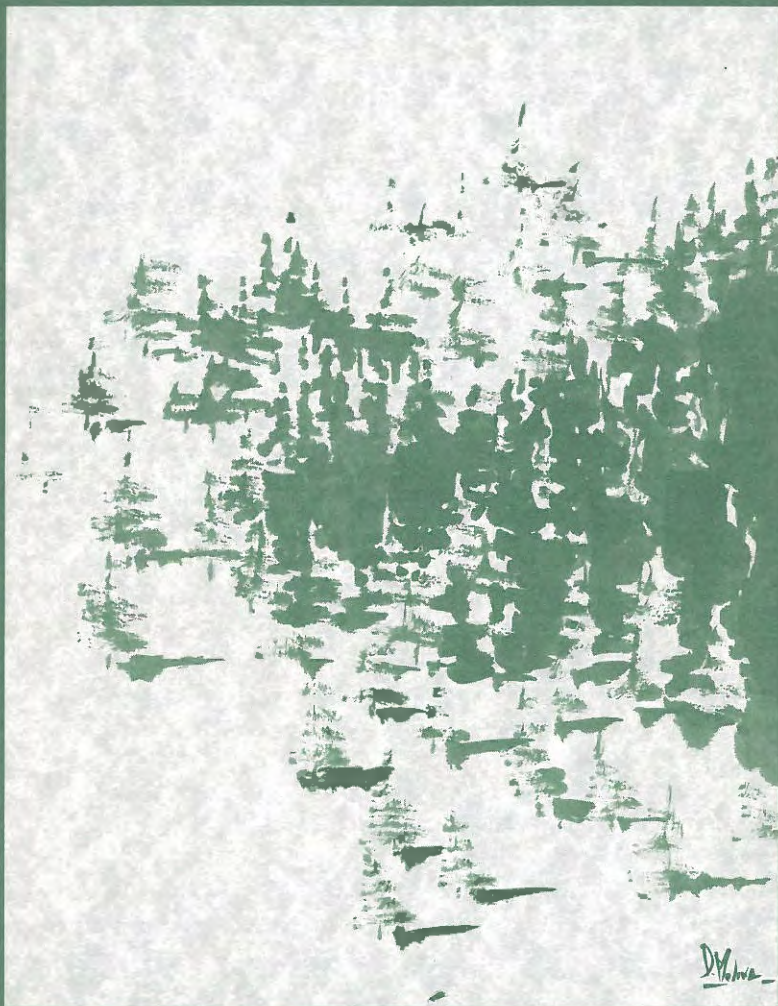


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UNDERSTANDING NARRATIVE DISCOURSE: A COMPUTER-BASED APPROACH TO THE PROBLEMS OF REFERENCE AND CO-REFERENCE

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Abstract

This paper focuses on the problems which undergraduate students of EFL encounter when they read and interpret narrative texts of high complexity, very especially those problems involving errors in the assignment of referents to personal pronouns. As a solution, it proposes a computer-based method adapted from Serrano Deza's computerized treatment of literary texts (1994), which helps dramatically to control this kind of disruptive reading

1. Introduction

In the 1995-6 academic year, I started teaching a course on Linguistic Analysis of Literary Texts to undergraduate Spanish students of EFL. The aim of the course was to show students the importance of language selection and language use in literary discourse, and the positive results that could be obtained from the application of linguistic methods to the study of literary texts, especially in terms of integration and objectivity (Traugott and Pratt, 1980; Fowler, 1986; Alonso, 1991). This was a procedure I had developed previously in my graduate courses, but the common complaint of students that these were matters to which

they should have been exposed earlier in their studies, encouraged the decision to introduce a similar subject at the undergraduate level. The curricular revision which was being implemented at the moment in Spanish universities offered a good opportunity.

The objective of the course was to analyse a literary text from the perspective of Discourse Analysis. This meant that the text would be considered as a communicative unit, its language being the vehicle to tackle not only the purely linguistic aspects, that is to say, the phonological, morpho-syntactic, and semantic components, but also the pragmatic constituents, both cognitive, situational, interpersonal, and intertextual. The emphasis would be put on the interaction existing among them, and the goal was to make students aware of the fact that language is at the centre of action in the literary text.

In a course of this type, where students are expected to acquire and/or activate different types of knowledge (textual, theoretical, literary, and/or encyclopaedic), time limitations are important. This is why a self-contained medium-sized short story seemed to be the best choice. The idea was to have an authentic complex text, so that all aspects of the methodology could be seen at work with no manipulation involved. In other words, I did not want to introduce a particular aspect of the subject matter and illustrate it with an excerpt chosen for the purpose. On the one hand, working with fragments would go against the basic idea of textual unit; on the other, this practice would give priority to the theory over the real product: the point would be made first and the illustration would become secondary. Some may think that for this kind of integrative work, a poem would be the best solution: our students are used to analysing poems focusing on the language conventions. But the challenge was to show them that the same kind of effect is also at work in more intricate and lengthier narrative texts.

Among my favourite selections for these courses are Katherine Mansfield's short stories. On the one hand, she is a careful writer, many of her stories are masterpieces, and she is conscious of the importance of her language choices for obtaining the desired results, as she had repeatedly said in her letters to friends and colleagues (see for example her *Letters and Journals*). On the other hand, she does not always present

the events in her stories in a clear, straightforward way. She makes heavy use of inference, and that means that the process of comprehension is often obscure and based on assumptions. For a proper understanding and interpretation of her texts, these assumptions have to be proved and controlled from the very beginning because most of them are interdependent.

Drawing the wrong assumption at an early point in the reading of a story may cause misreading of the totality. The reason is put forward by Sperber and Wilson in their work *Relevance*:

As a discourse proceeds, the hearer retrieves or constructs and then processes a number of assumptions. These form a gradually changing background against which new information is processed. Interpreting an utterance involves more than merely identifying the assumption explicitly expressed: it crucially involves working out the consequences of adding this assumption to a set of assumptions that have themselves already been processed.
(1986:144)

When a text is novel-size, the length and complexity of the events narrated may create different areas of local influence, and misunderstanding one of them may not be fatal for the comprehension of the globality. But this is not so when we are dealing with short stories which are concentrated into a few pages, and where, for reasons of economy, almost everything is necessarily relevant.

This is a fact that I was able to confirm when I offered my undergraduate students Katherine Mansfield's short story "The Man Without a Temperament" for analysis. As I have said elsewhere (Alonso, 1995), this story is controversial: it is easy to find disagreement among readers (professional critics and graduate students alike) as concerns the protagonist. Some sympathise with him and his situation, some hate him and find him totally inadequate for the events in his family life. But when my undergraduates read the story and brought their impressions to class before the analysis started, I was faced with a totally different

kind of problem. The issue here was not the nature of the male protagonist, but the identity of the different speakers.

Mansfield does not begin her story by orderly presenting all characters and naming them. First the male protagonist appears as a remote undefined "he", then various secondary characters are introduced and identified by means of generic labels such as "The Two Topknots" and "The American Woman". Only then is the female protagonist presented; she is the wife of the man with whom the story opens and is not given a name until later on in the text. This ambiguous treatment of the characters proved disruptive for many of my undergraduate students. They read the first page, and unconsciously wanted to look for referents for both the personal pronouns: "he" and "she" that were being used in those first thematic paragraphs. They resolved the case of "he" without much difficulty, for there was the title of the story to turn to: "The Man Without a Temperament". It is true that this easy solution heavily marked their appreciation of the character, because many of them never questioned this definition and continued to view the protagonist from this negative perspective, even if further on in the text there were grounds to change opinions.

But the assignment of a referent to the "she" of this early stage of the story, proved to be highly problematic. Many students did not leave a cataphoric space open for her to be filled later on, as is obviously the writer's intention. In their search for an identity, they went to the closest female character within the immediate cotext and found the American Woman. Their automatic assumption was that the "she" that was being referred to as the protagonist's wife was the American Woman. As a consequence of this, the whole interpretation of the text misfired. They were aware of the conflicts existing between the two main characters, but, disregarding the new pieces of information added as the story developed, interpreted these problems in terms of 1. lack of character on the part of the man (giving prominence to the title) and 2. cultural differences between the two (thinking that the man was British, as later on in the story he is referred to as "The English Man", and his wife "American"). No attention was paid to the fact that the wife suffers a fatal disease, and the husband's attention to her needs was mostly seen as a result of her dominant position in their relationship. The verbal

presence of a doctor at the end of the story giving the wife "two years at the most" was not processed, or, if it was, it was not afforded the appropriate weight. The trouble was that it came too late in the story when assumptions had already been made and predictions completed. Mansfield had constructed her story on suggestions, building a gradually developing climax based on information gaps and interdependent inferences. The open revelation came only at the end, though language had been used to signal it all the way through. But most undergraduate students were too impatient to wait till the end to draw conclusions, accustomed as they are to the importance of bringing forth an acceptable and reasonable interpretation of the text in the classroom.

These referential problems were not the only ones we found as the analysis of the text progressed. Once these general questions were settled, students were asked to analyse the totality of the story. The text was divided into coherent sequences and class time was devoted to analysing the language in detail. All students were supposed to perform the analysis of all sequences, but the presentation of their results to the class was done on a pair-work basis. That is to say, the class presentation of each sequence was assigned to a couple of students who read their findings to the class after which a discussion followed.

This step by step procedure exposed more confusing associations: 1. all other couples in the story: The Two Topknots and The Honey Moon Couple (even if the former are two sisters), were at some point or other mistaken for the protagonist married couple (The Salesbys) and the wrong consequences drawn; 2. all maids in the story: The servant girl in the Pension Villa Excelsior and Millie, the Salebys' maid in London, were once taken to be the same person; 3. the same thing happened, more than once this time, with the servant girl mentioned above and the little girl who appears later on in the story frightened by the presence of the male protagonist. The fact that they were both referred to as "girl" by the narrator, was sufficient for some students to identify them as the same person. Furthermore, in a sequence where the waiter Antonio serves tea to the Salesbys and the wife speaks both to him and to her husband, the referents were confused and the husband's answer was attributed to the waiter and interpreted as ironic, which indeed was not. These are just a few cases that show the complexity of the problem.

2. Intensive and extensive reading

The first idea that may come to our minds when we consider the situation is that this particular story by Mansfield was too difficult for these students. I must admit that some of them may have lacked the linguistic competence to manage successfully, but others were fully proficient in the use of English and should have been able to deal with it properly had their reading been more careful. The referential problems accounted for were not limited to those with a poorer knowledge of the language. I must also say that these were students who had had training in different courses of English Literature and North-American Literature, their work including the reading and critical appreciation of Medieval, Renaissance and Restoration English texts, as well as North American writings of the complexity of William Faulkner's *The Sound and the Fury*. Even if their reading was guided, I doubt that the comprehension process of these texts was as sound as assumed in view of the difficulties they had with the 12-page long Mansfield story.

It is a common practice in our classrooms to train students in both intensive and extensive reading. The treatment given to each aspect of the comprehension activity is, however, quite different. Intensive reading is characteristic of the language class where comprehension work is done on fairly short texts (usually 1 or 2-page long articles or excerpts), although their language may be highly complex according to the level presupposed to students in the course. One typical exercise for this approach is the assignment of reference, mainly of the intersentential kind. This may seem quite a simple exercise, when compared to open-ended questions, transformations, or lexical definitions... which require much more productive effort on the part of the student, but experience proves the contrary. Many misreadings are based on the wrong identification of a referent to a given pronoun. In spite of this, the limited length of the text and the "targeted" nature of questions together with the environment (a class where students are explicitly testing their comprehension capacity) makes control over the possible mistakes quite manageable. I will not discuss here if this control is sufficient to make students fully aware of the nature of their errors so that they may improve their skills, or if the technique followed becomes reduced to mechanical

correction of mistakes. Factors such as the number of students per class, and the disparity in linguistic competence, which are quite frequent in our university classrooms, must certainly act against the proper functioning of the activity.

