextual in which every text is held, is itself being the text-between of another text, is not to be confused with some origin of the text: to try to find the 'sources,' the 'influences' of a work, is to fall in with the myth of filiation, the citations which go to make up a text are anonymous, untraceable, and yet already read: they are quotations without inverted commas. (160)

This attitude is also telling of the artist's determination to deny the possibility that stereotypes, literary or non-literary may lead to singular truth or representation of reality. Thus John Fowles' *Mantissa* significantly reformulates the author's interpretations of major themes like the relationship between art and reality, author and character, showing and telling and the author's different identities are topics discussed by the characters; the novel 'exists' in the fictional artist characters' mind.

The conflict is between the artist and his Muse(s) who (is) are trying to seduce (her) their partner and have good sex. Yet sex is a metaphor, which stands for creativity and the plot consists of a series of encounters between the artist and his muses which both describe and are the creative process. This means that both the fictionally presented narrative and rhetoric are 'doublevoiced.' Instead of explaining at length what I mean by 'doublevoiced' I quote a section of Julia Kristeva's interpretation of the subject in 'poetic' writing. Kristeva perfects her interpretation of Ferdinand de Saussure's thesis regarding 'ambivalent,' 'unassimilable' scientific writing:

> The minimal unit of poetic language is at least double, not in the sense of the signifier/signified dyad, but rather, in terms one and other … The double would be the minimal sequence of paragrammatic semiotics to be worked out starting from the work of Saussure. (Kristeva 69)

Julia Kristeva writes about a language conceived as 'beyond logic'. She argues that Aristotle's assertion that something is either 'A' or 'not-A' is declared '0' and the 'double' of this relationship '0-2' produces an element which questions the traditional division between signified and signifier and she argues that poetic language foregrounds the "inability of any logical system based on zero-one sequence (true-false, nothingness-notation." (Kristeva 80)

This is roughly the equivalent of John Fowles' 'second remove,' a weird acknowledgement of the above mentioned 'gap' between art and reality and the 'reality' of art. This authorial intention results in the intricate relationship between basic elements of narrative like setting, time, character and conflict and the theme of freedom in the works of John Fowles.

Paul Cobley notes the problematic nature of 'side-trips' characteristic of fictional narrative and argues that these modifications, which traditionally are termed diversions or delays, cannot be explained in themselves because they actually construct the 'space' in which traditionally defined conflict, time and setting merge.

> (They) might be said to possess 'space' in the movement from beginning to end, and that narratives enact in this movement a relation to time. (12)

He also suggests that in contemporary fiction we have to observe 'narrative space' which is the result of the simultaneous advance of narrative and its continuous delay of progression. Cobley refers to Roland Barthes who expressed this dynamic in *S/Z*. (1974.) Barthes's fifth code has a dual function in relation to the establishment of narrative space as it pushes the narrative forwards towards disclosure and simultaneously retards progress by false promises. Cobley's interpretation dislocates the notion of time by appropriating it roughly to the notion of suspense.

I consider this to mean that the traditional notion of time conventionally employed to describe the linear development of the protagonist's career comes to be so closely associated with the concept of the progression of the narrative that the two are essentially interchangeable.

As the above analysis showed, for John Fowles the concept of freedom itself is problematic and the conflict emerges from the competition of conflicting opposites, which also construct the notion of time and space and the specific sense of situatedness is both maintained and undermined with the result that both objective time and setting are rendered subservient to their subjective reflections in a fashion that matches Paul Ricoeur's definition.[2]

On the basis of the above I can conclude that the dimension of time is both stated in a conventional sense and it is deconstructed; the process, which results in this dislocated sense of time is often revealed at the level of the plot, and is thus organically linked to other elements of John Fowles' fiction. For example, John Fowles' intrusion into the fictional world of The French Lieutenant's Woman dislocates the conventional sense of time-continuum, the symbolic

[2] Ricoeur, Paul 1981. 'Narrative Time' in Mitchell, W. J. T. (ed.) *On Narrative*. Chicago: University of Chicago Press. 167

quality of the setting in The Collector describes a contemporary underworld, Nicholas Urfe1 journeys or side-trips, the detours[3] reveal the relevance of art and can be interpreted as John Fowles's corrections on the conventional function and interpretation of setting, and dislocated setting and time. John Fowles' *Mantissa* also documents the importance of this continuous reworking of the concepts of time and setting in the contemporary British novelist's fiction.

In *Mantissa* the original definitions of space, time and character allow for an equally 'free' interpretation of other basic elements of fiction like cause and effect or consistency. If space is identified in terms of spiritual reflection of the idea of space contained in a ward-like skull, time is interpreted in the context of another dimension. The situation could be used as a brilliant illustration of Paul Ricoeur's interpretation of time with which he sets out to demonstrate in *Time and Narrative* that time is not just a part of the narrative apparatus, but time and narrative are on intimate terms precisely because narrative is the human relation to time.

In the novels of John Fowles the mobility of the narrative point of view imposes the flexibility of the narrative structure and vice versa. Paul Cobley recognizes the difficulty of coping with the different definitions of narrative and argues that the greatest problem is that conventional interpretations tend to wipe the difference between narrative and story. His suggestion in this respect can be of some help.

> Put very simply, 'story' consists of all the events, which are to be depicted. 'Plot' is the chain of causation, which dictates that these events are somehow linked and that they are therefore to be depicted in relation to each other. 'Narrative' is the showing or the telling of these events and the mode selected for that to take place. (Cobley 5-6)

In the novels of John Fowles showing, telling and the mode of selection are depicted in relation to author, character and the modifications of 'causation.' Fowles manipulates the larger structure of his fiction and it is sufficient to remember the simulacrum of dual narrative, the 'diary in fiction' he employs in *The Collector*, the multiple endings of *The French Lieutenant's Woman*, the speculative principles which are characteristic of *The Ebony Tower*, the 'metatheatre-in-fiction' solution in *The Magus*, the portrayal of competing forms of art in *Daniel Martin. Mantissa* is also an excellent example regarding John Fowles' experiments with story, plot and narrative.

In *Mantissa* an incessant dialogue emerges from blank page oblivion and succumbs to the same reforgotten state creating a frame, which constructs a

[3] See Brooks, Peter. 1982. "Freud's master plot," in Felman, S. (ed.) *Literature and Psychoanaliyis. The Question of Reading Otherwise.* Baltimore and London: Yale University Press.

fictional space. The structure that regulates sexual encounter which is the central metaphor of the book and the dialogue present the process by way of which art has been created for centuries with the help of the image of love making, which can be interpreted as conception resulting in a novel and demonstrates the validity of the wormholes principle.[4] The existence of parallel dimensions of life and of all the notions associated with human existence has been explained through recent theories in the field of quantum physics which suggest the possibility that we have to cope with multiverse instead of universe and in *Mantissa* the 'objective correlative' that brings the individual, universal and 'multiversal' notions together is sex.

In *Mantissa* the 'flexible' frame implements a specific logic and this allows for the inexplicable to assume the status of the rational and Erato's statement that she is divine makes her divine. This flexibility produces an infinite variety of points of view, there are at least two 'centres of consciousness,' which occasionally are identical, but very often contradict each other and so I have to accept the explanations or the guidelines otherwise formulated by the novel. The overall effect might be termed the 'mirror in the mask' and results in partial revelation of the distortions produced by the pretended intimacy of the whole process which constructs and deploys the 'space' in which author, character and aesthetic correlatives coexists.

I am trying to explain the term by 'bringing together' Nancy Miller's interpretation of the subordinate protagonist and Barthes's theory regarding the death of the author. Miller writes:

> Only the subject who is both self-possessed and possesses access to the library of the already read has the luxury of flirting with the escape from identity (…) promised by an aesthetics of the decentered (decapitated, really) body. (Miller 83)

Barthes draws our attention to the conventionally hierarchized, filial relationship between author and reader the following in the conclusion to 'The Death of the Author.'

> A text is made up of multiple writings, drawn from many cultures and entering into mutual relations of dialogue, parody, contestation, but there is one place where this multiplicity is focused, and that place is the reader, not as was hitherto said, the author. The reader is the space on which all the quotations that make up a writing are inscribed without any of them being lost, a text's unity lies not in its origin but in its destination. Yet, this destination cannot any longer be personal: the

[4] See Deutsch, D. 1997. *The Fabric of Reality*. Harmondsworth: Penguin.

> reader is without history, biography, psychology, he is simply that someone who holds together in a single field all the traces by which the written text is constituted … the birth of the reader must be at the cost of the death of the author. (Barthes 148)

In nearly all the novels of John Fowles the fictional character's identity is problematic. The alternatives John Fowles invents result in open structures, which could be interpreted on the basis of its loose analogy with what Gerard Genette calls the architext: "The architext, is then, everywhere – above, beneath, around the text, which spins its web only by hooking it here and there onto that network of architexture" (Genette 83-4). *Mantissa* is equivocal in this respect because the novel is a fictional monologue written in the form of dialogue and thus the dominance of the subjective element does not allow for a traditionally conceivable conflict between the subjective and the objective dimensions.

I am speaking of monologue because the novel is a 'brainscript' in which the fictional artist-figure and his muses can be multiplied and re-imagined continuously. This solution contributes to the greater mobility of the already flexible concepts of space and sequentiality and reminds us of the fact that storytelling is intentional and illusory and produces a number of representations of the characters. Referring to the way in which representation works Wolfgang Iser has stated that "no rendering can be that which it renders" and thus countless representations of a character's and fiction's identities are possible (251).

Consequently we can state that in *Mantissa* John Fowles does not even suggest that once the 'blank page' freedom is granted the participants have achieved a spiritual, heavenly harmony, rather, a blank page has to be 'written' so as to allow for yet another beginning, another 'blank page.' Intertexts abound, but the most convincing example of the intentional misinterpretation of earlier narrative is the 'little something' the Muse terms a 'kind of fluke best-seller' which turns out to be *The Odyssey.* The situation and the discourse remind one of Kristeva's 'doublevoice': text, character and conflict assume a 'double' identity which functions on the 0:2 principle, that is they are both 'A' and 'not-A'. This is relevant because it contributes to the freedom provided by paradox in situations when the Muse deploys a vast array of literary forms and thus registers the novel's dependence on established forms of representation, or what Barthes calls doxa.

Finally, the most eloquent authorial intention, which supports these original solutions can be formulated on the basis of the literary allusions John Fowles employs. Literary allusions provide some sort of justification for both the novel and the fiction within the novel. Ben Porat considers that allusion is "a device for the simultaneous activation of two texts" (107) mainly through correspondence and *Mantissa* is also about similar possible correspondence

between texts and how the 'aesthetic correlative principle' cab and does construct the 'inner space as text' reflected in the 'mirror in the mask.'

Bibliography

Barthes, Roland. 1977. *Image- Music - Text*. Trans. Stephen Heath. London: Fontana

Ben-Porat, Ziva. 1976. "The poetics of Literary Allusion," *PTL* 1, 105-28

Brooks, Peter. 1982. 'Freud's master plot' In. Felman, S. (ed.) *Literature and Psychoanaliyis. The Question of Reading Otherwise.* Baltimore and London: Yale University Press

Butler, Lance St. John. 1991. "John Fowles and the Fiction of Freedom." In. Acheson, J. (Ed.) 1991. *The British and Irish Novel Since 1960.* London: Macmillan. (62-78)

Cobley, Paul. 2000. *Narrative.* London and New York: Routledge

Cooper, Pamela. 1991. *The Fictions of John Fowles. Power, Creativity, Femininity*. Ottawa, Paris: University of Ottawa Press

Deutsch, D. 1997. *The Fabric of Reality*. Harmondsworth: Penguin

Fowles, John. 1974. *The Ebony Tower*. London: Vintage

---. 1963. *The Collector*. London: Jonathan Cape

---. 1969. *The French Lieutenant's Woman*. London: Jonathan Cape

---. 1977. *Daniel Martin*. London: Pan Books

---. 1984. *Mantissa*. London: Vintage

Genette, Gérard. (1967-70) Trans. Lewin, Jane E. 1992. *Narrative Discourse*, Oxford: Basil Blackwell

Iser, Wolfgang. 1989. *Prospecting: From Reader Response to Literary Anthropology*. Baltimore and London: Johns Hopkins University Press

Kristeva, Julia. 1980. Desire in Language: A Semiotic Approach to Literature and Art

Lavers, Anette. 1982. *Roland Barthes: Structuralism and After*. London: Methuem

Mihaies, M. and Ploesteanu, I. 2000. "Interview with John Fowles: Ideology and Fiction" In *University English.* Bucharest. Vol. 9. (22-23)

Miller, Nancy K. 1988. *Subject to Change: Reading Feminist Writing.* New York: Columbia University Press

Ricoeur, Paul. 1981. 'Narrative Time' in Mitchell, W. J. T. (ed.) *On Narrative*. Chicago: University of Chicago Press

---. 1984-86. *Time and Narrative* 3 vols. Baltimore and London: Johns Hopkins University Press

Salami Mahmoud. 1992. *John Fowles's Fiction and the Poetics of Postmodernism*. London and Toronto: Associated University Presses.

Tarbox, Katherine. 1988. *The Art of John Fowles*. Athens and London: The University of Georgia Press

On the Integration of Anglicisms into Present-day German

Éva Kovács

1 Introduction

In the life of languages it is a natural phenomenon that one word or expression is taken from one language into the other. These days we can witness a considerable spread of anglicisms in almost all languages and German is no exception. As defined in the *Longman Dictionary of Contemporary English* (Summers 2001), "an anglicism is an English word or expression that is used in another language".

Nevertheless, it is worthwhile mentioning that the term itself serves as a collective term for the words and expressions borrowed from both British English and American English as in the majority of cases it it is rather difficult to determine their origin clearly.

It is as taken that due to globalization English is spreading all over the world. As a result, we come across words of English origin in every walk of life ranging from computer science through medicine, business, air traffic control, academic research, advertising to sport, fashion, music and entertainment.

That anglicisms in German represent a not at all negligible tendency is also shown by the fact that not only German magazines abound in them, but even German course books for beginners contain quite a great number of them. Let us just think of such words of English origin as *der Job,-s, das Handy,-s, die E-Mail,-s, der Fan,-s, das Steak,- s, das Snowboard, -s, die SMS, die Web-Seite, -n, der Business-Sprachkurs, -e, die Online Redaktion, -en, der Joggingschuh, -e, das Picknickwetter* or *joggen, chatten,* all of which I found in a recently published course book called *Schritte 1 international* (Niebisch *et al*. 2006).

Recognising the importance of this modern and quite natural phenomenon in German, Carstensen *et al*. published a three-volume dictionary of anglicisms titled *Anglizismen-Wörterbuch* in 1993, 1994 and 1996, which contains more than 3500 examples of borrowings documented from the end of World War II until the early 1990s.

Which are the most commonly used anglicisms out of this great number? In a survey conducted by Erkenbrecher (2006: 19) 100 Germans, mainly university

students were asked to name 10 anglicisms they most frequently use. Accordingly, the top 10 English words in German are as follows:

Words sorted by decreasing frequency:

1.	cool	(23)	9.	T-Shirt	(9)
2.	Handy	(20)		Show	(9)
3.	E-mail	(18)		Manager	(9)
4.	Party	(14)	10.	Trend	(8)
	Laptop	(14)		Star	(8)
5.	Internet	(13)		Live	(8)
6	Jeans	(12)		Link	(8)
7.	Okay	(11)		Fastfood	(8)
	Beamer	(11)		dissen	(8)
8.	shoppen	(10)		Band	(8)
	Fuck	(10)			
	Computer	(10)			
	CD	(10)			

Even these few words clearly show that anglicisms are integrated into the vocabulary of the German language in a special way. The primary aim of this paper is to explore the impact of English in Germany today. First, I will give a brief historic overview of English lexical borrowings in German and reveal the reasons for this phenomenon. Secondly, I will highlight the functional range and domains of use of these foreign terms. Furthermore, I will investigate what types anglicisms have, and how they are integrated into the system of the German language, with respect to their orthographic, phonological, morphological and semantic properties. Finally, the focus will be on the attitudes associated with these foreign linguistic elements in German.

2 A historical overview and the reasons for the occurrence of borrowing

Language contact is regarded to be one of the main reasons of linguistic borrowing. Crystal (2004) gives the following definition for language contact:

> A term used in sociolinguistics to refer to a situation of geographical continuity or close social proximity (and thus of mutual influence) between languages and dialects. The result of contact situations can be seen linguistically, in the growth of loan words, patterns of phonological and grammatical change, mixed forms of language (such as creoles and pidgins), and a general increase of bilingualisms of various kind. (Crystal 2004: 102)

Borrowing can be defined as a process whereby a word which is used in one language begins to be used in another language. Crystal defines borrowing as follows:

> A term used in comparative and historical linguistics to refer to a linguistic form taken from one language or dialect from another; such borrowings are usually known as 'loan-words' and several types have been recognised. (Crystal 2004: 56)

Analysing the history of borrowing between English and German, Viereck (1986: 107-109) points out that in the Middle Ages there were hardly any anglicisms in German. The few that were to be found were mainly in connection with Christianity and religion (e.g. Old High German *gotspell* from Anglo-Saxon *gõdspell*) and seafaring and trade (*Boot – boat*). From the 17th century onwards interest in English increased and many borrowings were confined to political terms (*Unterhaus 'House of Commons, Lower House', Oberhaus 'House of Lords, Upper House'*). The 18th century saw the first substantial influx of English vocabulary into German, such as philosophical terms (*Freidenker 'free thinker'*), terms of politics (*Koalition, Opposition*) and terms from trade and commerce (*Import, exportieren, Banknote*).

The Industrial Revolution during the 19th century in England was also a major contributor of new terminology to the lexicon of German, such as *Dampschiff, Lokomotive.* During the 19th century German also experienced an influx of anglicisms, especially with regard to fashion, and sport: *Sport, Tennis, Fußball (football), Pullover* and *Sweater*, etc.

As noted by Hilgendorf (1996), up until World War II British English was the primary source of influence. Afterwards, the emergence of the United States as a global power led to the simultaneous rise in significance of American English. Especially after World War II there was a huge increase in the number of anglicisms entering German with more coming from American English than British English, though it is difficult to distinguish between the two, and today these words are also used in British English: *Star, Party, Quiz, Jazz, Beat, Hit, Song, Jeans, Make-up, Job, Trend, Manager, Boss* and *Interview*, etc.

More recently, i.e. in the latter half of the 20th century, various events brought English and German into contact with one another. These are the political, industrial, technical, military, scientific predominance of the United States, the spread of American culture and lifestyle, the formation of the European Union and the advances in technology, such as the invention of the computer and the Internet. Today computers are used for a multitude of purposes and in practically every area of life. More recently, the World Wide Web, the Internet, e-mails have also led to increased contact between languages of the world including English and German. Besides being the language of

international communication, English is also the most dominant among foreign languages taught at schools all over the world.

Analysing the linguistic impact of American English on the German language, Hilgendorf (1996: 4) refers not only to the political, industrial, technical and scientific predominance of the United States, but also to the spread of American culture, English language newspapers, dubbed films and pop songs and the expansion of the medium of television in Germany.

3 Functional range and domains of English in present-day German

Several linguists have done research to explore the functional range and domains of the phenomenon of English in the German language today (cf. Galinsky 1967, Yang 1990, Corr 2003 and Hilgendorf 2007, etc.). Galinsky (1967) and Yang (1990) refer to the following stylistic functions for anglicisms:

1. conveying an English/American atmosphere or setting (reference to locations and idiomatic expressions for which German equivalents either do not exist or would not suffice in conveying an authentic American setting, e.g. *Greenwich Village, Pub, First Lady, Queen, High-school, Campus, College, Cowboy, Skinhead, Playboy, Bobby, New wave*)
2. establishing or enhancing precision (*der Job* in German refers to a temporary position or part-time work to earn extra money, and *der Swimming-pool* refers to a pool inside or outside a building on a private property only, thus they have specific, limited meanings)
3. creating or facilitating intentional disguise/euphemism, especially sex and drug-related expressions
   (e.g. *Bordell ~ Appartmenthaus, Eros-Center, Prostituirte ~ Hostess, Callgirl, Drogenabhängiger ~ Fixer*)
4. effecting brevity (the adaptation of single or two-syllable American words where multi-morphemic or compound German equivalents already exist, anglicisms are more economical handier and more convenient (e.g. *Boom ~ Wirtschaftsaufschwung*, *Budget ~ Haushaltsplan, Campus ~ Universitätsgebäude*)
5. producing vividness, often by way of metaphor, (*Brainwashing ~ Gehirnwäsche*, *Summit conference ~ Gipfelkonferenz*)
6. conveying comic or playful touch
7. creating or increasing variation of expression (*Hi ~ Hallo, Baby ~ Säugling, Fan ~ Anhänger, Boss ~ Chef, Team ~ Mannschaft, Ticket ~ Fahrschein,* although they sometimes may have a different connotation)

The above mentioned authors generally point out the followings main domains of anglicisms (the examples are taken from the German dictionary called *Duden Deutsches Universalwörterbuch* by Kunkel-Razum et al. 2006):

politics and public life: *Comeback, Hardliner, Image*, *Politprominenz, Revival, Splittergruppe, Trend;*
business and commerce: *Boom*, *Budget, Cash, Crash, Cateringfirma, Clearing*, *Deal, Designer*, *E-Commerce, E-Mail, E-Banking, Joint Venture, Know-how, Leasing*, *Marketing*, *Onlineshopping, outsourcen, Safe*, *Shareholder, Trust;*
technology and science: *Computer*, *Flipchart, Hacker, Keyboard, Laser*, *Mikroprozessor*, *Overheadprojektor, Recycling, Software;*
entertainment and leisure: *Bar*, *Bestseller, Big Brother, Breakdance, Comics*, *Festival*, *Gag*, *Happening*, *Nonstop-Kino, Nightclub, Party, Pub, Quiz*, *Show, Western;*
fashion and clothes: *Bluejeans, Deodorant*, *Jumper*, *Look*, *Lotion*, *Make-up*, *Nylon*, *Outdoorbekleidung, Piercing, Pullover*, *Shorts, Slip*, *Spray*, *T-Shirt, Tweed;*
food and drinks: *Brunch, Cheeseburger, Chips*, *Cocktail*,*Coke, Curry, Gin Tonic, Grapefruit, Hot Dog, Junkfood, Longdrink*, *mixen*, *Popcorn, Shake, Shortdrink*, *Sherry*, *Snack, Toast;*
sports: *Aerobics, Baseball, Bodybuilding, Bowling, Bungy-jumping, Coach, Curling, Fitness, Fan, Game, Jetboat, joggen, kicken, Rafting, Skateboard, Squash, Surfing, Team, Trainer,* etc.

As pointed out by Hilgendorf (2007: 136), politicians often use anglicisms "because of their vaguely defined semantic fields". When the term *Korruption* was first adopted, it carried a far less negative connotation than its German equivalent *Bestechung.* Whereas politicians use English at times in an effort to be vague or elusive, the opposite is true for those working in the legal domain. Terms, such as *Leasing, Outsourcing,* are used for the pragmatic functions of precision and clarity.

As observed by Corr (2003), the language of specialist topics or specialist terminology is the area where the greatest amount of borrowing from English terminology takes place. Technical language abound in anglicisms, such as in areas technology, engineering, electronics, physics, chemistry, biology, medicine and computer technology. Consider the following examples which are used in computer science: foreign words: *E-Mail, Homepage, Internet, Notebook, Laptop, Scanner, Software,* loan translations: *Brenner (burner), Mausklick (mouse click), Passwort (pass word), Webseite (website), Dateiname (file name)* and loan meanings: *Benutzer (user), Drucker (printer), Rechner (computer), Speicher (memory) scannen (to scan)*, etc. (cf. Corr 2003:118-126)

In the domain of science and research English prevail as the dominant code. In accordance with the shift to publishing more articles in English, academic publishing houses have also been switching to English as the language of

publication for the academic journal especially in natural sciences, such as in mathematics. (cf. Hilgendorf 2007: 138)

Hilgendorf (2007: 141) also refers to the general tendency that German scholars within the scientific community and German employees working in German business subsidiaries in foreign countries use English with foreigners who can speak German. It may be due partly to prestige, partly to the English specialist terminology used by them, and also to the fact that if both partners use a foreign language, i.e. English instead of their mother tongue they tend to speak more slowly and more clearly. Thus, they can avoid misunderstanding, which could have serious consequences in a job contact.

Browsing German magazines, we can't help observing that anglicisms are especially commonly used in advertising. The main objective of advertising is to catch the attention of prospective customers to sell their products. Anglicisms do this easily as they tend to be short and compact. To illustrate this, let us see some advertisement that appeared in the German magazine *Focus (*2006 No. 23, 34, 2007 No. 22):

> You & Us
> Wir arbeiten an genau zwei Orten.
> Überall und direkt an Ihrer Seite.
> Weil Finanzlösungen keine Grenzen kennen, haben wir weltweit Investment-Analysten vor Ort. In den Bereichen Wealth Management, Asset Management und Investment Banking sind Spezialisten rund um den Globus für Sie tätig. So kann Ihr UBS Berater auf ein Netzwerk von Ressourcen zurückgreifen und Ihnen die optimale Lösung zur Verfügung stellen.
>
> Top im Job
> mit Pocket Business
> Pocket Business bietet Kompaktwissen für Ihren Berufserfolg
>
> Das Business ist hart. Unsere Tests sind härter.
> TECRA A8. Beste Qusalität für Ihren harten Arbeitsstag. Dieses professionelle Notebook mit verbesserter Hardware bietet beispiellose Zuverlässsigkeit und Produktivität.

As mentioned above, foreign words have a greater prestige than native ones in certain areas. The young generation, teenagers in particular associate a certain degree of 'coolness' with using numerous anglicisms in their speech and regard them trendy. Pop music is often associated with young people and a great number of the most popular and successful recordings they listen to are in English. Thus, it is not surprising that the role of English within the domain of

popular music and in the language young people use is a conspicuous one (e.g. *Rockmusik, CD, Rap, Techno, Song, Hardrock, Heavy Metal, Hip-Hop* and *Discjockey,* etc.).

It is also the younger generation that are more prone to the influence of the various crazes started in the English-speaking world. Besides music, the area of sport seems to be really influential. Consider the following examples: *Bodybuilding, Bungy-jumping, Coach, Curling, Game, Fan, Fitness, Jetboat, joggen, kicken, Rafting, Skateboard, Snowboard* and *Squash,* etc.)

All in all, we can say that anglicisms can occur in every aspect of life from business to sport and music. It is due to the fact that English is the main language of business, airports and air traffic control, the different branches of science, technology, medicine, diplomacy and pop music. As evident from the above discussion, there are a multitude of reasons for the occurrence of borrowing, such as advances in technology, trade, new ways of thinking, trends in society, and sometimes even prestige. Now it seems to be worthwhile to examine how anglicisms can be classified, and how they are integrated into the system of present-day German in terms of their orthography, phonology, morphology and semantics.

4 Classification and integration of anglicisms into the system of the German language

Various scholars (e.g. Yang 1990, Carstensen 1993, Corr 2003, Onysko 2007, etc.) have classified anglicisms in German in different ways. Yang (1990: 11) makes a distinction between "foreign words" and "loan words", describing how they differ from each other with regard to their various levels of integration. "Foreign words are lexemes or connecting lexemes which are borrowed from a foreign language and are assimilated into the receptor language without any orthographical, morphological or semantic change and whose foreign origin is clearly and easily recognisable". In Onysko's interpretation (2007: 14), these are the so called direct borrowings which have kept their foreign spelling and pronunciation, or their pronunciation is slightly changed complying with the sound system of the German language, for example *Business, Boom, Computer, Designer, Detail, Jeans, Laptop, Manager*, *Meeting, Notebook*, *Shop, Team, T-Shirt*, *Talkshow* und *Ticket,* etc.

A loan word is similar to a foreign word as it is also a word borrowed from a foreign language, but it has been adapted phonologically and/or morphologically and/or orthographically to the borrowing language. "Loan words can be loan translations, loan renditions or semantic loans". (cf. Yang 1990: 11, Carstensen 1993: 56, Corr 2003: 28)

A loan translation is where each individual part of the word from the donor language is rendered literally by its counterpart in the receiving language. For

example, *Mausklick* 'mouse click', *Familienplanung* 'family planning' *Luftsack* 'airbag', *Körpersprache* 'body language', *Seifenoper* 'soap opera', or *weiche Landung* 'soft landing'.

Loan renditions apply to translations into German where only one part of an English term is translated literally and another is adapted freely, such as *Wolkenkratzer* 'skyscraper', *Urknall* 'big bang' *Musikkiste* 'juke-box' or *Luftkissenfahrzeug* 'hovercraft'.

A semantic loan or loan meaning refers to anglicisms in which only the meaning of a word but not its form is transferred from the source language (SL) into the receptor language (RL). (Onysko, 2007: 19). The classical example of loan meaning relates to the transfer of the meaning of the English verb *realize* onto its German counterpart *realisieren.* Due to the English influence *realisieren* acquired the meaning 'to become aware of' in addition to its traditional meaning 'to bring about, to concretize'. German *feuern,* the English counterpart of which is 'fire', also acquired the meaning of 'dismiss' in addition to 'light a fire' or 'shoot'. A similar example of semantic loans is the German verb *kontrollieren*, which earlier had only the meaning of 'to make sure the correctness of figures, accounts' borrowed a new meaning from the English verb 'control' in the sense of 'to have power over someone or something'.