As for extensive reading, it is a practice almost exclusively developed in literature classes where the aim is very different. When long complex narrative texts such as short stories or novels are studied, the focus tends to be mainly on their contents. Intertextual work is done, but the emphasis is on the comparison and/or appreciation of ideas with not much attention paid to the way in which these ideas are expressed. If the style is considered, it is usually approached from a global perspective; or, if local aspects are dealt with, it is done through examples treated in isolation. For obvious reasons of time limitations and broad scope (more than one book must be read, more than one author studied), the reading is generally an out of class activity and only the interpretation is discussed and monitored. In these circumstances wrong assumptions derived from poor readings may very well go unnoticed by the instructor, and the problem might be classified as interpretation based on insufficient and/or erroneous data or, even more frequently, as "free" interpretation. Students may always recur to the issue of subjectivity, and because of the difficulties in demonstrating the contrary—which would involve a full revision of the evidence gathered and the assumptions drawn—the cause of the unsatisfactory production would not be further investigated. Thus the obvious link between comprehension and interpretation would be lost.

The critical question of reference assignment is totally out of place in such a context. And yet problems arise when this mechanical activity is done as an inevitable part of the reading process. One of my students admitted that, after being made aware of the problem, she stopped herself quite often when she was reading novels for her literature classes, and asked herself the crucial question: "wait a minute, who is speaking?". And this student had no problem with language understanding: as a matter of fact, she was among the top 5% of her class.

Once the case has been presented, I will describe a method I have devised for this very course on literary text analysis to control the kind

of disruptive reading I am describing. It involves computers and, besides being very attractive to undergraduate students who do not normally associate computerized work with the humanities, it helps dramatically to improve the situation.

3. A Computer-based method

The method I will describe here adapts Serrano Deza's proposal of computer-assisted literary text analysis (1994). His method uses the software Hyperbase for Macintosh to undertake computerized treatment of literary texts including basic operations such as concordance, factor analysis, etc. But he also recommends completing the procedure with the elaboration of a characters' file. It is this part of the method which I have adapted to repair problems of reference assignment.

Serrano works with theatre, and his proposal of creating a characters' file aims at integrating all the contributions, made by the different characters into unitary blocks. In this way, the researcher has direct visual access to all the utterances of each and every character, which facilitates the analysis of their individual styles. In theatre, this is quite a mechanical procedure because every single contribution is preceded by the name of the character who utters the words. So what Serrano recommends is a reorganization of the scanned text following these steps:

1. All linguistic items which do not belong to a character (title and stage directions) are cut off from the text and put in a different file.

2. All names of characters are rewritten using capital letters and made to be preceded and followed respectively by the signs #... > in the following way: #NAME>

No space must be left between the arrow and the actual words, and, if the names consist of more than one word, they must be reduced to one by putting all words together. If the resulting name is too long, it may be abbreviated.

3. Once this procedure has been completed, the sort command in the computer is used to rearrange all contributions in alphabetical order.

4. All labels but the first identifying the different contributions of the different characters are dropped. In this way, compact blocks of all

the words uttered by each character are obtained, and are then ready for analysis.

When the procedure of creating a characters' file is applied to narrative texts, the task becomes anything but mechanical. This is so because, unlike theatre, narrations rarely identify their speakers in an explicit way. It is thus the responsibility of the analyst to assign every character, including the narrator, his/her words. And this is what makes the method useful and effective for our specific purpose of reference assignment, although some adjustment must be made in order to make it adequate for our needs. The first step applies to narrations only as regards the title, forewords, epilogues, etc. for these are the only expressions in a narrative text which belong to a non-fictional speaker. As for the third and fourth steps, they are seen as the natural outcome of the task. Students are asked to complete them and they are shown the advantages of rearranging a literary text for the sake of analysis and appreciation. They are also exposed to the importance of using computers to perform what would be otherwise an arduous task.

But it is the second step I wish to focus on because it specifically suits our needs. This step requires that every utterance be assigned a speaker which brings students face to face with the problem of explicit identification. In such a situation making intuitive assumptions as one reads along may no longer be a valid move. To begin with, narrative texts present a series of problems which do not exist in plays. The first problem is as basic as deciding whether the narrator is to be considered a speaker on an equal basis with the characters. For this issue I propose following Adams' view on the pragmatics of fiction, according to which all voices within the fictional world are fictional speakers (1985). This means that the narrator and the characters receive the same treatment, it also means that all utterances in the verbal text must find an owner. The procedure asks therefore for the progressive separation of speech into units which belong to a series of speakers. These units must be preceded by the corresponding label identifying the speaker by name or title (e.g. #NARRATOR>). In this way, problems of reference involving the more indefinite "he's" or "she's" have to be solved on the spot, and no place is left for wrong assumptions.

As a rule, students have no difficulty in identifying the narrator's speech, but having to separate it from the rest of the verbal text helps them to appreciate the kind of language that characterises it: dominant use of narrative tense, background use of aspectual forms, choice of pronouns and their implications, use of deictics to create and integrate a context, etc. This actually works as a positive side-effect of the method. With respect to the characters, constant monitoring of the process of utterance assignment is needed to make sure speakers are correctly identified at all times, thus preventing the type of mistakes that have been described above.

It should be remarked that when the text is confronted in this way, the global structure is permanently active and problems concerning the assignment of reference are not limited to the immediate context. Students focus their attention on speakers, and, once they have a good number of them, they tend to be conservative and economical in the sense that any new contribution is preferably assigned to an already existing character. As has been discussed, this attitude may cause serious problems for no new slots are created for the new character and the process of understanding and interpretation may be strongly distorted. Solving these errors is a productive task. Students are made to search the text for the correct answer, investigating the language and creating a logical bond between the processes of reading, understanding, and interpretation. In this way, computer based analysis proves to be an interesting and efficient complement to the linguistic analysis practiced in regular classes. When students are asked to analyse linguistically an excerpt of the text, they tend to concentrate on that excerpt disregarding the totality of the text in favour of a more local view. It is the teacher's task to remind them of the links existing among the different passages, and to trace those elements whose recurrence achieved a global effect and helped build a coherent and cohesive network of relations.

A second problem when utterance assignment work is undertaken with narrative texts is with those utterances where narration mixes with the actual words spoken by the characters. For example, decisions have to be made concerning a) introductory clauses to the reported speech of characters, and b) cases of free direct and free indirect style. I opted to

solve these problems by negotiating some conventional rules with students. On the one hand, we agreed not to separate the introductory clauses, which actually belong to the narrator, from the words on which they comment and which belong to the characters. The decision was based on grammatical and semantic reasons in an attempt to preserve the unity of both sentential structures and meaning. On the other hand, we decided to consider sections using free direct and free indirect style—where the characters' mind is penetrated by the narrator, in the first case, and the characters' words filtered through the narrator's voice, in the second— as pertaining to the characters because it was their thoughts that were being revealed. Other options were possible, but we found our decisions scientifically sound and reasonable. Once the procedure was stated, students were told to always follow these rules and to make them explicit in the exposition of their work, so that anybody having access to the resulting material could have a clear idea of the formula which had been applied.

A third problem worth mentioning had to do with the existence of three flashback passages in "The Man Without a Temperament", which are evenly distributed all along the story (one at the beginning, one in the middle, one at the end). In these flashbacks the spatial anchoring changes situating the action on a previous temporal frame. The protagonists remain the same as in the rest of the story, but the secondary characters change. Here our decision was to keep these blocks unaltered (they were one paragraph long each), identifying them as #FLASHBACK1>, #FLASHBACK2>, and #FLASHBACK3>. A second possible step would have been to create an alternative file with them where the whole procedure of utterance assignment could have been repeated, thus obtaining grounds for systematic comparative treatment. We didn't pursue this second step however, and given the short length of all three passages opted instead for simple visual analysis of the data.

An essential property of this method is that students learn about language and linguistics in a practical way, by facing and solving the problems they encounter. When their task is completed, they have a sense of accomplishment. Not only have they worked extensively with the language of a complex narrative text using a computer, they have also succeeded in presenting a given literary text in an alternative way.

They become familiar with the characters' styles, with their idiosyncracies as reflected in their language. Furthermore, they see the potentials of linguistic work for complex texts, and stop associating linguistics with grammar and the minimal units of language.

4. Conclusion

This method of analysis is applicable at all levels of language learning, the only requirement being a careful selection of the text submitted for analysis. A certain degree of complexity and richness of characters are recommended. When the text is too easy, the challenge disappears and the task becomes mechanical. Students should be exposed to certain linguistic problems in order to create in them the desirable state of awareness. The fact that computers are used as a tool is always attractive, and provides a change from the sometimes monotonous rhythm of the more traditional class setting. I find that working in pairs is also an advantage in this task. When students get together to produce one single product, they have to express their opinions and reason their ideas to reach a compromise. This is a way for them to appreciate the extension of the mental processes which underlie all types of intellectual work.

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Appendix

Here is an extract of the characters' file in alphabetical order. It shows the intermediate stage with all characters' contributions identified by their corresponding labels. The final step would be to drop all labels but the first.

#AMERICAN WOMAN> "Isn't that the most terrible thing you've ever seen! Isn't that ghoulish!" It was on the other side of the veranda, after all... and besides it couldn't touch her, could it, Klaymongso? She was an American Woman, wasn't she, Klaymongso, and she'd just go right away to her Consul.

#AMERICAN WOMAN> "Have you seen this moon?"

#AMERICAN WOMAN> "My! have you been out fishing?" cried the American Woman.

#AMERICAN WOMAN> "No," said the American Woman, "take it away, Antonio. We can't eat soup. We can't eat anything mushy, can we, Klaymongso?"

#AMERICAN WOMAN> "Vous avez voo ça!" said the American Woman.

#AMERICAN WOMAN>"We're having a feast of reason and a flow of soul."

#ANTONIO>"Just this moment, Signora," grinned Antonio. "I tooka them from the postman myself. I made-a the postman give them for me."

#COUNTESS>"An egg and mashed potatoes for the General."

#COUNTESS>"Mr. Queet ! Mr. Queet !"

#COUNTESS>"The General's egg's too hard again."

#COUNTESS>"There he goes," she said spitefully.

#COUNTESS>"What is it? Rice? Is it cooked?" The Countess peered through her lorgnette. "Mr. Queet, the General can have some of this soup if it is cooked."

#DRIVER>"It is the Englishman," said the driver, turning round and smiling.

SCRIBAL ATTITUDES TOWARDS SYNTACTIC CHANGE IN LATE OLD AND EARLY MIDDLE ENGLISH

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Abstract

The change from the Germanic SOV order to present-day English SVO is traditionally located in the Middle English period. Recent research on Old English syntax indicates that the change from one pattern to the other was under way already in late Old English, although the existence of a highly conservative written standard helped to avoid the use of the new syntactic patterns until the Norman Conquest. This paper intends to reconstruct patterns of syntactic variation in late Old English legal documents and in their Middle English copies and translations. My aim here is to determine the extent to which post-conquest scribes from different English dialectal areas felt the necessity to modify the syntax of their original texts, in order to make their copies more understandable. Moreover, this analysis allows a reconstruction of the dialectal and chronological distribution of these two competing syntactic patterns.

1. Orientation and Scope

While the SOV character of Proto-Germanic (henceforth PGmc.) has been universally accepted (Lehmann, 1972), the analysis of syntactic

patterns in early English continues to be a source of discrepancy among contemporary philologists devoted to this field of historical linguistics. Generative transformational approaches, based on the presence of certain surface constructions in the language, have shown that Old English was verb final (van Kemenade, 1987); meanwhile, linguists who base themselves on the frequency of the different types of word order opt for a SVO order for OE (West, 1973). This situation differs clearly from the one found for Late Middle English, where, in spite of the scarcity of research on word order, consensus on the prevalence of the SVO pattern is general (Fischer, 1992).

Consistency in syntactic patterns is not usual, and problems of syntactic characterization are obviously frequent. However, what is clear from the above assumptions is that the English language suffered a series of radical changes at its earliest stages, that affected the V-final patterns of PGmc.

Research on Old and Middle English word order has been mainly concerned with the analysis of individual texts or groups of texts from a synchronic perspective, and reference to syntactic evolution is still scanty and methodologically problematic.

In this paper, I am presenting an approach to the process of development and diffusion of SVO patterns in Late Old English based on the analysis of a group of 68 legal documents written or copied throughout the country during the Medieval period. These documents, originally composed between 978 and 1066, continued to be copied and translated throughout the medieval period in different parts of England.

2. The Corpus

The corpus used here is composed of 68 charters and writs in Old English or modified Old English.¹ I part here from the generally admitted

¹ The documents used for this research correspond to the following references in Harmer's edition (1952): 1; 2; 4; 5; 6; 7; 8; 9; 10; 11; 12; 13; 14; 15; 16; 17; 18; 19; 20; 21; 22; 23; 24; 25; 26; 27; 28; 29; 30; 33; 34; 35; 38; 39; 40; 41; 42; 43; 44; 45; 47; 49; 51; 52; 53; 54; 61; 62; 63; 64; 67; 74; 75; 76; 77; 78; 88; 90; 107; 108; 111; 114; 115; 116; 117; 118; 120; 121.

(though still debated) assumption that most of these texts were written by their own recipients (Harmer, 1952:38), which should have allowed some degree of dialectal variation. However, the validity of these documents as dialectal informants has not been made evident until very recently, and only on the phonological and morphological levels (Kitson, 1990, 1992).

Moreover, the documents studied here cover a time-span of 100 years for the original charters, and of more than 400 years for later copies and translations,² with the subsequent implications for their analysis as diachronic informants. The total number of sentences analysed for this study amounts to 540, distributed as follows:

Northumbria:	20
East Mercia:	156
West Mercia:	80
Wessex:	173
Kent:	111

3. Basic Word-Order Patterns in Old English Writs

In order to classify and analyse the linguistic material extracted from this corpus, the following syntactic patterns will be distinguished here (adapted from Kubouchi, 1975):

A. Independent clauses

A.1. Independent clauses which are not introduced by a coordinate conjunction or adverbial.

A.2. Independent clauses introduced by adverbials

A.3. Coordinate clauses which are introduced by a coordinate conjunction

B. Dependent clauses

A primary application of this model to our sample has given the following results:

² Díaz (1997) gives an account on linguistic adaptation in post-Conquest versions of OE charters.

1. Independent clauses follow any of the SVO-related patterns (i.e. SVO, SVOC, SVCO, SCVO and CSVO); this is especially clear in the case of clauses which are not introduced by an adverbial, with a rate of 86.25% of occurrences of SVO for independent clauses and 98.29% for clauses coordinated by "and".
2. Dependent clauses show a tendency towards SOV patterns, with a percentage of 53.56% against 45.70% for SVO.

These results clearly agree with similar studies on word order in Old and early Middle English, such as Mitchell (1964), Palmatier (1969), Williams (1982) and Hornero (1994), in signalling a slow but continuous process of generalization of non-Germanic SVO patterns, which is more evident in the case of independent clauses. However, and unlike these studies, our data can be further classified according to the geographical and chronological origin of the texts analysed, in order to get more information on syntactic variation in early English.

4. Patterns of Dialectal Variation

While SOV patterns are practically unknown in texts copied in Northern England, with a percentage of 100% of SOV for independent clauses and 90% for dependent clauses, the number of occurrences of such patterns increases as we turn to documents of Central and Southern origin.

In the case of East Anglia, independent clauses of the types A.1 and A.3 show a clear preference for SVO patterns, with percentages of 92.8% and 97.4% respectively; only in the case of independent clauses introduced by and adverbial inverted patterns are preponderant, with a 100% of occurrences of VSO. Dependent clauses do not show a clear preference for any of the two patterns, with a frequency of 51.1% for SVO and 48.9% for SOV and related patterns.

The frequency of SVO is lower in West Anglia, with 81.8% of the total for independent clauses not introduced by an adverb and 100% for coordinated clauses; again in this case, the VSO pattern is clearly predominant for clauses of the type A.2 (with 100%). Likewise, this

tendency affects dependent clauses, with only a 47% of occurrences of SVO.

Texts written in the area of Wessex show the lowest percentage of SVO, especially in the case of dependent clauses (with just a 29.4%). However, independent clauses clearly point to a preponderance of the SVO pattern, with a total of 83.3% and 97.3% for types A.1 and A.3; adverbials continue to cause inversion in 66.6% of the cases.

Finally, texts originated in Kent show higher rates of SVO both in independent (with 88.2% and 100%) and dependent clauses (with 45.3%). These partial results are represented in **fig. 1**, where percentages are given in brackets.

	NORTHUMBRIA	EAST ANGLIA	WEST ANGLIA	WESSEX	KENT
TYPE A.1:					
SVO	4 (100)	26 (92.8)	9 (81.8)	25 (83.3)	15 (88.2)
SOV	-	2 (7.2)	2 (18.2)	5 (16.7)	2 (11.8)
TYPE A.2:					
SVO	-	-	-	1 (33.3)	1 (16.7)
VSO	-	2 (100)	6 (100)	2 (66.6)	5 (83.3)
TYPE A.3:					
SVO	6 (100)	37 (97.4)	12 (100)	37 (97.3)	24 (100)
SOV	-	1 (2.6)	-	1 (2.7)	-
TYPE B:					
SVO	9 (90.0)	45 (51.1)	24 (47.0)	30 (29.4)	29 (45.3)
SOV	1 (10.0)	43 (48.9)	27 (53.0)	72 (70.6)	35 (54.7)

Fig. 1: Regional distribution of SVO and SOV patterns.

5. Patterns of Chronological Variation

In order to discern possible patterns of chronological variation, the

documents have been classified according to their date of composition (which is usually expressed on the document itself) and to the approximate date in which the copy analysed was made.

Texts originally written during the reign of King Æthelred II (978-1016) do not present any occurrences of the SOV pattern for independent clauses, but dependent ones clearly point out to a predominance of this order (82.1%). As for documents written between 1016 and 1042, 85.7% of independent and 52% of dependent clauses follow the SVO pattern. Finally, also the third period (corresponding to the reign of King William I) is characterized by a tendency toward SVO, with a 85.7% of occurrences for independent clauses; however, the pattern SOV predominates in dependent clauses from this period, with a 54.8%. **Fig. 2** below gives a full representation of these percentages.

In spite of the low representativity of the data corresponding to the first period, evidences from periods B and C point towards a maintainance

	A. 878-1016	B. 1016-1042	C. 1042-1066
TYPE A.1:			
SVO	7 (100)	6 (85.7)	66 (85.7)
SOV	-	1 (14.3)	11 (14.3)
TYPE A.2:			
SVO	-	1 (20.0)	2 (20.0)
VSO	2 (100)	4 (80.0)	8 (80.0)
TYPE A.3:			
SVO	7 (100)	9 (100)	99 (98.0)
SOV	-	-	2 (2.0)
TYPE B:			
SVO	5 (17.9)	13 (52.0)	119 (45.2)
SOV	23 (82.1)	11 (44.0)	144 (54.8)

Fig. 2: Chronological distribution of SVO and SOV patterns (I).

of the same linguistic habits during 50 years, which can be related either to the continued cultivation of a standardised variety of Old English or to the existence of fixed legal conventions and formulas widely used throughout the country by the clerks involved in the production of such documents (Harmer, 1952:57-60).

6. Syntactic Modernization in Post-Conquest Copies of Anglo-Saxon Writs

In order to complete this analysis, a third classification of the data is proposed, that is based on the date of the manuscript where each copy is contained. Copies of Anglo-Saxon legal documents continued to be made for more than four centuries after the Conquest. Two different reasons can be given to justify this interest towards Old English documents: during the 12th and 13th centuries, the owners' needed to preserve original documents from the damages caused by frequent consultation and use, which favoured the production of large numbers of copies of Anglo-Saxon charters and writs in different monastic houses (Laing, 1991:51); after this date, the interest towards Old English caused a growing number of copies and translations of Anglo-Saxon texts, mainly by antiquarians (Harmer, 1952:108).

Moreover, copies of Old and Middle English texts made during this period usually correspond to one of these two general approaches (Smith, 1991:54): *literatim*-copy (i.e. exact reproduction of the original texts, that affects both linguistic and calligraphic forms) and linguistic adaptation (with different levels of modernization). These two scribal attitudes, that have been individualized thanks to recent studies on orthographic variation in Middle English manuscripts (see especially McIntosh, Samuel & Benskin, 1986), are widely represented in our copies of Anglo-Saxon writs. However, their implications on the syntactic arrangement of the copies have never been analysed.

As can be seen from **fig. 3**, the data extracted from our texts indicates a progressive decrease in the use of SOV patterns and a generalization of the order SVO, both in independent and dependent clauses. This evolution is parallel to the growing tendency towards orthographic

modernization in copies of Old and early Middle English texts, that become especially evident after circa 1200 with the progressive breaking down of the old *scriptorium*-system (Benskin & Laing, 1981:88-91) and the generalization of linguistic adaptation or "translation" as the preferred mode of copying amongst medieval scribes (Smith, 1992:589).

	before 1100	1100-1200	1200-1300	after 1300
TYPE A.1:				
SVO	28 (87.5)	11 (100)	30 (91.0)	16 (80.0)
SOV	4 (12.5)	-	3 (9.0)	4 (20.0)
TYPE A.2:				
SVO	1 (12.5)	1 (16.7)	-	-
VSO	7 (87.5)	5 (83.3)	2 (100)	1 (100)
TYPE A.3:				
SVO	24 (96.0)	17 (100)	51 (98.0)	22 (100)
SOV	1 (4.0)	-	1 (2.0)	-
TYPE B:				
SVO	35 (33.0)	26 (45.6)	43 (46.2)	35 (63.6)
SOV	71 (67.0)	31 (54.4)	50 (53.8)	20 (36.4)

Fig. 3: Chronological distribution of SVO and SOV patterns (II).

7. Scribal attitudes and syntactic adaptation

If we assume that the 68 texts analysed here can be taken as representative of the language used in the whole bulk of Anglo-Saxon legal documents that continued to be copied after the Norman Conquest of England, the thesis of the existence of a growing tendency towards syntactic modernization by scribes involved in the copying of Old English texts should be advanced from the above discussion.

McIntosh (McIntosh, Samuels & Benskin, 1986:31-32) makes reference to four different levels of translation between Middle English dialects, that correspond to the domains of spelling, morphology, syntax and lexicon.³ Syntactic translation appears here as the last step towards linguistic adaptation, in a way that only copies with high degrees of orthographic and morphologic modernization are susceptible to present some level of syntactic adaptation. The different relations between these levels can be represented as follows:

UNIT OF COPY					
	letter	word	phrase	clause	sentence
SPELLING	C	C/M/T	T	T	T
MORPHOLOGY	C	C/M/T	T	T	T
SYNTAX					
phrase	C	C	T	T	T
clause	C	C	M	T	T
sentence	C	C	M	M	T
	non-cursive			cursive	
ASSOCIATED SCRIPT					

Fig. 4: Levels of translation related to scribal practice. C=copied, T=translated, M=mixed (from McIntosh, Samuel & Benskin, 1986:32).

³ In general terms, this typology can be applied to diachronic translation from Old into early Middle English (Díaz, 1996:5).

In order to complete our analysis, a group of 10 highly modernized copies of Anglo-Saxon documents made between 1200 and 1300 has been analysed again,⁴ with the following results: SVO patterns are used in all the independent clauses, and in 78.5% of the dependent clauses extracted from these texts.

8. Conclusion

Differently to spelling and morphology, the study of syntactic translation has not been given much attention by Old and Middle English dialectologists. This analysis of Anglo-Saxon legal documents has permitted a primary approach to different aspects of diatopical and diachronical variation in Old English syntax. From a dialectal point of view, Northern and Central documents show a clear tendency towards V-non-final constructions, that will finally extend to the rest of the country. From a diachronic perspective, striking similitudes between texts originally written in the 11th century have been found. Only by displaying our data after the date of the manuscript where the copy was made the chronological component has acquired significance: thus, the generalization of more innovative approaches towards the copying of texts after circa 1200 meant an increase in the number of adaptations from SOV to SVO patterns by medieval scribes, that goes parallel to spelling and morphological translation.

What is obvious from this brief analysis is that there exists a very clear correlation between dialectal variation, scribal attitudes and syntactic translation, a theory that, in spite of the manifold problems involved in the study of syntactic variation, deserves wider research.

⁴These texts correspond to the following numbers in Harmer's edition (1952): 1; 8; 10; 18; 20; 49; 64; 77 and 116.

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LA DESCORTESÍA NO INTENCIONADA Y EL DISCURSO NO CORTÉS: EL FALLO PRAGMÁTICO

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Abstract

The aim of the present paper is to make a practical study of linguistic rudeness, particularly that of unintended rudeness which depends on the different discourse and context types used by speakers and which is related to the notion of pragmatic failure proposed by Thomas (1983). The corpus of data is made up of conversational exchanges taken from American original films, in order to try to demonstrate the initial hypothesis, besides proposing other conclusions related to the pragmatic theory of linguistic politeness.