A further category of borrowing which has been introduced is that of "pseudo-loans" (cf. Yang 1990: 12, Görlach 2002: 29-30, Onysko 2007: 53). Pseudo-loans occur where a lexeme of the donor language is used to produce a word in the receiving language. The resulting word looks like a word from the donor language, but it doesn't actually occur in that meaning in the donor language. We can distinguish the following three types of pseudo-anglicisms:

- lexical pseudo-anglicisms, i.e. compounds of English words that do not exist in English: *Dressman* 'male model', *Showmaster* 'quiz master', *Powergirl* 'energetic, powerful woman/girl', *Talk-Lady* 'female talk show host'
- morphological pseudo-loans, which are shortened items in the recipient language: *Pulli* 'pullover', *Profi* 'professional', *Happyend* 'happy ending' *Gin Tonic* 'gin and tonic'.
- semantic pseudo-loans, the meaning of which is different from that of the English word: *Handy* 'mobile phone', *Beamer* 'projector'.

Besides the above mentioned types, linguists, such as Yang (1990: 138) and Onysko (2007: 59) also refer to "hybrid anglicisms" which are the combination of English borrowings with German elements. Some of them follow the English models, for example in *einchecken* 'check in', *herumsurfen* 'to surf around', *einloggen* 'to log in', *Heimcomputer* 'home computer', *Krisenmanagement* 'crisis management', *Joggingsanzug* 'jogging suit', *Outdoorbekleidung* 'outdoor clothes' and *Teamarbeit* 'team work'. Others are characterised by their lack of

an English compound *Heimtrainer* 'exercise bicycle', *Gelegenheitsjob* 'casual job' *Managerkrankheit* 'stress disease' or *Jeanshemd* 'denim shirt', etc.

In certain hybrid compounds a base noun of English origin is combined with a German noun, such as in *Flugticket, Wirtschaftsboss, Staatsbudget, Forschungsteam, Sammelncontainer, Riesensteak* or *Unternehmensimage.* Other types include the pattern English base noun + German noun, such as in *Leasingsfirma, Computerspiel, Apartmenthaus, Fitnessraum, Internetzugang, Recyclinganlage* and *Webseite,* etc.

As shown by the above examples, in the majority of cases a noun is combined with another noun, but there are other types of combinations as well. In *Billigangebot, Digitaluhr Großprojekt, Schnelltest,* an adjective is combined with a noun, or in *auftanken, einscannen, auschecken* a prefix with a verb.

Onysko (2007: 210) even refers to "hybrid phrasal compound nouns", the majority of which represent technical concepts and are usually hyphenated, such as *Business-to Business-Geschäft, Stop-and-go Strategie, Trial-and-Error-Prinzip* or *Print-on-demand-Technik.*

Besides, Zimmer (1997: 23) calls our attention to some hybrid anglicisms used consciously as an attention-catching device in advertising, such as *Open-air Gefühl, Mini-Abo Service, Antiklau-Code* or *Politthriller.* In his view, these are, however, to be thrown away after use.

Not only word-combinations but also word groups or loan-phrases have been translated and accepted into German. Some examples of "loan phrases of Anglo-American origin" are (cf. Lehnert 1986: 139):

Wir sitzen alle im gleichen Boot. 'We are in the same boat.'
grünes Licht geben 'to give green light'
das Beste aus etwas machen 'to make the best of something'
jemanden die Schau stehlen 'to steal the show from someone'

As the above examples show, English borrowings are assimilated into the system of the German language at different levels and degrees. Loans which are unassimilated or only partially assimilated are usually identified as possessing features which are not present in German. These features which differentiate a loan from a German word may occur in the areas of orthography, phonology, morphology and semantics.

4.1 Orthography

As noted by Onysko (2007: 317), English words resist orthographical integration. Generally speaking, an anglicism conforms to German rules and is spelt according to its pronunciation, keeps its original English spelling or is a mixture of both.

Probably the most obvious indication of orthographic change is where all nouns which are anglicisms become capitalised when integrated into German (*der Laptop, das Meeting, der Star, das Team* and *die Party*).

Other changes in spelling include the English letter <*c*> being changed to either <*k*> or a <*z*> in German. Some anglicisms can occur with either the English or German spelling e.g. *Klub*/*Club*, *Kode*/*Code*, *Zigarette*/*Cigarette* and *Zertifikat*/*Certifikat*. However, a few of them, such as *kraulen, Handikap, komfortabel, Rekord* are written only with <*k*>, whereas many of them follow the English spelling with <*c*> , such as *Action, clever, Camping, Campus, Cocktail, College, Comeback, Company, Computer, cool, Copyright* and *Cup*, etc.

In the case of borrowing with <*sh*> and □*ch*> the English spelling is dominant *Shaker*, *Sherry, Sheriff, Shorts, Shop, Show*, *T-Shirt; Check-in*, it is rarely substituted by <*sch*>: *Schock, Scheck, Schokolade.*

Especially in the case of verbs, it is also common for consonants to become doubled when integrated into German, e.g. *babysit ~ babysitten*, *job ~ jobben*, *stop ~ stoppen,* or *shop ~ shoppen.*

Finally, in the case of compounds, many anglicisms either occur as two separate words, e.g. *Hard Drug, Happy End, Joint Venture, New Wave* or as two words with a hyphen in between, e.g. *CD-Player, E-Mail*, *Know-how, Late-Night-Show*, *Open-Air-Festival*, or as one word, e.g. *Airbag, Babysitter*, *Bluejeans*, *Computervirus, Copyright, Digitalkamera, Fitnesscenter, Folksong*, *Laptop*, *Softdrink*, *Mailbox*, *Mikroprozessor*, *Notebook.* The spelling of some fluctuate between the latter and hyphenation: *Beautyfarm ~ Beauty-Farm, Liveshow ~ Live-Show*, *Safetycar ~ Safety-Car, Sexappeal~ Sex-Appeal*. (cf. Kunkel-Razum et al. 2006)

Interestingly enough, one of the special areas where we often find Anglicised spellings is the German advertising language.

4.2 Phonology

With phonology, the level of integration is determined by the degree of similarity and dissimilarity between the phonological systems of German and English. There are sounds in English which do not exist in German. As a result, the pronunciation of the anglicism is only partially the same as the English source word.

For the labio-velar glide /w/ in English there is no equivalent sound in the German system. Where a word is written with a <*w*>, it is always pronounced as a /v/ sound (*Windsurfing, Weekend, Webcam, Whisky* and *Workshop*). Similarly, the English dental fricative /θ/, such as in *Thriller,* is also missing in German, and it will be replaced by /s/.

German speakers will substitute the English diphthongs /eɪ/ and /əu/ by /eː/ and /oː/, respectively, for example *Aids, Baby, Brakedance, mailen, Spray, Playboy, Trainer*, and *Foul, Soul; Toast, Open-Air,* or *Know-how.*

Another sound which doesn't exist in German is the open, central vowel /ʌ/ as in *jungle*, but it is substituted by /a/ in words such as *Brunch, Budget*, *Bungy-Jumping*, *Cupfinale, Cutter* and *Pub.*

Variation can happen not only in the segmental elements, but also in the supra-segmental elements of the pronunciation as in the examples of *Musik, Interview, komfortabel* and *akzeptabel,* where stress can shift to the final or the last but one syllable in German.

4.3 Morphology

As Onysko's analysis of the German *Der Spiegel* (2007: 317) showed, English nominal borrowings predominate in German with 86,12% while adjectives and verbs amount to 5,64% and 5,49% respectively.

As far as the integration of nominal anglicisms in German is concerned, grammatical gender, plural formation and genitive case inflection constitute the most striking paradigms. (cf. Yang 1990: 152-58, Onysko 2007: 151-191)

Gender can be quite problematic because English, unlike German, does not distinguish grammatical gender. Therefore, an anglicism must be assigned one of the three German genders.

The natural gender of a loan plays a decisive role. Male or female persons take the respective masculine or feminine gender, e.g. *der Cowboy, der Gentleman, die Queen* and *die Lady*, etc.

Lexical analogy also influence gender assignment, i.e. the anglicism directly takes the gender of the German concept for the English term, for example, *der Computer* because of *der Rechner*. Other examples: *der Airport (der Flughafen), das Business (das Geschäft), das Notebook (das Buch), das Bike (das Fahrrad), die Economy (die Wirtschaft), die City (die Stadt), die Story (die Geschichte),* but *das Team (die Mannschaft), das Ticket (der Fahrschein)* and *der Level (die Stufe, das Niveau).*

In some anglicisms we can witness a hidden semantic analogy, which involves German compounds. The last part of a compound in German always decides which gender the whole compound takes. But sometimes because of semantic relations which are not obvious at first, a compound may take an unexpected gender. An example is *die Holding (-company, -gesellschaft)*. As *-gesellschaft* in *Holdinggesellschaft* is feminine and *-gesellschaft* is semantically related to *-company*, *Holdingcompany* also takes the feminine gender.

Interestingly enough, words belonging to the same group all take the same gender, which is referred to by Yang (1990: 154) as 'group analogy'. For example, *Blues*, *Boston*, *Breakdance, Foxtrott*, *Free Jazz*, *Jazz*, *New-Wave*, *One-*

Step, *Quickstep*, *Rock 'n' Roll* and *Swing* all take the masculine gender because *Tanz* ('dance') is also masculine.

Furthermore, the number of syllables can also have an impact on gender. Single syllable loans in German are nearly always masculine. Very rarely they take the feminine or neuter gender. For example, *Beat*, *Boom*, *Boy*, *Chip*, *Clan*, *Clown*, *Club*, *Coat*, *Colt*, *Cup*, *Deal*, *Drink*, *Fan*, *Fight*, *Job, Shop, Start, Test* and *Trend,* etc., and many more all take the masculine gender. Exceptions include *Art*, *Band*, *Bar* and *Box*, which are all feminine and *Black*, *Byte*, *Match* and *Girl* are neuter. (Yang 1990: 155)

Finally, anglicisms which are created from combining a verb and a particle are either masculine or neuter, e.g. *der Countdown* and *das Check-in.* (Yang 1990: 157)

Onysko (2007: 174) also refers to gender variation that takes place in some anglicisms. For example, *der/das Cash, der/das Cyberspace, das/die E-Mail, der/das Event, der/das Single* and *der/das Speed*. The different genders in *der/die Single* and in *der/das Speed* are due to the homonymic nature of the noun. *Der Single* refers to a person living a single life and masculine gender follows the associative pattern (generic person= masculine). *Die Single* means a single record, which is feminine due to lexical analogy (*die Schallplatte*). The other variants, i.e. *der/das Cash, der/das Cyberspace, der/das Event* and *das/die E-Mail* represent true instances of gender variation since the different genders do not indicate separate lexical meanings.

Regular plurals in English are usually formed by adding an *-s or-es*. The majority of anglicisms in German also often form their plurals with *-s.* It might be that *-s* plural is borrowed together with the English base (*Jobs, Diskos, Colas, Teams, Shops, Homepages, E-Mails, Pubs* and *Fans,* etc). Interestingly enough, if an anglicism has a final *y* it takes *-s* (*Babys*, *Partys, Handys, Hobbys* and *Citys,* etc.) without changing final *y* into *i* before *-es*, (cf. English *babies* and *parties*).

The second most dominant pattern of plural formation with anglicisms is zero plural morphemization, e.g. *Computer, Designer, Manager*, *Tester, Beamer, Dealer* and *User*, etc, usually the ones that end in *-er*. Some anglicisms form their plural with *-e*, such as *Bosse, Filme, Boykotte* and *Sketche,* etc.

In German the genitive is the only case on the stem of masculine and neuter nouns. Thus it is predictable that masculine and neuter anglicisms also regularly inflect for genitive in German (e.g. *des Laptops* or *des Crashs*). As the genitive is distinctly marked on the preceding determiner of a noun, stem inflection carries redundant information, and masculine and neuter anglicisms have a tendency to remain uninflected in the genitive or show a variation between an inflected and an uninflected genitive, such as *des Internet* or *des Internets.* (cf. Onysko 2007: 189)

The integration of anglicisms is especially conspicuous in the case of verbs. Infinitive either take the *-en* ending, such as *jobben*, *joggen, checken, chatten, downloaden, surfen, testen, scannen, shoppen* and *starten,* etc., or the suffix *-ieren,* which derives a variety of verbs from neoclassical roots e.g. *adaptieren* 'to adapt'*, definieren* 'to define', *konzentrieren* 'to concentrate', *koordinieren* 'to coordinate', *reservieren* 'to reserve', and also occurs in *campieren* 'to camp'*, bombardieren 'to bombard', boykottieren* 'to boycott', or *trainieren* 'to train'.

When it comes to deriving different tenses, the anglicisms conform to the normal process necessary to form each individual tense in the German system. For example, participles derived from verbal anglicisms follow the regular pattern of circumfixation (ge-… -(e)t), e.g. *gejobbt, gechattet, gejoggt* or *getestet*, i.e. they are always conjugated like weak regular verbs.

Verbal anglicisms are modified derivationally by a variety of prefixes. Both separable prefixes, such as *auschecken, einscannen* and *herumsurfen,* and inseparable prefixes (e.g. *erjobben* or *verfilmen*) can occur.

Adjectives borrowed from English can present a few problems as they don't all necessarily take their respective German adjective endings. Most adjectives, like *smart*, *clever*, *cool*, *fair* and *postmodern* take their appropriate endings, e.g. *ein faires Angebot.* However, the adjectives *sexy*, *busy, happy, trendy*, *groggy*, *ladylike* and *live* do not inflect because they mostly occur in predicative position (*Er ist sehr sexy.* 'He is very sexy.'). In fact, *sexy* doesn't take any endings even when used as an attributive adjective, as can be seen from *ein sexy Kleid* 'a sexy dress'. Some frequently used predicative adjectives occur in comparative and superlative constructions in German (*cooler, coolest* or *smarter, smartest*) as well. (cf. Onysko 2007: 252)

4.4 Semantics

As pointed out by Corr (2003: 46-7), anglicisms can either consist of words adapted from English which only have one meaning, e.g. (English) *beefsteak* (German) *Beefsteak*, or there can be anglicisms whose meaning is limited in number compared to the English source words. For example, *feeder* in English has the followings meanings: 1. feeder road, river is a smaller one that leads to a more important one; 2. a feeder airline and railways services connect major routes and local destinations; 3. a feeder school or team that provides students or players for a larger or more important one; 4. a container that you fill with food for birds or animals; 5. supply pipe. However, *Feeder* in German means only 'supply pipe'.

Besides, sometimes the meaning of a word can become narrowed or more restricted, for example, the word *City*. In English *city* means a 'large town' while in German it has come to mean 'city centre'. (*The City* refers merely to the area of London which is Britain's financial centre and contains the important

institutions). In other cases anglicisms in German may have a different connotation from the original connotation they have in English, for example, *clever* normally has a pejorative sense of being 'cunning' in German.

5 Attitudes to anglicisms

In German speaking countries there are more and more debates about the spread of anglicisms in the media, and several studies have been published about it recently. In fact, the views are rather divided over them. Some scholars express their concerns that German is endangered by the English language (cf. Meyer 2004) whereas others are not so pessimistic about it. They regard it as a natural and inevitable tendency, which happens in all other languages as well. Even the former President of the German Bundestag (from 1998 to 2005), Wolfgang Thierse spoke out against any legal restrictions for the use of anglicisms on the grounds that 'anglicisms and americanisms complement the German language, extend people's thinking and enrich their culture as a whole'. (Gardt & Hüppauf, 2004: 189)

Goethe, the outstanding German poet and scientist of the 18th century also took the view that 'the strength of a language is not that it rejects all that is foreign, but that it consumes them'.[1] ("Die Gewalt einer Sprache ist nicht, daß sie das Fremde abweist, sondern daß sie es veschlingt.")

(http://www.wissen im-netz.info/literatur/goethe/maximen/1-11.htm-24k-).

Hohenhaus (2001: 86) also notes that the changes in German under the influence of English are nowhere near as dramatic as claimed by the critics of the current flood of anglicisms. Despite some lexical changes, German is still German; the grammatical system, in particular is intact and under no threat.

Not surprisingly, the English scholar David Crystal (2004: 30) argues in defence of English when he says that a language becomes a world language for one reason only – "the power of the people who speak it". Accordingly, the estimate that more than 1.400 million speak English today (400 million as a first language, 400 as a second language and 600 million as a foreign language) is tied to the historical development that turned Great Britain and the USA into the world's political, technological and cultural powerhouses.

In contrast to all this, others fear that due to the influx of anglicisms Germans will lose their national identity. The formation of the *Verein für die Deutsche Sprache* (*Association for the German Language*) in 1997 coincided with renewed puristic criticisms of anglicisms. The members of the association state (http//www:vds.ev.de):

[1] translated by the author

> "Wir wollen der Anglicisierung der deutschen Sprache entgegentreten und die Menschen in Deutschland an den Wert und Schönheit ihrer Muttersprache erinnern."
>
> "We want to counter the 'anglicisation' of the German language and remind people in Germany of the value and beauty of their native language."

As pointed out by Gardt and Hüppauf (2004: 8), the growing spread of English is frequently objected to as a "colonizing act of the americanisation of the world, which can lead to the loss of identity and homogenisation and multilingualism in a globalized world".

Some people (e.g. Zimmer, 1997) even suggest that German is "degenerating into a pidgin". Another contributing factor to the current wave of paranoia regarding anglicisms is DEnglisch, which is a relatively popular term that refers to a language which is a mixture of Deutsch and Englisch.

Although Carstensen (1984: 43) notes that no other language has influenced German more nor has a stronger impact on it today, attitudes and reactions towards anglicisms remain mixed in Germany. Its extensive functional roles, however, suggest that English will remain the preferred means of international communication.

It seems to me that it is Onysko (2007: 322), who has managed to find the happy medium in this much debated question, which he captures like this:

> The current development of increasing internationalization and mobility and, within Europe, further expansion of the European Union will probably strengthen the position of English as an international language and continue to promote English competence of German speakers. A restrictive approach to the use of English could potentially backlash since German would acquire a taste of institutionalised and static language. Reasonable pride in the German language should be guided by a belief in the openness and vitality of German, which proves easily capable of processing new lexical influences from other language cultural areas. As such, German will continue to be a language in bloom. Onysko (2007: 322)

6 Conclusion

As is evident from the above discussion, anglicisms represent a multifaceted phenomenon in German today. The present study set out to highlight the following aspects of anglicisms: the reasons for borrowings touching upon their diachronic development, their functional range and domains, their classification

possibilities, their integration into the system of present-day German with special emphasis on their orthographic, phonological, morphological, and semantic properties, and people's attitudes associated with this new way of expanding the lexicon.

Similarly to other languages, the main reason for the appearance of anglicisms in German is language contact. Analysing their diachronic development, it can be stated that at the beginning religion, trade, politics, and later new innovations and the spread of the American culture and life-style were its main motivating factors. Nowadays due to globalization, we can find anglicisms in different fields of life, ranging from technical and scientific terms through business, commercials to entertainment and sports. I assume that in the majority of cases the appearance of loan words is a mere necessity as a language needs new words for new things. However, it must also be mentioned that in some cases it seems to be a matter of fashion to use anglicisms.

As for their functions, their precision, brevity, vividness, playfulness and variation of expression make them undoubtedly a preferred means of communication, not just in German, but in other languages as well.

Anglicisms get integrated into the system of German at different levels. We can observe various degrees of assimilation, ranging from partial to full assimilation in terms of their orthography, phonology, morphology and semantics. Assimilation is especially conspicuous in the morphology of nouns, first of all in assigning their grammatical gender, in the formation of their plural and the genitive case.

As far as their word classes are concerned, nouns make up the majority of words of English origin in German. It is perhaps not surprising because the majority of borrowings refer to new inventions and concepts which first appeared in the English-speaking countries, mainly in the United States, and there were no corresponding expressions in German for them. I assume that of their types, i.e. direct borrowings, the different types of loan words, pseudo anglicisms (*Handy, Beamer*) and hybrid compounds (*Business-Sprachkurs, Teamarbeit*), the latter two are especially interesting phenomena, and reflect the creativity of the German language.

It is, however, worth mentioning that while these borrowings seem to have some impact on the morphology of German, its syntax remains more or less untouched by their influence. No doubt the integration of anglicisms into present-day German is most dominant in the field of lexis. In fact, they have an important gap-filling function, and thus they contribute considerably to the enrichment of the lexicon of the German language.

Anglicisms have stirred and keep on stirring intense debates in German speaking countries nowadays. Some people depict the influx of new loans from the Anglo-American world as a menace to German whereas others look on them

as a normal phenomenon. All in all, they enrich the German language, primarily its lexicon.

References

Carstensen, Broder 1984. Wieder: Die Engländerei in der deutschen Sprache. In: *Die deutsche Sprache der Gegenwart: Vorträge gehalten auf der Tagung der Joachim Jungius-Gesellschaft der Wissenschaften Hamburg am 4. und 5.* November 1983. Göttingen: Vandenhoeck und Ruprecht.

Carstensen, Broder, Ulrich Busse, und Regina Schmude. 1993, 1994, 1996. *Anglizismen Wörterbuch: Der Einfluß des Englischen auf den deutschen Wortschatz nach 1945.* 3 Volume. Berlin, New York: Mouton de Gruyter.

Corr, Robert. 2003. *Anglicisms in German Computing Terminology.* Available online at http://www.cs.tcd.ie/courses/csll/**corr**r0203.pdf.

Crystal, David 2004. The Past, Present and Future of World English. In *Globalization and the Future of German*, ed. Gardt, Andreas & Bernd Hüppauf. Berlin, New York: Mouton de Gruyter.

Erkenbrecher, Christian. 2006. Anglicisms in German. How many prominent Anglicisms are actually Pseudo-Anglicisms? Hauptseminar Intracultural and Intercultural Pragmatics: Language Variation According to Communicative Situation. Available online at http://www1.ku-eichstaett.de/SLF/EngluVglSW/schule32.pdf.

Gardt, Andreas & Bernd Hüppauf. 2004. *Globalization and the Future of German.* Berlin, New York: Mouton de Gruyter.

Galinsky, Hans. 1967. Stylistic Aspects of Linguistic Borrowings. A Stylistic View of American Elements in Modern German. In *Amerikanismen der Deutschen Gegenwartsprache*, ed. Broder Carstensen & Hans Galinsky. 2nd edition. Heidelberg: Winter.

Görlach, Manfred. 2002. *English in Europe.* Oxford, New York: Oxford University Press.

Hilgendorf, Susanne K. 1996. The impact of English in Germany. *English Today* 47, Vol 12, No. 3. 3-14.

Hilgendorf, Susanne K. 2007. English in Germany: contact, spread and attitudes. In *World Englishes*, Vol. 26, No. 2. 131-148.

Hohenhaus, Peter. 2001. Neuanglodeutsch. Zur Vermeintlichen Bedrohung des Deutschen durch das Englische. In *German as a foreign language*, Vol. 1. 57-87. Available online at http://www.gfl-journal.de /1-2001/hohenhaus.pdf.

Kunkel-Razum, Kathrin, Werner Scholze-Stubenrecht, und MatthiasWernke. 2007. *Duden Deutsches Universalwörterbuch.* 6. Auflage, Mannheim: Bibliographisches Institut & F. A. Brockhaus.

Lehnert, Martin. 1986. The Anglo-American Influence on the Language of the German Democratic Republic. In *English in Contact with other Languages: Studies in honour of Broader Carstensen on the occassion of his 60th birthday*, ed. Viereck, W. and W. D. Bald, 129-157.

Meyer, Hans Joachim. 2004. Global English – A New Lingva Franca or a New Imperial Culture. In *Globalization and the Future of German*, ed. Gardt, Andreas & Bernd Hüppauf. Berlin, New York: Mouton de Gruyter.

Niebisch, Daniela, Sylvette Penning-Hiemstra, Franz Specht, Monika Bovermann & Monika Reimann. 2006. *Schritte 1 international*. Ismaning: Max Hueber Verlag.

Onysko, Alexander. 2007. *Anglicisms in German: Borrowing, Lexical Productivity, and Written Codeswitching.* Berlin-New York: Walter de Gruyter.

Summers, Della (ed.). 2001. *Longman Dictionary of Contemporary English.* Harlow: Pearson Education Limited.

Viereck, Wolfgang. 1986. The influence of English on German in the Past and in the Federal Republic of Germany. In *English in contact with other languages: studies in honour of Broder Carstensen on the occassion of his 60th birthday*, ed. Wolfgang Viereck and Wolf Dietrich Bald, 107-128. Budapest: Akadémiai Kiadó.

Yang, Wenliang. 1990. Anglicizmen im Deutschen: am Beispiel des Nachrichtenmagazins Der Spiegel. Tübingen: Niemeyer.

Zimmer, Dieter E. 1997. Neuanglodeutsch – über die Pidginisierung der Sprache. In *Deutsch und anders. Die Sprache im Modernisierungsfieber,* 7-104. Reinbek bei Hamburg: Rowohlt.

http://www.wissen im-netz.info/literatur/goethe/maximen/1-11.htm-24k-.

Casting a 'Sociological Eye' over ESOL: The Quest for a Rupture with Scholarly Common Sense

Karin Macdonald

This article offers an introductory discussion of how Bourdieu's reflexive sociology is relevant for my research study based within a branch of adult English language teaching (ELT): English for Speakers of Other Languages (ESOL) in a UK setting. The main concern in the study will be to produce a thorough analysis of the social environment of ESOL in order to reveal how the "logic of practice" in that social space, or *field*, might impact on language learning. In addition, the analysis of the ESOL research context itself is seen as an integral and crucial part of the construction of the research object within ESOL. Using Bourdieusian relational concepts for the analysis, this article is intended to show that the pursuit of the necessary "sociological eye" via the "participant objectivation" of the academic research community in relation to the object of research is fundamental to the process of a rigorous construction of the research object.

1 Introduction

The French social philosopher, Bourdieu, describes his understanding of reflexivity as a "sociology of sociology" (Bourdieu & Wacquant, 1992). He recognises that any research process is a product of particular epistemologies that have gained status over time within academic disciplines. It is thus necessary to question the acceptance of such a status, the presumptions about knowledge that an approach generates and the motivations behind the support for those epistemologies. Indeed, Bourdieu strongly criticises those academics who apply a narrow approach when conducting research and who consequently use only one method of data collection and analysis, even referring to them as "mono-maniacs" (Bourdieu & Wacquant, 1992: 226). He argues that the language used to express an accepted view of knowledge must be deconstructed and analysed by the academic community as a way to understand the origins of particular epistemological approaches that have achieved acceptance within that community. In order to transcend the potentially false discipline-based boundaries of a particular academic field, Bourdieu argues that research methods should develop from a careful construction of the research object which in turn is dependent on achieving an epistemological rupture, or "new gaze" (Bourdieu

& Wacquant, 1992: 251) through his notion of reflexivity. The purpose of his conceptual tools as part of his Theory of Practice (Bourdieu, 1977) is therefore to help the academic community to analyse, and thus to break from, existing scientific traditions and language, in the process of constructing the object of the research.

This article offers an introductory discussion of how Bourdieu's conceptual tools for analysis might be relevant for my own area of research based within a branch of adult English language teaching (ELT), namely English for Speakers of Other Languages (ESOL) in a UK setting. Discussion will show that the main concern in my research project is to produce a thorough analysis of the social environment of ESOL and how the "logic of practice" in that social space, or *field*, might impact on language learning. Indeed, my emphasis on social context takes on a broader significance, as the analysis of the ESOL research context itself is seen as an integral part of the construction of the research object within ESOL. The strength of Bourdieu's 'thinking tools' lies in thinking relationally: "Seeing events in relation to people, organisations, time and place", and therefore understanding them "in terms of their location among a series of possible socially-positioned definitions and in relation to other definitions in use" (Grenfell 2008: 221).

Using Bourdieusian relational concepts for the analysis, this article is therefore intended to show how rigour without rigidity (Bourdieu & Wacquant, 1992: 227) might be achieved in the research process, and that through the pursuit of the necessary "sociological eye" (Bourdieu & Wacquant, 1992: 251), the hidden aspects of the every day "logic of practice" can be revealed. This paper will thus be organised as follows: The importance of reflexivity in research and the significance of Bourdieu's understanding of reflexivity will be considered first of all, followed by a descriptive explanation of Bourdieu's conceptual tools, before finally considering the construction of the research object and presenting a preliminary analysis of ESOL and ESOL research using Bourdieusian concepts.

2 The Importance of reflexivity

It is inevitable that the research process - from the choice of topic to the design of the study to the interpretation and dissemination of the results - will be coloured by the researcher, who is, after all, the culmination of his/her lived experiences. In my view, this colouring cannot be ignored and the researcher must be acutely aware of what he/she is doing in the conduct of research and why. This seems particularly crucial when it comes to trying to understand human behaviour. As Woolgar and Ashmore state, "the production of social scientific knowledge about the world is itself a social activity" (Woolgar & Ashmore, 1988: 1). As our perceptions, thoughts and beliefs are bound up in our

every day practices, the meaning behind our own behaviour may well be hidden from our conscious selves while we nevertheless try to interpret the meaning behind the behaviour of others. As Bourdieu writes, "It is because we are implicated in the world that there is implicit content in what we think and say about it" (Bourdieu, 2000: 8).

Bourdieu's work has shown a consistent concern with how knowledge is produced and "whether, how, and to what extent a research process allows the subject of knowledge to grasp the object of his or her study in its essence" (Deer, 2008: 200). His understanding of reflexivity entails "objectifying the very conceptualisation and process of scientific objectification" (Deer, 2008: 200) in order to guard against the researcher failing to adequately take full account of the effects of his/her relation to the research object. The notion of reflexivity in Bourdieu's approach is therefore not something that is 'done' to the research but rather forms an essential part of the whole research process.

The premise for Bourdieu's reflexive sociology is the belief that social phenomena cannot be explained in isolation but need to be examined relationally in their social space. Thus as Thomson summarises:

> According to Bourdieu, an analysis of social space meant **not only *locating* the object of investigation** in its specific historical and local/national/international and relational context, **but also interrogating the ways in which previous knowledge about the object under investigation had been generated**, by whom, and whose interests were served by those knowledge-generation practices. (2008: 67, italics in original; bold added for emphasis)

This means that the researcher deconstructs preconstructed scientific concepts, in order to allow for greater rigour in the construction of the research object in what Bourdieu calls the process of "participant objectivation" (please see for example, Bourdieu & Wacquant, 1992: 243- 244).