I. Introducción

El lenguaje, y con él, la comunicación, es un fenómeno complejo a tres niveles: físico o puramente lingüístico, mental o cognoscitivo, y social o interactivo. La pragmática toma en consideración estos tres niveles ya que, como indica Mey (1993), se interesa no sólo por el producto final de la comunicación, sino por el proceso del lenguaje y por sus productores.

Sin embargo, la función primordial del lenguaje es la interactiva o social. El estudio de esta función se lleva a cabo desde la teoría de la cortesía. Cuando Grice (1975) postula el Principio de Cooperación y admite la existencia de otros principios conversacionales relacionados con la cortesía, empiezan a crearse modelos teóricos sobre cortesía lingüística, como el de Lakoff (1973), Fraser y Nolen (1981), y Leech (1983). Pero el más influyente e importante de todos es el modelo de Brown y Levinson, creado en 1978 y reeditado posteriormente en 1987.

Según estos autores, la mayoría de los actos de habla son Actos contra la Imagen (ACIs) –*Face Threatening Acts*– es decir, actos cuyo contenido proposicional daña la imagen, ya sea la positiva o la negativa, la ajena o la propia, por lo que los hablantes deben emplear una serie de estrategias lingüísticas por medio de las cuales el mismo contenido proposicional es expresado de distinta forma, reduciendo así el riesgo potencial del acto.¹

Por consiguiente, la teoría de la cortesía considera que por medio de la forma lingüística los hablantes extrapolan la relación social que mantienen con sus interlocutores. Así, la cortesía debe entenderse como la codificación lingüística de la interacción social (Garcés, 1993).

Dentro del marco de la teoría de la cortesía se sitúa el presente estudio, en el que parto de la premisa de que no se puede realizar un estudio práctico del discurso desde la dualidad cortés/descortés. En ocasiones, existe una descortesía no intencionada que depende de factores contextuales, como es el tipo de discurso que utiliza el hablante. En mi opinión, esta descortesía no intencionada está intrínsecamente relacionada con la definición de fallo pragmático propuesta por Thomas (1983) y es uno de los principales motivos por los que pueden crearse estereotipos equivocados sobre el comportamiento lingüístico de un determinado hablante, tal y como intentaré demostrar posteriormente en el análisis del *corpus*.

La motivación subyacente a la realización de este trabajo se relaciona con el hecho de que no hay trabajos de tipo empírico que sigan esta línea de análisis. Los diferentes autores han postulado de manera teóri-

¹ Para más información sobre las estrategias de cortesía, véase Brown y Levinson (1987).

ca la diferenciación entre cortesía, descortesía no intencionada y rudeza, pero no presentan estudios detallados al respecto. La mayoría de los trabajos prácticos se basan sólo en el concepto de cortesía, y creo que también es importante estudiar la descortesía, su función en el discurso, la motivación del hablante para ser descortés, y por qué el oyente entiende un mensaje determinado como descortés cuando en realidad ésta no ha sido la intención del hablante. En resumen, ver la descortesía como comportamiento complementario de la cortesía, lo cual, en mi opinión, necesita ser estudiado.

Tampoco hay apenas estudios empíricos que analicen la interconexión entre tipo discursivo y cortesía y, desde mi punto de vista, éste es uno de los aspectos más relevantes a la hora de categorizar un determinado comportamiento lingüístico como cortés o descortés. Es decir, el género o tipo discursivo puede delimitar las expectativas que surgen al considerar un enunciado como cortés o descortés en un contexto determinado.

Por otra parte, es muy importante relacionar la noción de fallo pragmático —prácticamente una de las piedras angulares del estudio pragmático de la L2— con la L1 ya que, además de ser una aproximación novedosa, demuestra la complejidad del fenómeno lingüístico. La comunicación lingüística no sólo consiste en emplear un código y seguir unas reglas determinadas, sino que es algo mucho más complejo, tal y como la teoría pragmática, en especial la de la cortesía, defiende. Aunque los hablantes posean un mismo código lingüístico, esto es, una misma lengua, pueden surgir problemas interactivos como consecuencia de factores contextuales y, en definitiva, del fallo pragmático.

A continuación, presento una breve revisión y discusión de los planteamientos teóricos necesarios, que aplico y desarrollo con detalle en el análisis del *corpus*, para intentar demostrar mi hipótesis inicial: la existencia de una descortesía no intencionada que depende, en gran parte, del tipo discursivo elegido por el hablante y presentar, además, la descortesía como comportamiento complementario de la cortesía.

II. Fundamentos teóricos

1. Tipos discursivos: interactivo, informativo y no cortés

La aplicación de los modelos teóricos de cortesía lingüística a la totalidad del discurso indica la importancia de otros factores contextuales diferentes de los que influyen en la apreciación de los actos de habla individuales. Es decir, el género o tipo de discurso empleado influye en la decisión que el hablante debe tomar sobre qué forma ha de darle a su mensaje teniendo en cuenta al oyente, esto es, teniendo en cuenta la cortesía.

En cuanto al tipo de discurso, hay una clasificación global propuesta por Brown y Yule (1983). Según estos autores, existen dos tipos de discurso: el discurso interactivo y el discurso informativo. El **discurso interactivo** o *interactional discourse* es aquel que tiene como objetivo principal establecer y mantener las relaciones sociales entre los interlocutores. En este tipo de discurso el cumplimiento del Principio de Cortesía (Leech, 1983)² es más importante que el Principio de Cooperación (Grice, 1975), ya que su fin es asegurar que la imagen de los interlocutores no se vea afectada por la forma en que está codificado el mensaje. El **discurso informativo**, denominado por Brown y Yule, *transactional discourse*, es el que se caracteriza por la transmisión eficaz de información y, en consecuencia, por cumplir el Principio de Cooperación. Así, el hablante pretende que el oyente entienda su mensaje de forma clara y concisa, sin preocuparse por cuestiones de cortesía.

Lakoff (1989) toma como punto de referencia la distinción entre discurso interactivo e informativo, considerando la conversación ordinaria como ejemplo del primero, y el discurso terapéutico entre médico-paciente y el discurso judicial como ejemplos del segundo. Basándose en esto, Lakoff propone la diferenciación entre cortesía, comportamiento **no cortés** y descortesía. La distinción entre no cortés y descortés es muy importante ya que permite analizar el comportamiento lingüístico

² "Minimize (other things being equal) the expression of impolite beliefs'. (...) Maximize (other things being equal) the expression of polite beliefs" (Leech, 1983:81).

de los hablantes dependiendo del tipo de discurso que utilicen. Así, el hablante que siga un discurso informativo, tendrá lo que Lakoff denomina *non-polite behavior*, entendiéndose la supuesta descortesía de este tipo de discurso desde la función informativa que tiene.

2. La descortesía no intencionada y el fallo pragmático

Respecto al concepto de descortesía o rudeza, hay que decir que es completamente diferente al comportamiento no cortés, ya que se caracteriza por la desviación de lo que cuenta como político o cortés en un determinado contexto, es inherentemente problemática y está encaminada a destruir el equilibrio social. Dentro de esta descortesía, Kasper (1990) distingue entre descortesía intencionada y **descortesía no intencionada**. Esta última se refiere a la violación de las normas sociales corteses debido a la ignorancia del hablante.

Desde mi punto de vista, esta descortesía no intencionada se relaciona con la definición de **fallo pragmático** propuesta por Thomas (1983). Según Thomas, se puede afirmar que existe fallo pragmático cada vez que el oyente percibe o interpreta la fuerza ilocutiva del enunciado o intención del hablante de forma diferente a lo que éste quería que interpretase. En resumen, el término "fallo pragmático" se refiere a "... the inability to understand 'what is meant by what is said'" (Thomas, 1983:91).

Para Thomas, el fallo pragmático es una de las principales causas de ruptura en el intercambio conversacional entre los hablantes nativos y no nativos, y el motivo principal de la creación de estereotipos equivocados sobre estos últimos en lo que a cortesía se refiere. Pero, en mi opinión, dicho concepto no es sólo causa de malentendidos entre hablantes nativos y no nativos, sino que aparece muy frecuentemente en la conversación entre **hablantes nativos** y está relacionado con el tipo de discurso que el hablante emplea. En consecuencia, mi interés está en estudiar el fallo pragmático en la L1 y relacionarlo con el concepto de descortesía no intencionada y el discurso no cortés.

III. Selección y análisis del *corpus*

El *corpus* para analizar lo he obtenido de películas de habla inglesa en versión original. El motivo de haber escogido esta base de análisis está en mi intención de estudiar el lenguaje conversacional, la dificultad que entraña el desplazamiento a países de habla inglesa y, sobre todo, la recolección de un *corpus* en el que se localizaran ejemplos concretos de descortesía no intencionada como causa del fallo pragmático. Por eso el analizar películas me ha permitido reunir un *corpus* lo suficientemente amplio para seleccionar ejemplos que me posibilitaban comprobar mi hipótesis de trabajo.

Las películas que forman la base de mi estudio son las siguientes: *Mr. Jones* (1994), *Casablanca* (1943), *Bugsy* (1994), *Fried Green Tomatoes* (1991) y *Reversal of Fortune* (1990). De estas películas analicé un total de veinticinco transacciones conversacionales entre hablantes nativos, de las cuales incluyo aquí sólo tres –las más representativas– por limitaciones de espacio. Estos ejemplos o macro-actos de habla son denominados Macro-Actos contra la Imagen –MACIs (Garcés, 1993)– y están formados por actos de habla individuales que denominaré Actos contra la Imagen –ACIs– que es la traducción al castellano de la terminología acuñada por Brown y Levinson (1978,1987), *Face Threatening Acts*. Siguiendo este modelo de Brown y Levinson, he utilizado en el análisis las variables **P** (poder), **D** (distancia social) e **I** (tipo de imposición del acto), y, siguiendo a Garcés (1993), la variable **A** (afecto).

Las transacciones conversacionales han sido transcritas teniendo en cuenta no sólo los rasgos puramente lingüísticos sino también los paralingüísticos, ya que estos últimos son fundamentales para explicar los primeros desde un punto de vista pragmático.³ Al principio de cada ejemplo incluyo un pequeño contexto y co-texto que puede facilitar la

³ Símbolos de transcripción (Dufon, 1993):

- Cuando no existe tiempo alguno entre un turno conversacional y el siguiente aparece el símbolo = al final del turno y principio del siguiente.
- Los enunciados que son emitidos al mismo tiempo o que coinciden son marcados entre el símbolo < >
- Cuando el hablante alarga la vocal, se añade el símbolo : después de dicha vocal.
- Las pausas silenciosas se indican entre paréntesis con la duración aproximada en segundos.
- Los comentarios sobre gestos o rasgos paralingüísticos aparecen dentro del símbolo (()),

comprensión tanto del macro-acto de habla en cuestión como del posterior análisis.

(1) Después de discutir con Mr.Jones sobre la necesidad de ingresarle en un hospital psiquiátrico, la doctora Bowen se introduce en su coche y ve que éste hace el ademán de subir también:

Dra. Bowen (1) *What are you doing?*

Mr.Jones (2) *Uh, I don't live very far from here. I thought you could give me a ride. ((Sonríe))*

Dra.Bowen (3) *Okay. I'm a psychiatrist. If you have a problem, you call me. If you have a transportation problem, you call a cab, okay?*

Mr.Jones (4) *Yeah, well (2) I guess maybe I do have a problem. Um (2) ((susurra)) I don't have any money.*

((Después van juntos en el coche. La doctora conduce.))

Dra.Bowen (5) *So, tell me. When did you notice the first symptoms?*

Mr.Jones (6) *Elizabeth, can I ask you something?*

Dra.Bowen (7) *Yeah.*

Mr.Jones (8) *Good. (2) Let's say you go to the theater tonight, <right?>*

Dra.Bowen (9) *Okay.*

Mr.Jones (10) *You go to the theater. You run into your gynecologist. He comes over, he says: "Good evening, Elizabeth, are you enjoying the play? And how'about that little condition you came to me about last week? <Let's have a look, shall we?>"*

Dra.Bowen (11) *<No. That's not the same.> =*

Mr.Jones (12) *= It's exactly the same! It's a --There you are at the theater with your dress over your head and me here out on a beautiful day like this, with a woman like you, it's exactly the same thing. You know, the minute the doctor shows up and starts poking around in things that-that he or-or she are uninvited to be poking around in, it's rude! (1)*

Dra.Bowen (13) *I guess I never thought of it that way.*

Mr.Jones (14) *Well...*

Dra.Bowen (15) *I'm sorry. =*

Mr.Jones (16) *= Yeah. (1) I'll forgive you.*

Dra.Bowen (17) *Thanks.*

- Mr. Jones** (18) *If you feed me.*
- Dra. Bowen** (19) *I can't.*
- Mr. Jones** (20) *What do you mean you can't? This is America. You can do anything you want here. ((Ríe.))*
- Dra. Bowen** (21) *I have appointments!*
- Mr. Jones** (22) *I have hunger. Mucho hunger. ((Ríe.))*
- Dra. Bowen** (23) *I really can't.*
- Mr. Jones** (24) *Look, who needs you more today than me? There can't be anyone. I'm desperate. ((Ríen)) (2) You wanna do this, I know you do. (1) There! There it is! You see it? ((Pasan por delante de una señal que dice "Municipal Pier")) The road to forgiveness. I'll talk about me: I wi:ll ((ríen)). (4) Just turn. Just t— Come on!*

Mr. Jones (1994)

Teniendo en cuenta el hecho de que no sólo es importante el contexto lingüístico y el no lingüístico en el que se produce la interacción, sino también todas las suposiciones o supuestos que cada hablante añade a la comunicación (Sperber y Wilson, 1986; Wilson, 1993), cada hablante codificará el mensaje de forma diferente dependiendo de los supuestos que tenga. Así, en este MACI, el principal problema es que cada hablante se sitúa en un contexto diferente con unos supuestos diferentes.

Desde mi punto de vista, la doctora Bowen se sitúa en lo que Mey (1993) ha denominado *societal context*, que es el contexto específico que está predeterminado por condiciones o instituciones sociales. Es decir, para la doctora lo importante es seguir manteniendo la relación médico-paciente y sus enunciados así lo demuestran.

Sin embargo, como respuesta a su pregunta en (5), que es la lógica de un médico a su paciente, no obtiene una respuesta directa de Mr. Jones, sino otra pregunta y posteriormente una crítica. Así, y con el consentimiento de la doctora, Mr. Jones cuenta algo, a modo de ejemplo, en (10). Este ejemplo puede considerarse un ACI sin constancia o una crítica indirecta al comportamiento de la doctora. En este caso, Mr. Jones es descortés ya que el ejemplo que expone es bastante íntimo, sobre un ginecólogo, y va directamente contra la imagen negativa y positiva de la doctora Bowen. Además, en la exposición de los hechos, Mr. Jones se diri-

ge a la doctora por su nombre de pila, *Elizabeth*, que es un recurso de cortesía positiva, "Presuponga familiaridad" (Brown y Levinson, 1987), pero que aquí resulta algo inapropiado y descortés debido a que la doctora y Mr. Jones se conocen desde hace muy poco tiempo.

Pero Mr. Jones expresa con constancia su opinión sobre la actuación de los médicos, y sin constancia –de forma *off record*– su crítica a la doctora Bowen: *...the minute the doctor shows up and starts poking around in things that-that he or-or she are uninvited to be poking around in, it's rude!*. Aquí puede verse cómo Mr. Jones no entiende el contexto en el que se sitúa la doctora, considerándola descortés y sin darse cuenta de que en realidad es él el que está en un contexto equivocado. Siguiendo a Mey (1993), creo que Mr. Jones se sitúa en un *social context*, que es el contexto creado en la interacción propiamente dicha.

Por lo tanto, el principal problema de este MACI es que cada hablante se sitúa en un contexto diferente –*societal* y *social*– con distintas opiniones sobre las variables que evalúan el riesgo potencial del ACI. Para la doctora Bowen el valor de la variable **D** es muy alto, utilizando en su mayoría enunciados que son corteses, e incluso puede afirmarse que la descortesía de Mr. Jones no hace sino incrementar la cortesía de la doctora, como es el caso de los ACIs (15) y (17).

En conclusión, puede afirmarse que ambos hablantes tienen tipos diferentes de discurso basados en el contexto en el que se sitúan. Así, la doctora Bowen sigue el discurso que Brown y Yule (1983) denominaron *transactional discourse*, aquel en el que lo importante es la transmisión eficaz de información, de contenido. En este caso, la conducta de la doctora Bowen no es descortés sino la propia de un médico, su comportamiento es **no cortés** (Lakoff, 1989) y su **discurso informativo** se ajusta a la relación médico-paciente que pretende mantener con Mr. Jones.

Por otra parte, Mr. Jones sigue un discurso interactivo o *interactional discourse* (Brown y Yule, 1983). Mr. Jones se preocupa por mantener una relación amistosa con su interlocutor pero, debido al **fallo pragmático** (Thomas, 1983) que comete evaluando las variables **P**, **D** e **I**, sus enunciados son descorteses.

Sin embargo, hay que mencionar algo que es muy importante. Poco

a poco la doctora Bowen va cambiando de contexto, pasando de *societal* a *social*, y de discurso, de *transactional* a *interactional*. Esto puede verse en la reacción de la doctora Bowen al aceptar la invitación de Mr. Jones, tal y como indican sus risas en (22) y (24). En resumen, los dos hablantes al final del MACI tienen casi la misma opinión sobre las variables que determinan el riesgo potencial de los ACIs, no existiendo ya fallo pragmático.

Por otra parte, la aproximación al discurso desde un punto de vista pragmático permite ver la importancia del contexto en la interacción, a la vez de comprobar el papel de la descortesía como comportamiento complementario de la cortesía. Así, cuando Mr. Jones era más descortés, la doctora Bowen era más cortés; a veces, la rudeza del hablante sirve para indicarle al oyente que debe cambiar de discurso o contexto, como ha sido el caso de la doctora.

Con esto no quiero decir que la descortesía sea siempre aceptable, sino que no siempre es socialmente reproachable, es decir, en ocasiones es necesario que uno de los hablantes ceda y cambie su discurso una vez que el otro hablante le ha indicado su posible fallo. Por este motivo creo que la descortesía sirve para señalar el fallo pragmático que comete el hablante, y que sin ella quizá éste no reconocería. La conversación se presenta así como un proceso común de colaboración entre hablante y oyente, siendo este último el que tiene la responsabilidad de señalar el problema comunicativo (Kreuz & Roberts, 1993).

En mi opinión, una de las causas por las que surge este fallo pragmático es que cada hablante tiene ideas preconcebidas o supuestos diferentes sobre la cortesía debidas sobre todo al contexto en el que se sitúa. Después el hablante negocia con su interlocutor la intención comunicativa de su mensaje, y para ello tiene antes que darse cuenta de su fallo y es ahí donde tiene importancia el papel del oyente. Si el enunciado del hablante, que tiene una intención comunicativa concreta o *perlocutionary intent* (Edmondson, 1981), no tiene el efecto perlocutivo deseado o *perlocutionary effect*, entonces el oyente tiene la responsabilidad de indicárselo al hablante, ya sea cortés o descortésmente.

Sin embargo, hay que tener en cuenta que el fallo pragmático del

hablante puede ocasionar que el oyente le considere descortés sin que el primero haya pretendido serlo. Por lo tanto, el fallo pragmático da lugar a descortesía no intencionada por parte del hablante. Esto puede verse en el siguiente MACI:

(2) Ben Siegel es acusado del homicidio de uno de sus amigos, Harry Greenberg. A la llegada a la comisaría, los periodistas le asaltan y le preguntan, empujándole y sacando fotos:

— (1) *Hey Buggy, is it true that Harry Greenberg was your best friend? =*

— (2) *= Are you guilty? =*

— (3) *= Is it true that you're getting a divorce?*

— (4) *Is it true that Harry Greenberg was gonna testify against all your friends?*

— (5) *Come on, give us a statement!*

Ben (6) *I have two thing to say. First, the name is Ben, that's Benjamin as in the Bible. And second, I'll see all of you at the opening of the Flamingo on Chistmas day, okay?*

Bugsy (1991)

En este ejemplo, los periodistas se dirigen a Ben en (1) como *Bugsy*, que es como es conocido popularmente. Pero Ben se queja en (6) y expresa indirectamente que no le agrada que le llamen por ese apodo: *...the name is Ben, that's Benjamin, as in the Bible*. Los periodistas no sabían que Ben se molestaba por eso y por lo tanto su descortesía es no intencionada, ya que se origina por ignorancia. A menos que el oyente indique ese fallo del hablante, éste no podrá corregirlo.

Por otra parte, hay que destacar el hecho de que Ben sólo se molesta por el asunto de su apodo y no por el modo en que actúan los periodistas. Éstos, en su afán por conseguir la información, no respetan la toma de turnos y formulan preguntas directas que merman la imagen de Ben. Estas preguntas son lo que en inglés se denomina *yes-no questions*, que no dejan opcionalidad al oyente a la hora de contestar. Sin embargo, si se tiene en cuenta el contexto de que son periodistas los que las formulan y que cumplen con su obligación, sólo una podría considerarse des-

cortés: *Is it true that you're getting a divorce?*, ya que es una pregunta más personal que no tiene nada que ver con el asunto de la acusación de homicidio.

Los periodistas actúan siguiendo un discurso informativo, propio de su profesión, y su comportamiento no puede considerarse como rudo o descortés, sino **no cortés**. Con esto amplió un poco el concepto de *non-polite behavior* ya que Lakoff (1989) lo aplicaba sólo al discurso judicial y al terapéutico; en mi opinión, existen otros discursos que podrían considerarse no corteses, y el periodístico, siempre que sea objetivo, es uno de ellos. Así, otro tipo de discurso en el que se puede observar este comportamiento no cortés es el discurso policial, aunque en este caso sea la institución que está por encima de él y la variable Poder los que determinan el resultado final.

Este concepto de no cortés, que Lakoff aplica al discurso que ocurre en el juicio, podría ampliarse aún más con el discurso abogado-cliente fuera del juicio, tal y como muestra el siguiente MACI:

(3) Claus von Bulow es acusado de haber intentado asesinar a su esposa inyectándole insulina. Por eso decide contratar a Alan Dershowitz, como abogado para su defensa. La escena representa el momento en el que Claus y Alan están entrevistándose en un restaurante:

Claus (1) *When I married Sunny she was the most beautiful divorcée in the world and one of the wealthiest. Even so (1) I never got this table.*

Camarero(2) *Professor Dershowitz ((sirve a Alan)) (3) Doctor von Bulow ((sirve a Claus y se va))*

Claus (3) *Two injections of insulin, already I'm a doctor. No, in America it's fame rather than class. Now, after all this (0.5) unpleasantness =*

Alan (4) *= Speaking of the unpleasantness =*

Claus (5) *= Oh, yes, I suppose we'd better discuss your fee.*

Alan (6) *Okay. (1) It's three hundred dollars an hour.*

Claus (7) *Good Lord! (1) You know, I used to be a lawyer in London. That sounds a bit steep.*

Alan (8) *It's average for a case like this. Besides, I do a lot pro-bono work, you would pay for that. Plus, I have to pay students, associates...*

Claus (9) *Are you saying that if I agree to pay three hundred (1) you will handle my appeal?*

Alan (10) *No. Not so far. it doesn't look like my kind of case. (1) I'm not a hired gun. I gotta fell there's some moral or constitutional issue at stake. =*

Claus (11) *= But I am absolutely innocent (1) and my civil liberties have been egregiously violated!*

Alan (12) *I've got two black kids facing the electric chair for a crime they did not commit. THEY are innocent. (2)*

Claus (13) *Well, before you assume I'm guilty (1) won't you hear my story?*

Alan (14) *No. Never let defendants explain. It puts most of them in an awkward position.*

Claus (15) *How do you mean?*

Alan (16) *Lying. (1)*

Claus (17) *But I give you my word as a gentleman...*

Alan (18) *Oh (1) Well ((sonríe)) (5)*

Claus (19) *Won't you at least read the record and see if you can find something (2) well (1) "constitutional"? (3)*

Alan (20) *You do have one thing in your favor. (2) Everybody hates you. (5)*

Claus (21) *Well, that's a start!*

Reversal of Fortune (1990)

En este MACI, lo primero que puede observarse es un ejemplo de descortesía causada por ignorancia, es decir, **descortesía no intencionada**. Así, el camarero confunde a Claus con un médico y le llama *Doctor von Bulow*. Pero esta vez el hablante no tiene oportunidad de rectificar su fallo porque el oyente no se lo indica, de ahí la importancia de la negociación en la interacción. Si Claus no le indica al camarero su fallo, éste no podrá enmendarlo y Claus seguirá creyendo que el camarero le cree culpable de intento de homicidio de su esposa, tal y como afirma en (3): *Two injections of insulin, already I'm a doctor*.