Bourdieu therefore criticises researchers who are under the illusion that by merely describing their feelings, he/she is able to reveal the full implication of his/her position in relation to the object of research. As Bourdieu states:

> In order to free our thinking of the implicit, it is not sufficient to perform the return of thought onto itself that is commonly associated with the idea of reflexivity; and only the illusion of omnipotence of thought could lead one to believe that the most radical doubt is capable of suspending the presuppositions, linked to our various affiliations, memberships, implications, that we engage in our thoughts. (Bourdieu, 2000: 8)

The basis of this observation lies with Bourdieu's belief that personal experiences are not, in fact, unique but instead form part of social universals. As Wacquant states, "Bourdieu sees no need to make resounding private revelations to explain himself sociologically, for what happened to him is not singular: it is linked to a social trajectory" (Bourdieu & Wacquant, 1992: 44). Therefore, Bourdieu's reflexivity does not take the form of "self-fascinated observation of the observer's writings and feelings", which results in researchers turning to talk "about themselves rather than about their object of research" (Bourdieu & Wacquant, 1992: 72). Instead, he uses his conceptual tools to position himself as researcher in the academic field to which he belongs, and deconstructs the language and practices of that field in order to guard against what he calls the "scholastic fallacy" (Bourdieu & Wacquant, 1992: 123). Bourdieu uses the notion of "scholastic fallacy" to refer to the mistaken idea that the academic community is somehow immune to the social conflicts and tensions within their social space that prevail in other social spaces across human society.

As Bourdieu argues, the scholastic view is, in fact, a peculiar point of view on "the social world, on language, on any possible object of thought" (1990: 381). It is characterised by a distancing from the world, which is actually only made possible by economic and social conditions that remove the "urgency of necessity" for members of the scientific community, giving them the freedom to undertake academic work (Bourdieu, 1990: 381). Consideration of how social positioning might impact on scientific work is key to potentially revealing socially constituted intellectual practices that would otherwise remain uncontested. Thus, without a reflexive sociology as understood by Bourdieu, there is a danger that philosophers, sociologists, historians and all other professions involved in thinking and speaking about the world will overlook "the presuppositions that are inscribed in the scholastic point of view" (Bourdieu, 1990: 381).

Bourdieu's "participant objectivation", which is integral to his notion of reflexivity, involves the application of his conceptual tools to the analysis of the research process and the scientific community in relation to the object of research, as well as to the construction of the research object itself. Section 3 will therefore describe these thinking tools in order to clarify his use of the principle terms, namely *field, habitus* and *capital*, before considering the construction of the research object in more detail in section 4.

3 Bourdieu's conceptual tools

The type of analysis that Bourdieu advocates is a relational view of the world, where he uses the concepts of *field*, *habitus* and *capital* as an "inter-dependent and co-constructed trio…with none of them primary, dominant or causal" (Thomson, 2008: 69). Any field is a bounded and contested social space where

individual social agents compete for positions using their capital as bargaining tools to improve their status in the field. Each field has its own rules of conduct and measurements of what types of capital are most or least valuable in the perpetual competition for positions in the field. A useful equation to summarise the dialectical relationship of the trio is:

[(habitus)(capital)] + field = practice (Bourdieu in Maton, 2008: 51)

As Maton writes, "practice results from relations between one's dispositions (habitus) and one's position in a field (capital), within the current state of play of that social arena (field)" (2008: 51). Practices are thus shaped by the interrelationship of habitus, capital and field.

All three concepts find their meaning in relation to each other. This relational perspective is a way to overcome dichotomies such as the individual versus the social and subject versus object, by offering instead a dialectical analysis of the social environment. For example, habitus goes beyond the notion of the individual or a group of individuals sharing a social space in the sense that it rather refers to perceptions, thought and actions as they are both conditioned by and contribute to a field. According to his concepts, social reality exists in things and in the mind, in fields and in habitus, outside and inside of agents (Bourdieu & Wacquant, 1992: 127). Habitus is therefore best described as a subjective 'disposition' that is both structured by the objective conditions of the field as well as structur*ing* practices and beliefs within the field. As Bourdieu writes, "[habitus] expresses first the *result of an organising action*, with a meaning close to that of words such as structure; it also designates *a way of being, a habitual state* (especially of the body) and, in particular, a *predisposition, tendency, propensity, or inclination*" (Bourdieu, 1977: 214).

Explaining the concept of field in more detail, a field may be defined as, "a network, a configuration, of objective relations between positions" (Bourdieu & Wacquant, 1992: 97). And these positions are:

> Objectively defined, in their existence and in the determinations they impose upon their occupants, agents or institutions, by their present and potential situation (situs) in the structure of the distribution of species of power (or capital) whose possession commands access to the specific profits that are at stake in the field, as well as by their objective relation to other positions (domination, subordination, homology etc.). (Bourdieu & Wacquant, 1992: 97)

As Grenfell points out, it is not surprising that the notion of a field as a network of dynamic forces means that the field is a site for struggle (2007: 55). There is a constant vying for positions within the field.

Bourdieu uses the analogy of a game to illustrate the interrelationship of his concepts. He describes players in a game as having 'stakes' in a game that are a product of the competition generated between players. These players have an 'investment' in the game when they concur that the game is worth playing, and have 'trump cards' that vary in value depending on the game in question. The value of trump cards changes according to the game being played, just as the hierarchy of capital varies across different fields (Bourdieu & Wacquant, 1992: 98). The rules of the 'game' constitute those practices that are seen as legitimate within the field, those practices that constitute the "logic of practice" or *doxa* of a field. These doxa of social actions are usefully summed up by Deer as follows:

> *Doxa*…refers to the pre-reflexive, shared but unquestioned opinions and perceptions mediated by relatively autonomous social microcosms (fields) which determine 'natural' practices and attitudes via the internalised 'sense of limits' and habitus of the social agents of the field. (2008: 120)

It is therefore worth noting here that the notion of doxa as 'taken-for-granted assumptions' serves as a useful reminder of the importance of reflexivity in scientific endeavour, in order to reveal the hidden doxa of the scholastic field (Deer, 2008: 120), as well as those of the research object.

The character of a field is defined by the configuration of capital. For example, in some fields, economic capital might be seen as more valuable than cultural capital, yet in other fields it might be cultural capital that has a greater value (Grenfell, 2007: 60). The three main forms of capital are: economic, social and cultural. Moore suggests that capital can be put into two main groups to help clarify these concepts: economic and symbolic (2008). Economic capital is related directly to financial wealth, whereas symbolic capital includes the more abstract notions of social capital and cultural capital. Social capital, for example, is related to social network connections and institutionalised relationships, such as the connections that might be acquired in the workplace; cultural capital refers to cultural awareness, aesthetic preferences and scientific knowledge, and might include such 'trump cards' as educational background and qualifications gained. Symbolic capital can also be described as a type of capital that results from power that is perceived and accepted without question as part of what Bourdieu calls the 'misrecognition' of a naturalised yet arbitrary form of power (Bourdieu & Wacquant, 1992: 119).

So far, discussion in this section has remained detached from my own research project, as clarification of terms is necessary, before possible applications of concepts can be explored. It is essential to note, however, that Bourdieu always intended his concepts to be used only as a device to help the researcher to understand the world, and the concepts are to be used first and

foremost empirically as a way of constructing the research object from the 'ground up'. His conceptual tools as part of his Theory of Practice are exactly that, part of a theory *of* practice (Grenfell & James, 1998), not to be abstractly used as a theory-bound framework removed from the everyday. Section 4 will now outline Bourdieu's three-part approach to the construction of the research object, before finally presenting a preliminary analysis of the field of ESOL and ESOL research in Bourdieusian terms.

4 The construction of the research object

4.1 A three-part approach

The main challenge in using a Bourdieusian approach (and the main strength!) is the closely intertwined relational nature of Bourdieu's conceptual framework wherein his conceptual tools develop the analysis of the research object, as well as developing the reflexive analysis of the research community in the research process. This means that the researcher is faced with the challenge of a research project that is not organised along clear sequential routes, but rather a project process that consists of closely interconnected components whose meaning is interdependent. The difficulty as researcher is then to design such a study and disseminate findings to others in a way that still demonstrates the integral nature of all the 'components' that form a comprehensive picture of a particular setting.

In order to help with this process, Bourdieu suggests that the research object can be rigorously constructed using a three-part approach. Bourdieu emphasises the importance of a rigorous construction of the research object: A process he believes is often neglected by scholars (Bourdieu & Wacquant, 1992). However, this approach should not be seen as a linear activity: All three parts are rather to be viewed as "somehow co-terminus, they anticipate, assume, and acknowledge each other at one and the same time" (Grenfell, 2008: 227).

Bourdieu's aim in constructing the research object is to produce a relational topography of the object in order to break from the preconstructed, thus recognising the socially produced nature of the research object. It is through the construction of the research object that data collection methods are decided upon and may, as a result, include both quantitative and qualitative methods. It is therefore important to emphasise here that the construction of the research object is an on-going process within the research study. As Bourdieu states: "The programme of observation and analysis through which [the construction of the research object] is effected is not a blue-print that you draw up in advance, in the manner of an engineer. It is, rather, a protracted and exacting task that is accomplished little by little, through a series of small rectifications and amendments" (Bourdieu & Wacquant, 1992: 228).

Bourdieu's three-part approach of constructing the research object is hence as follows:

1. To analyse the position of the field in relation to the field of power.
2. To map out the objective structure of relations between positions occupied by agents who compete for the legitimate forms of specific authority of which the field is a site.
3. To analyse the *habitus* of agents; the systems of dispositions they have acquired by internalising a deterministic type of social and economic condition. (Grenfell, 2008)

As the rigorous construction of the research object via the relational topographical analysis suggested in his three-part approach is designed to break with the pre-constructed, it is essentially designed to make the everyday 'strange'. Bourdieu therefore encourages researchers to approach major objects, such as language, in an unexpected manner or to make socially insignificant objects into scientific objects, in order to help with the deconstruction and reconstruction process (Grenfell, 2008: 220). Bourdieu, for example, used "a very down-to-earth analysis" of certificates of illness to approach his study of the monopoly of the state over legitimised practices (Bourdieu & Wacquant, 1992: 221).

4.2 ESOL in museums

With reference to my own research, I have chosen to look at ESOL practices from a particular perspective. In order to better uncover the hidden *doxa* within the language education field of ESOL, I am exploring the recent involvement of museums in ESOL provision. By exploring the "logic of practice" that constitutes museum-based ESOL activities, I hope to highlight the social factors that influence both the policy and the delivery of language provision to immigrants in the UK.

The museum field is embedded with competitive practices to access funding from the field of power, namely government funding bodies, as well as other economic fields in industry. Understanding this dependency, particularly on the field of power (in this case the government), is crucial, as it highlights the possible motivations behind museums 'reaching out' to local communities with social inclusion programmes (including ESOL) in recent years. Government agendas have been focusing on education and 'social inclusion' since 1997 (Galloway & Stanley, 2004) and will therefore presumably be more likely to provide funding for museums whose programmes mirror their rhetoric. This, then, potentially flavours these social programmes, as museums are forced to comply with them in order to retain/enhance their positions in the museum field, yet possibly still perceive themselves ultimately as arbiters of cultural capital.

Indeed, my initial observations of the museum field have shown a possible area of tension between the way museum workers I have met speak about 'outreach' and ESOL as a totally natural part of museum life, in contrast to the intimate world of museums that is evident in, for example, the Museum Association Journal (Museum Association, 2008). Here, named individuals appear in the employment *Moves* section of the journal, giving the impression of a close-knit community where 'everyone knows everyone'. 'Outreach' and 'social inclusion' seem almost at odds with this 'in-group' identity.

These initial observations find resonance with Bourdieu's own work. Bourdieu himself argues as a result of his own research into the field of cultural production, that museums actually legitimate social and cultural *difference* whilst giving the illusion of equality, stating in reference to art museums in particular "that museums betray, in the smallest details of their morphology and organisation, their true function, which is to strengthen the feeling of belonging in some and the feeling of exclusion in others" (Bourdieu, 1993: 236). What processes of legitimation are evident in museum-based ESOL tasks? Davies suggests activities are useful for citizenship training (Davies, 2008: 43) – is the cultural knowledge production that is linked with this language provision therefore a way to affirm the value of certain cultural (and linguistic) capital, thereby also perpetuating the doxic practices of the ESOL field, museum field and the field of power – (in this case) the government?

Such questions with regards to museum-based ESOL activities are especially interesting due to the political nature of the ESOL field itself. ESOL in the UK is closely linked to the political issue of immigration, an issue high on the UK government agenda. As Rosenberg states, since the year 2000, ESOL has become an important government concern in connection with societal issues of social cohesion, identity and national security (Rosenberg, 2007: 261). This is reflected in government discourse: For example, the Secretary of State for Innovation, Universities and Skills in January 2008 stated, "I believe good English language skills are critically important for life, work and social cohesion in this country" (Department for Innovation, Universities and Skills, 2008). Linking the notion of social cohesion to language learning is highly significant as it could suggest that those who fail to learn English are actually seen as responsible for social *in*cohesion. Clearly, a thorough investigation into the meaning and use of such concepts is necessary if the impact of these terms on language learning policy and practice is to be assessed.

To many it may seem to be a reasonable and common-sense demand that immigrants learn English when they come to the UK. However, this would suggest that for immigrants to learn English they simply need to show willing and make an effort. Public response to a perceived lack of effort on the part of immigrants to learn English can be seen in the media. For example, in a recent Sunday Times newspaper report, it was claimed that £50 million was being spent

on translators in the National Health Service, to help those immigrants unable to speak English to get health care in the UK (Watts, 2008). The ensuing readers' letters all reacted with strong indignation to the idea of wasting money in an area of public service already low on finances. One comment sums up the sentiments as follows: "Perhaps the do-gooders in this country should consider the wider implications and realise that by encouraging immigrants to learn English it would not only be to their advantage, but the health service could spend the money how it was intended - for healing people" (Dodd, 2008). The implication of this statement seems to be that somehow immigrants *need* encouragement to learn English and that without such encouragement they will take advantage of us and our services.

The idea that immigrants simply need to 'pull their socks up' and learn English is based, however, on the false assumption that everyone has equal access to language learning opportunities and that the process of language learning and use are themselves neutral activities. Bourdieu (1991) strongly criticises linguists such as Saussure for describing language in its idealised, standardised and abstract form and thus as "a self-contained system completely severed from its real uses and denuded from its practical and *political* function" (Bourdieu & Wacquant, 1992: 141, emphasis in original). He argues that this perpetuates the myth that everyone has equal access to language as a 'universal treasure' and this therefore gives "the illusion of linguistic communism which haunts all linguistic theory" (Bourdieu, 1991: 43). The social nature of language means that, "speakers lacking the legitimate competence are *de facto* excluded from the social domains in which this competence is required, or are condemned to silence" (Bourdieu, 1991: 55).

Norton (Norton, 2000; Norton Pierce, 1995) in fact draws on this idea to discuss the effects that learner perceptions of their 'right to speak' had on the language learning and language use of the ESL (English as a Second Language – the equivalent US and Canadian term for ESOL) students in her studies in Canada. She highlights the negative impact on language learning that a lack of opportunities to speak can have on learners: Opportunities dependent on gaining access to social networks. Grant and Wong (2008) also recognise the impact of social difference on language learning. They argue that differential treatment of immigrants according to gender, race and ethnicity results in inequality and thus could explain different outcomes for language learning and use. Indeed, Curry (2008) uses Bourdieu's conceptual framework to also trace the effects that previous educational experiences can have on learners in an ESL classroom in the United States. She found that differing previous educational experiences meant that learners were bringing different levels of cultural capital to the classroom. She uses the notion of cultural capital as institutional competence to explain how some learners could understand how to 'play the game' with regards to pedagogical practices that result in institutional success. Those with

less cultural capital took longer to understand the "logic of practice" of the classroom, and this in turn negatively impacted on their success in the college setting.

The study of teacher habitus in relation to the field, the capital teachers possess, their social trajectory and their assumptions about the "logic of practice" will also help to highlight factors that impact on language learning. For example, how might general assumptions about language learning and use impact on teachers' views of ESOL learners in their classrooms, and how might this further impact on language learning 'success'? Case studies of ESOL classrooms show that a significant number of teachers see the ESOL classroom as a safe haven away from the realities of everyday life and deliberately avoid topics that might upset learners, including topics such as 'family' (as they may be homesick or have lost loved ones, especially if they are asylum seekers) and 'shopping/money' (as learners are often poor and cannot afford consumer products) (Roberts, Baynham, Barton, & Pitt, 2004). In a sense, however, these teachers could simply be accused of policing what they deem to be socially and culturally acceptable for these adults. Indeed *not* equipping their learners for common topics used in everyday small talk interaction such as 'family', could be denying them the ability to access social networks in their neighbourhoods or in the workplace. Norton (2000) argues that our conceptions of immigrant language learners need to be rethought and she calls for more studies where immigrants are not seen as victims. There is no doubt that trauma has been suffered by a number of individuals in ESOL classrooms, but whether denying certain linguistic/cultural capital is beneficial for these individuals must be further explored.

Assumptions about language learning will also be evident in the materials available/made available for ESOL learners. In the related field of ESL research in the United States, Downey Bartlett (2005) argues that there are discrepancies between ESL books and the realities of workplace communication. In her study of coffee shop service counter interactions, she finds that the model dialogues in ESL textbooks are inadequate and do not meet learners' cultural communication needs at work. Holmes (2005), in the context of ESL in New Zealand, echoes these sentiments as she found that textbooks do not deal with the social small talk required in the workplace, yet finds that small talk is in fact crucial for successful interaction. Wallace's (2006) findings in the UK context concur with these studies of ESL materials. She criticises the 'safe texts' found in the textbooks used in UK ESOL classrooms as they represent an idealised and unrealistic world of English (Wallace, 2006).

Perhaps it is thus salient to consider the underlying logic that pertains to language learning goals in this context. Discussion so far potentially shows that a cultural and linguistic deficit model of ESOL education prevails in the UK. Immigrants are viewed as incomplete (until they learn English) and a strain on

resources, as well as a danger to the maintenance of cohesion in society. They must somehow be 'encouraged' to learn English but only the English we want them to learn and that we allow them to access via our chosen language learning materials and opportunities. As Auerbach states:

> The day-to-day decisions that practitioners make inside the classroom both shape and are shaped by social order outside the classroom. Pedagogical choices about curriculum development, content, materials, classroom processes, and language use, although appearing to be informed by apolitical professional considerations are, in fact, inherently ideological in nature, with significant implications for learners' socio-economic roles. (1995: 9)

What do museum-based resources reveal about beliefs with regards to language learning and culture? How might these resources contribute to the language acculturation of the learners?

The discussion so far has only offered a brief sojourn into my Bourdieusian research study and is intended merely to demonstrate how Bourdieu's concepts can help our understanding of social contexts and uncover the hidden doxa of those spaces. Indeed, the reader will have noticed that Bourdieu's three-part approach to a sociological analysis has only been lightly touched on through a consideration of the museum and ESOL fields in relation to the field of power, and a brief mention of habitus and capital in relationship to the fields in question. A detailed, fully relational analysis cannot begin until I am able to witness directly the fields in question and observe museum-based activities in action, in the true spirit of a Bourdieusian theory of *practice*. Nevertheless, the complexities of the social environment that constitute the research object have been highlighted and their impact on language learning implicated, and suggested questions for further investigation have been framed.

But what of the field of ESOL research? Concentrating on the UK ESOL research field for the purposes of this paper, it is interesting to note the small number of researchers involved in the published research reports. Six researchers seem to have the most involvement in a wide range of research publications (for example: Barton & Pitt, 2003; Baynham, 2006; Baynham, Roberts, & Cooke, 2007; Cooke, 2006, 2008; Cooke & Simpson, 2008; Pitt, 2005; Roberts, 2006a, 2006b; Roberts & Baynham, 2006; Roberts et al., 2004; Roberts, Cooke, Baynham, & Simpson, 2007). Two of these researchers, Cooke and Simpson, have just published a book for ESOL practitioners, using research drawn from the National Research and Development Centre for adult literacy and numeracy (NRDC) funded ESOL research projects from 2003 to 2007, as a basis for the contents of the book (Cooke & Simpson, 2008). In the book they reiterate the challenges of teaching ESOL, namely the diversity of the learners and the

political background to the teaching of ESOL. They use the term 'vocation' to describe the attitudes of teachers to ESOL work, stating that "many teachers have a well-developed political analysis of ESOL issues and express solidarity with their students, acting as advocates for them in their struggles outside the classroom" (2008: 40 - 41).

Therefore, worth investigating might be whether the "logic of practice" of the ESOL research field actually legitimates ESOL teachers as somehow 'other' to language teaching practitioners in general, thereby legitimating the position of ESOL teachers as something akin to social workers (a term actually used in the book (2008: 40)) rather than language 'professionals', thus placing them further to the periphery of the field of language teaching. Could it be that the lack of economic and social capital evident in the part-time nature of much of the work done by ESOL teachers (Cooke & Simpson, 2008: 40) is perpetually reproduced by rhetoric that actually reduces the power position these teachers could enjoy in the field of language teaching? The underlying sympathetic tone towards teachers and learners prevalent in such publications could, again, be legitimating social and cultural difference in Bourdieusian terms, rather than giving advantage to teachers and learners in their respective fields.

My position as researcher to the ESOL research field is as a total newcomer. I am not an ESOL practitioner and have not worked in the field of ESOL before. I am, however, a language teacher of English as a Foreign Language (EFL) but have done so abroad, returning to the UK only last year after eight years out of the country. I am also a language teacher-turned-researcher and have not, in fact, taught language for a number of months now as I have taken on the role of researcher instead. How does this position me to the ESOL field of research? Clearly, I have an interest in language teaching and learning, and deliberately chose the ESOL context in which to conduct research due to the publicly contentious nature of this branch of teaching and learning English. However, I have no direct contact with the (small) cohort of researchers based at other universities. This means I carry little social capital in the ESOL research field, though on a wider scale, I do possess the necessary capital to be a member of an academic community at my own university.

My own social trajectory, possession of capital and teacher/researcher habitus has led to a pre-reflexive interest in the power relations that exist in the social spaces of teaching and learning. A thread that runs through much ESOL-related research is the call for a critical pedagogy to be introduced to the language classroom, where learners are encouraged to critically engage with texts as an act of empowerment (for an example, please see Cameron, 2002). This is a theme I would like to pursue in my own research as I now acknowledge a pre-reflexive instinct that questions the saliency of such an approach. My concerns are those echoed in the learner autonomy debates in applied linguistics literature, namely the danger of 'guiding' learners along ideologically Western

views of criticality (for an example discussion, please see: Pennycook, 1997). For example, ESOL literature already mentions the problems that a number of female ESOL learners face when they break with their own traditional cultural roles to attend class (Cooke & Simpson, 2008: 94). How might a critical pedagogy add to such cultural tensions? In practical terms, how would such activities be organised and who would choose the materials to 'criticise'? How is the term 'critical pedagogy' being used by the research community?

These questions connect directly to my research project. Museums involved in museum-based ESOL activities seem to be aware of the potential dangers of enforcing particular cultural values. This sentiment can be seen in how activities are advertised in the museum field, i.e. as activities that involve the *critical* engagement with museums as institutions and their artefacts. For example, the pre-visit ESOL materials for the Victoria and Albert Museum in London includes the following question: "Should 'Western' museums return the valuable objects they have taken from other countries?" (David, 2006: 7). Therefore, the investigation and relational analysis of museum-based ESOL activities could eventually contribute to critical pedagogy debates, as I hope to reveal the "logic of practice" that underlies this aspect of ESOL provision and research.

5. Conclusion

The purpose of this paper was to present the beginnings of a research study that aims to integrate a reflexive sociology along Bourdieusian lines. Bourdieusian concepts were explained to show the relational approach to research advocated in such an enquiry. Data collection methods have not been explicitly discussed, as the methods will form part of the on-going research process and were not within the scope of discussion in this article. The importance of a rigorous construction of the research object has nevertheless been highlighted, and such a construction therefore inevitably must also include the reflexive analysis of the research field in relation to the research object, in order to break with the presuppositions that exist in "scholarly common sense" (Bourdieu & Wacquant, 1992: 247). Bourdieu does admit, however, that the process of "participant objectivation" that constitutes a reflexive sociology is "no doubt the most difficult exercise of all because it requires a break with the deepest and most unconscious adherences and adhesions" (Bourdieu & Wacquant, 1992: 253). Clearly, then, there is *much* more reflexive work to be done, with a need also to undertake a thorough analysis of the Bourdieusian framework itself. In a sense, therefore, my research journey will need to include an analysis of the analysis in terms of the Bourdieusian reflexivity outlined in this paper, with yet another layer of analysis pertaining to *that* analysis. I nevertheless see the "difficult exercise" ahead as a crucial one that is integral to the conducting of, in this case, educational research. As Bourdieu himself points out:

> There is no risk of overestimating difficulty and dangers when it comes to thinking the social world. The force of the preconstructed resides in the fact that, being inscribed both in things and in minds, it presents itself under the cloak of the self-evident which goes unnoticed because it is by definition taken for granted. (Bourdieu & Wacquant, 1992: 251)

References

Auerbach, E. R. 1995. The politics of the ESL classroom: Issues of power in pedagogical choices. In: J. W. Tollefson (ed.), *Power and Inequality in Language Education*. Cambridge: Cambridge University Press.

Barton, D., & Pitt, K. 2003. *Adult ESOL pedagogy: a review of research, an annotated bibliography and recommendations for future research.* London: National Research and Development Centre for Adult Literacy and Numeracy.

Baynham, M. 2006. Agency and contingency in the language learning of refugees and asylum seekers. *Linguistics and Education, 17*(1), 24-39.

Baynham, M., Roberts, C., & Cooke, M. 2007. *Effective teaching and learning in ESOL*. London: National Research and Development Centre for Adult Literacy and Numeracy.

Bourdieu, P. 1977. *Outline of a Theory of Practice* (Translation ed.). Cambridge: Cambridge University Press.

Bourdieu, P. 1990. The scholastic point of view. *Cultural Anthropology, 5*(4), 380-391.

Bourdieu, P. 1991. *Language and Symbolic Power*. Cambridge: Polity.

Bourdieu, P. 1993. The Field of Cultural Production. Essays on Art and Literature. Cambridge: Polity Press.

Bourdieu, P. 2000. *Pascalian Meditations*. Cambridge: Polity.

Bourdieu, P., & Wacquant, L. J. D. 1992. *An Invitation to Reflexive Sociology.* Cambridge: Polity Press.

Cameron, D. 2002. Globalization and the teaching of 'communication skills'. In: D. Block (ed.), *Globalization and Language Teaching,* 67-82. Oxon: Routledge.

Cooke, M. 2006. "When I wake up I dream of electricity": The lives, aspirations and `needs' of Adult ESOL learners. *Linguistics and Education, 17*(1), 56-73.

Cooke, M. 2008. "What we might become": The lives, aspirations, and education of young migrants in the London area. *Journal of Language, Identity and Education, 7*(1), 22-40.

Cooke, M., & Simpson, J. 2008. *ESOL: A Critical Guide*. Oxford: Oxford University Press.

Curry, M. J. 2008. A "head start and a credit": analyzing cultural capital in the basic writing/ESOL classroom In: J. Albright & A. Luke (eds.), *Pierre Bourdieu and Literacy Education*. London: Routledge.

David, A. 2006. Tours for Adult ESOL Students. Information for Tutors. London: The British Museum.

Davies, B. 2008. The potential of partnerships. *Language Issues, 19*(2), 40-50.

Deer, C. 2008. Doxa. In M. Grenfell (ed.), *Pierre Bourdieu: Key Concepts* (119-130). Stocksfield: Acumen.

Department for Innovation Universities and Skills. 2008. Focusing English for Speakers of Other Languages (ESOL) on Community Cohesion. London: Crown.

Dodd, I. 2008. Letters: This is not equality – this is cultural isolation. *The Sunday Times*, 2 November.

Downey Bartlett, N. J. 2005. A double shot 2% mocha latte, please, with whip: Service encounters in two coffee shops and at a coffee cart. In: M. H. Long (ed.), *Second Language Needs Analysis,* 305-343. Cambridge: Cambridge University Press.

Galloway, S., & Stanley, J. 2004. Thinking outside the box: galleries, museums and evaluation. *Museum and Society, 2*(2), 125-146.

Grant, R. A., & Wong, S. D. 2008. Critical race perspectives, Bourdieu, and language education In J. Albright & A. Luke (eds.), *Pierre Bourdieu and Literacy Education*. London: Routledge.

Grenfell, M. 2007. *Pierre Bourdieu: Education and Training*. London: Continuum.

Grenfell, M. 2008. Postscript: Methodological principles. In M. Grenfell (ed.), *Pierre Bourdieu: Key Concepts,* 219-227. Stocksfield: Acumen.

Grenfell, M., & James, D. 1998. *Bourdieu and Education: Acts of Practical Theory*. London: Falmer Press.

Holmes, J. 2005. When small talk is a big deal: Sociolinguistic challenges in the workplace. In: M. H. Long (ed.), *Second Language Needs Analysis,* 344-372. Cambridge: Cambridge University Press.

Maton, K. 2008. Habitus. In M. Grenfell (ed.), *Pierre Bourdieu: Key Concepts* (49-65). Stocksfield: Acumen.

Moore, R. 2008. Capital. In: M. Grenfell (ed.), *Pierre Bourdieu: Key Concepts,* 101-117. Stocksfield: Acumen.

Museum Association. 2008. Moves. *Museum Journal, November*.

Norton, B. 2000. *Identity and Language Learning*. Harlow: Pearson Education Limited.

Norton Pierce, B. 1995. Social identity, investment, and language learning. *TESOL Quarterly, 31*(3), 9-31.

Pennycook, A. 1997. Cultural alternatives and autonomy. In P. Benson & A. Pennycook (eds.), *Autonomy and Independence in Language Learning*. Harlow: Pearson Education.

Pitt, K. 2005. Debates in ESOL Teaching and Learning – Cultures, Communities and Classrooms. London: Routledge.

Roberts, C. 2006a. Figures in a landscape: Some methodological issues in adult ESOL research. *Linguistics and Education, 17*(1), 6-23.

Roberts, C. 2006b. Transcription conventions for the special issue. *Linguistics and Education, 17*(1), 106-105.

Roberts, C., & Baynham, M. 2006. Introduction to the special issue: Research in adult ESOL. *Linguistics and Education, 17*(1), 1-5.

Roberts, C., Baynham, M., Barton, D., & Pitt, K. 2004. *English for Speakers of Other Languages (ESOL) – case studies of provision, learners' needs and resources*. London: National Research and Development Centre for Adult Literacy and Numeracy.

Roberts, C., Cooke, M., Baynham, M., & Simpson, J. 2007. Adult ESOL in the United Kingdom: Policy and research. *Prospect, 22*(3), 18-31.

Rosenberg, S. K. 2007. *A Critical History of ESOL in the UK, 1870-2006*. Leicester: National Institute of Adult Continuing Education.

Thomson, P. 2008. Field. In: M. Grenfell (ed.), *Pierre Bourdieu: Key Concepts,* 67-81. Stocksfield: Acumen.

Wallace, C. 2006. The text, dead or alive: Expanding textual repertoires in the adult ESOL classroom. *Linguistics and Education, 17*, 74-90.

Watts, R. 2008. Health trusts spend £50m on translators. *The Sunday Times*, 26 October.

Woolgar, S., & Ashmore, M. 1988. The next step: An introduction to the reflexive project. In: S. Woolgar (ed.), *Knowledge and Reflexivity. New Frontiers in the Sociology of Knowledge,* 1-11. London: SAGE.

Eger Journal of English Studies ***VIII*** *(2008) 111–123*

On Linguistic and Epistemological Foundations of Language Pedagogy

Csaba Czeglédi

The central issues in pedagogy in general are inextricably bound to fundamental questions about the nature of knowledge and its attainment by humans. Language pedagogy in particular presupposes a coherent answer to basic questions about the nature of human language, its acquisition, and its use. The paper shows how basic assumptions about the structure and acquisition of language in generative grammar are gracefully consistent with constructivist theories of knowledge and learning and how this consistency contributes to a better understanding of the goals and tasks of language pedagogy.

Introduction

For in part obvious reasons, language pedagogy is intimately and naturally related to linguistic theory and epistemology. Since language pedagogy presupposes some understanding of what language is, it cannot fail to consider what linguistic theory has to say about it. This much, at least, seems fairly obvious. Equally clearly, language pedagogy, as well as pedagogy in general, will necessarily be based on some general assumptions concerning the nature of human knowledge and learning, to use the traditional term for processes involved in the attainment of knowledge by humans. Third, given that pedagogy involves verbal communication in various ways, it must be committed to some assumptions about the nature of human communication, an issue not discussed in any detail here.

Research into language and cognition has made important progress over the past few decades. Significant results in these areas of human understanding have important implications for pedagogy in general and for language pedagogy in particular, the topic of this essay. Given the intimate connection between a theory of language learning and education on the one hand and theories of language and cognition on the other, some of the implications of recent developments in the latter for language pedagogy are fairly obvious. Yet, it seems as if they are almost completely ignored in language education. The purpose of this paper is to clarify some aspects of the connections just mentioned

and their natural implications for our understanding of language education and learning.

From a conventional pedagogical perspective, the picture painted here may seem disappointing. Some may view it as a critical and pessimistic account of some general pedagogic principles and their consequences. But that is a misunderstanding. True, the present discussion is indeed critical of most, if not all, of the general assumptions apparently adopted in conventional pedagogy, but it is not pessimistic at all about the development of our understanding of the processes involved in education and learning. If anything, it is highly optimistic about possible, and apparently necessary, changes in pedagogical theory in general and in the theory of language education in particular.

For the purposes of this discussion, I follow the pedagogical-theoretic convention in assuming that questions of foreign language learning and teaching are part of the subject matter of pedagogy, as traditionally understood, although this is not at all self-evident. Whether or not learning processes in individuals and educational activities performed and controlled by teachers are to be accounted for in a pedagogical theory depends on what we consider to be pedagogy in the first place and, second, on how we regard the processes conventionally assigned to pedagogical theory. For a non-conventional approach to these issues and some interesting conclusions to the effect that pedagogical theory is essentially deprived of all its traditional subject matter, see Nahalka (1997a).

The traditional assumption is that educational theory is concerned with the learning and teaching of individuals, with a primary focus on institutionalized forms and contexts of instruction, i.e., learning and teaching in schools (cf. Falus 2005). Mental processes like learning conventionally fall within the subject matter of psychology. Teachers' behaviors and activities, like everyone else's, are a function of their knowledge and abilities, also the topic of psychological inquiry. If these processes are taken to constitute the subject matter of educational theory, as is traditionally assumed, then the natural conclusion to draw is that educational theory is a branch of human psychology. Indeed, as Nahalka (2005) points out, modern pedagogical theory has always borrowed all its central categories, including the concepts of knowledge, competence, attitude, etc., from psychology. This may be viewed by some as an unwelcome, perhaps even painful, consequence, a possible sign of crisis. It might be disappointing to see that the conventional areas of pedagogical theory actually belong in the domain of a different science.

Although pedagogy is indeed in a crisis, this is not because it falls into psychology. As a matter of fact, when it does, it falls into place, but I will not pursue this issue any further here. Regardless of one's views on this and some related questions, the crisis pedagogy faces is caused not by factors without, but by some factors within. In the light of recent developments in epistemology,

some of pedagogy's conventional assumptions about human knowledge and learning seem untenable. When a theory or science is faced with a crisis as deep as this, the standard solution is to radically revise its basic assumptions and construct an entirely different coherent theory.

Some central issues in language pedagogy

One of the two standard questions in education is what to teach. When that is answered, the second question that arises is how to teach that (cf. Falus 2005). Any answer to the first question is crucially determined by one's beliefs and assumptions about the learning process. These involve some serious questions about what actually happens when a learner "learns something" and about what it is that a learner learns.

An extremely naïve but apparently still very popular answer to the latter is that they learn what you say to them. On this assumption, the first major issue in education is reduced to the question of what to say to the learners. Although this question arises naturally and regularly in some form for any teacher or author of a textbook or any other teaching material, if taken to be a synonym of the question of what to teach, it implies that knowledge may be transferred from one individual to another through speaking to them, which is a serious misunderstanding of both the nature of knowledge and the nature of verbal communication. From a pedagogical perspective, one of the most important results in constructivist epistemology is the realization that knowledge transfer is impossible. This has serious implications for both of the standard questions in educational theory and raises some more general questions about the nature and possible goals of teaching.

If the central questions in educational theory are taken to be questions about what knowledge to transfer or 'give' to learners and how to transfer it to them, and if knowledge in a teacher's mind cannot be transferred into the learner's mind directly through verbal communication or in any other way, then both questions become meaningless. On this interpretation, both must be discarded as incoherent and replaced by new questions about the goals of education and possible roles of the teacher (for a detailed discussion of these general issues, see Ludányi 2001).

On constructivist assumptions, an individual's knowledge is entirely constructed in and by the individual's mind. None of it may come from any source external to a person's mind, contrary to traditional empiricist assumptions about it. Knowledge construction and the resulting knowledge states are highly subjective and personal matters, processes and states internal to an individual's mind (cf. Nahalka 1997a, b, c). Therefore, whatever questions arise in pedagogy about educational processes and their goals, they must be formulated in terms of the subjective process of knowledge construction in individuals (cf. Ludányi 2001).

The goal of foreign language teaching (FLT) is commonly formulated informally in terms of learners' knowledge of a particular foreign language (FL). The process whereby this knowledge is attained by a learner is conventionally called foreign language learning (FLL), our primary concern here, with a focus on some general assumptions about learning that bear directly on teachers' roles, expectations and possible goals of the teaching process. There is a range of related specific issues, such as questions about the now more-or-less standard distinction made between FLL and second language acquisition (cf. Krashen 1981), for example, which I will not address. Nor will I discuss the question of what counts as a foreign or second language in any detail. Instead, I will focus on the nature of the learning process and the resulting mental states subsumed under the label 'knowledge of FL.'

Whatever the distinctive features of foreignness of FL are, it is an instance of natural language (NL). It is clear, therefore, that a theory of FLT presupposes some understanding of what NL, or any particular language L, an instance of NL, is. From the perspective of language pedagogy, a theory of NL comes free: linguistic theory is concerned precisely with that. Without going unnecessarily deeply into matters of detail here, it will be highly relevant to consider, albeit very briefly and informally, some of the major findings in linguistic research over the past few decades, as they have important implications for some central assumptions in language pedagogy.

As is now well known, almost to the extent of a linguistic commonplace, a distinction is made between two aspects of language: its knowledge and its use. The former is taken to be an internalized rule system that enables a speaker of a particular language L to construct and understand an infinite number of different sentences in L. By the use of language, we mean the ability of speakers of L to perform acts of verbal behavior and what is sometimes called symbolic thought. It may be interesting to note in passing that it is arguably the latter, also called the language of thought, that is the primary function of NL, not its externalization in verbal communicative acts (cf. Chomsky 2007). A second, perhaps even more important, discovery about the nature of NL is that the only coherent notion of language is I-language (for internal language), a speaker's 'linguistic' knowledge or competence, sometimes also called a mental grammar (cf. Chomsky 2000, 2004, 2005). Briefly, language is a mental mechanism or organ. The rules and principles it contains, as well as the structures constructed by them, are mental constructs.

Given that any particular language is a form of knowledge in its speakers' minds, one of the two major goals of FLT must be to facilitate learners' attainment of the knowledge of FL, i.e., a mental grammar of FL. This immediately raises important questions about how a learner of FL attains that knowledge. This specific question takes us directly to the general epistemological problem of how any form of knowledge is attained by humans

and to an immediately relevant special variant of that: the problem of how knowledge of a language is attained.

The second major goal of FLT is to facilitate learners' attainment of the ability to use FL in verbal communication, sometimes called communicative competence. Although an important and reasonable goal, when it is (over)emphasized, sometimes resulting in misunderstanding, as is almost generally the case in what is known as the communicative approach to FLT (cf. Budai 2006), the heavy emphasis laid on it derives from the age-old traditional (false) assumption that communication is the primary function or use of language, very often accompanied by the equally false belief that the principles of the use of a particular language L are entirely specific to L. Surprisingly, nearly harmless in itself, when coupled with some other dubious or false assumptions about the nature and function of language, it may indeed lead to serious inefficiencies in FLT.

Take what is perhaps the most obvious example of a serious misunderstanding. Although a truism, the idea that linguistic performance presupposes linguistic competence, which clearly applies not only to every speaker of a language but also to any foreign language learner, is often overlooked, apparently (cf. Budai 2006). If, for example, a learner of English as a foreign language does not possess a reasonably elaborate mental grammar of English that enables them to construct meaningful expressions in the language, then, quite simply, there is nothing for that learner to use in verbal communication, in the ordinary sense of the term.

Perhaps less of a truism, though fairly straightforward, a human child is born not only with an innate faculty of language, but its biological endowments also include an innate understanding of logic and universal principles of human communication, among others. If correct, hypotheses about various kinds of innate faculties lead to the obvious conclusion that the knowledge that they represent need not (and cannot) be taught or learned. Crain and Khlentzos (2008) show, for example, that not only are all the elementary principles of what is otherwise known as classical logic innate in the human child, but they are unlearnable. If they were not there as part of the child's biological endowments, they could not be obtained by learning. To take the argument an obvious step forward, if such aspects of knowledge are unlearnable, they must also be unteachable. This follows from the truism that whatever is unlearnable is also unteachable.

Teachers often seem to have an intuitive understanding of elements of learners' innate knowledge of some general principles of language and logic. Principles of anaphoric binding, for example, are never taught in an EFL class or course, but are tacitly assumed as universally known. This is justified, since the binding principles are part of the child's innate universal grammar (UG) and as such apply to the relevant kinds of expressions (pronouns, anaphors, and other

sorts of noun phrases) in any language (cf. Chomsky 1981). Universal principles of language, logic, verbal communication, etc. are part of a learner's prior knowledge, as it is commonly called in constructivist learning theory, which they bring to any particular FL learning task. Regardless of the extent to which FL teachers may or may not be aware of it, every one of them makes some assumptions about their learners' prior knowledge and their ability to make use of that knowledge in learning, both, in fact, essential conditions for any learning as well as teaching. Clearly, the correctness or otherwise of such assumptions has a major effect on the efficiency of any kind of teaching.

Apparently, teachers sometimes assume too much, as in vocabulary teaching, for example, sometimes too little, as in teaching communication in FL. It is often assumed that the little that is generally taught about the form and meaning of lexical items, which is very rarely more than what you find in standard dictionaries, which already presuppose a lot about their users' knowledge and abilities, will suffice for the learner to construct acceptable meaningful expressions out of those items, supplemented by whatever else is required from their prior knowledge. Only too often, however, learners do not succeed, as any FL teacher can testify. A general reaction to such inaccuracies in learners' verbal performance, based on a complex of partly tacit dubious assumptions, is to dismiss them as insignificant deviations from an assumed standard, successful communication in FL being the primary concern.

It is often not assumed, in contrast, that learners have some prior understanding of general principles of verbal communication, like some fairly general strategies of making indirect directives or requests, for example. Such false assumptions may lead to a waste of some valuable teaching/learning time, or worse still, to confusion and loss of self-esteem in the learner.

Assume, for instance, that a Hungarian child grows up in a family where most requests and other directives are made indirectly, most typically "disguised" as questions, sometimes as statements. She may easily be fluent in making indirect requests by age three. Assume, further, that she goes to school around age six and begins to study English as a foreign language. Let us also assume that her English teacher is a standard representative of the profession, laying a heavy emphasis on polite interrogative forms of making a request, as something specifically English. So this gets taught at some stage, regularly repeated and practiced, preferably in (pseudo-)communicative situational exercises, as dictated by the communicative principle. It is easy to predict that this child may feel a little confused, perhaps bored. ("This is being taught to me. So it is probably something important I should learn. This is something I know already, since that is how I always make a request in my own language. But why would my teacher teach me something she knows I know already? So probably there IS something about it I don't know. I have no idea what that is. [Time goes by.] I still have no idea what that which I don't know could be. Maybe I'm not

that smart, after all?") When, of course, she is. She knows everything about it. That is what she has done all her young life every time she wanted somebody else to do something for her, i.e., made indirect requests. The only bit she could not have figured from her prior knowledge is what to do with the auxiliary and the subject in English, a matter of grammar, not of language use.

To judge from the performance of intermediate or advanced learners, such as college students of English, the pendulum of language pedagogic assumptions keeps swinging this way and that. Sometimes even the most obvious conclusions and truisms similar to and including the ones briefly discussed above do not appear to receive the amount of attention and respect they merit. The expected and attested result is poor performance, as documented in Budai 2006, for example, which discusses some similar problems and possible causes. I will not pursue issues of language use any further here but focus on some fundamental questions of knowledge and learning in general, their implications for questions of knowledge and acquisition of language, and their relevance for linguistics and language pedagogy.

As noted at the beginning, some understanding of what language is is central to language pedagogy. As has also been noted above, we do not have a coherent notion of language as such, divorced from its knowledge. What is informally called language is a form of knowledge, a state of a person's mental subsystem that accounts for their ability to construct and understand what we call linguistic expressions, ultimately pairs of meaning and sound. The focus of linguistic research is on how (representations of) meaning and sound are paired with each other in human minds. Thus, the topic of inquiry into the nature of language is not patterns in the verbal behavior of speakers or in the utterances they produce, as was the case in the structuralist-behaviorist era until about 60 years ago, but the apparently unique and domain-specific form of knowledge that enables speakers to form and use meaningful linguistic expressions.

A serious question that this raises is how linguistic knowledge is acquired, which naturally involves some fundamental questions about the nature of human knowledge in general and about how it is attained. The former is conventionally known as the problem of language acquisition (LA) and the latter is briefly called epistemology. Clearly, a satisfactory account of the former must be consistent with a (satisfactory) theory of the latter.

If specific questions about knowledge and acquisition of language and general questions of epistemology are pursued independently, as has in part apparently been the case over the past few decades in linguistics and philosophy (if that is the right word), then it will be particularly interesting to see whether an understanding of LA from a biolinguistic perspective is or is not consistent with constructivist epistemology, so far the most adequate and coherent account of human knowledge and learning. If a biolinguistic account of LA is consistent with a constructivist account of human knowledge and learning, it offers serious

justification for the adequacy of both. Otherwise, the adequacy of either is in doubt.

In general, in a pairing of some theory of LA and an epistemological theory, their adequacy or otherwise may be mutually tested by their consistency (or inconsistency) with each other. If one seems adequate as far as we know and is inconsistent with the other, the inadequacy of the latter follows. To take the example of a biolinguistic account of LA in contemporary linguistic theory, which seems adequate as far as we know, its inconsistency with empiricism may be taken as evidence for the inadequacy of the latter, and by the same token, its consistency with a constructivist understanding of human knowledge and learning may be regarded as mutually justifying the adequacy of both. It is worth noting at this juncture that the adequacy of any theory in general is ultimately tested by its consistency or otherwise with some set of assumptions.

The process of language acquisition continues to be one of the most important, and one of the most difficult, problems of linguistic theory. A theory of language meets what is known as the condition of explanatory adequacy if it offers a satisfactory account of LA. The now standard assumption in the biolinguistic approach to language is that LA is made possible by a more or less domain-specific innate form of knowledge, sometimes called the faculty of language FL (cf. Chomsky 2007, for example). It continues to be universally assumed in this approach that a human child's innate mental predisposition must, at least in part, be specific to language. This innate form of knowledge is commonly called universal grammar (UG), which contains general principles of natural language not derivable from any other language-independent faculty. The assumption that a newborn is innately endowed with UG is supported, almost dictated, in addition, by the observation that variation across languages appears to be restricted between rather narrow limits, a fact that calls for some explanation. UG accounts for that.

In a very brief summary of a theory of LA, it is a mental process whereby a child genetically endowed with the prerequisite knowledge containing UG constructs the grammar of a particular language, provided that some external conditions in the form of some linguistic stimuli that trigger the process obtain. To focus on the central idea now, setting aside all other detail, the grammar of a particular language is not learned from others, nor is it experienced in any sense of the term. The rules of a language are constructed by the child, on the basis and with the use of what may be called his prior (innate) knowledge. In other words, none of the child's knowledge of language comes from without; it all grows within the child's mind (cf. Chomsky 1993, 1995, 2000, 2005, 2007).

The innateness hypothesis in a biolinguistic account of LA could not be more consistent with a constructivist theory of knowledge and learning, where the central assumption is that no knowledge ever comes from conditions external to the mind, but instead, all human knowledge is constructed in and by the mind,

which possesses the innate biological prerequisites, such as FL in the case of language. (For more discussion of the pedagogically and linguistically relevant aspects of constructivist epistemology, see Nahalka 1997a, b, c, and Czeglédi 2008, respectively.)

If correct, the constructivist assumption that all new knowledge is constructed on the basis of some prior knowledge, including some innate genetic endowments, is crucial for language pedagogy (and for pedagogy in general). Notice that the assumption that (new) knowledge is constructed by (old or prior) knowledge implies that whatever knowledge the mind contains already, it will of necessity determine any subsequent knowledge construction. Put simply, old or prior knowledge is not only the prerequisite for knowledge construction, but completely accounts for the shape of any new knowledge that it constructs. It is significant that this is maximally consistent with the prediction UG makes about the highly limited variation in the structure of (the mental grammars of) languages.

Somewhat surprisingly perhaps, though it seems very natural in hindsight, one of the clearest expressions of the idea is in Barnlund's (s.a. [2003]) transactional theory of human communication, where he explicitly postulates that the evolution of meaning, as he calls the process of communication, is irreversible. Put more informally, it means that the construction of meaning or knowledge can only go forward, the knowledge already constructed determining at every stage the shape of any and all subsequently constructed knowledge. Its implication for pedagogy is straightforward: learning is irreversible. Whatever you have learned, or are innately endowed with, already is decisive about what you may (or may want to) learn next.

The effects of prior knowledge are complex. On the one hand, it is a condition that makes learning possible at all, but at times, and from certain perspectives, it may also be a hindrance. It is because the knowledge a person has at any stage of knowledge growth does not make learning just about anything possible, a truism that merits more attention than it traditionally receives. The knowledge a person possesses not only facilitates the acquisition of new knowledge, but imposes serious restrictions on the kind of knowledge that is attainable. Again, a particularly conspicuous example of this is the limited variation in attainable languages, restricted by innate UG.

If these assumptions are correct, the chief lesson for pedagogy to learn from them is that, regardless of the desirability or otherwise of the effect a learner's prior knowledge has on their learning, it cannot be ignored in any form of teaching. It raises some important questions about what prior knowledge a teacher of a foreign language may or may not assume in their learners' minds and how that may affect their learning. Traditionally, these questions have either been ignored completely, or at best, resolved by some tacit, and often false, assumptions in the intuition of some teachers, such as the baseless belief, for

example, that a person must study the grammar of their own language in order for them to be able to learn the grammar of another.

Although the question of what prior knowledge each learner brings to learning a foreign language is very difficult to answer, an important part of it may be safely assumed. By the time a child goes to school and perhaps begins to learn a foreign language, they will have constructed a mental grammar of their mother tongue, equivalent in all important ways to any adult's knowledge of the language. The role a person's mental grammar of their first language plays in the acquisition of a second may not be completely clear, but the fact that it is there cannot be ignored. Its presence in learners' minds must be assumed and, if understood, it may be exploited in various ways. At least this much is clear.

What seems a much harder question to answer is how much, if any, is left of UG in a person's mind, after its parameters have been set in LA, yielding the mental grammar of L1. Assuming that LA is a process of setting the values of the parameters represented in UG for any particular language, some questions, particularly important for language pedagogy, arise about how, if at all, some principles of UG/FL, the general principles responsible for the growth and maturation of mental grammars in speakers, remain functional after the acquisition of the first language is complete. Although its parameters have been set, with some of their values probably lost forever, it is unlikely that UG is entirely erased when LA is complete. Perhaps the opposite is true. Perhaps the process of setting the parameters in UG for the mental grammar of a particular language contributes to the retention of some of its principles. Although this is entirely speculative, some simple observations of second or foreign language acquisition appear to suggest that learners continue to have access to some general and unlearnable, therefore innate, principles of language throughout much of their lives.

No learner of a foreign language is surprised to see, for example, that the words of any language may be combined with each other into structurally complex expressions. In fact, this is precisely what any learner expects to be the case. What they would find surprising would be to see that "a foreign language," say English, did not have this property. An equally natural expectation of any learner of a foreign language L2 is that the L2 equivalent of "My husband is a bachelor" is just as anomalous as it is in English, violating some general semantic constraints. To mention one more example, it is part of everybody's implicit knowledge that the equivalents of personal pronouns like *he, they*, etc., reflexives like *herself*, and reciprocals like *each other* in English are subject to the same general syntactic and semantic restrictions in any other language where nominal expressions of this kind are part of the Lexicon, such as Hungarian, for instance. The principles of binding, as the restrictions just mentioned are technically known (cf. Chomsky 1981), are part of UG, the innate universal mental grammar of natural language, and apparently remain operative following

the completion of LA. That this is very likely the case, and that it is implicitly understood by Hungarian teachers of English as a foreign language, for instance, is suggested by the fact the binding principles are never explicitly taught to Hungarian learners of English either in class or in print, apparently causing little if any problem to learners in avoiding the structures whose generation is prevented by the same unlearned principles in both languages.

If correct, the assumption predicts that teaching the principles of binding as rules of L2 in teaching English as a foreign language to Hungarian learners, for example, would not only be time wasted, because all there is to be known is known already, but it might even be confusing to learners. The same applies to any other general principles of language or its use. A foreign language teacher may have a tacit understanding of their learners' implicit knowledge of some general principles of language, as is apparently the case with principles of binding, or/and she may develop an explicit awareness of some general principles of language and its use. As was already suggested above, the more a foreign language teacher is aware of universal principles of language and its use, which, importantly, they can confidently assume to be part of their learners' prior knowledge, the more efficient their teaching may be.

Something has always been assumed about learner's prior knowledge and abilities in pedagogy one way or another. One of the principal contributions of constructivism to a theory of learning and teaching is that a tacit understanding of the central role a learner's own knowledge plays in the learning process has been brought to the surface, formulated explicitly as a principle of knowledge construction, the idea that knowledge is irreversibly constructed by knowledge. If this is correct, a natural condition on teaching is easily derived: efficient and successful teaching presupposes an ideally explicit awareness of learners' prior knowledge. Otherwise the efficiency of teaching may suffer in various ways.

For one, learning potentials offered by learners' prior knowledge may remain partly unexploited. What is worse, teaching may redundantly, even harmfully at times, target areas of knowledge already present and fully developed in learners' minds.

As was suggested early on, and as was then derived from some simple principles of learning, teaching goals may and must be formulated with regard to the knowledge learners already have, in part as biological endowment. An explicit awareness of the latter may help avoid a number of misunderstandings, otherwise almost inevitable.

As was implicit throughout this discussion, an important part of the awareness just mentioned is understanding that no teacher may ever be completely aware of the prior knowledge of their learners, or of their own. What any teacher can do, though, is work out the assumptions about their learners' (and their own) prior knowledge, on which the formulation of particular teaching goals must be explicitly based. This will allow a teacher to evaluate those

assumptions and decide whether or not they are reasonable or justifiable. As was repeatedly pointed out above, at least some of the relevant assumptions have already been justified by independent research in linguistics and philosophy, for example. Equally importantly, all major empiricist assumptions conventionally adopted in pedagogy have been shown to be false. If taken seriously and applied consistently, these general conclusions may contribute in important ways to a radical reformulation of the general goals of language pedagogy and to enhancing the efficiency of FLT.

References

Barnlund, Dean C. s. a. [2003]. A kommunikáció tranzakciós modellje. In Horányi Özséb (szerk.), *Kommunikáció I.: A kommunikatív jelenség,* második, bővített és javított kiadás 26–42, General Press.

Budai, László. 2006. Idegennyelv-tudás vagy idegennyelv-sejtés? *Iskolakultúra*, 4:61–73.

Chomsky, Noam. 1981. *Government and Binding: The Pisa Lectures.* The Hague: Mouton de Gruyter.

Chomsky, Noam. 1993. A minimalist program for linguistic theory. In *The view from building 20*, ed. by K. Hale and J. Keyser, 1–52. Cambridge, Mass.: MIT Press.

Chomsky, Noam. 1995. *The minimalist program*. Cambridge, Mass.: MIT Press.

Chomsky, Noam. 2000. *New horizons in the study of language and mind.* Cambridge: Cambridge University Press.

Chomsky, Noam. 2004. *The generative enterprise revisited: Discussions with Riny Huybregts, Henk van Riemsdijk, Naoki Fukui and Mihoko Zushi.* Berlin: Mouton de Gruyter.

Chomsky, Noam. 2005. Three factors in language design. *Linguistic Inquiry* 36:1–22.

Chomsky, Noam. 2007. Of minds and language. *Biolinguistics* 1:9–27.

Crain, Stephen, and Drew Khlentzos. 2008. Is logic innate? *Biolinguistics* 2:24–56.

Czeglédi, Csaba. 2008. Constructive Linguistics. In *When Grammar Minds Language and Literature: Festschrift for Prof. Béla Korponay on the Occasion of his 80th Birthday*, ed. by József Andor, Béla Hollósy, Tibor Lackó, and Péter Pelyvás, 137–145. Debrecen: Institute of English and American Studies, University of Debrecen.

Falus, Iván (ed.). 2005. *Didaktika: Elméleti alapok a tanítás tanulásához.* Budapest: Nemzeti Tankönyvkiadó.

Krashen, Stephen. 1981. *Second Language Acquisition and Second Language Learning.* New York: Prentice-Hall.

Ludányi, Ágnes. 2001. A megváltozott tanárszerepek és korszerű értelmezésük a pedagógusképzésben. Doctoral dissertation, Budapest: ELTE.

Nahalka, István. 2005. A tanulás. In Falus 2005, 103–136.
Nahalka, István. 1997a. Konstruktív pedagógia – egy új paradigma a láthatáron I. *Iskolakultúra*, no. 2:21–33.
Nahalka, István. 1997b. Konstruktív pedagógia – egy új paradigma a láthatáron II. *Iskolakultúra*, no. 3:22–40.
Nahalka, István. 1997c. Konstruktív pedagógia – egy új paradigma a láthatáron III. *Iskolakultúra*, no. 4:3–20.

Language Policy in the European Union

Adrienn Károly

1 Introduction

> "The harmonious co-existence of many languages in Europe is a powerful symbol of the European Union's aspiration to be united in diversity, one of the cornerstones of the European project. Languages define personal identities, but are also part of a shared in-heritance. They can serve as a bridge to other people and open access to other countries and cultures, promoting mutual under-standing. A successful multilingualism policy can strengthen life chances of citizens: it may increase their employability, facilitate access to services and rights and contribute to solidarity through enhanced intercultural dialogue and social cohesion. Approached in this spirit, linguistic diversity can become a precious asset, increasingly so in today's globalised world."