En cuanto a los tipos discursivos que aparecen en este MACI, el abogado, Alan sigue un **discurso informativo**, mientras que el cliente, Claus, sigue un discurso interactivo. Así, Alan se ciñe al asunto que le compete y no se preocupa por establecer una conversación amigable con

su cliente, sino en exponer los hechos claramente. Para él, lo importante es que su cliente tenga claro desde el principio cuál es su posición y sepa sus posibilidades. Y hay que tener en cuenta que si Alan hubiera empleado con Claus la típica terminología legal, quizá éste no lo hubiera entendido tan bien como lo ha hecho en esta ocasión. Pero aunque los enunciados de Alan pueden ser descorteses para Claus, en realidad el comportamiento de Alan podría calificarse como **no cortés**, ya que para él lo importante es la transmisión clara y directa del mensaje.

IV. Conclusiones

El análisis total del *corpus* (veinticinco MACIs) apoya, a grandes rasgos, las hipótesis iniciales de mi trabajo de investigación, además de proponer otras conclusiones que han surgido a lo largo del análisis. En primer lugar, la aplicación práctica de los modelos teóricos sobre cortesía lingüística muestra que en realidad no se puede estudiar el discurso desde la dualidad cortés/descortés. Hay que admitir el concepto de no cortés como excepción, así como las diferentes tipologías que pueden aparecer en lo referente a la descortesía, dependiendo del contexto de la comunicación.

Como muestra el análisis del *corpus*, en ocasiones aparece un problema conversacional y el oyente percibe el comportamiento lingüístico del hablante como descortés aunque ésta no haya sido la intención de este último. En mi opinión, esta descortesía no intencionada es debida a que ambos hablantes se sitúan en contextos diferentes –*social* y *societal* (Mey, 1993)– y por lo tanto utilizan diferentes discursos –interactivo e informativo (Brown y Yule, 1983)– respectivamente.

Sin embargo, si el oyente no reconoce estas diferencias contextuales y discursivas, puede tomar al hablante como descortés sin que éste haya pretendido serlo. Esta descortesía que surge por motivos contextuales y de discurso está relacionada con la definición de fallo pragmático propuesta por Thomas (1983). El fallo pragmático pasa desapercibido por el hablante en la mayoría de las ocasiones, por eso a menos que el oyente se lo indique, no tendrá oportunidad para rectificar y restaurar el equilibrio interactivo. El oyente puede hacer notar el fallo del hablante ya

sea cortés o descortésmente. Esto puede resultar paradójico y parece difícil admitir la posibilidad de que sea cierto que a veces la descortesía sirva para restaurar la armonía discursiva, pero tal y como he intentado demostrar en los ejemplos del *corpus*, puede ser posible. De hecho, algunos hablantes sólo notan su fallo si el oyente se muestra descortés. Por lo tanto, la descortesía no intencionada del hablante está relacionada con el fallo pragmático, y la descortesía intencionada del oyente aparece como factor decisivo en el restablecimiento posterior del equilibrio interactivo. En consecuencia, la descortesía aparece aquí como comportamiento complementario de la cortesía.

Hay que tener en cuenta que esta descortesía intencionada puede también ocasionar descortesía extrema, rompiéndose las relaciones sociales y subrayando así la importancia de la cortesía como medio principal para restaurarlas. Por lo tanto, la cortesía, como principio lingüístico, se sitúa en un plano superior al resto de los principios ya que, como indica Leech (1983), de ella depende el establecimiento de las relaciones sociales y, en consecuencia, la comunicación. La cortesía no es simplemente cuestión de comportarse civil y políticamente o tener "buenas maneras", sino establecer relaciones comunicativas sociales; no en vano es considerada como la codificación lingüística de la interacción social. La cortesía no es sólo para los demás sino también para uno mismo, es decir, de la forma lingüística que el hablante le dé a su mensaje dependerá su posterior relación personal con el oyente y que éste le considere como cortés o descortés. Por este motivo he creído necesario estudiar la falta de cortesía, poniendo un énfasis especial en aquella descortesía no intencionada que aparece unida al concepto de fallo pragmático y cuyo objetivo no es siempre destruir las relaciones sociales sino todo lo contrario. En resumen, siempre hay que tener en cuenta los factores contextuales y las motivaciones que hay detrás de cada comportamiento lingüístico, ya que de esto dependerá nuestra consideración no sólo como hablantes, sino lo que es aún más importante, nuestra consideración como personas; por eso, como indican Clark y Schunk, "Politeness always matters -if only by default" (1980:141).

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CLASIFICACIÓN SEMÁNTICA DE CLÁUSULAS SINTÉTICAS

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Abstract

In this article I intend to analyse the semantic relationship between small clauses (SCs) and their matrix verb in structures [V NP XP] within the Principles-and-Parameters framework. First, it will be shown that the sequence [NP XP] as a whole receives a thematic role from the verb. A distinction is made between dynamic and stative verbs, which will be the basis for the different thematic roles that the verb will assign to the argument small clause. In this sense, I distinguish affected themes from effected or resulting themes, depending on the causative nature of the matrix predicate. The internal behaviour of the members of the SC will be also taken into account and I will claim that there is not always a direct relation between the postverbal NP and the subordinate predicate XP. Sometimes the NP is an argument of the matrix clause and then the subordinate predicate will perform the function of adjunct.

O. Introducción

El objetivo de este trabajo es examinar el comportamiento semántico de las cláusulas sintéticas (CSs) en las secuencias predicativas [V SN SX]. Por un lado, observaremos que la relación de predicación entre SN y SX es realmente semántica por naturaleza. Por otro lado, vamos a considerar las distintas relaciones temáticas que establece un predicado matriz con sus dos argumentos: el sujeto y la CS.

La CS consiste en una proposición cuyo rol temático es el de "THEME" o TEMA. Siguiendo a Hoekstra (1988), diferenciaremos dos tipos de TEMA: uno sería el afectado por la situación denotada por el verbo y otro el efecto de la acción verbal, o sea, su resultado.

La distinción afectado/resultado está íntimamente relacionada con la existencia de proposiciones estáticas –las que expresan un estado o situación– y proposiciones dinámicas –las que implican un cambio de estado– (Lakoff, 1970).

Adicionalmente, ofreceremos una clasificación de los predicados matrices, según si manifiestan volición, cognición, resultado, etc. El significado del verbo juega un papel primordial a la hora de seleccionar una proposición afectada o resultativa.

1. Relación de Predicación

Las secuencias [V SN SX] pueden ser analizadas mediante la siguiente fórmula [V [_{CS} SN SX]]. En esta representación SX simboliza un SN, SA o SP. Asimismo, SN y SX mantienen una relación de sujeto/predicado. Dicha predicación se manifiesta al insertar el verbo copulativo *be*. Así, por ejemplo, de la oración (1a) derivamos (1b):

- (1) a. I hold this postulate wrong.
- b. This postulate is wrong.

La inserción de *be* es una de las pautas por la que identificamos una CS. Nosotros proponemos que junto a la predicación, la identifica-

ción de una CS exige que ningún miembro de ésta establezca aisladamente una relación temática con el predicado matriz.

Por tanto, a la fórmula identificativa de la CS tenemos que añadir la siguiente información: SX puede ser un SN, SA o SP; SN y SX guardan entre sí una relación de sujeto/predicado; no existe relación temática alguna entre V y SN ni entre V y SX, sino que el rol temático que asigna el predicado matriz lo recibe la CS como argumento. SX es una categoría predicativa que, según Stowell (1991:209) nunca puede funcionar aquí como argumento, función propia de una categoría referencial.

2. Relaciones Temáticas: Propositiones Afectadas y de Resultado

De acuerdo con el Principio de Proyección los niveles de representación son isomórficos (Hoekstra, 1987:2). Basándonos en esta interrelación entre sintaxis y semántica, sugerimos que en el lexicon se dé información sobre la estructura de argumentos de cualquier predicado junto a la subcategorización sintáctica que éste manifieste.

Vamos a examinar el comportamiento semántico de las CSs con respecto al predicado que las selecciona. Para empezar, hemos de destacar que sólo los elementos referenciales pueden constituir argumentos de un predicado. Sólo la oración y el SN pueden tener carácter de argumento. De hecho, hay predicados que alternan una cláusula con un SN en su complementación. De esta forma, encontramos el siguiente paralelismo:

- (4) a. Maigret believes [this story].
b. Maigret believes [that the taxi driver is innocent].
c. Maigret believes [the taxi driver to be innocent].
d. Maigret believes [the taxi driver innocent].

Por la analogía que existe en la complementación de *believe* en estas cuatro oraciones, asumimos que la oración puede ser un argumento. Éstos son los que Haegeman (1991:47) denomina argumentos oracionales.

Por otra parte, estos argumentos están marcados temáticamente por el predicado que los selecciona, participando de la estructura temática de dicho predicado. Los roles temáticos son muy variados y cada

autor propone una teoría distinta sobre los mismos. Nosotros adoptamos los roles temáticos que contemplan autores como Jackendoff (1987), Belletti & Rizzi (1988), Carrier-Duncan (1985), Larson (1988), Contreras (1995) y Bittner & Hale (1996) –sólo mencionamos aquellos roles que empleamos en nuestra clasificación–:

- **AGENTE**: entidad que inicia intencionadamente la acción expresada por el predicado.
- **TEMA**: persona o cosa involucrada de alguna manera por la acción del predicado.
- **EXPERIMENTADOR**: entidad que experimente algún estado (psicológico) expresado por el predicado.
- **ORIGEN**: entidad desde la que algo se mueve como consecuencia de la actividad expresada por el predicado.

Nosotros modificamos el rol **TEMA** para que también pueda incluir una situación afectada o causada por la acción denotada por el predicado. En otras palabras, con respecto a un argumento oracional, proponemos distinguir entre **TEMA** afectado y **TEMA** resultado. Siguiendo a Hoekstra (1987:117), existen proposiciones afectadas y proposiciones resultativas. La CS también va a mostrar esta doble naturaleza del **TEMA**.

A las CSs que actúan como argumentos de verbos cognitivos o de volición se les asigna el rol de **TEMA** afectado, ya que simplemente expresan una situación o evento involucrado en la acción del predicado matriz. Así, para las oraciones siguientes:

- (5) a. I consider [John boring].
 b. I want [the olives salty].

podemos argüir que la CS argumento recibe el rol **TEMA** afectado del predicado matriz. El otro rol temático, el del sujeto, sería un **EXPERIMENTADOR**, pues se le considera como la persona que experimenta el estado –sea volición, cognición, etc.– que expresan los predicados matrices.¹

De aquí deducimos que en el lexicon los verbos *consider* y *want*, tal como se emplean en (5a-b), ofrecen una entrada léxica con la siguiente representación:²

V: SN [____ CS]
 <EXPER> <TEMA AFECT>

donde se puede percibir perfectamente la interacción sintáctico-semántica que el Principio de Proyección requiere.

Ahora bien, no todas las CSs desempeñan el rol de TEMA simplemente afectado por el predicado, sino que este TEMA puede constituir el efecto de la acción del verbo. A este tipo de CS que es causada por el predicado matriz la denominaremos proposición resultativa, cuyo rol temático exacto sería el de TEMA resultado.

De esta manera, en las oraciones en (6):

- (6) a. I'll make [you happy].
 b. You've got [one girl pregnant].

los predicados *make* y *get* denotan una acción y no un estado. Razonablemente, estos verbos se consideran dinámicos; al menos, están marcados por un uso dinámico en (6a-b). Los sujetos *I* y *you* poseen un carácter causativo, de forma que causan intencionadamente la situación expresada en la CS. Esta vez, el sujeto matriz recibiría el rol temático de AGENTE y la CS el de TEMA resultado.

En consecuencia, la entrada léxica para verbos como *make* y *get*, tal como son empleados en (6a-b) tendría la configuración que sigue:

¹ El rol de EXPERIMENTADOR equivale en términos de Quirk *et al.* (1985) al RECIPIENTE, tratándose de aquel participante humano que está implicado pasivamente en la acción o situación descritas por el predicado. Estos sujetos recipientes de una experiencia aparecen con verbos usados estáticamente.

² El hecho de que un SN aparezca fuera de los corchetes indica el rango de argumento externo de un sujeto (Rigter y Beukema, 1985:40).