These sentences introduce the communication from the Commission *Multilingualism: an Asset for Europe and a Shared Commitment* (2008: 3), revealing the official position of the European Union in the extremely complex European linguistic issue. 'Unity in diversity' was adopted as the official motto of the European Union in 2000, reflecting one of the main aims of this unique organisation: to preserve the cultural differences that exist between the member states. The original idea of establishing the European Communities (the European Coal and Steel Community, the European Economic Community, and the European Atomic Energy Community) after the Second World War was mainly economic, with a more and more pronounced political aspect. After the accession of new member states and with the emerging global context of multiculturalism, the European Union has become culturally more diverse. Not only the enlargement process but the laws concerning the four fundamental freedoms of the European Union (the free movement of goods, persons, services and capital) have contributed to the multicultural and multilingual character of the European Union. Currently the European Union has 23 official languages, but more than 60 indigenous regional or minority languages are spoken throughout the continent. The situation of languages has changed a lot over the centuries due to the continuous movement of peoples on the continent, often

resulting in the appearance of new languages and the disappearance of others. In the 21st century, immigration is a new phenomenon which contributes to the complexity of the European language mosaic. Brussels, Paris, London and Berlin are just a few examples of multicultural and multilingual European cities where hundreds of languages are spoken today. As a result, intercultural dialogue is becoming increasingly important if the European Union wants to adhere to its founding principles. It is not a coincidence that 2008 has been designated as the European Year of Intercultural Dialogue (EYID) featuring projects on a European and national level in a wide range of fields, as well as partner programmes involving civil society, and awareness-raising initiatives focusing on the importance of intercultural dialogue. In his speech at the Berlin Conference *"Soul for Europe"* (2006), Ján Figel, Commissioner for Education, Training, Culture and Youth, emphasized that EYID is not only about raising awareness and increasing cultural understanding; it is connected to the political objective of creating a sense of European citizenship. His words carry the underlying meaning that culture, language, identity and ideology are closely intertwined. The European Union has seemed to recognize this by developing a language policy which respects the diversity of languages, promotes multilingualism and protects communities having an endangered language. It is clear that the language situation in Europe is very complex, and since language, culture, identity and ideology are strongly connected, the language policy of the European Union has a crucial impact on both individuals and societies.

The main aim of this paper is to identify the major problems underlying the European Union's language policy. The European Union, this unique geopolitical entity, promotes an ideology through its language policy which explicitly aims at preserving cultural and linguistic diversity, but in practice the situation is different. In order to find the roots of this striking discrepancy between theory and practice, I will analyse the European Union's language policy from several aspects.

2 What is language policy? Overview of the key terms

Firstly, it is important to define the term language policy. Language policy is concerned with a highly complex issue; therefore, language policy as a separate field of study requires an interdisciplinary approach drawing upon the knowledge and tools of several academic disciplines such as applied linguistics, sociolinguistics, sociology, anthropology and political theory. This has resulted in a confusing terminology: there are several different definitions of the same term, and some terms are used with a similar or overlapping definition. Cooper (1989) points out that a lot of progress has been made in the field in the past few decades, but terminological ambiguity is still prevalent. Szépe and Derényi come to the same conclusion, and claim that language policy is not an established

discipline; it is an emerging field, which is trying to define itself, find the scope of its inquiry and establish its methods (1999: 10-11). Therefore, before discussing the language issue of the European Union, it is important to clarify what is meant by language policy. 'Language policy' and 'language planning' are often used interchangeably. Calvet writes that language planning is the practical realization of language policy (Labrie 1999: 20). Similarly, Kaplan and Baldauf (1997) consider language planning the implementation of language policy. According to Labrie, language pluralism means that several languages and language variations are in contact, often resulting in language conflicts. Language policy aims at solving these conflicts and reaching a compromise by exercising direct, explicit and conscious social control, which stems from political decisions reflecting power relations. (1999: 17). Thus, language policy must be examined in a very broad context. Labrie argues that language policy (just like other disciplines) involves both theory and practice. He distinguishes between three theoretical levels of language policy. The most specific is called 'language policy', which refers to concrete, specific measures. A good example is the very first Council regulation from 1958, which determined the languages to be used in the European Economic Community. In his view 'language politics' is a more general term which includes all the steps taken by a particular state or organization in relation to languages. According to Labrie, this is what language policy as a discipline investigates. He notes, however, that language policy cannot be separated from the broad social context. Behind language policy there is an implicit language ideology framework, which is related to broad political and social ideologies. French language policy writers often use the term 'glottopolitique' ('glottopolitics'), which means that language policy must take into account the broader social and political factors such as the distribution of communicative roles in society. Similarly, in German usage, there are two terms: 'politische Sprach-wissenschaft' (political linguistics), investigating the relationship between language issues and social groups, which is expressed in 'Sprachpolitik' (language policy), an ideological component of society (Labrie 1999: 21). Labrie concludes that official language policy decisions should be analyzed in a larger political framework, which presupposes political ideologies. The models used in political science can contribute to a more comprehensive analysis of language policy, in particular if we want to evaluate the language policy of complex political organizations such as the European Union.

3 Socialization, language and identity

According to Bochmann (1999) language has a key role in establishing individuals' identity and determining their roles in society. The socialization process happens through language, so language is inevitably connected to

political interests and power relations. States and other organizations implicitly use language to communicate certain ideologies. Bochmann's theory of language policy is based on the ideas of the Italian Marxist philosopher Gramsci, who introduced the concept of cultural hegemony as a means of maintaining the power of the state in capitalist societies. It is a basic postulate of Marxism that the dominant institutions in society work to legitimize the current order and enable the group in power to control people by spreading ideas about what is considered to be natural. They orientate individuals' thinking, their cognitive interpretation of the social world and their roles in society. Gramsci (1970) makes a distinction between political society and civil society. The aim of the first is to maintain the economic, political and cultural power of the state through state institutions such as the government, the parliament, the academy, the police, the army, or language institutes by using coercive and direct dominance. The other sphere is the civil society, including non-state institutions and units such as the family, the education system, the church, trade unions, economic, cultural and professional organizations, or the media, which spread ideology implicitly by means of consent. These are what Althusser, (whose theory of ideology was influenced by Gramsci's ideas) calls ideological state apparatuses. Althusser claims that our identity is acquired by seeing ourselves mirrored in ideology. Ideology exists materially in the practices of various ideological state apparatuses. It is clear that language has a key role in the socialization process; therefore, we can assume that the language policy of the European Union has a strong impact on European citizens' identity.

In the Copehagen Summit of 1973, the heads of state and government realised the necessity to build a European identity. They realized that the success of political integration depended on the creation of a coherent community identity, which would serve as the basis for the decisions shaping their common future. According to Láncos, "the perception of common goals is closely linked with *solidarity*, the inevitable concomitant of collective identity" (2006: 18). The adoption of European symbols in the 1980s (the flag, the anthem, the motto and Europe Day) was a sign of the commitment to create a stronger European identity. The Maastricht Treaty introduced the concept of Union citizenship in 1992, which provided certain rights to all EU citizens, indicating a further step towards a common European identity. The question of European identity is more and more identified with the dominant position of the English language. It is not by coincidence that some European countries think that the development of European identity is an implicit threat to their national identity and try to protect their national interests partly through their language policy.

4 Dimensions in language policy evaluation

Slightly modifying Kroon's language policy cube, Ahn (2007) presents an effectttive tool which can provide a useful framework in the evaluation of the language policy of the European Union as well. Her model is a cube with three axes, which can be seen in figure 1:

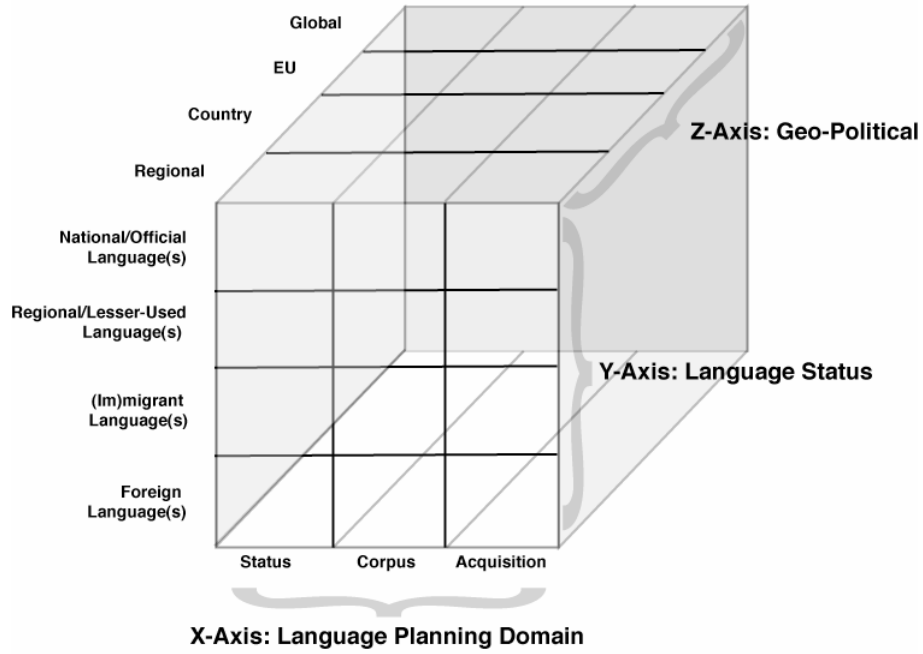

Figure 1. Language policy cube including the EU (Ahn 2007: 5)

X-Axis includes the three language planning domains: status planning, corpus planning and acquisition planning. These terms also appear in the language planning model of Cooper (1989). Status planning refers to planning the prestige of a language in relation to other languages, for example by making a language official. Corpus planning means planning the 'body' of the language itself by codifying it or elaborating its vocabulary or grammar. Finally, acquisition planning is related to promoting the language and increasing the number of its speakers. Y-Axis refers to the status that a particular language has in a given society. In the European context there are four main categories established on the basis of the political recognition of languages: national / official languages, which are legitimated by the state, minority languages – which can be divided into old and new minority languages. 'Old minority languages' refer to regional and lesser-used languages, while 'new minority languages' are the languages spoken by immigrants. The last category on the Y-Axis is foreign languages,

which are not normally spoken in a given community. Finally, Z-Axis reflects the geopolitical level at which the language policy is formulated. These levels can be regional, country, EU and international (Ahn 2007: 6-11).

5 Language policy in the European Union

Van Els (2006) makes a distinction between 'institutional' and 'non-institutional' language policy in the European Union. The former refers to the language policy which determines the use of languages in and between the EU institutions, the use of language(s) outside the EU, and the language(s) used in the communication between the EU and the member states (and their citizens). In contrast, 'non-institutional language policy' refers to the language(s) used in individual member states between the citizens.

5.1 Institutional language policy of the European Union

The fundamental principle of the institutional language policy of the European Union is multilingualism. From 1 January 2007 the official languages of the European Union are: Bulgarian, Czech, Danish, Dutch, English, Estonian, Finnish, French, German, Greek, Hungarian, Irish, Italian, Latvian, Lithuanian, Maltese, Polish, Portuguese, Romanian, Slovak, Slovene, Spanish and Swedish. Although there are 27 member states, the number of official languages is 23 because some languages are spoken in more than one member state. Besides, Luxembourgish (an official language in Luxembourg) and Turkish (an official language in Cyprus) have not been accorded the status of official languages of the European Union although Luxembourg and Cyprus are member states. When a state joins the EU, its national government has to determine which language or languages it wants to be declared official language(s) of the EU. One might ask why it is necessary to have so many official languages instead of using only a few like most international organizations such as the United Nations (Arabic, Chinese, English, French, Russian and Spanish), NATO (English and French), OECD (English and French), World Trade Organization (English, French and Spanish), or the Council of Europe (English and French). The answer lies in the very nature of the European Union. It is an organization operating through a supranational and intergovernmental system. Supra-nationalism is a deeper level of integration, meaning that the member states retain their national sovereignty, but in certain areas they transfer specific powers to common institutions (the Parliament, the Commission and the Court of Justice), which are elected democratically and represent the interest of the community as a whole. The first pillar of the union (involving economic, social and environmental policies) represents this level. In the second pillar (Common Foreign and Security Policy) and the third pillar (Police and Judicial Co-operation in Criminal Matters) intergovernmental principles are stronger, so the powers of common institutions

are much weaker. The primary function of these common institutions (including the Council of the European Union, which is composed of the national ministers depending on the issue being discussed) is legislation. There are different types of laws made at a European level, but regulations, directives and decisions are binding in some way. A regulation is binding in its entirety on all the citizens and directly applicable in all the member states. That is, it becomes national law in all the member states and applies to all the citizens. In a democratic organization, each citizen must be granted access to legislation in their own language, which guarantees equality before the law. "Ignorance of the law is no defence, so the law cannot be imposed in an incomprehensible foreign language" (Wagner 2002: 3). Therefore, EU legislation must be translated into all the official languages, making translation indispensable in the working of the European Union. As Umberto Eco said, "translation is the language of Europe." When the Treaties of Rome came into force on 1 January 1958, the first regulation that the Council adopted concerned the official and working languages to be used. This regulation is often referred to as the language charter of the EU. Originally there were four official languages: Dutch, French, German and Italian, but the regulation is amended with each enlargement to incorporate the new official languages. In addition to legislation, in today's European Union, all official documents must be translated into all 23 official languages. On the other hand, a legal act is the result of a long process of negotiation based on the co-operation of EU institutions, national governments, committees, and representatives of the private sector and the civil society. In order to make the work of the European Union more democratic and transparent, every citizen is entitled to contribute to the discussions and address the official EU institutions in any of the official languages, and they have the right to receive a reply in the same language. This principle was enshrined in Article 21 of the EC Treaty (1958). In the Final Provisions of the same Treaty, it is written that all four texts of the treaty are equally authentic. With the amendments following each enlargement, this principle provides equal status to the official languages of the European Union. As a consequence, in the above mentioned Regulation No 1, Article 4 declares that regulations and official documents must be drafted in all the official languages. The verb 'translate' was deliberately avoided: if these texts were translated, they would lose their authenticity, their originality; consequently, the text of laws and official documents are never said to be translated. Instead, they are said to be drafted in all the official languages although this is rather a symbolic statement. In reality, language use is much different in the everyday work of the European Union. Although all 23 official languages are working languages, not all of them are used in everyday communication. Based on information from the EU's official website, the working languages in the main institutions of the EU are the following:

Council of the European Union	all 23 languages
European Parliament	all 23 languages
European Commission	English, French, German
European Court of Justice	French
Court of Auditors	English, French, German
Committee of the Regions	all 23 languages
Economic and Social Committee	all 23 languages
European Central Bank	English
European Investment Bank	English and French

Table 1. Working languages in the European Union

In the European Commission, the term 'procedural languages' is used, which means that documents must be provided in these languages before the Commission adopts them at a meeting (Wagner: 10). It is clear from the table that in some institutions not all the official languages are used for internal communication, which makes the equality of languages an illusion. Pym draws attention to the imbalances in official language use, and goes as far as comparing the European Union to empires like the Persian, Roman, Austro-Hungarian, British or Soviet empires, which "remained largely multicultural and multilingual despite the imposition of strong lingua francas" (1999: 7). He argues that in spite of the public ideologies, the European Union has one lingua franca: English. Although the main input languages are English, French and German, there is a pragmatic hierarchy even between these languages. Pym points out that "EU plurality only extends to highly privileged languages – the major national languages [...], and even then it does so in a very unequal way" (ibid.: 8). Statistical data seem to confirm that English and French predominate. In *Translating for a Multilingual Community*, a booklet published by the European Commission Directorate-General for Translation (2007), we can find some statistics with regard to source and target languages. In 2006, 72% of the texts which they translated were in English, 14% in French, 2.8% in German, and the rest in other official languages. The figures in 1997 were 45.4%, 40.4%, and 5.4% respectively. As regards target languages, the breakdown is more balanced – as legislation has to be translated into each official language –, but figures show that English, French and German enjoy a higher position even regarding output. Although the original working language used in the institutions of the European Economic Community was French, since the accession of the United Kingdom and Ireland in 1973, English has become the dominant working language. Thus, Pym (1999) argues that the illusory equality should be replaced by a more effective language policy taking reality into account. He points out that the cost of translation and interpretation should be an important factor in the EU's language policy. According to the EU's official website, the cost of

translation and interpretation in 2005 amounted to €1123 million (€2.28 per person per year), which is 1% of the annual budget. 1% does not seem to be very high, but in reality it is a huge amount of money. Pym argues that the money invested in translation and interpretation should not exceed the benefits of cross-cultural co-operation. Therefore, he suggests that learning a lingua franca might be more appropriate than investing money in training more and more translators and interpreters. Kaplan and Baldauf (1997) make a distinction between 'symbolic' and 'substantive' language policy statements, the latter involving specific steps taken in reality. Ahn (2007) points out that the European Union's respect for linguistic diversity in its institutional language policy is rather a symbolic policy statement, which does not carry much weight. In reality, English is the prevalent language despite the laws aimed at preserving linguistic equality. As Wise puts it, "despite its extraordinary respect for linguistic diversity, political tensions associated with language rights are growing even within the EU" (2007: 176).

5.2 Non-institutional language policy of the European Union

Non-institutional language policy of the European Union refers to language use with and between the member states and their citizens. This basically refers to the European Union's language and education programmes promoting foreign language education throughout the Union. Languages have played a key role in the historical construction of Europe's nation-states and in determining national identity. Caviedes points out that the central components of national identity are culture (including symbols), language and religion (2003: 250). Article 149 in the EEC Treaty (1957) declares the following:

> The Community shall contribute to the development of quality education by encouraging cooperation between Member States and, if necessary, by supporting and supplementing their action, while fully respecting the responsibility of the Member States for the content of teaching and the organisation of education systems and their cultural and linguistic diversity.

Although the term was introduced only by the Maastricht Treaty in 1992, in this text there is indirect reference to the principle of subsidiarity. It was established in community law as a reaction to the deepening level of integration between the member states. It can be described as the delegation of competence in decision-making – an essential component of the relationship between the European Union and the member states. Under this principle, the European Union can only take action if the objectives of a specific action cannot be achieved by the member states. According to Frivaldszky (2006), this term reads two ways: on

the one hand, the principle means limiting the competence of the Union by restricting community actions which have a centralising effect. On the other hand, the principle ensures effective operation of the community by delineating areas which fall within the Union's exclusive competence. The member states of the European Union have always been determined to assert their sovereignty over language policy; thus, national language policies fall within the competence of the member states. As Wise formulates it:

> Although ready to accept generalised statements of intent, they [the member states] generally remain reluctant to ratify anything requiring a significant modification of national policies defending the primacy of the official state language(s)" (2007: 178)

It is clear that the European Union cannot interfere with national language policies; it can only co-ordinate foreign language education programmes. In the historical process of building nation-states, a single official language was specified in order to make communication easier within the state. According to Caviedes, the political conflicts brought about by the dominant position of the English language are the natural consequences of the political and geographical structure of the European Union. He argues that if more significance is attached to efficiency than to the values of democracy, identity and equality, it will have political impacts, as status planning is an important dimension of language policy (2003: 252). When analysing the non-institutional language policy of the European Union, it is necessary to look beyond Europe and take into account the wider context of globalisation and its language aspect. Mamadouh argues that the European integration process has not had a major effect on the member states' language policies. However, the position of state languages has been more and more affected by three other phenomena happening at the same time:

> [...]the intensification of worldwide communication with the growing use of international English as second language; the strengthening of regional languages concurrent to the decentralization of administrative tasks and the devolution of political power to linguistically distinct regions (especially in Spain); and international migration flows (including intra-EU migration) (2002: 330).

The fact that English has become the dominant language in Europe is not the consequence of an intentional hegemonic language policy of the United Kingdom. English has become the primary language in the media, science, technology and business due to the economic (and therefore political) power of the United States. Caviedes points out that English is a popular choice because of its pluricentric character, "which gives it a de-ethnicized and culturally-

unbounded quality that allows speakers to use it without automatically identifying with one nation" (2003: 254).

In the European context, the term 'multilingualism' has two meanings. It refers to the specific situation in the European Union that many languages exist at the same time – a much more natural phenomenon in other continents such as Asia, where people are multilingual in most countries. The other meaning is individuals' foreign language knowledge. In 2005 the European Commission adopted the first communication dealing with multilingualism (*New Framework Strategy for Multilingualism*) identifying the priorities in the European Union's multilingualism policy. In 2007 the European Commission created a separate portfolio focusing on multilingualism, the European Commissioner for Multilingualism, currently held by Leonard Orban. This new portfolio focuses mainly on the promotion of foreign language learning as the most effective means of individual mobility and competitiveness and the key to the European values of democracy and intercultural tolerance. One of the objectives is that EU citizens should speak two languages in addition to their mother tongue. In 2005 the Commission carried out a special survey related to multilingualism (*Europeans and Their Languages*). The results of the survey revealed that the language considered most useful for personal development and career reasons is English although there is a difference in the results in EU15 and the new member states (2006: 32):

	10 new member states	**EU15**
English	72%	68%
French	5%	23%
German	48%	17%
Spanish	2%	19%
None	13%	9%
Russian	10%	2%

Table 2. Which two languages, apart from your mother tongue do you think are most useful to know for personal development and career?

The results are even more interesting at a country level, where the significance of English is clear (ibid.: 33):

	English	French	German	Spanish	Russian	Italian	Swedish
EU25	68%	25%	22%	16%	3%	3%	1%
BE	83%	53%	8%	5%	0%	1%	-
CZ	70%	6%	55%	3%	7%	1%	-
DK	94%	8%	55%	10%	0%	1%	2%
DE	81%	28%	5%	12%	5%	3%	0%
EE	76%	2%	14%	1%	48%	0%	1%
EL	74%	21%	30%	4%	0%	6%	0%
ES	73%	33%	11%	5%	0%	1%	-
FR	82%	2%	20%	37%	1%	7%	-
IE	4%	58%	37%	34%	1%	6%	-
IT	80%	24%	13%	15%	1%	1%	-
CY	94%	35%	19%	4%	5%	7%	0%
LV	74%	3%	17%	1%	54%	0%	0%
LT	87%	4%	28%	1%	50%	1%	0%
LU	37%	81%	60%	1%	0%	1%	0%
HU	62%	4%	55%	1%	2%	3%	0%
MT	91%	12%	6%	2%	-	64%	-
NL	94%	19%	47%	16%	-	0%	0%
AT	72%	16%	2%	8%	3%	9%	-
PL	72%	5%	46%	2%	9%	1%	0%
PT	59%	35%	6%	6%	0%	0%	-
SI	78%	4%	61%	2%	1%	12%	0%
SK	72%	5%	61%	2%	6%	2%	-
FI	88%	8%	19%	4%	10%	1%	30%
SE	97%	13%	37%	22%	1%	1%	3%
UK	5%	62%	27%	34%	1%	4%	0%
BG	65%	11%	34%	5%	11%	2%	0%
HR	77%	4%	54%	1%	1%	12%	-
RO	64%	34%	17%	7%	2%	8%	-
TR	83%	10%	40%	1%	2%	1%	0%

= First language = Second language

Table 3. Which two languages, apart from your mother tongue do you think are most useful to know for personal development and career?

Even though the European Union aims at preserving linguistic diversity, the dominance of the English language is apparent. According to Caviedes, "the newest and most illuminating policy trajectory emanating from the Commission is a tacit recognition of the dominant position of English within Europe" (2003: 256). The question is whether English should be officially recognized as the single lingua franca in the Community. Truchot points out that native speakers of English are more competitive on the market, and argues that there are two opposing interests in the European language question: the preservation of cultural identity and the spread of standardised international culture with mainly economic interests (1999: 184-185). De Swaan (2004) argues that the dominant position of English is the natural consequence of having more and more official languages in the European Union. Belgian philosopher and political economist Phillippe van Parijs (2004) points out that having a common lingua franca is a precondition for a working democratic organization, and it guarantees access to democracy. However, the adoption of English as the single lingua franca would be unfair as those whose native language is English already enjoy certain benefits; for example, they have privileged access to certain jobs where English is involved while non-natives have to invest time and money to learn English. Therefore, the question of a common language in Europe is a very delicate issue currently resulting in a deadlock. Some of the questions related to the ideas behind EU language policies in the 2006 Eurobarometer seem to support the complexity of the issue. 84% of the respondents agreed that everyone in the EU should be able to speak one language in addition to their mother tongue, 72% agreed that all languages in the EU should be treated equally, 70% said that everyone in the EU should speak a common language, and 55% thought that EU institutions should adopt one single language to communicate with European citizens (2006: 54).

6 Regional and minority languages

The situation of regional and minority languages in the European Union is another problematic area. According to the special *Eurobarometer* (2006: 6), there are three main categories within regional and minority languages: the first includes languages which are specific to a region (such as Basque, Breton, Catalan, Frisian, Sardinian or Welsh), the second refers to languages which are spoken by a minority group, but which are official in another member state (such as Hungarian spoken in Slovakia), and the third category refers to non-territorial languages (such as Romany or Yiddish). It is interesting that the speakers of some minority languages outnumber the speakers of official EU languages; for example, more people speak Catalan than Danish, Finnish, Estonian, Latvian, Lithuanian or Maltese; similarly, Welsh speakers outnumber the speakers of Maltese. The recognition of Irish as a full official language of the European

Union (from 2007) has led to political tensions and strong demands that Basque, Catalan and Galician should acquire the same status. Although these languages have not been acknowledged as official EU languages, their speakers have special linguistic rights: these languages can be used in written communication in certain EU institutions. The European Union has largely been criticised for not paying enough attention to language rights issues especially concerning speakers of regional and minority (lesser-used) languages. Caviedes argues that by committing itself to multilingualism, the European Union focuses on national languages, thus propagating monolingualism in the member states (2003: 257).

There is a non-EU organization whose mission is to represent the interest of regional and minority languages: the European Bureau for Lesser-Used Languages (EBLUL). It was established in 1982 after a European Parliament initiative, and is an officially recognized non-governmental organization with close connection with the European Union and several other European and international organizations such as OSCE (Organization for Security and Co-operation in Europe), the Council of Europe, the United Nations and UNESCO. It is funded by the European Commission and also by local and regional governmental organizations. Another tool for preserving and promoting regional and minority languages is the Mercator Network established by the European Commission in 1987. The network has three research and documentation centres: Mercator-Education in Friesland, Mercator-Legislation in Catalonia and Mercator-Media in Wales. The main aim is to make information available for students, researchers, scholars and policymakers and foster co-operation.

However, the situation of regional and minority languages is different in the member states, depending to a large extent on the state's official language policy. A clear indicator of a member state's attitudes is whether it has signed or ratified the European Charter for Regional and Minority Languages, adopted in 1992 by the Council of Europe (which is the major protector of human rights in Europe). France is one of the signatory countries which have not ratified the Charter fearing that by recognizing regional and minority languages the French nation state will be undermined, resulting in political disintegration. It is not surprising that France, a republic based on the concept of one nation – one language, declared the Charter unconstitutional in 1996. In contrast, Hungary was the third country to ratify the Charter in 1995. It is clear that the protection the Charter can offer to regional and minority languages depends mainly on the member states' attitudes. That is, the issue of regional and minority languages has not been fully resolved at a European level.

Finally, the groups which seem to be left out of the debate are speakers of historically non-European languages, who are immigrants from third countries. These languages are often referred to as non-indigenous languages. It makes the language situation even more complex that some of these languages are spoken by more people than some of the official EU languages. For example, there are

more than 2.5 million Turkish people living in Germany, and even more Arabic speakers within the European Union, whose interests are not represented by any official organization. It is ironic that by completely neglecting immigrant languages, the European Union betrays the principle of linguistic and cultural diversity and contributes to the marginalization of these languages and cultures in Europe.

7 Conclusion

In conclusion, although there is an increased focus on linguistic diversity in the European Union's institutional language policy, in reality, the European Union has failed to establish an integrated language policy, resulting in a striking hierarchy between European languages. Due to the apparent contradiction between the interests of communication and national identity, several sensitive language policy issues still require a satisfactory resolution at a European level. A comprehensive analysis of the European Union's language policy is only possible in a wide context, taking into account political, economic, social and cultural factors.

References

Ahn, E. 2007. *A Region Divided/United: Language Policy Developments in the European Union*. Conferenc paper prepared for the European Union Studies Association Biennial Conference. Montreal, Canada.

Bochmann, K. 1999. A nyelvpolitika elmélete, módszerei és elemzése. In: Szépe Gy. & Derényi A. (eds.) *Nyelv, hatalom, egyenlőség*. Budapest: Corvina. 25-69.

Cooper, R. 1989. *Language Planning and Social Change*. Cambridge: Cambridge University Press.

De Swaan, A. 2004. *A nyelvek társadalma. A globális nyelvrendszer*. Budapest: Typotex.

European Commission. 2006. *Europeans and their Languages*. Special Eurobarometer.
http://ec.europa.eu/public_opinion/archives/ebs/ebs_243_en.pdf

European Commission. 2007. *Translating for a Multilingual Community*. Luxembourg: Office for Official Publications of the European Communities.

European Commission. 2008. *Multilingualism: an Asset for Europe and a Shared Commitment*. Communication from the Commission to the Council, the European Parliament, the Economic and Social Committee and the Committee of the Regions. Brussels: Commission of the European Communities.
http://ec.europa.eu/education/languages/pdf/com/2008_0566_en.pdf

Frivaldszky, J. 2006. *Subsidiarity and the European Identity*. Publication following the conference titled "The ideological foundations of Europe: Unity in Diversity". Budapest: Pázmány Péter Catholic University. 61-72.

Gramsci, A. 1970. *Filozófiai írások*. Budapest: Kossuth Kiadó.

Hodge, B. Ideology. Semiotics Encyclopedia Online. E. J. Pratt Library, Victoria University, Toronto: University of Toronto. Accessed on: http://www.semioticon.com/seo/I/ideology.html#

Ján Figel'. 2006. *2008: Year of Intercultural Dialogue*. Conference Speech. A "Soul for Europe" Conference. Berlin, Germany. Accessed on: http://ec.europa.eu/commission_barroso/figel/speeches/docs/06_11_17_Soul_for_Europe_Berlin.pdf

Kaplan, R. and Baldauf, R. 1997. *Language Planning from Practice to Theory*. Clevedon, UK: Multilingual Matters.

Labrie, N. 1999. Nyelvpolitika. In: Szépe Gy. & Derényi A. (eds.) *Nyelv, hatalom, egyenlőség*. Budapest: Corvina. 15-24.

Láncos Petra Lea. 2006. *The Ideological Foundations of Europe: "United in Diversity"*. Publication following the conference titled "The ideological foundations of Europe: Unity in Diversity". Budapest: Pázmány Péter Catholic University. 17-25.

Mamadouh, V. 2002. Dealing with Multiculturalism in the European Union: Cultural Theory Rationalities and Language Policies. *Journal of Comparative Policy Analysis*: Research and Practice 4: 327-345.

Pym, A. 1999. The European Union and its Future Languages. Questions for Language Policies and Translation Theories. *Across Languages and Cultures* 1/1. 1-17.

Szépe Gy. and Derényi A. (eds.). 1999. *Nyelv, hatalom, egyenlőség*. Budapest: Corvina

Truchot, C. 1999. Az Európai Közösség nyelvpolitikájának kibontakozása. In: Szépe Gy. & Derényi A. (eds.) *Nyelv, hatalom, egyenlőség*. Budapest: Corvina. 181-196.

Van Els, T. 2006. The European Union, its Institutions and its Languages: Some Language Political Observations. In: Baldauf, R. and R. Kaplan (eds.) *Language Planning and Policy in Europe*. (Vol. 2.) Clevedon: Multilingual Matters. 220-256.

Van Parijs, P. 2004. Cultural Diversity Against Economic Solidarity. In: Van Parijs (ed.) Cultural Diversity versus Economic Solidarity. Proceedings of the Seventh Francqui Colloquium. Brussels: De Boeck. http://www.uclouvain.be/cps/ucl/doc/etes/documents/26.VanParijs.pdf

Wagner, E., S. Bech and J. M. Martinez. 2002. *Translating for the European Union Institutions*. Manchester: St. Jerome Publishing.

Wise, M. 2007. Putting Principles of Linguistic Rights into Practice: Geographical Perspectives on a Contemporary European Problem. *Geoforum* 38. 171-189.

Eger Journal of English Studies ***VIII*** *(2008) 143–151*

Dialogue as Rhetoric of Deliberation in the Public Sphere

Petra Aczél

Rhetoric: code, mode, discourse

1 Definitions

Classic rhetoric derives from the ancient Greek and Roman where it served as the universal science of the public sphere in which right acting and right speaking were considered one and there was no distinction drawn between thought and speech (Plato: Sophist). Although broadly defined as the art of persuasion it has always tended to outgrow its original concern with persuasive public speaking. Its genuine communicative and strategic characteristics, the philosophical concerns, the pragmatic and semiotic approaches, its references to both the public and the personal have made rhetoric an interdisciplinary field of interpersonal, organizational and public discourse.

Kibédi Varga Áron, the Hungarian scholar emphasizes that rhetoric is the mediator between God and men, a device in man's hand to submit the world into a Godly order and through this to come to know God. This knowledge gives man humanity; his/her organic function in the whole. Rhetoric is a code of cognition and knowledge. (Kibédi Varga 1998. 58). Lloyd Bitzer (1968) defines rhetoric as the mode of altering reality by the creation of discourse which changes reality through the mediation of thought and action, while Cheney et al (2004) conclude that rhetoric is "concerned about the way discourse is intertwined with human relations." As a code to render the cognition of the world into an orderly state, a mode of altering reality by discourse and a discourse that is bound with and by human relations rhetoric is a system, a method, and a language that can be applied to situations of human interactions.

2 Rhetoric as consciousness

Philosophically speaking rhetoric is required whenever there is genuine communication. In Johnstone's (2007) view rhetoric is the evocation and maintenance of the consciousness required for communication. Without

remaining conscious communication will become perfect (or absolute) and collapse into non-communication. Non-communication is where there is no intention or opportunity for the refusal of statements, that is it that lacks the space of dialogue. Rhetoric is concerned with the acceptance or refusal to accept statements. To be conscious of something is to always interrupt the unity of the transaction between subject and object. Consciousness confronts the person with something radically other than himself. Consciousness is the relevant distance and distinction between subject and object, between the person and what is communicated. Rhetoric needs to be differentiated from suggestion as suggestion aims at dissolving the interface (the distance) while rhetoric is driving a wedge between a person and data.

Rhetoric, in this philosophical sense is inherently embedded in human existence and interaction. It cannot be considered to be just the art of persuasion but the inevitable technique to obtain the necessary consciousness to relate ourselves to objects (persons, situations or events) and to experience facts and values.

The public sphere is the dimension of the social human activity where this consciousness guarantees the civilised social distance with which people enjoy the company of each other (Sennett), the rational distance from views that enables interactors to argue and the dialogic distance that promotes unity through the individual.

3 Persuasion, rationality and dialogue

Rhetoric is 'the faculty of observing in any given case the available means of persuasion' as Aristotle (1355b) put it. Since each science was expected to have its own extraverbal subject matter Aristotle did not consider rhetoric a science but an art. Debated as a science it was later defined as to be either a faculty or a virtue. Its verbal persuasive function (dicere ad persuadendum accommodate, Cicero) – based on ethos pathos and logos, applying argumentation as a social practice – has widely been accepted and it has long been referred to as agonistic. Persuasion as the symptom of "agon" (the liberation of all strength in world battles, the human condition of public presence and visibility) is most commonly referred to as practice of the coercive and manipulative power. Nevertheless, the rhetoric argumentation providing speech and social act with persuasive strength is based on forms of reasoning and public reasoning exploits logic that has its roots in social cooperation. Thus persuasive rhetoric argumentation in a theoretical sense is of dialogic nature.

3.1 Argumentation and thinking

The same argument which we use in persuading others when we speak in public we also employ when we deliberate in our thoughts (Isocrates: Antidosis). Argumentation addressed to others is the process we employ when mediating in ourselves when mediating about matters. As psychologists explain people asked to think aloud present protocols that are not a sort of monologue, rather in a rhetorical context they attempt to justify and persuade themselves in front of the critical eye

Durkheim (1912/1965) stated ways of individual thinking are formed by the group as the person is constantly dependent upon the knowledge gained formerly by society, he/she obtains it externally through socialization.

Notions categories, abstract rules of thinking are not individual but collective representations, products of the social life.

Durkheim grounded this statement with two arguments:

- Substantial notions of thinking, logical rules and structuration exceed the level of individual activity and assume the cooperation of minds. (the notion of time and space exceed the individual perception and presumes the common context of individual perception. Logical rules provide the inevitable laws of exhanging thoughts, thus become necessary by social demands. They can be opposed to the anarchy of spontaneous representations of the individual.
- Collective representations are sociomorphic and model the structure and system of the social group.

According to the conclusion of Durkheim's approach thinking is of social origin. When Durkheim rates the universal characteristics of creative thinking into the collective sphere, he implicitly alludes to cooperation, objectivity and mutuality

Thinking is dialogic in terms of reasoning and is sociomorphic in terms of social cooperation and socialization. Dialogue as the immanent feature of thinking explicitly represents the social nature of argumentation.

Thinking and argumentation, reasoning and dialogue are bound in the rhetoric context: the monologue of rhetoric speech possesses the content of a dialogue.

3.2 Consensus and rationality

As Habermas describes the ideal speech situation stipulates that there be a reciprocal relationship between all those participating in discourse. Consensus aimed at by the utmost rational communicative action can be reached only by the intersubjectivity and inclusiveness of the situation, with an orientation toward reaching understanding.

Rationality and logical operations used in rhetoric discourse are dependent upon social cooperation and understanding. As child psychology revealed (Piaget, 1945, Brown and Gribetz, 1995) logic is not an innate character of human beings but it develops as the result of mutual relations.

Thinking, at the beginning (age 2-7) is a kind of mental experiment, the translation of possible activities into symbols or images. This is ideographic thinking, the highest form of which is intuitive thinking and accompanies the activities done in the sensorial motoric field

At the age of 7 and 8 the mental activities of intuitive judgments lead to the stabilized equilibrium characterized by reversibility, it is the starting point of logical operations. These are born not separately but from the reorganization of the whole system.

At the stage of real logical operations (after stages of self centeredness and selfishness, subjective perception based intuitive (monological) thinking, actual activity as central organizing principle) (between 7-11, 12) children are able to cooperate. They are capable of thinking not only from their own point of views but from other aspects as well and thus capable of matching different real or possible points of views. The young person is ready to engage in dialogues, in inner dialogue (minding – thinking) and is able to express thoughts in an structured, ordered way.

There is a strong and substantial connection, bound between the development of logical operations and cooperation. The individual creates his/her own logic through cooperation with others not before it. Free cooperation creates that mutuality between perceptual judgments and representations which are essential for rational, objective operations. Modern sociological approach tends to presume that logic is forced on the individual by social relations. But only when these relations dispose of this logic: coercion does not necessarily have this kind of cooperative logic.

Rhetoric that is generally considered agonistic represents the individual intention to win over the other. Formal agonistic oratory in which there are clear winners and losers aims at the deconstruction of the opponent and the dialogic sphere.

Rhetoric exploiting social logic, the possibility of enthymemes (truncated syllogisms, pragmatic logical implicatures when one premise is missing in order to invite the listener to a common thinking and reasoning), the inner infinity of thinking is dialogic and rational in terms of mutuality and cooperation. It is the discourse of communities, it is the discourse of unity.

In Burke's unique 'dramatism' theory persuasion results from identification. This model holds that humans manage social situations through their use of language, through symbolic acts, because their management is the principal means by which they coordinate their social actions. Language no longer being the means for conveying information is regarded here as modes of

action. Burke emphasized the influence of symbols (rather than arguments) essential to evoke shared meaning and foster identification. Symbols as means of identification invite and implicate others in cooperative enterprises. "You can persuade a man only insofar as you can talk his language by speech, gesture and tonality, order, image, attitude, idea, identifying your ways with his" (Burke, 1969: 55). This language is a "voice within" on which effective persuasion depends. Rhetoric through identification promotes social coherence and as such has a socializing role (Burke, 1969; Livesey, 2002).

4 Dialogic rhetoric

Dialogue involves justification of views and rebuttals (Kuhn, 1991, Tindale, 2004), so it is also dependent upon the consciousness that gives distance to consider interaction and to have the freedom to refuse. Nevertheless, in Bakthin's (1981) view dialogue is ruined by agonistic speech and persuasion. Anticipation of the answer and the word's structuring in accordance with the anticipation of the future answer is what characterizes dialogue, not the fighting views and rebuttals.

As Bakhtin (1981: 280) explains the internal dialogism of the word:

> The word in living conversation is directly blatantly oriented toward a future answer-word. It provokes an answer, anticipates it and structures itself in the answers directions. Forming itself in an atmosphere of the already spoken, the word is at the same time determined by which has not yet been said but which is needed and in fact anticipated by the answering word.

Dialogues have the dynamic dialectic structure of not pro-cons but words provoking answers. Aiming at consensus dialogue is a complex form of centripetal (consolidating) and centrifugal (dispersive) meaning functions and interactions.

According to the summary of Gergen et al (2002), referring to recent theoretical approaches dialogue is considered to be the form of communication from which something new emerges, it is concerned with the creation of convergence in views, with conflict reduction, or with a logic of stating and questioning; a form of communication that questions all certainty of knowledge.

Rhetoric is dialogic in terms of persuasion and argumentation. Dialogue is rhetoric because of contrasting different reasons and being of social nature, rooting back to commonly shared knowledge. Dialogue as the process of unconstrained public discourse is inevitable to understand an issue and thus is of political importance.

Dialogic rhetoric as a public practice is exploited in sense-making methodology of public campaigns (Dervin and Frenette, 2001), when campaign audiences are addressed and communicated communicatively. "Being dialogic is not simply a matter of packaging messages to match audience information processing styles or finding ways to transmit messages via trusted, credible or intimate others. It is a matter of acknowledging in the core of the campaign the everyday sense-makings of audiences. All communication is ultimately dialogic." (Dervin and Frenette 2001: 85) Dialogue can also be utilized in creating commonly shared meanings, a sense of belongingness if corporations are in a stage of change and experience it as uncertainty.

5 Community and deliberation

Béla Hamvas (2006), the Hungarian philosopher when contrasting the mass with the community described the former as heterogeneous, material and united in place by accidence that degrades the individual existence and the latter as homogeneous, spiritually united, bound by a supernatural power that exaggerates individual life.

Communities are not cooperative groups of individuals, as human etologists claim Community is a unique level of formation that is the characteristic of humans only. It is of course, based upon mutuality and cooperation but beside these features it is rooted in the sacrifice of the individual dimension (interest, desire, need), with the intent to understand, accept and reflect the other, in the phenomenon of solidarity /solidarity here is not meant as the acceptance of the individualism of the other – egalitarianism – but as an attitude oriented at accepting the unity of autonomous individuals). Therefore communities are not practical but human in a spiritual sense. This sphere of 'belongingness' is also the sphere of the dialogic word and the social logic of rhetoric argumentation.

When we deliberate we imagine different futures and contrast different reasons for avoiding and wishing these futures. Deliberation is a strategic communicative action of political nature. The capacity for reasoned speech and the capacity to make arguments gives human beings their political character (Aristotle: Politics 1253a, Yack 2006). The notion of *politicos* refers to the ethos of the public man, it reflects the intention to think, consider and decide together and the capacity to argue, to resist neutrality and indifference.

Deliberation is the practice of the ideal public man, the operation of the politicos. It is a social practice in which citizens communicate with each other about how they should direct the life of their communities. Strategically speaking it is a process in which problems and solutions are identified and applied by and within the community: an inherent activity of the non-homogeneous but consciously united community.

(Political) deliberation prepares collective decisions by helping individuals to orient towards a common perspective and determine themselves which collective action to support. Deliberation is not collective decision making (or voting) it is the process of preparing decisions by providing arguments.

Arguments are drawn from the merited opinion, from common knowledge, they are formed with the consciousness that recognizes and bridges the distance between individuals and perceived and considered as operations of communities.

Public arguments are addressed to people in general and belong to the public sphere where citizens participate on equal grounds. Arguments here are to be understood not on the basis of expertise but on the accumulated "social knowledge" of citizens (Goodnight, 1982).

Media based publicity in the twentieth and twenty-first centuries, however, has privatized this social knowledge and represented it as the monopoly of experts or as the stock of field specific assumptions.

Interaction is highlighted in new media turns out to be a discursive pattern of multivocality rather than dialogue. Without the social knowledge citizens are deprived of the assertiveness to engage in deliberation. Knowledge that is given and echoed is different from knowledge that is created and debated.

Public communication strategies mostly use the content distribution technique: the readiness of content and the passivity of the receivers characterize the process by which citizens are becoming indifferent and uninterested in matters of their own communities.

Especially in former socialist countries where discourses of memory, the coding of socio-historical events and processes, the narratives of suffering, the motives and notions to define the recent past do not yet exist this common sociocultural knowledge is painfully missing. Public communication and rhetoric is definitely monological and manipulative stimulated by perspectives and intellects of dominant groups.

Without the civil sphere and the endeavor of citizens to gain this common knowledge deliberation can only be referred to as democratic voting.

It is not the audience that initiates rhetoric, it is the rhetoric that initiate audience. Agonistic oratory creates supporters and enemies. Dialogic rhetoric creates communities with recognition of the shared knowledge (narratives, discourses, definitions), the context of creative uncertainty and the possibility of spiritual unity.

6 Brief summary

Rhetoric as public praxis has to be rehabilitated, improved and applied in a dialogic way to situations of deliberation: preparation of common (political) decisions. Rhetoric in its dialogical sense is dependent on a fourth appeal beside ethos, pathos and logos, and that is the spiritual.

Rhetoric offers the consciousness that provides the necessary distance for communication and dialogue. Rhetorical arguments are of a genuinely social nature and are the results of social cooperation.

Dialogue as rhetoric creates a context of solidarity, participation, and responsibility. Rhetoric as dialogue reflects the common knowledge and the sense of togetherness.

Bibliography

Aristotle. 1991. *On rhetoric: A theory of civic discourse*. Trans. George. A. Kennedy. New York: Oxford University Press.

Bakhtin, Mikhail M. 1981. The Dialogic Imagination: Four Essays. Ed. by Holquist, M. Tran. Michael Holquist and Caryl Emerson. Austin: University of Texas.

Bitzer, Lloyd 1968. The Rhetorical Situation. *Philosophy and Rhetoric* 1. 1-14.

Brown, T. & Gribetz, M. 1995. Logical operations and social life. In: L. Smith (ed.), *Jean Piaget's Sociological studies* [Translation of Jean Piaget's Etudes Sociologiques]. London: Routledge.

Burke, Kenneth D. 1969. *A Rhetoric of Motives.* Berkeley: University of California.

Cheney, G., Christensen, L.T., Conrad, Ch., and Lair, D. J. 2004. Corporate Rhetoric as Organizational Discourse. In: Grant, D., Hardy, C., Oswick, C., and Putnam, L. (eds.): *The Sage Handbook of Organizational Discourse*, 79-105. London: Sage Publications.

Dervin, Brenda, and Frenette, Micheline. 2001. Sense-Making methodology: Communicating Communicatively with Campaign Audiences. In: Rice, D.E., and Atkin, Ch. K. (eds.): *Public Communication Campaigns*, 69-88. Thousand Oaks, CA: Sage Publications.

Durkheim, Emile 1912/1965. *Elementary Forms of the Religious Life.* New York: Free Press.

Gergen, K. J., Gergen, M. M., and Barrett, F. J. 2004. Dialogue: Life and Death of the Organization. In: Grant, D., Hardy, C., Oswick, C., and Putnam, L. (eds.): *The Sage Handbook of Organizational Discourse*, 39-61. London: Sage Publications.

Hamvas Béla 2006. *Scientia Sacra II.* Budapest: Medio Kiadó.

Johnstone, Henry W., Jr. 2007. The Philosophical Basis of Rhetoric. In: Hauser, Gerard A. (ed.): *Philosophy and Rhetoric in Dialogue*. University Park, PA: Pennsylvania State University Press.

Kibédi Varga Áron 1998. Retorika és strukturalizmus. In: Kibédi Varga Áron: *Szavak, világok*, 48-60. Pécs: Jelenkor. Quotation translated by Petra Aczél.

Kuhn, Deanna 1991. *The Skills of Argument.* New York: Cambridge University Press.

Livesey, Sharon M. 2002. Global Warming Wars: Rhetorical and Discourse Analytic Approaches to ExxonMobil's Corporate Public Discourse. *Journal of Business Communication* vol. 39. no.1. January 2002, 117-148.

Tindale, Christopher W. 2004. *Rhetorical Argumentation: Principles of Theory and Practice.* Thousand Oaks, CA: Sage Publications.

Yack, Bernard 2006. Rhetoric and Public Reasoning: An Aristotelian Understanding of Political Deliberation. *Political Theory*, vol. 34, no. 4, 417-438.

The Avant-garde, the GPO Film Unit, and British Documentary in the 1930s

John Cunningham

1 Introduction

Although British filmmaking has often been, both literally and metaphorically, on the margins of the European avant-garde, the late 1920s and the1930s, saw a burst of filmmaking which demonstrated a keen engagement with trends more often associated with Continental Europe. Filmmakers such as the New Zealander Len Lye, Brazilian-born Alberto Cavalcanti, refugees from Nazi Germany, as well as home-grown talent such as Humphrey Jennings and Norman McLaren contributed to a small corpus of films which, although not significantly influential on the course of British film, enriched a period in film history primarily noted for the emergence of the documentary movement. However, it seems questionable if a viable, meaningful avant-garde film movement existed in Britain in the 1930s. As Deke Dusinberre (1980) and Michael O'Pray (2003) have both suggested it was more a case of an avant-garde attitude and there were actually very few purely avant-garde films made.[1]

The (limited) successes and problems encountered by avant-garde filmmakers are of interest not just for the films themselves but also for the complex interactions between these highly idiosyncratic artists and the milieu within which they tried to work, one of private sponsorship, company sponsorship and the semi-governmental remit of bodies such as the Empire Marketing Board (EMB) and the main focus of this study – the General Post Office (GPO) Film Unit. The history of the GPO Film Unit and its problematic relationship with the avant-garde is instructive in that it illustrates many of the problems associated with the attempts by avant-garde artists to work within broader institutional structures. Although the particular situation in Britain in the 1930s is unique, the problems encountered by the avant-garde in relation to finding a niche and a voice in a wider milieu are certainly not.

[1] These opinions may need qualification in the light of further research. Christine Gledhill suggests that there are a number of films from the period which tend to be neglected because they occupy a "…space in British filmmaking that is neither formally avant-garde, not alternative in any politically radical sense." (Gledhill 34)

The GPO Film Unit thrived from 1933 to the outbreak of the Second World War when it became the Crown Film Unit and devoted itself to supporting the war effort by making, primarily, morale boosters and instructional films. Although he did not remain long with the GPO, the Film Unit will always be associated with the 'father' of British documentary, the Scot John Grierson who first made his mark at the Empire Marketing Board Film Unit.[2] Grierson's often contradictory role in encouraging but at the same time limiting the scope of the filmmakers he brought under his wing is of central importance, as are the institutional limitations (and possibilities) of the situation within which Grierson and the GPO Film Unit worked. For readers unfamiliar with the GPO, this was the name for the national, government-owned postal service. At a time when Britain still maintained a huge Empire 'on which the sun [supposedly] never set', it was an important national and international institution – with over 230,000 workers it was the largest single employer in 1930s recession-hit Britain (Swann: 1983, 20), a central element in maintaining Empire, its administrative bureaucracy, trade and finance contacts, and other vital functions such as servicing the British armed forces, particularly the Navy. It is important to stress that the GPO was a non-profit organisation, and it was notoriously tight-fisted when providing finance for the film unit [3] and the Treasury, which had the ultimate say in the allocation of funds, was an arm of the British government bureaucracy, often referred to collectively as 'Whitehall'. The Film Unit therefore was not independent, the final authority was Parliament, via the Postmaster General (See Aitken, 193). This was actually quite a rigid structure and although Grierson found any number of ways to circumvent the bureaucracy, there was, nevertheless, a constant tension between the governmental apparatus (usually referred to as the Civil Service) and the filmmakers. [4]

At first glance this may not seem the most fruitful organisational arena for a group of filmmakers to engage with. Yet, this was not the case and although

[2] John Grierson (1898-1972). After a period in the USA he joined the Empire Marketing Board as Assistant Film Officer in 1928 and The EMB Film Unit was formed in 1930. Grierson directed only a few films, notably his documentary about the fishing industry, *Drifters* (1928), most of his time was spent managing the unit, commissioning projects, dealing with government bureaucracy and producing. The EMB Film Unit was incorporated into the GPO in 1933. Grierson left the GPO in June 1937 becoming head of the Film Centre, a production and consultation body. In October 1939 he accepted the offer of Film Commissioner of the newly formed Canadian Film Board. Later he worked for UNESCO and from 1957 for Scottish Television.

[3] Although not overly generous towards the Film Unit the GPO spent more money on publicity than any other government department. In 1934 it spent £97,000, of this £11,000 went to the Film Unit and for film distribution.

[4] The governing party was Conservative, many of whom were vociferous opponents of public money being wasted on the 'Bolsheviks' of the GPO Film Unit

Grierson and his successors often had to fight their corner there were factors that worked in their favour. The GPO was regarded as a prestige or flagship organisation, carrying with it a sense of national pride, efficiency and notions of national unity and identity (probably in much the same way as state airlines were viewed in the early days of mass air travel). The GPO may also have benefited from the fact that it was not a commercial enterprise with the onerous capitalistic overtones that this might have had for some of the more radically inclined filmmaker and artists (although it has to be noted that few artists or filmmakers in this period refused commissions from whatever quarter they emerged). The filmmakers also benefited from the vagaries of the British class system. While Whitehall (and the GPO) were no doubt full to the brim with stiff-necked ex-public schoolboys, there were also enough examples of those often quirky products of the system to ensure that the 'film boys' were given enough elbow room in which to work. The main 'fixer' was Stephen Tallents who was instrumental in bringing Grierson to the EMB and, when the EMB closed down, took the film unit with him to the GPO where Tallents became the Head of Public Relations. He was a keen follower of film and an avowed admirer of Alexander Dovchenko and other Soviet directors. (Tallents, 19) A moderniser, Tallents was representative of a certain 'liberal conservatism' which could be found among sections of the British middle and upper class (the British filmmaker Michael Powell is another example). Despite the occasional noises to the contrary this was also Grierson's position. Thus, Tallents' desire "…to bring alive, to the eyes of the public and its own staff, an immense organisation" (quoted in Ellis, 75) coincided quite neatly with Grierson's essentially quite moderate views on education, the widespread dissemination of information, and the role of documentary in forging a modern democracy.

2 Finding a home – the possibilities and the problems

Although government filmmaking did not start with Grierson and the EMB, the British government had sponsored filmmaking during the First World War, if not before (see Winston, 35-6), the 1930s saw a boom in both commercial and government-sponsored filmmaking and film became a 'buzz word'. The GPO, commercial organisations such as Shell, the Imperial Tobacco Company, and governmental (or semi-governmental) departments such as the Milk Marketing Board all turned to film to promote their organisations and their products. This trend was by no means confined to Britain, in Holland, Phillips Radio hired Joris Ivens and the Hungarian George Pal (previously György Pál), in the USA the Roosevelt administration turned to Pare Lorentz for its New Deal films, while in Germany, Hans Richter delighted cinema audiences with his army of marching cigarettes in the famous Muratti advertisements. On a certain level therefore conditions looked promising for aspiring filmmakers and artists even if they had

somewhat unconventional ideas. A number were attracted to the GPO Film Unit. Clearly the desire to reach a mass or larger audience than those in film societies and film clubs created an impulse that avant-garde artists found hard to resist despite the 'Faustian' overtones inherent in such ventures and is a story repeated many times in other parts of the world. [5]

The signs, however, looked good. The opening up of both government and commercial sponsorship, also coincided, roughly, with the establishment of a critical climate in Britain, however marginal to mainstream filmmaking, which helped create an atmosphere in which film was discussed seriously and became part of a generalised cultural agenda. The establishment of the Film Society in 1925 created a community of cinephiles, at least in London (other cities followed suit) and two years later the journal *Close-Up*, which took a keen interest in the avant-garde, gave film enthusiasts news, information, and a platform to debate, discuss and express their views.[6] *Close-Up* was joined by other publications such as the enthusiastically avant-gardist *Film Art* which appeared somewhat erratically from 1933 to 1937. 1932 saw the first issue of *Sight and Sound*, still going strong today and in the following year the British Film Institute was established. In a relatively short time there was a major ground shift. As Jen Samson comments towards the end of her short essay on the Film Society,

> In 1925 there were no film institutes, film archives or film festivals. Serious newspaper criticism of film did not exist; nor did specialised cinemas for minority audiences, film libraries, or educational attention to film. By 1939 all these things had been established. Moreover, there was now a national network of film societies and workers' film societies, which meant that to a large extent the work of the Film Society was being successfully continued by many different groups in various parts of the country. (Samson, in Barr [ed.], 313)

The Film Society was committed to presenting a wide range of films which were otherwise difficult to access (as a society with membership requirements it also avoided many of the problems of censorship), thus, most famously, it was the Society which premiered Eisenstein's *Battleship Potemkin* (1925) in Britain,

[5] To what extent the avant-gardists in the GPO Film Unit and the Unit itself ever reached a mass audience is a matter of continuing debate and research. Commercial distribution was frequently limited although there were the odd successes, Len Lye's *Colour Box*, for example, was shown in Granada cinemas to much acclaim. The Film Unit frequently distributed its films through non-commercial channels, such as schools, colleges, universities, film clubs, workers' organisations and travelling exhibition facilities were also used. As records are scattered and often incomplete this has made the task of assessing this aspect of the Unit's work very difficult.

[6] A number of the Film Unit personnel, including Grierson, were involved with the Film Society.

significantly paired with Grierson's early documentary about the fishing industry, *Drifters* (1928). The avant-garde films were exhibited alongside Hollywood silent classics and Soviet, German, French, and Japanese films. Cavalcanti's *Rien que les heures* (1926) was shown as were films by Viking Eggeling, Walter Ruttman, and Man Ray and other doyens of the European avant-garde. (Samson, 308) Len Lye's first film, the animation *Tusalava*, was premiered at the Film Society in 1929 to much acclaim[7]. By the early/mid 1930s there was therefore the potential for the avant-garde to establish a bridgehead, however tiny, within a growing British film culture. This potential was bolstered by the arrival in Britain of refugees, such as Laszló Moholy-Nagy, fleeing from the rising threat of Fascism in Europe. There were also visits by artists such as Carl Theodor Dreyer,[8] and most famously, Sergei Eisenstein in 1929. Before considering some of the reasons why this potential, ultimately, wasn't realised it is necessary to look at a number of other developments in Britain.