V: SN [____ CS]
 <AGENTE> <TEMA RESULT>

3. Clasificación Semántica de Predicados Matrices en Secuencias [V SN SX]

Vamos a examinar en esta sección el comportamiento de los predicados matrices desde un punto de vista lógico-semántico. Mantenemos los dos grandes grupos antes distinguidos: verbos causativos y verbos de estado, según si la CS que subcategorizan constituye un TEMA causado o simplemente afectado por estos predicados.³

3.2. Predicado Estático/Dinámico + TEMA Afectado

Entendemos los predicados estáticos como aquellos que denotan una situación o evento sin que cause ningún cambio en la proposición que toman como complemento. Estos predicados seleccionan un sujeto EXPERIMENTADOR recipiente de la acción verbal y una CS objeto como TEMA afectado por dicha acción.

A. Verbos de percepción

A.1. Percepción Cognitiva: estos predicados connotan un proceso mental que obviamente afecta a la proposición que los acompaña. Entre estos verbos se clasifican *think, feel, believe, find, consider, regard, know, deem, judge, fancy, suppose, imagine, picture, hold, take, count*.

Ejemplos de estos predicados cognitivos son los que siguen:

- (7) a. He regarded [this as a good omen].
- b. He almost thought [them alive].
- c. I imagine [her in heaven].⁴

³Jespersen (1909-1949, V:7-8) ya marcaba la diferencia entre los patrones sintácticos SVO y SVO', dependiendo de si la CS que funcionaba como objeto tenía un carácter resultativo o no.

A.2. Percepción Sensorial: este proceso semántico consiste en una percepción de índole física, que se capta a través del uso de los sentidos. Los predicados que catalogamos aquí son los siguientes: *see, view, feel₂, discover, perceive, experience, sense*. Las oraciones en (8) ilustran este subgrupo:

(8) a. Patients actually saw [the behaviour therapist as more empathic].

b. Mrs. Smith saw [herself an empress].⁵

c. He perceived [you jealous].

Estos predicados expresan una consciencia de un hecho sobre el mundo externo a través de una percepción física directa (Borkin, 1973:46). En este sentido, hemos distinguido *feel₁* y *feel₂*. El primero expresa un proceso mental, como en (9a), mientras que el segundo refleja un proceso físico, como en (9b):

(9) a. She felt this as true.

b. Father felt her voice as a ringing in his ears.

A.3. Percepción Emotiva: estos predicados expresan una volición de algún tipo. Podríamos sostener que la complementación de dichos predicados se asemeja a un objeto resultativo (Jespersen, 1909-1949, V:17). Sin embargo, la englobamos dentro de la complementación de verbos de estado, pues más que una consecuencia estos predicados implican un estado potencial que aún no existe, pero que no será causado en modo alguno por el predicado matriz.

Dentro de estos verbos volitivos se clasificarían los siguientes: *want, wish, need, expect, intend, mean, like, hate, prefer, bear*. Las oraciones en (10) ejemplifican este grupo:

⁴ Nótese que existe una diferencia, aunque leve, entre un proceso cognitivo real –caso de *think*– y un proceso cognitivo imaginario –caso de *imagine*–.

⁵ Si la acción expresada por *see* en (8a-b) es más bien una visión mental, dicho predicado podría ser sinónimo de *imagine* y sería clasificado entre los verbos de percepción cognitiva.

- (10) a. I could hardly bear [him out of my sight].
b. I want [you far away].
c. I wonder whether he meant [this as a crack of some kind].⁶

B. Verbos de Afirmación.

B.1. Verbos de Dicción: en este apartado entran verbos tales como *argue* y *speak*.

- (11) It speaks [him a coward].

Los verbos de dicción en este uso suelen tomar un sujeto impersonal, no pudiendo recibir el rol de EXPERIMENTADOR. Más bien, parece que el rol temático de *it* en (11) es el de *SOURCE* u ORIGEN, indicando la entidad a partir de la cual se infiere el estado expresado por la CS.

B.2. Verbos de Demostración: aquí catalogamos verbos como *show* y *prove*, cuyo sujeto puede ser animado o inanimado.

- (12) a. Your language proves [you still a child].
b. Jenny's aunt showed [herself suspicious of their notebook].

Si el sujeto matriz es inanimado recibe de nuevo el rol temático de ORIGEN. Por el contrario, si dicho sujeto es animado y personal tendría una participación activa en la acción descrita por el predicado, aunque también la acción puede ser vista como partiendo de la entidad que funciona como sujeto. Por esta doble caracterización, el sujeto principal en (12b) sería el ORIGEN Agentivo de la acción verbal.

B.3. Verbos de Declaración y Reconocimiento: dentro de este apartado cabe clasificar a verbos como *pronounce*, *call*, *christen*, *acknowledge*, *recognize*, *guarantee*, *find*, *confess*, *admit*. Estos verbos pueden emplearse en oraciones como (13):

⁶ Los participantes de la situación descrita por un verbo como *mean* son distintos a los de *like*, pues *mean* requiere un sujeto que, más que EXPERIMENTADOR, sea AGENTE. *Mean* implica una intencionalidad por parte de este sujeto AGENTE.

- (13) a. I found [the prisoner guilty].
b. The doctor declared [her out of immediate danger].
c. Her friends called [her "race-crazy"].

Estos verbos de declaración y reconocimiento parecen expresar dinamismo, más que estaticidad. Por esto, el sujeto claramente desempeña el rol de AGENTE. Sin embargo, los incluimos aquí porque la CS que seleccionan no es resultado de la acción del verbo, sino que sigue siendo una proposición afectada.

C. Verbos de Mantenimiento: dentro de esta clase estarían los verbos *keep*, *preserve*, *leave*, que indican un proceso mantenido. Así, en los ejemplos (14a-c):

- (14) a. They keep [it secret].
b. The result has left [everybody dissatisfied].
c. I left [the window open].

las secuencias entre corchetes reflejan el mantenimiento del proceso expresado por el predicado de la CS.⁷ El verbo *leave* puede tener un sujeto animado o inanimado. En (14c) al sujeto se le asigna el rol de AGENTE; alternativamente este sujeto puede recibir el papel de ORIGEN de la acción verbal, tal como ocurre en (14b).

Existen ciertos predicados cuya complementación aparentemente constituye una CS. Tal es el caso de *describe*, *criticize*, *characterize*, *interpret*, *construe*, *reject*, *accept*, *praise*, etc. La complementación de estos predicados, a primera vista, puede analizarse como una proposición cuyo rol es el de TEMA afectado. No obstante, debido a la omisión opcional del predicado de la CS, inferimos cierto valor adverbial de la construcción introducida por *as*. De ahí que se den las siguientes alternancias:

- (15) a. I described him as a good student.

⁷ Estos verbos de mantenimiento tienen una connotación semántica peculiar. Aunque catalogados como verbos de estado que seleccionan una proposición afectada, *keep* y *leave* poseen cierta causalidad inherente, que hace que el sujeto cause de alguna manera el mantenimiento del proceso expresado en la proposición. En este sentido, serían verbos causativos seguidos por un tema resultado.

b. I described him.

(16) a. They interpreted acquiescence as approval.

b. They interpreted acquiescence.

El hecho de que las oraciones (15a) y (16a) conlleven el proceso descrito en (15b) y (16b) es indicativo de que las secuencias *as a good student* y *as approval* poseen una función adverbial con respecto a sus predicados.⁸

3.2. Predicado Causativo + TEMA Resultado

En este tipo de construcciones el predicado se caracteriza por su naturaleza causativa. La causatividad verbal supone que estos predicados son siempre dinámicos y causarán la situación que expresa la CS. Por esta razón, el rol temático de la CS será el de TEMA resultado. Este TEMA no sólo está afectado por la acción verbal, sino que también constituye el resultado de ésta.

A. Verbos Inherentemente Causativos: los predicados que se engloban aquí causan el cambio de estado, posición o condición denotado por la CS. De ahí que el sujeto que un predicado causativo selecciona desempeñe el papel de AGENTE de esta acción –por consiguiente, debe ser un sujeto animado–.

Sin embargo, no siempre el sujeto es animado. En este caso el rol que recibe el sujeto sería más bien el de ORIGEN del cambio que va a producirse. Compárense las siguientes oraciones:

(17) a. The convulsion had made [her herself again].

b. They made [Germany of value to the world].

c. John rendered [Mary unhappy].

d. It must have rendered [him unconscious].

⁸ Serían adjuntos que modifican al SN postverbal, constituyendo una adición opcional al patrón básico SVO. Semánticamente, dicho SN postverbal sería el TEMA afectado del predicado matriz, seguido de una CS adjuntiva. No toda CS que acompaña a un verbo funciona como argumento de éste.

Make es el predicado causativo por antonomasia. En (17a) este predicado asigna a su sujeto el rol de ORIGEN, ya que *the convulsion* constituye la causa de la proposición subordinada. En otras palabras, el hecho de que ella llegue a ser ella misma de nuevo, el cambio que se produce en ella, se origina a partir de la convulsión. Por otro lado, en (17b) *they* sí es un participante animado y, por tanto, puede hacer de AGENTE de *make*, ocasionando que Alemania adquiera cierto valor para el mundo.

Otro predicado causativo es *render*, cuyo sujeto también puede ser realizado por una entidad animada o inanimada. De nuevo obtenemos el contraste entre AGENTE y ORIGEN. Cotéjense las oraciones (17c) y (17d).⁹

También dentro de los predicados causativos podríamos incluir a los verbos de asignación o nombramiento como *appoint*, *name*, *elect* y el verbo descriptivo *paint*, pues éstos comportan la causa del cambio de estado que expresa la CS. Las oraciones en (18) ilustran esta subclase:

- (18) a. He named John Marshall Chief Justice of the Supreme Court.
b. They appointed Paul Head of the English Department.
c. I painted the gate red.

En principio, podríamos argüir en la línea de Hoekstra (1987) que las secuencias postverbales [SN SX] en (18) forman una CS que señala el resultado del verbo causativo. Lo que parece obvio es que estos predicados son de índole causativa. Sin embargo, a juzgar por las oraciones en (19):

- (19) a. He named John Marshall.
b. They appointed Paul.

⁹ *Get* y *have* en su uso dinámico pueden catalogarse aquí, ya que causan un cambio de estado. La causatividad de estos predicados queda plasmada en los ejemplos *He got [her pregnant]* y *I'll have [that shirt washed]*. Estos predicados en su uso causativo seleccionan una CS resultativa (Aarts, 1992). De hecho, en estas oraciones se indica que alguien causa una situación o cambio de estado, que se materializa en la CS.

c. I painted the gate.

lo más sensato será atribuir carácter adverbial al predicado resultativo (Starke, 1995; Stowell, 1995). Éste no participaría en la estructura de argumentos del predicado matriz, sino que funcionaría como adjunto. El predicado resultativo supondría una adición adjuntiva al patrón básico SVO.

B. Verbos de Movimiento: una clase especial de causativos la integran ciertos verbos de movimiento, cuyo significado físico original parece haberse sustituido por el de causa. Estos verbos de movimiento son *bring, send, set, put, lay, turn*. Ejemplos de estos predicados más un TEMA resultado son los que siguen:

- (20) a. I'll put [you wise about German mutinies].
b. These thoughts turned [me burning hot].

C. Verbos Causativos Idiosincrásicos: entramos a continuación en un grupo de predicados causativos cuyo análisis se presenta controvertido. Se trata de una clase muy abierta, pues engloba a cualquier verbo, sea transitivo o intransitivo, que se pueda combinar con una CS de resultado. Esta CS denota las consecuencias de la acción verbal (Hoekstra, 1988:115). Las oraciones en (21) ejemplifican este tipo de construcciones:

- (21) a. She swept the room clean.
b. I washed the soup out of my eyes.
c. He worked himself crimson in his face.
d. He sneezed his handkerchief soggy.

Si el verbo matriz es intransitivo, como en (21c) y (21d), no parece haber una relación semántica entre dicho predicado y el SN postverbal. Si omitimos el predicado de la CS el resultado es agramatical. Semánticamente el análisis de la secuencia [SN SX] como CS está bien motivado. Sin embargo, el hecho de elidir esta secuencia en (21d), por

ejemplo, conlleva un cambio de significado –*He sneezed*–, ya que el verbo pierde el rasgo semántico de causatividad. Por tanto, en la lectura causativa del verbo *sneeze* la CS sería completiva, pues en ese contexto parece que esta cláusula recibe un rol temático del verbo matriz (Carrier y Randall, 1992:181).