3 The 'infertile bed'

Although artistic and cultural life in Britain in the 1930s lagged behind that of France and Germany, there was nothing for example, that compared with the Bauhaus in Britain, there were a small group of artists who constituted a British avant-garde, mainly painters but also some poets, writers, sculptors and others. Probably the most public manifestation of this loose grouping was their efforts to stage the famous 1936 International Surrealist Exhibition in London. On the organising committee along with such notables as sculptor Henry Moore, the Surrealist painter Roland Penrose, Herbert Read and Paul Nash was GPO Film Unit director Humphrey Jennings. The exhibition was opened on the 11th June by Andre Breton and was a huge success, daily drawing over 1000 visitors for the 23 days it was open. With over 400 hundreds items on display, including works by Jennings and Lye (not to mention items by the 'galacticos' of European Surrealism; Klee, Duchamp, Picasso, Dali and others) "The exhibition had planted the seeds of the British Surrealist movement, although the nature of the British people proved a harsh and infertile bed for their germination" (Penrose, 74).

In the following year another event occurred that had a bearing on British filmmaking. Humphrey Jennings, along with Charles Madge and Tom Harrison,

---

[7] Tusalava was an animated mix of traditional Maori and Aboriginal drawings applied with a modernist overlay. The title is Samoan and means 'Just the same'. Apparently the British Board of Film Censors (BBFC) were worried that it was about sex (!) and contemplated banning the film. The 1929 screening was private and it was to be almost six years before Lye received his first public screening, with *Colour Box* (1935).

[8] According to Stephen Tallents, Dreyer contributed to the script for the 1938 GPO Film Unit documentary *North Sea*, directed by Harry Watt (Tallents 65).

issued a statement in the centre-left *New Statesman* which called for the formation of the organisation known as Mass Observation "…that ambitious investigation into British life and culture that took place between 1936 and 1947" (Eaton, 80). Observers went out 'into the field' as it were like anthropologists, to observe everyday life, then reported back to a central point and the data was collected. The huge statistical reports were then collated and made publicly available. The point of this complex exercise, at one time approximately 1,500 observers were out on the streets, was never clear. It was supposed to aid in some kind of political or cultural transformation but by whom, how, when, why was always vague and as Mick Eaton wittily points out "If this is market research it is closer to James Joyce than J. Walter Thompson…" (Eaton, 81).

It is however indicative of a particular trend that can be observed in British cultural and political life in the 1920s and 1930s – the desire to go 'out' into those regions of Britain, primarily the industrial North, Scotland, and the South Wales valleys, which had previously been ignored and report back or expose the conditions under which people lived. Of course, the most famous example is George Orwell's *The Road to Wigan Pier*, published by the Left Book Club in 1937, but also to be counted is J. B. Priestley's *English Journey* (1933) Of similar ilk can be included the work of photographers such as Bill Brandt (e.g. his collection *The English at Home*, 1936) and Humphrey Spender and various fictional or semi-fictional accounts of, for example, the experiences of unemployment as in Walter Brierley's *Means Test Man* (1935), or life in South Wales in the Depression (the poetry of Idris Davies), indeed there is a huge body of this literature too numerous to mention in any detail.

The point is that ordinary life, particularly the lives of the working class, became of interest and concern in the 1930s. There was a desire, primarily among the more liberal/leftist middle class to 'go out' and discover this other Britain and if this sounds like some kind of anthropological excursion into the 'heart of darkness' then, for some, this was precisely what it was. Even sympathetic observers, like Orwell and Jennings sometimes lapsed into the language of Victorian explorers in Africa to describe the 'natives' (i.e. the working class) of Wigan, Sheffield and Newcastle who they encountered on their travels. The GPO Film Unit embarked on a similar quest. For Grierson, heavily influenced by his immersion in philosophical idealism (represented by F. H. Bradley, A. D. Lindsay, Mathew Arnold and others) while at Glasgow University the documentary project, venturing out into the 'wilds' of the industrial North and elsewhere, was part of a wider belief system whose ultimate aim was to bring society together and promote social cohesion. Grierson, following Bradley, believed in organic unity, springing primarily from state structures and, influenced by Lindsay, he coupled this with a profound belief in gradualist reform. It is a complex fusion of ideas which Ian Aitken explains,

> These ideas amounted to a corporatist conception of the society, in which individual and social phenomena were perceived as being integrated, at different levels, within the social totality. As a consequence of this belief, Grierson argued that ideologies which promoted integration were 'good propaganda', whilst those promoted division were 'propaganda of the devil.' He believed that social conflict occurred because individuals and institutions were unaware of underlying social inter-dependency, and because they were deceived by a superficial perception of conflict and division. He rejected the idea that there were fundamental and irreducible divisions in society, and believed that it was an ignorance of the underlying 'continuing reality' of evolving inter-dependence which led to such perceptions. (Aitken, 189)

What follows from this set of beliefs is that the primary role of documentary film is to explain the world to people, to provide information in order to promote social integration and deflate and ultimately eliminate conflict. This partly accounts for the phenomena (so often pointed out by left-wing critics) that the documentaries actually say nothing about the causes of, for example, accidents and fatalities in the mining industry (*Coal face*) or the causes of slum housing (*Housing Problems*, 1936).[9] It also helps to account for Grierson's antipathy towards the 'aesthetic', while he was not adverse to the odd piece of experimentation with sound or colour, ultimately nothing had to stand in the way of getting over the information, of showing the connections of the social totality. This is possibly why none of the more overtly avant-gardist films deal with major issues – the only exception being *Coal Face* (although this film is probably more accurately described as an experimental documentary). Lye's *Colour Box* for example (where he uses the technique of painting directly onto the film strip) is a gorgeous, indulgent collage of music, colour, shapes and movement which, right at the end, informs the viewer that there is a new cheaper rate for parcels! *Rainbow Dance* concerns the Post Office Savings Bank,[10] while in *Trade Tattoo*, his most ambitious work for the GPO, he employs a complex layering of vibrant colour, animated words and stencilled patterns all

[9] *Housing problems*, directed by Edgar Anstey and Arthur Elton, was sponsored by the British Commercial Gas Association and was not a GPO project (although Grierson acted as producer). It is considered by some historians to be a major step forward in documentary techniques due to its pioneering use of interviews. (See, for example, Ellis 99-100. For more qualified accounts see Corner 63-71 and Winston 43-44)

[10] There is an easily available and detailed account of *Rainbow Dance* in Don McPherson's *British Cinema: Traditions of Independence*, 184-185 (originally published in *World Film News*, December, 1936). This includes details of how Lye utilised the Gasparcolour system, popular with European animators in the 1930s and originally developed by the Hungarian Béla Gaspar.

synchronised to a pulsating music track, merely to remind us to post our letters early – to which is tagged on a rather superfluous 'social message' – to maintain the rhythm of 'workaday Britain.'

4 The avant-garde and the 'bloody dreary'

It is necessary to lay out some criteria at this point. As already mentioned the vast majority of the output of the GPO Film Unit was not avant-garde or experimental and although the unit is, today, justly famous, more than anything else, for *Song of Ceylon* (1934), *Coal Face* (1935), and the brilliant *Night Mail* (1936) the standard fare was run of the mill information or instructional films such as *How to Tie a Parcel* and warnings of the dire consequences of incorrectly addressed letters. In the words of Stuart Legg, a Film Unit director, "There were certainly some remarkable films […] There was this and that. But if you look at the vast body of the films that the GPO Film Unit made, they're bloody dreary" (Quoted in Sussex, 82).[11] Within this body of worthy but dull films there are, however, some interesting and occasionally startling examples of experimentation (particularly in the use of sound) and avant-gardist influences can be directly seen in a number of films most of them animations, which sometimes escape the attention of historians who have tended to concentrate on the better known films such as *Night Mail*. Yet it is in animation, in the films of Len Lye and Norman McClaren's *Love on the Wing* (1939) that the avant-garde is most clearly manifested – films which are the least 'Griersonian' of any made by the GPO Film Unit. And while Lye and McClaren clearly benefited from Grierson's occasional openness, it was his philosophical/ideological stance and its legacy when Grierson left the GPO which also, at the same time, severely curtailed the extent to which the leading lights of the Film Unit were willing to engage with the avant-garde.

Counterposed to Grierson there is the influence of Cavalcanti to be reckoned with. Almost all the films of the GPO Film Unit with any inclinations towards experimentation or the avant-garde have Cavalcanti's involvement in some capacity. He is director on *Coal Face*, producer for all the films of Len Lye, and (with one exception) Norman McClaren's films and five of Jennings' films, he also has production credits on both films of Lotte Reiniger. In all, Cavalcanti worked directly on more GPO films than did Grierson and his influence should never be underrated, important as this is it should also not detract from our understanding of Grierson as the ultimate authority at the Film Unit.

[11] There is some small disagreement about the number of films produced by the GPO Film Unit in its existence. The BFI catalogue lists 129.

Grierson famously defined documentary as the "creative treatment of reality"[12], confusing as this is as a definition, it also hides the extent to which Grierson and his successors only allowed the avant-garde a peek into the sanctum of 21 Soho Square (the HQ of the Film Unit). Creativity, however vaguely it may have been defined by Grierson, was also controlled by him and although he rightly deserved a reputation for attracting multifarious talents, from numerous fields, any number of accounts by participants testify to his constant desire to assert his authority. It is also worthy of note that J. B. Holmes, the director of productions at the Film Unit, in a contemporary article where he discusses the work of the Unit only refers to *technical* experiments and never uses words such as artistic to describe the films or aspects of them. (Holmes, 159)

If this brief account appears, at first glance, to be confusing and even contradictory, then this surely is a reflection of the way things were. As Elizabeth Sussex suggests in her introduction to *The Rise and Fall of British Documentary* (one of the many accounts of the period), "The attraction of British documentary in its early years was not that it achieved success but that it achieved the freedom to stumble along in a number of interesting directions almost by accident." (Sussex, x)

This stumbling, advantageous and limiting at the same time, ultimately worked against any influence that the avant-garde might have had. A number of factors were involved:

1) The artistic stance of Grierson, particularly his luke-warm and inconsistent attitude to what he frequently dismissed as the 'aesthetic'
2) Censorship. It is easy to forget that British films at this time were heavily censored.
3) Cost. The Film Unit was constantly strapped for cash. For example they were forced to purchase the cheapest sound system available.
4) I believe there is some lack of clarity in what the 'mission' of the Film Unit actually was, or more specifically, how the mission was to be implemented and after Grierson's departure clear fault lines were to emerge.
5) An underlying hostility to abstract and non-representational art among large sections of the British intelligentsia at the time.
6) The developing political crisis in the 1930s and the pressure for realism, particularly from the left.

[12] Strangely, this most famous quote of Grierson's is not included in *Grierson on Documentary* (edited by Forsyth Hardy, 1979 ed.). Winston has a very interesting discussion of this idea and its possible meanings (and evasions).

7) The hostility of the mainstream British film industry to the work of the Film Unit who saw the government support received by the GPO Film Unit as 'unfair competition'. (See Rotha 1973: 115-122)
8) Government hostility. Government circles of the time perceived of the GPO Film Unit as a hotbed of Bolshevism despite the obvious apolitical attitudes of many of the staff and the non-incendiary nature of the films.

5 Auden, Jennings and others

It is not surprising therefore to find that some of the artists drawn into the Film Unit by Grierson (particularly those from the painting, music or literature) often did not stay very long. The poet W. H. Auden, who is one of the most frequently mentioned in the literature as a Film Unit 'fellow traveller', actually worked for the GPO for only three and a half months. The painter William Coldstream who directed the whacky 1935 instructional film *The Fairy on the Phone*, returned to painting after three years with the Film Unit[13], and the German silhouette-animation director Lotte Reiniger (aided by her husband, former UFA cameraman Carl Koch) made just two films for the Unit, *The Tocher*[14] and *The HPO – Heavenly Post Office* (both 1938) while visiting Britain.[15] The Film Unit, at various times used the talents of an array of musicians, most famously, the young Benjamin Britten (on *Coal Face*, *Night Mail*, and many others) but also Arnold Bax, Vaughan Williams, Brian Easdale and, briefly, the Frenchman Maurice Jaubert.[16] Other artists included the sculptor, John Skeaping, and the dancer Rupert Doone (who had once been the protégé, and lover, of Jean Cocteau). Much of this coming and going is accounted for by the nature of the

[13] From available accounts it appears that after an initial period of enthusiasm neither Auden or Coldstream (who became friends) were very enthusiastic about working for the Film Unit, "In the winter of 1935/6 Auden and Coldstream began slipping out of their Soho office for coffee together grumbling about the ways of the GPO Film Unit." (Laughton 37). Auden's alternative to the Griersonian ideal is perhaps suggested by his collection *Letters From Iceland*, published in 1937 and discussed by Bryant 61-98.

[14] Sottish dialect word for 'dowry'.

[15] Lotte Reininger (1899-1989) specialised in silhouette animation. Born in Germany she worked with Max Reinhardt and then Paul Wegener. Married Karl Koch who became her producer and cameraman. She became famous for *The Adventures of Prince Ahmed* (1923-26) and Walter Ruttman worked with her for a time. Reininger and Koch both had problems leaving Germany when the Nazis came to power and were not able to get out until 1936 when they moved to Italy. She frequently visited England during this period and eventually settled in London in 1946.

[16] Maurice Jaubert (1900-1940) prominent musical composer who acquired a formidable reputation in France, composing the music for Jean Vigo's classic *L'Atalante* (1934), *Hotel du Nord* (1938) and *Quai des Brumes* (1938) to name only a few of his projects. He worked on only one film with the GPO, *We Live in Two Worlds*, directed by Cavalcanti in 1937. He was killed in action during the invasion of France.

work involved – people would be employed for a specific job and then move on. It must also be noted that the two filmmakers who had roots in the avant-garde - Jennnings and Cavalcanti – stayed a considerable length of time with the unit but, arguably at the price of shifting their artistic focus, away from their roots and into more mainstream filmmaking. This is particularly noticeable with Cavalcanti who by 1938 is producer on *North Sea* (directed by Harry Watt), what today would be called a drama-documentary and by 1942 (after the demise of the GPO Film Unit) directs (for Ealing Studio) the fiction film *Went the Day Well*. The case of Humphrey Jennings is perhaps even more illuminating.

Jennings came to the GPO Film Unit in 1934[17]. He was involved in four films that year, two of them (*Post Haste* and *Locomotives* as director). In 1936 he worked with Len Lye on his animation *The Birth of the Robot* where Jennings is credited with "Colour decor and production"(Jennings, 73). This was sponsored by Shell-Mex BP and it was to be 1938 before he worked on more GPO productions. In that year he directed three films; *Penny Journey* and *Speaking From America* for the GPO and *Design for Spring* for the fashion designer Norman Hartnell.[18] With war looming, in 1939, he directed *Spare Time* and three other films for the GPO. In 1940 he directed three films dedicated to helping the war effort, the best known being *Britain Can take It*. From then until 1947 all his films were made for the Crown Film Unit (with one being made under the auspices of the Ministry of Information). This unevenness, the gap of four years, when he did no (credited) work for the GPO is perhaps indicative of the problems encountered by an artist such as Jennings in the institutional framework of the GPO. It is reported that Grierson was critical of Jennings, (see for example, Ellis, 78-79) never quite trusted him and always kept him at arms length; it is certainly the case that Jennings' only film made at the GPO which ever features in historical discussion and accounts is *Spare Time*. Jennings' most famous and most discussed films were made after his period with the GPO – *Listen to Britain* (1942), *Fires Were Started* (1943) and *A Diary for Timothy* (1945).

Spare Time is an 18 minute black and white film, with a voice over narration by novelist Laurie Lee (author of *Cider With Rosie*), and produced by Cavalcanti. As the title suggests the film is concerned with how British working

[17] Like many of the people associated with the documentary film movement and the avant-garde in Britain, Jennings was a product of the British upper middle class having studied at Cambridge. As well as his interest in film he was also a poet, painter, radio commentator and writer. In fact the whole documentary movement in Britain at this time looks like a boys club for Oxbridge undergraduates and others from similar elite establishments (the major exceptions being the foreigners such as Cavalcanti). Elton, Wright, Davidson and Legg were all from Cambridge. Those from north of the Border (e.g. Harry Watt) also attended similar elite establishments.

[18] Hartnell became a leading British fashion designer and was a friend of Jennings while at Cambridge. Only one reel of *Design for Spring* exists, released as making Fashions in 1939.

people spent their spare time and focuses on three locations connected to three basic industries: Sheffield (steel), Manchester and Bolton (cotton), Pontypridd, South Wales (coalmining). While the film was not without its controversy[19] it was the first major manifestation of Jennings' 'trademark' juxtaposition of sound and image (heavily influenced by Soviet montage);

> It is in *Spare Time* that Jennings, for the first time, explores what later became his most accomplished technique: the counterpointing of soundtrack allusions and images that may be only remotely related to each other. He invites viewers to make their own associations among them all. (Hodgkinson and Sheratsky, 42)

Important as this film was and the technique mentioned in the above quote was to reach its peak in some of the brilliant juxtapositions and transitions of *Listen to Britain*, *Spare Time*, nevertheless can't really be classified as avant-garde. It probably falls into the category for which Jennings became best known, the rather loosely defined 'poetic documentary'. Certainly the influence of the avant-garde can be seen, for example in the shared desire of the filmmaker, the British Surrealists and Mass Observation to bring the ordinary into focus, to bring out the extraordinary qualities of daily working life, to make a Sheffield Brass band or a Welsh choir appear worthy of our attention and interest. However, it is an influence and no more and Jennings' most avant-garde work appears in his paintings and drawings and some of his writing.

Norman McLaren joined the GPO Film Unit in 1936 after studying at the Glasgow School of Art between 1932-1936. Like many artists of the time he had been influenced by developments in Germany, Russia, and France – he was particularly interested in the 'tonal handwriting' of the German Rudolph Phennninger and experimented with synthetic sound. In an early film for the GPO, *Book Bargain* (1937) – a short film depicting how the London Telephone Directory was made (another riveting topic!) – he scratched directly onto the sound track. In his 4 minute animation, *Love on the Wing* (1938), whose theme is the airmail service, McLaren employs a rich use of colour and sound to create beautiful and evocative images of aircraft and flight. Yet, there is a sense that McLaren was under some pressure to produce more 'mainstream' films. In 1937 his film *News for the Navy* is a more-or-less straight forward documentary tale of a badly addressed package sent by a young woman to her lover, a sailor in the British Navy, while in 1938 he directed *Mony a Pickle* (with Cavalcanti as producer) which, like *News for the Navy* is a fairly typical product of the

[19] One sequence in the film - the Manchester Victorian Carnival Band playing kazoos (a so-called 'Jazz band', though this has nothing to do with jazz as it originated in the USA) was criticised as being insulting or patronising to its working class protagonists (for further discussion see Ellis 41, Winston 53, Aitken [1990] 147 and [2000] 58-59.)

Grierson stable. These variations are, quite possibly, the result of an exploratory urge within the GPO Film Unit that took the filmmakers in various directions but in some cases at least that urge or impulse took them away from their experimental or avant-gardist roots. One can sense everywhere the hand of Grierson, it is reported that when McLaren join the Film Unit Grierson said to him, "What you will learn here is discipline. You have enough imagination, you need not worry about that. But you are going to get disciplined" (quoted in Dusinberre, 45). Perhaps McLaren satisfied Grierson's demands – he joined him in Canada. Clearly he was not out of favour with the maestro.

The demands of public service (which frequently entailed a relinquishing of individual control, so important for the avant-garde), the Griersonian ethos, the contradictions of aesthetic and formal experimentation in a (Conservative) government department, coupled with the drive to communicate with a mass audience, ultimately meant that the avant-garde was squeezed out. As World War Two approached the voices calling for a decisive shift towards realism became all the more stronger, particularly from an increasingly Stalinist inflected Left, who took their lead from Zhadnov and Moscow not from Bloomsbury or, for that matter, Soho Square. After Grierson's departure these pressures began to show within the unit itself and there is the beginning of a shift towards the blending of narrative and documentary which reached its peak in the war years with film such as *Fires Were Started*. Formal experimentation became much more limited and while British cinema as a whole entered a golden period in the 1940s, it did so, to some extent, at the cost of burying the avant-garde under the weight of its realism.

6 Threads

It would be wrong however to finish the story here. The small British avant-garde may have almost expired or moved on to greener pastures towards the end of the 1930s but this was not the last word. The future of British filmmaking is punctuated with personalities, events, connections and links which can be traced back to the avant-garde in and around the GPO Film Unit, some well-known some not. Future British director Lindsey Anderson has frequently acknowledged his debt to Humphrey Jennings. William Coldstream, although never a card-carrying member of the avant-garde, later became chairman of the Arts Council and the British Film Institute. In 1960 he was instrumental in starting up a film department at the Slade art college in London appointing Thoreau Dickinson as Head. Dickinson, in turn, influenced Charles Barr, David Curtis, Lutz Becher and Derek Jarman. Len Lye, who was described in *Time* (12 Dec. 1939) as England's answer to Walt Disney (Horrocks, 6), went on to a long and varied career in the USA. Norman McLaren continued his association with Grierson when he joined him in Canada and worked for the National Film Board

where he was in charge of the animation unit. Others influenced by the avant-garde and the GPO Film Unit were the Poles Stefan and Franciszka Themerson who visited Britain in 1936 and took back a number of films including *Black-Grey-White* by Moholy-Nagy and Lye's *Colour Box*. There were many others, who although not directly within the circle of the GPO Film Unit, formed an amorphous and loose body of artists who were all influenced, in one way or another, by the atmosphere and the milieu for which the Film Unit frequently acted as a fountain head. These include the Hungarian exile art-historian and teacher Frederick Antal who helped Moholy-Nagy (and Vincent Korda) to settle in London (Antal's most famous student was John Berger); the German exile and ex-UFA camerman Alex Strasser who worked with Lye on *The Birth of the Robot*; László Moholy-Nagy, the former Bauhuas teacher, whose design work on the Korda production *Things to Come* (1936) was sadly marginalised and whose1936 film *Lobsters* is reminiscent of the Film Unit's work.

Grierson was no doubt guilty of hyperbole when he, reportedly, said that the GPO Film Unit "…is the only experimental centre in Europe – where the artist is not pursuing entertainment…" (quoted in Laughton, 32). Whether or not this is true is not so important as the fact that in its erratic and fleeting embrace of the avant-grade, the GPO Film Unit produced some works of striking innovation. Their lack of any major ongoing impact is a testimony to the cultural climate of the times and the contradictions and problems encountered by avant-garde artists working within larger official or corporate institutions.

John Cunningham (Senior Lecturer in Film Studies, Sheffield Hallam University, UK)

Bibliography

Aitken, Ian. *Alberto Cavalcanti: Realism, Surrealism and National Cinemas*. Trowbridge, Flicks Books, 2000.

---. *Film and Reform: John Grierson and the Documentary Movement*. London, Routledge, 1990.

Barr, Charles (ed.) *All Our Yesterdays*. London, British Film Institute, 1986.

Bryant, Marsh. *Auden and Documentary in the 1930s*. University Press of Virginia, 1997.

Corner, John. *The Art of Record*. Manchester University Press, 1996.

Dusinberre, Deke. 'The Avant-garde Attitude in the Thirties' in Macpherson (ed.) *British Cinema: Traditions of Independence*. BFI, 1980, 34-50.

Eaton, Mick. 'In the Land of the Good Image'. *Screen* Vol. 23, No. 1 May/June, 1982. 79-84.

Ellis, Jack C. *John Grierson: Life, Contributions, Influence*. Carbondale and Edwardsville, Southern Illinois University Press, 2000.

Gledhill, Christine. 'Play as Experiment in 1920s British Cinema'. *Film History*. Vol. 20, No. 1. 2008. 14-43.

Hodgkinson, Anthony W. and Rodney E. Sheratsky. *Humphrey Jennings: More Than a Maker of Films*. Hanover and London, Clark University. 1982.

Holmes, J. B. 'GPO Films'. *Sight and Sound*, Vol. 23, Autumn, 1937, 159.

Horrocks, Roger http://www.art-newzealand.com/issue101/lye.htm (accessed 25/08/2006)

Jennings, Mary-Lou. *Humphrey Jennings: Filmmaker/Painter/Poet*. London, British Film Institute and Riverside Studios, 1982.

Laughton, Bruce. *William Coldstream*. New Haven and London: Yale Unversity Press, 2004.

Macpherson, Don. (ed.) *British Cinema: Traditions of Independence*. London, British Film Institute, 1980.

O'Pray, Michael. *Avant-Garde Film: Forms, Themes and Passions*. London, Wallflower Press, 2003.

Penrose, Anthony. *Roland Penrose: The Friendly Surrealist*. London, Prestel, 2001.

Rotha, Paul. *Documentary Diary*. New York, Hill and Wang, 1973.

Samson, Jen. 'The Film Society, 1925-1939' in Charles Barr (ed.) *All Our Yesterdays*, 1986, 306-313.

Sussex, Elizabeth. *The Rise and Fall of British Documentary*. Berkeley, University of California Press, 1975.

Swann, Peter. 'John Grierson and the GPO Film Unit, 1933-1939'. *Historical Journal of Film, Radio and Television*. Vol. 3, No. 1, 1983, 19-34.

Tallents, Stephen. 'The Birth of British Documentary' (Part I, II, III). *Journal of the University Film Association* Vol. 25, Nos. 1, 2 & 3, 1968.

Winston, Brian. *Claiming the Real: the Documentary Film Revisited*. London, British film Institute, 1995.

BOOK REVIEWS

Cognitive Linguistics. By William Croft and D. Alan Cruse.

Cambridge: Cambridge University Press, 2004, 356 pp.

Éva Kovács

This much needed introductory book is a remarkably complete survey of cognitive linguistics, presenting the theoretical foundations and the major new developments in this fast-growing field of linguistics. In twelve chapters it highlights the basic principles of the cognitive linguistic approach to the analysis of linguistic meaning and grammatical form, and some of its most important results and implications for the study of language. It is intended to be used as a textbook for a course on cognitive linguistics, but it is also recommended as essential reading for linguists doing research in this field.

The book's 12 chapters are each divided into three parts being organized as follows: Part I focuses on the conceptual approach to linguistics analysis, Part II is concerned with 'the cognitive approaches to lexical semantics' and Part III deals with 'the cognitive approaches to grammatical form'.

In contrast to the dominant approaches to semantics and syntax in generative grammar and in truth-conditional semantics, some of the basic assumptions of cognitive linguistics are that "language is not an autonomous cognitive faculty, grammar is conceptualization, and knowledge of language emerges from language use", which are presented in the introduction (1).

This is followed by Part I, which presents the basic principles and key concepts underlying cognitive linguistics, such as frames, domains and spaces (Ch. 2); conceptualization and construal operations (Ch. 3); categories, concepts and meanings (Ch. 4). These principles and concepts are refined, expanded and further illustrated through their application to aspects of word meaning and to grammar in Part II and III, respectively.

The heart of the book is Part II, which includes topics widely discussed in cognitive linguistics, such as polysemy (Ch. 5) and metaphor (Ch. 8), and lexical semantic topics that have generally not been examined by cognitive linguists, i.e. lexical relations, such as hyponymy and meronymy (Ch. 6) and antonymy and complementarity (Ch. 7). The authors demonstrate that these sense relations are worthwhile object of study (even for cognitive linguistics) and that the "dynamic construal approach" can throw new light on their nature. In other words, sense

relations are treated as semantic relations not between words as such, but between "particular contextual construals of words".

As an illustration for sense relations, let us take meronymy, which is defined as follows:

> If A is a meronym of B in a particular context, then any member a of the extension of A maps onto a specific member of b of the extension of B which it is *construed as a part* or it potentially stands in an *intrinsically construed relation of part* to some actual or potential member of B. (159)

To justify the above definition, consider the following examples: *finger* and *hand*, *park* and *lake.* According to the definition, *finger* is a meronym of *hand* because for every entity properly describable as a finger, there corresponds some entity properly describable as a hand, of which it is construed as a part. The authors argue that the relation of meronymy concerns only "intrinsic construals of partness". It is true that in the case of *finger*, 'partness of hand' is an essential component of the original construal, i.e. it is intrinsic. In contrast, *lake* would not qualify as a meronym of *park* as the 'partness' is imposed on the construal as it were from the outside. (159 -160)

Polysemy is treated here as "a matter of isolating different parts of the total meaning potential of a word in different circumstances". The process of isolating a portion of meaning potential is viewed as "the creation of a sense boundary delimitating an autonomous unit of sense". For example, in *John moored the boat to the bank* the fact that *bank* can also refer to a financial institution is suppressed.

As for metaphors, the authors also make an important point: if one wants to get to the heart of metaphor as an interpretive mechanism, one must look at "freshly coined, novel metaphors". It is because the fully established and conventionalized ones examined by the Lakoffians have "irrecoverably lost at least some of their original properties". For example, in *They had to prune the workforce* the use of *prune* still strongly evokes the source domain of agriculture, together with the meaning of removing unnecessary growth and increase vigour. This is therefore still in its youth as a metaphor. In contrast, in *There is a flourishing black market in software there*, in the authors' words, *flourish* came into English ca. 1300 with both literal and metaphorical meanings, but most people probably think of its literal meaning as having to do with businesses or may even feel a flourishing garden to be an extension from this. (205-206)

At the beginning of Part III, it is pointed out that the cognitive approach to syntax goes under the name of construction grammar, which "grew out of a concern to find a place for idiomatic expressions in the speaker's knowledge of a grammar of their language". (225). The first chapter, Chapter 9 presents the

argument for representing grammatical knowledge as constructions, and Chapter 10 ('An overview of construction grammars') outlines the essential features of a construction grammar examining the structure of constructions and their organization in the grammatical knowledge of a speaker. This truly interesting chapter also surveys four variants of construction grammar found in cognitive linguistics, namely Construction Grammar (Kay and Fillmore 1999), the construction grammar of Lakoff (1987) and Goldberg (1995), Cognitive Grammar (Langacker 1987, 1991) and Radical Construction Grammar (Croft 2001) focusing on the distinctive characteristics of each theory.

Chapter 11 of this part describes the usage-based model for language use, developed in greatest detail for morphology and syntax. Comparing the usage based model with the traditional structuralist and generative models of grammatical representation, Croft and Cruse argue that in the structuralist and generative models, only the structure of the grammatical forms determine their representations in a speaker's mind, whereas in the usage-based model, "properties of the use of utterances in communication" also play a distinct role. (292)

As far as the morphological representations of words concerned, a number of concrete hypotheses and supporting evidence are put forward in the first section of this chapter, including the role of token frequency in entrenchment, the role of type frequency in productivity, the formation of schemas, phonological and semantic similarity in connections between words, and the emergence of generalizations in language acquisition.

In the next section of chapter 11, it is examined how much of these hypotheses might hold for syntax. The frequency effects in syntax are illustrated among others by English auxiliary verbs, which have a very high token frequency in questions and negative sentences, compared to other verbs. As highly entrenched constructions they are irregular in that they undergo changes such as reduction. In addition to syntactic irregularity as a consequence of high type frequency, the major, most schematic constructions of a language have maximal syntactic productivity, such as the transitive constructions [SVO]. The final point made here is that syntax is also acquired in a "gradual, piecemeal, inductive fashion". (227)

In conclusion, this excellent book discusses a wide range of interesting questions in cognitive linguistics, and will be of interest to anyone investigating cognitive semantics and construction grammar. It also has the rare virtue of beings fairly well organized, rich in examples and having clear explanations. One weakness of the book may be that the chapters often lack a detailed summary, which would be very useful for a course book.

All in all, we can say that the authors have succeeded in their aim of showing that the cognitive approach to language not only opens up new aspects of language, but also addresses the traditional concerns of grammarians and semanticists.

The English Progressive at Home and Away. Contrastive Analysis: German, Spanish, Romanian

BY GINA MĂCIUCĂ. Suceava: "Ştefan cel Mare" University Press, 230 pp; first issue: 2004, with a second issue scheduled to come out in the third term of 2009.

Tibor Őrsi

This is pioneering research on contrastive linguistics investigating four languages: two of Germanic lineage (English and German) and the other two descended from Latin (Spanish and Romanian). The female author, **Gina Măciucă**, is associate professor at the Department of Germanic languages of the Romanian "Ştefan cel Mare" University in Suceava, with a PhD in Comparative Philology, she is the author of seven books and has contributed to more than fifty national and international journals and conference proceedings, and is currently teaching Contrastive Grammar and Phraseology to BA level – and Translation Strategies to MA students respectively.

In her introductory remarks Doctor Măciucă asks the question that many readers might echo: "with the number of books on the Progressive running into the dozens […] why the compelling urge to add yet another one to this huge host?" The main reason behind this "compelling urge" seems to be the novelty of the approach. The book is divided into two parts: Part One: *The English Progressive at Home* and Part Two: *The English Progressive Away. Comparative View: German, Spanish, Romanian.* Whereas Part One submits to the reader a semantico-pragmatic delineation of the features displayed by this genuine "bone of contention" of the English grammar, Part Two is, in a first phase, tracking down the morphological conveyors of its semantics in a closely related Germanic language (German), and, in a second phase, is comparing the English Progressive with morphologically and/or semantically similar constructions in two Romance languages (Spanish and Romanian).

The first chapter, "Throwing the Reader 'out of' Confusion – Contrastive View: 'Aspect' versus 'Aktionsart'" zooms in on the above-mentioned

dichotomy by ventilating theories advanced by H. Weinrich, J. Raith, E. Leisi and A. F. Freed, with concomitant focus on the "misleading duo" Perfect-Perfective.

Chapter 2 is taking the reader on "A Trip down Memory Lane", meant to highlight diachronically the watersheds in the evolution of the English verb combination under discussion.

Switching back to the synchronic view, the 3rd chapter, "The Progressive through the Looking-Glass", presents "progressive stances" – i.e. individual views on the progressive combination – as diverse as those put forward by E. Kruisinga, H. Poutsma, O. Jespersen, A. Brusendorff, G. O. Curme, E. Calver, D. Bolinger, M. Deutschbein, R.W. Zandvoort, M. Joos, R. L. Allen, A. Schopf, G. Leech, F. R. Palmer, J. Scheffer.

Chapter 4, "The Elusive Stuff That Progressives Are Made of: Semantics", chops logic even further by going about in quest of a "core meaning" of the Progressive. After in-depth discussion of the "time-frame" theory and three major readings ("duration", "incompletion" and "emotional"), the author concludes that "the quest for one single core meaning which could be safely ascribed to the Progressive is in fact tantamount to squaring the circle", for "in some cases it is of absolutely no consequence which point [of view: simple or progressive] is chosen". The difference between the two is not a factual one, Doctor Măciucă claims, but rather one of aspect and "more often than not, one of dramatic shifts in the semantics of the verb employed".

Intent on illustrating the "tenuous distinction between use and abuse", "The Progressive at Fieldwork" – the last chapter of Part One – goes into exhaustive detail on several of the most "ticklish" pragmatic aspects of the Progressive, such as "Stative verbs – the natural enemy of the Progressive?", "Contextualization: the great extricator or intricator", "The 'always' dilemma", with a concluding section on "Ambiguities at their wildest" investigating 'stance' verbs, modals and statal vs. dynamic passives.

Part Two is further subdivided into two main chapters: one on German as *the* prototype of Germanic languages, and the other on Spanish and Romanian as main representatives of Romance ones.

Paradoxically enough – given their common Germanic descent –, Doctor Măciucă argues, no pattern morphologically similar to the English Progressive seems to be anywhere in evidence in German. After considering several tenable hypotheses most likely to account for "the surprising slip-away", the author proceeds to analyze the most frequent 'Ersatz'-devices resorted to, suggest the most appropriate ways of translating the Progressive, and finally promote the 'Funktionsverbgefüge' to the position of ideal substitute for the English verb combination under scrutiny, while venturing to assume that "the two languages at issue seem to have each clung to what the other one chose to dispose of. Thus, while English dismissed the preposition and kept the *–ing* form, German decided

that it would be better off without the participle and made up for the loss by bolstering up the preposition".

Subchapter II.1 of Part Two – with a number of pages amounting to an impressive sixty – is in a way "redeeming the reputation" of the English Progressive, in that Doctor Măciucă's research comes up with what "at first blush" seems to be "the perfect morphological match" for the construction scrutinized: Spanish '*estar* + gerundio'. However, further investigation on the topic reveals certain dissimilarities between the two in terms of meaning (s. sections II.1.2 "'*Estar* + gerundio' & '*be* + -ing': a semantic match made in heaven?" and II.I.3 "Faithful *ser* versus fickle *estar*: the split personality of Spanish statives' archetype"). Since recourse to *ser* or *estar* seems to have the "final say" in the semantics of Spanish periphrases, the author thinks fit to devote three subsections to digressing on various semantic features which these two verbs contribute to the adjectives they combine with, as opposed to those of English *be* in '*be* + adjective' collocations. Concluding the chapter is a "Contrastive analysis Spanish/English" which goes "with a fine-tooth comb" through a vast array of translation possibilities and difficulties encountered.

The final subchapter reveals an equally surprising fact, namely that the verbal system of Romanian – also of Romance descent – exhibited "at a certain point in its evolution – the 17th and 18th century […] a manifest preference for the use of gerundial periphrases similar morphologically, and, to a certain degree, semantically as well, to the English Progressive". Most of the examples cited are loan-translations from Greek. However, the author maintains, some of them "have been coined by the translator on the analogy of the pattern loaned from this language, which speaks volumes for the 'operativeness' of the model". As regards contemporary standard Romanian, "though now an extinct grammatical pattern, gerundial periphrastic combinations live on morphologically […] under the guise of the 'prezumtiv', a fact which obviously attests to their recognition as a formerly widely circulated pattern".

The chief novelty of the present book resides in the fact that comparative research is being conducted on no less than four languages of different lineage. Enhancing the complexity of the approach is also the double focus of the contrastive analysis: on the languages as members of a particular family, and furthermore, on the Germanic and Romance families as descended from the larger European stem. Major targets of research throughout this difficult investigation are establishing common morphological and structural trends, highlighting semantically and/or morphologically similar or identical features within Germanic and Romance language patterns, zooming in on relevant cases of semantic switch-over as well as on more or less conspicuous "between-the-borders" cases, both from a synchronic and a diachronic vantage-point, and last but not least, defining clear-cut paradigms on which further research can safely be grounded.

Conducted with rigorously documented and coherently constructed arguments – in turn corroborated by meticulously amassed evidence and better illuminated by ample comparative glosses and final *Notes*-sections – the research under review is without doubt a valuable addition to the, unfortunately, rather slender international series on contrastive linguistics.

Let me give a final word of warning to the reader. As already made abundantly clear in the excerpts quoted above, Doctor Măciucă is possessed of a metaphorical style - a feature which some may view as a blemish rather than a forte. This is apt to pose a serious problem to readers with a less than complete mastery of English, and an even bigger one to those who are easily diverted… from the main topic. To such readers a second reading of the book is a *sine-qua-non*, and must be regarded not as a punishment, much rather as a reward, as alluded to by the author herself in the introductory *Motto*: "Language is an angel, which one fights with until forced to give one his blessing" (R. Humphrey).

Őrsi Tibor. ***French Linguistic Influence in the Cotton Version of Mandeville's Travels.*** Budapest: Tinta Kiadó, 2006. 197 pp. [Segédkönyvek a nyelvészet tanulmányozásához 57.]

Irén Hegedűs

Armchair travelling has always been a popular pastime, partly because it is an inexpensive way of visiting far-away places, partly because it is a most challenging activity for the imagination. For the literate medieval person reading Sir John Mandeville's guide book must have given great intellectual pleasure since visiting the Holy Land or the marvels of the Orient was (and perhaps still is?) both a costly and dangerous enterprise. So no wonder Sir John Mandeville's guide book became an international bestseller of its time, which is proven by the three hundred surviving manuscripts and its translations into nine languages (English, Latin, German, Spanish, Italian, Danish, Dutch, Irish and Czech). This is a most fortunate circumstance for a historical linguist because it offers intriguing opportunities for contrastive historical analyses. The book under review is a contrastive study of the lexical characteristics of the Middle English translation surviving in the *Cotton Version* (dated ca. 1400) with those of the Anglo-French original text in the *Insular Version* (dated ante 1375).

Tibor Őrsi's monograph has grown out of several years of continuing research and is a testament to his persistent research and devotion to the historical comparative linguistic analysis of Mandeville's peculiar opus and to the problems concerning the historical relations between the English and the French languages. It is also an exemplary and meticulous study in the best tradition of philology.

From the introduction the reader can obtain a short summary of earlier studies on *Mandeville's Travels*. The chapter on Sir John Mandeville provides a short description of the mystery surrounding the identity of the medieval author. Of the numerous theories proposed for identifying who Mandeville was Őrsi follows M.C. Seymour's proposition (Seymour 1993), which is quite acceptable a solution because Seymour is certainly the primary authority on this topic. In the light of this proposition the medieval writer was an ecclesiast, a native speaker of French and a fluent reader of Latin, with a vast knowledge of the

Holy Land and the East, which he must have obtained from books and not from travel experience. This second chapter also gives a brief overview of the transmission of the manuscripts. The postulated archetype is the manuscript that emerged around 1356 in Northern France, and the *Cotton Version*, investigated by Őrsi, is a conflation in English in the dialect of Hertfordshire (South-East Midlands) that can be dated to around 1400 (before 1425).

The difficulty of distinguishing French-derived and Latin-derived elements in English is discussed in the third chapter. The spelling of words in *-al, -elle* in the Cotton Manuscript is examined as a case study leading to the conclusion that the Middle English spelling *-al(le)* "does not automatically indicate direct Latin influence as the corresponding French word that entered Middle English may be a learned borrowing already in French" (p. 26), but the Middle English spelling *-elle* may have an analogical origin induced by the spelling of similar adjectives. To complicate the issue, French-derived words in Middle English can also be refashioned after Latin.

Chapter 4 investigates the intricacies of the paths of borrowing French words into Middle English. Őrsi identifies 8 distinct translation procedures applied by the *Cotton*-translator. Of these I find the use of synonymic pairs the most interesting because this stylistic device enriches the English text with a particular flavour. Őrsi reports eighty cases of synonymic pairs in which a French word is translated into English with an expression that combines a native word with a synonym of French origin, e.g. French *en nostre parleure* is rendered as *in oure langage and speche* 'in our language and speech'. This is a typical device in Middle English but it should be mentioned that this type of figure of speech is quite archaic in English. It is interesting to note that this linguistic device is quite frequent in Germanic languages, where the general pattern is to create alliterative or rhyming pairs of synonyms, e.g. German *fix und fertig*, English *first and foremost*, *few and far between*, *part and parcel*, *toss and tumble*/*turn* (as in bed), *wear and tear*, etc. In English some constituents in such phrases have become fossilized, cf. the first element in phrases like:

- *spick and span* meaning 'very neat' or 'brandnew' (< earlier *spick and span new* that could reflect a Scandinavian (Old Norse) *spánnýr* = *spánn* 'chip' + *nýr* 'new' (OED →*SPICK* adjective),
- *kith and kin* 'friends and relations' (< Old English *cȳth* < Proto-Germanic **kunþiþō* from the verb **kunþ-* 'know' (OED →*KITH* noun),
- *lo and behold* (< *look and behold*) (OED →*LO* interjection)

Chapters 5 and 6 contain the results of Őrsi's investigations viewed from the aspects of chronology and frequency of occurrence (respectively). One of the significant findings related to chronology is that the MED "significantly reduces the number of the earliest attestations" of borrowings (p. 37), so sometimes what is indicated by OED as the first occurrence may be listed in MED as

chronologically the third only. Chapter 5 provides the relevant statements concerning the question which loanwords from French (and/or Latin) are actually first attested in the *Cotton Version.* Chapter 6 establishes that the most frequently used loanwords are geographical terms, e.g. *contree*, *cytee*, *place, prouynce*, *ryuere* (*riuere*), *mont(aigne)*/*mount(ayne)*, *desert*, etc.

A separate chapter (7) is devoted to the use of the word *isle*. This special attention is justifiable because "the original version of *Mandeville's Travels* is the only text in French where *île* can be found in the sense 'land, country'" (p. 105) and French etymological dictionaries fail to take this into account. This word is spelt in the English versions as *ile* or *yle* and it was frequently used to mean 'land, province, region' in the late 14th and 15th centuries, as Őrsi's investigation demonstrates. On the basis of this Middle English usage Őrsi suggests the possibility of interpreting *Île-de-France* as 'land of France'.

Unique attestations of French and Latin borrowings mostly related to exoticisms (oriental fauna and flora) are surveyed in chapter 8. The author concludes that these loanwords "illustrate strikingly the symbiotic relationship between French and Latin scientific vocabulary in Middle and (later) English" (p. 120).

In chapter 9 Őrsi introduces the term "learned phrases" on the analogy of "learned words". He uses this technical term to refer to "phrases containing learned adjectives" (p. 123). In the syntactic context a learned phrase is a noun phrase, not an adjective phrase because the adjective seems to be the centre of gravity, or as Őrsi formulates it: "the adjective is 'heavier' than the noun" that is the head of the whole phrase (ibid.). Learned words in the text relate to geographical and scientific terms or to notions concerning church and religion. Their word order in the *Cotton Version* normally corresponds to that of the French original (Noun-Adjective). The translator makes a wider use of such phrases than the French original, and it is interesting to see that in such cases the native order (Adjective-Noun) is applied.

Double and triple scales of synonymy are treated in chapter 10 from a diachronic perspective, i.e. concentrating on the etymological origin of the word pairs/triplets. The English translation has significantly augmented the use of synonyms. In the French original Őrsi counted 50 examples of synonymy, while in the English translation 123 cases, although – as the author notes – some of the latter constitute paraphrases or simple enumeration rather than synonyms in the strict sense (p. 138). The dominant type of synonym sets combines a native Germanic element with a French loanword. We can summarise the distribution of the 101 strictly synonymous word pairs on the basis of the etymological breakdown in the following table:

Native Germanic word + borrowing from French	ca. 70%	e.g. *wicchecraft* + *enchantour*
French word pair	ca. 24%	e.g. *proclaimed* + *pronounced*
Native English word pair	ca. 6%	e.g. *seen* + *beholden*

94 out of the 123 synonymic pairs contain a French element but 22 of these are used in a way that does not correspond to the French original. This circumstance is interpreted by Őrsi as proof of the translator's relative independence of the original French text (p. 139).

A rarely considered issue, the phraseological influence of French on English, is examined in chapter 11. This aspect of foreign influence is hardly ever considered by etymological dictionaries, and studies concentrating on this linguistic phenomenon are rare. Őrsi's study of phrases follows the pioneering work by A. A. Prins (1952) but complements it by checking sources that have become available in the last fifty years or so. A phrase of French or Latin origin is most frequently rendered in English translation by combining a native verb or preposition with a noun of foreign origin, e.g.: *to do/make homage* – Fr. *faire homage* or *withouten doute* – Fr. *saunz doute*. The number of prepositional phrases significantly increased due to the influence of French but calques (morph-by-morph) translations occur relatively infrequently.

The Cotton translation of *Mandeville's Travels* is rich in examples of lexical disagreement, which is examined in chapter 12. The fact that the translator does not slavishly follow the original French text is interpreted by Őrsi as a sign of originality (p. 182.). One of the surprising cases of such disagreement is represented by rendering French *luxurie* as *lechrye* in the English translation, although Middle English also had *luxurie* in the sense 'lust, lasciviousness'. *Luxurie* is first attested in the *Ayenbite if Inwit* (1340), where the seventh deadly sin, lust is named as *lecherie oþer luxurie*, which shows that the two words used to be synonyms.

Working with a typographically complicated text like that in Őrsi's book it would be a miracle not to make any mistakes. I have found only minor misprints that require correction: *Latin* should occur with a capital initial (p. 18), article is missing in "[f]rom morphological point of view" and "[f]rom historical point of view" (p. 38), the word *about* occurs twice subsequently (p.101, footnote 13), possible typo (?) *lechry* instead of *lechrye* (p. 172, line 6).

The book reviewed here contains relevant points that can contribute to the further refinement of both French and English etymology. The OED is currently undergoing a process of revision that is expected to be complete by 2010. The new edition could profit from Tibor Őrsi's work. Hopefully, this will be included in the discussions with the representative of the etymological editorial

board of the OED at the 16th International Conference on English Historical Linguistics to be organised in Pécs in August 2010.

References

MED = *Middle English Dictionary.* Eds. H. Kurath - S. M. Kuhn - R. E. Lewis. Ann Arbor: University of Michigan Press, 2001.

OED = *Oxford English Dictionary.* (2nd ed. 1989) Oxford-New York: OUP.

Prins, A.A. 1952. *French Influence in English Phrasing.* Leiden: Universitaire Pers.

Seymour, M.C. 1993. *Sir John Mandeville.* Aldershot, Hants.: Variourum.

The Struggles of an Empiricist

Past and Present: National Identity and the British Historical Film by James Chapman (London: IB Tauris, 2005)

Zsolt Győri

Past and Present: National Identity and the British Historical Film is James Chapman's third book in the 'Cinema and Society Series' spearheaded by Jeffrey Richards at I. B. Tauris Press. Compared to his previous volumes – the earlier engaged with British WWII cinematic propaganda, and the latter with the cultural historical approach of James Bond films – the scope of this work is uncharacteristically wide, extending over a period of almost 70 years. A quick look at the contents page reveals the close intellectual kinship between Chapman and Richards in approaching issues relates to national identity, heritage and cultural memory, the popular image of history and the representation of social progress. It may be their affiliation with The Open University (one of the most flourishing educational initiatives of the second half of the last century) or the insistent backing of IB Tauris (the publisher of numerous books on history, politics and cinema) that the series is characterised by an avid empirical approach with a high priority placed on contextual analysis. Since these features permeate most titles published in the series there is very little methodologically that distinguishes one from the other: each book relies on exhaustive survey of films, written documents, conducted interviews. These archivally based research projects play a lion's part in initiating the systematic investigation of the social, cultural, political and economic contents of British cinema in general and individual films in specific.

Having adopted Richards' avid empiricism as a film historian, film-analyses for Chapman is complete only after (1) the roles and responsibilities of the crew behind the project have been mapped out, (2) the industrial, political and social aspects of the film's production history have been discussed (3) and the details of both its critical and popular reception have been explained. With the contextual bases analyses of production and reception he hopes to arrive at snapshots of the relationship between British cinema and society, images that expose both national identity and the national past.

In my view the contextual approach undertaken by Chapman to get a better understanding of the cinematic sense of history is only partially successful. It becomes an aim instead of a means: the reader is hardly offered anything about the reasons why historical films reflect 'the burning questions of the age' in the way they do. The films offer great opportunities to overview the cinema of the given period, yet for those – like me – who hoped to learn about the function of historical understanding as conceptualised by cinema Chapman has little to offer. He cannot be accused of committing factual errors, he is objective, impartial and dispassionate: an empiricist of the second class. Moreover in his very accurate reconstruction of events linked to the production and reception of the film, he sometimes loses sight of the wider context of national identity and historical film, in other words the interrelatedness of present and past.

As I have already mentioned Chapman's book contains analyses of individual films, fourteen canonical and less-known titles. These case studies, or exemplary readings into the cinematic representation of the past rely on a choice of films that not only reflects upon the passing cinematic and social trends and cults, but the changing cultural role of cinema as well: half of the films analysed were made in the first twenty years of the 65 year period studied by the book. The unbalanced attention is only partly justified. There might have been fewer films made for a smaller audience in the second half of the century, yet the importance of historical film did not fade in post-imperial Britain. There is no decline as Chapman implicitly suggests but transformation. It is also true that the loss of imperial aspirations had a significant influence on the view of history and national identity in postcolonial Britain. Unfortunately we do not get a refined image of this transformation. Decolonization may have been identified as a dividing line, the start of a new paradigm, the films belonging to which could have easily been compared to the image of the past and the use of cultural memory in the colonial cinema of the 30' and 40's. Had Chapman decided to undertake such a comparative reading and chosen to present his arguments along well-defined dichotomies, the evolution of the cinematic sense of history could have been better drawn. A research of such scope would be quite different from Chapman's own, turning different films (not solely from the historical film category) into case studies.

As Chapman intended *Past and Present: National Identity and the British Historical Film* places genre into focus. Although with different words Chapman in his introduction describes both national identity and historical film[1] as a social phenomenon of adjustment. An array of fast-changing social, political, economic and moral environments relying on attitudes, belief- and value-systems of their

[1] I would identify both as vehicles of cultural memory understood by Maurice Halbwachs and Jan Assman as a connective structure that enframes individual and collective forms of memory.

own have shaped the twentieth century, a period of unique and constant transition during which the capability to adjust became a question of survival or annihilation for certain national, ethnic and social groups. Chapman is unquestionably right to suggest that the popularity enjoyed by cinema puts films (more than anything else) in direct contact with the dynamics of history. He adds right away that not any kind of film is capable of the active production (or what in this case is almost the same, the representation) of adjustment strategies. Historical film – the central concept of Chapman's research project – is an extremely effective vehicle to study the ways in which the past is used to take control over the present. But what is historical film?

Chapman defines historical film in generic terms, as "a narrower category than the costume or the period film both of which are terms that denote narratives set in the past but that are not necessarily in themselves 'historical'."(2). He does not define however what this "historical" is (concept) and what it is used for (label). Whereas "historical" as a concept may refer to the relationship between the cinematic memory of the past and history, "historical" as a label introduces an authoritative discourse, introduces a subgenre which is regarded more serious and more authentic than costume melodramas. This hierarchy results from the popular notion of history Chapman himself identifies with in the introductory chapter: "In this book I am taking history to mean 'the recorded past' or 'the past that we know'" (2). According to such a definition "historical" is a kind of communal knowledge, the truth of records and facts: a higher form of truth we attribute to certain narratives and in the case of cinema to certain *misè-en-scene*s, costumes, sets and styles of acting. Those who identify with this view attached a special cultural prestige to historical film, and use "historical" as a sign of authority, a symbol of authenticity. Used in this sense "historical" expresses the superiority of the archive of facts predominating historical film over the archive of sensations as found in costume melodramas or period films. Such hierarchy clearly exists in the popular imagination, yet it should not intrude into scientific research. Most of the films Chapman discusses are full of acknowledged inaccuracies, misrepresentations, populism even demagoguery. They seem to reinforce the view according to which facts in historical films are themselves dramatic devices while historical authenticity is a rhetorical formula. From a strictly theoretical point of view both are 'camouflaged discourses' hiding behind a surface of facts, obscuring their role in the misrepresentation of history and the exploitation of the past.

I sometimes wonder if the historical film really wants to make the past known. It surely does not in a way that would satisfy the trained historian. It is not a vehicle of 'archaeological excavation' but propagation. In similar terms the "historical" is more of an ideological than a generic formula. Historical knowledge only seemingly comes from the past, actually it is a product of the present. What cinema does especially effectively is making modern knowledge

look archaic. The real questions are not those inquiring about the reliability and authenticity of films, but about the source and worth of historical interpretation: the forces and the wills (mis)understanding the past serves and expresses. These are the questions Friedrich Nietzsche poses when speculating about the tectonics of history. Although Chapman proposes a kind of genealogical research when he writes that

> [t]he historical film raises questions such as whose history is being represented, by whom and for whom? The theme of identity is central to the genre: class, gender and specifically national identities are among its principal concerns. The historical film is not merely offering a representation of the past; in most instances it is offering a representation of a specifically national past. National histories are fiercely protected and contested. (6)

If these lines are to be read as Chapman's promise to write the history of how cinema appropriated historical knowledge, cultural memory and how it became the battle-ground of contesting versions of Britishness than it remains an unfulfilled promise. This process is far too dynamic and more symbolic to be successfully reconstructed within the static contexts of production and reception. Unfortunately (and mysteriously) the empirical approach preferred by Chapman understands the concepts of history, identity and national as universal phenomena and not something permanently constructed. Chapman still manages to establish a relatively good view of this battleground, yet it is far from what the back cover suggests, it falls short of being "groundbreaking".

For me the greatest flaw in Chapman's methodology is its short-sightedness, its lack of determination to look behind the facts and discover the forces that shape them. For example in the first analytical chapter dedicated to Alexander Korda's *The Private Life of Henry VIII* Chapman discusses – like a good antiquarian – all aspects of the work in question. The contextual analysis seems to be complete, all the facts appear to be exposed and yet the reader's understanding of the tectonics of cinematic memory is not advanced significantly. Although in reference to F.D. Klingender Chapman raises the question of the 'private life formula', he fails to make it into a horizon of inquiry that would run through the whole volume. After all *Henry VIII* is the first internationally successful attempt to wed formulaic narratives and the "historical" and establish the cinematic memory of historical figures. The formula was not only influential in 1930's British cinema but ran through the oeuvre of Korda, who was one of the first producer-directors to make cinema a servant of national identity. I believe the nature of his service and the role of historical film in the formation of group identity could have been more accurately determined had the subject been better theorised with groups of

questions as the following example shows: Can the private and public life of national heroes be differentiated? Why is this problematic; how does historical analysis and cinematic representation solve this problem? When films rewrite historical fact, reshape historical figures do they do they also not become the dynamic forces at the core of history? Does each era have its own heroes? Can they be grouped into types? To what extent do the preferences of each period towards its national heroes, finest hours and greatest victories/defeats reflect the changes in popular/historical/cultural memory? Why does a group wishing to adjust to the present have to (first and foremost) fine-tune the memory of the past? Let there be no misunderstanding, I do not have the answers to these questions (some of which point way further than the scope of the present study). I still believe that the speculative answers offered to them would have taken us further than Chapman's "catalogues" of empiricist research.

Interestingly enough the chapter dedicated to *Elizabeth* (1997, dir.: Shekhar Kapur) is the most open to exploration. Chapman is right to assert that the film reflected upon the worsening relations between Charles and Diana and "had acquired an unexpected and entirely accidental significance following the death of the Princess of Wales" (316). I would have extended this line of inquiry and examined the correlation between the film's representation of historic events and the changing popular imagination concerning the prestige of history, tradition and customs in the wake of Princess Diana's death and the royal family's inability to handle the situation. Whereas Elizabeth I had always been identified by popular memory as the female monarch who achieved full confidence of her subjects and was sometimes referred to as having married the nation this was not the case with Elizabeth II. During the shooting of *Elizabeth* there was actually a crisis of confidence in the institution of the monarchy and the royal family. Their image which was battered by their inability to adjust to the present, their hypocritical clinging to customs and could not have been more different from that of the Virgin Queen who – in popular imagination – was always ready to subordinate her personal interests. The situation was unique, the perception of the contemporary Monarchy (as something outmoded cherishing empty traditions and embracing a rather reactionary and Philistine historical heritage) was totally out of tune with how its past was viewed. Two discourses of conservatism emerged with opposing meanings yet closely tied to one another. I wonder if *Elizabeth* had any role in the retrieving of the monarchical honour and restoring the prestige of the Queen. Previously assistance arrived from the opposite direction, when members of the royal family attended premieres of historical films as a kind of marketing tactic. Chapman's skill with archival research could have provided the necessary details to research this hypothetical relationship.

Although *Past and Present* is a book in which the whole is less than the parts, it is a useful book and one I would recommend. In fact I use it both in

teaching and research. Chapman's comprehensive overviews of reviews, unpublished scripts and other hard to acquire material serve as valuable resources. In the classroom, especially in the teaching of British film history, the informative chapters following a uniform structure of analysis, written in a jargon-free language can be used to introduce a period, a director or a film. Thoroughness and accessibility are the unquestionable merits of the book, and so is the insistent argument that historical film offers debates not only in a variety of social, political and ideological issues, but is a form of communal discourse, one that considers contesting versions of cultural memory and national identity. Despite the above mentioned flaw of the empirical approach I am sure that Chapman's books and other (upcoming) titles in the series are going to have a bright future in front of them.

Contents

BOOK REVIEWS