Algo similar sucede cuando el verbo es transitivo –caso de (21b)– en cuya estructura tampoco existe relación semántica directa entre el verbo y el SN sujeto de la CS; al omitir el predicado de ésta el significado llega a rozar lo absurdo, ya que no tiene mucho sentido hablar de lavar la sopa.

En (21a) el predicado matriz sigue siendo un verbo transitivo normal, pues la relación entre verbo y SN postverbal permanece intacta. *She swept the room clean* conlleva la acción expresada en *She swept the room*. Por esta razón, pensamos que la complementación en la oración (21a) debe ser analizada como la del verbo *paint*, es decir, al patrón básico SVO se le añade un adverbial resultativo opcional.

El problema, por consiguiente, radica en la complementación de verbos como *wash* y *work*. Se trata de cualquier verbo que adquiere un sentido resultativo mediante la adición de una CS. Así, siguiendo a Jayaseelan (1984), proponemos una regla tripartita para dar cuenta de estas construcciones resultativas. Esta regla se aplicaría en tres pasos: (i) añade una CS complemento al verbo; (ii) elimina los argumentos internos del verbo, si los hubiera; (iii) da al verbo una lectura causativa.

Por supuesto, esta regla opera exclusivamente con verbos dinámicos. La CS denota un estado que se presenta como consecuencia de la actividad expresada por el predicado matriz. La materialización sintáctica de un estado o situación corresponde a la cláusula. Por eso, la secuencia [SN SX] en (21b-d) forma una cláusula.

Para nosotros, la regla de CS actuaría en el lexicon causando un cambio en la complementación de un verbo dinámico. De esta forma, diferenciaremos el verbo intransitivo *work*₁ y el transitivo causativo *work*₂, el cual selecciona una CS como complemento que expresa el resultado de la acción descrita por dicho predicado.

4. Conclusiones

En este estudio hemos llevado a cabo una clasificación de la CS en términos semánticos guiados por el Principio de Proyección, que defiende la igualdad de los distintos niveles de representación. Según el rol temático que asigna el predicado matriz a la CS que le sigue, hemos distinguido dos tipos de TEMA: afectado y resultado. Esta diferencia, a su vez, se debe al carácter dinámico o estático del predicado en cuestión. Mientras que el rol TEMA afectado lo pueden asignar tanto predicados estáticos como dinámicos, el TEMA resultado sólo lo pueden recibir aquellas CSs seleccionadas por un predicado dinámico.

Por otro lado, dentro de cada uno de estos dos grupos hemos encontrado casos en que la secuencia [SN SX] no forma una CS, al menos en estructura de superficie. La elisión del predicado SX sin repercutir en el significado del predicado matriz confirma la naturaleza adverbial de este SX.

Por último, dentro de cada clase de predicado hemos trazado una diferencia entre los predicados matrices basada en la connotación lógico-semántica que éstos expresan. Esta clasificación ayuda a esclarecer la clase de rol temático que recibe no sólo la CS sino también el argumento externo del predicado matriz, su sujeto.

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HISTORICIST STUDIES AND THE ENGLISH RENAISSANCE (OR WHAT IS CULTURAL MATERIALISM AND WHY ARE THEY SAYING SUCH TERRIBLE THINGS ABOUT IT?)

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Abstract

In the last two decades there has appeared a movement aiming at a politization of the humanities, generally known as new historicism in the USA and cultural materialism in the UK. A misrecognition of the differences between both movements, a logical mistrust of a potentially monological theory arising from the critical practice, and a legitimate questioning of the historical method employed, have produced an enormous amount of "anti-historicist" work and a recursive academic polemic in English Departments in Europe and the USA. This essay will try to present a clear picture of the state of the matter, and the pros and cons of such a controversial theoretical approach to literary studies.

In "Shakespeare, Cultural Materialism, Feminism and Marxist Humanism", Jonathan Dollimore states that precisely the backlash against both Cultural Materialism (CM) and New Historicism (NH) seems to prove that the two movements are perceived as two sides of the same leftist coin; and this perception, I add, oscillates between

considering them as an unnecessary politization of the Humanities, at best, and an interested and wrong analysis falsely based on a pseudo-historical vision of literature, at worst. Practitioners of both critical trends have been at pains to demonstrate the differences between their respective movements (especially on the British, cultural materialist, side), and the real nature of their theoretical weapons, with no positive result as the repeated accusations of the last years seem to prove. I would like to present a clarifying approach to both movements, in order to state which is their relevance in Renaissance studies today. But to do so, I will maintain as a constant reference some of the many accusations flung at them in the last decade,¹ and which, in one way or another and admittedly or not, address the two basic questions I have just exposed crudely: the politization debate and the controversy about the use or abuse of history.

CM is not a corpus of theory originally intended for Renaissance studies in English Departments, not even for literary studies; it grows out of a complex body of work including sociology and history, and incorporating some advances in the social sciences through the apparition of feminist studies and post-structuralism in general, either in its extreme post-marxist fashion (Althusser, Gramsci or Jameson) or with a more or less explicit rejection of Marxist theories (Foucault). Some have called this "cultural studies", or "cultural analysis", and we may safely mention the British sociologist Raymond Williams as its key figure; in fact, it is Williams' work which has inspired much of the earliest production of CM, especially since he has seemed to be able to link an important work on a new approach to culture with different kinds of signifying, or discursive practices.² Both CM and NH refuse, in the first place, to locate the literary production of any period (or any kind of aesthetic production, for that matter) out of the historical and materialist constraints that, they assume, operate on other practices; but in this allignment of the

¹ Especially interesting are those originated in Ralph Cohen's edition of a special issue of the *New Literary History* devoted to this polemic, with articles appearing throughout 1990: C. Porter's "History and Literature: 'After the New Historicism'" and "Response to Rena Fraden"; R. Fraden's "Response to Professor C. Porter"; R. Levin's "Unthinkable Thoughts in the New Historizing of English Renaissance Drama"; C. Belsey's "Richard Levine and Indifferent Reading"; J. Goldberg's "Making Good Sense"; and J. Dollimore's "Shakespeare, Cultural Materialism, Feminism and Marxist Humanism".

² See, especially, Williams (1977), (1980) and (1984).

discourses of literature and politics, for example, they can hardly be claimed to go beyond what post-modernism started to point out after Derrida's criticism of the so called "metaphysics of presence". The main difference lies, to put it bluntly, in the fact that a materialist criticism opposes idealism by denying the possibility that culture is totally independent of the current economic and political system; culture is not a mechanical reflection of those, but it both informs and is informed by them, materialist critics meaning by this that there is a complex dialectical process going on. Materialist semiotics (unlike the mechanical base-superstructure model of Marxist criticism) considers that art/literature is not a mere reflection of some "external" reality (but then, external to what?) but the result of a process of production of meaning inseparable from historical development. From here, CM and NH elaborate on central concepts such as the subject (the "individual", in its more traditional acception) and human essence, nature, and history. But some other clarifications seem to be prior to these.

I will proceed by offering, as a working distinction, a two-fold approach to literary criticism that presents this discursive practice as oscillating between two poles that indicate a concern or lack of concern with history.³ This makes us face two quite different ways of dealing with literary (or non-literary) texts: a historicist and, on the other hand, an idealist or formalist approach, which will, in turn, favour different ways of understanding these relations. Idealist (or non-historicist) approaches tend to consider the literary text isolated from the external environment, and as a consequence the critical practice produced is either a formalist (purely stylistic, in the narrowest sense) one, or a kind of psychological realism, a character-based criticism at the service of a supposedly timeless and unchanging human nature. Needless to say, formalist approaches which reject any kind of social, cultural or historical study to literary texts are, nowadays, quite discredited: with the advent of critical discourse theory, and the work of M.A.K. Halliday, R. Fowler or J.J. Weber, stylistics does also have into account that language and

³ For a detailed introduction to Cultural Materialism and New Historicism see: M. Barbeito (1989); Dollimore (1989), (1990) and, with Sinfield, (1992); J. Drakakis (1985); S. Greenblatt (1984); and A. Sinfield (1992).

literature are social practices, and, in some cases, even considers an explicitly political function of criticism.⁴

Psychological realism seems to have been more resistant to theory, repeatedly rejecting it as a spurious intervention in the sacred and autonomous region of the text, which it tries to preserve from non-literary appropriations. However, criticism (and meta-criticism) is today perceived as a significant aspect of a given culture, and recent critical trends have started, basically since the work of the Frankfurt School onwards, to question many of the prevailing theoretical assumptions that maintained this psychologically oriented analysis of the texts. In the first place, it must be said that this theory presents literary texts as psychologically realist or illusionist.⁵ Texts would address individuals by offering them faithful portrayals of universal questions appealing to men/women of all times; and to do this, it focuses on the particular actions of particular individuals (characters) who embody certain human conditions. The purpose of all truly great literature would then be the exploration of some transcendent truths about human beings; and what these truths transcend, basically, are the pressures of history, economics and politics: that would be the reason why texts written hundreds of years ago are equally relevant to us. This approach looks behind the text to find an Author (with a privileged mind, responsible for transcending his/her own time) and within it to determine what the text "essentially" is, that is, a hidden message that the well-trained critic has to be able to discover: a text is like a problem with a solution, and that solution certifies the belonging of the text to a community of canonized texts, Literature, which passes from generation to generation.

The historicist approach presents, again, a two-fold distinction between different forms of understanding the simultaneous presence of

⁴ See M.A.K. Halliday (1978), where he elaborates his theories of grammar as social semiotics and the social interpretation of meaning; on the oppositional role of criticism, see J.J. Weber (1992).

⁵ Actually, for this theory, Renaissance plays are perceived as entirely realist, creating the illusion of "slices" of real life; it ignores, obviously, the symbolic dimension of much literary or esthetic work produced in the Renaissance, which couldn't be explained without an acceptance of their symbolism. This denial of non-illusionist theatre in Renaissance England is appropriately contested by Catherine Belsey (1990); many practitioners of both NH and CM have undertaken the analysis of pictures of this period from a non-illusionistic standpoint.

history and literature. The first one is what, with different intentions, Terry Hawkes and Harry Levin have called respectively "Simple Historicism" and "The-Ideas-of-the-Time-Approach".⁶ I will refer to it as "Old Historicism".⁷ For both CM and NH, if old historicism acknowledges the presence and some of the relevance of history in its analysis of literary texts, it does so from a reductive approach to historical process;⁸ such an approach is characterized by the attempt to read history backwards, that is, inferring the origins from the obvious and final result; the problem here is that by proceeding like this, the critic is ignoring elements that could have well existed and actively worked against that particular process. From modern historians and sociologists such as Thompson or Williams we have a conception of history that is not unilinear, but multifaceted, that is, full of contradictions, declines and ascensions, tensions and breakages. To cope with this, Williams has provided us with the useful concepts of emergent, dominant and residual elements, that give account of the complexity of any given cultural moment. The interrelations of these concepts, with the dominant trying to impose a monological world-view, the residual not as a half-forgotten remnant of the past but as a meaningful element which the dominant culture cannot explain in its own terms, and the emergent as an alternative, oppositional force still to become a reality, these continuous interrelations, provide, for CM and NH, a fuller notion of the historical period under scrutiny than the rigid and, as I said, unilinear notion of old historians such as Tillyard, Campbell or Leavis; their old historicism relies on the authoritative literature of the time to produce a clear image of what the period thought about some specific concept. The results are, obviously enough, quite poor if we keep in mind the complexity of any culture by Williams or Thompson's standards. The world-view that we obtain through this old historicist work is necessarily homogeneous, since it eliminates dissension by a study restricted to authoritative voices which, however, weren't in many cases alone or uncontested.⁹ Besides, these

⁶ See T. Hawkes (1989) and H. Levin (1990).

⁷ Although, considering that it has many practitioners today, it is quite "recent".

⁸ Tillyard's well-known "Elizabethan World Picture" theory.

⁹ On the importance of cultures in the shaping of subjects, not from a materialist but from a cultural anthropological perspective, see Clifford Geertz (1973); Geertz considers human beings "cultural artifacts" (51).

historical documents are not made to establish any sort of dialogue with the text, but rather taken as a background material against which the privileged literary text is finally placed. "Historical background" (as old historicists would put it) is recognized then as important to enhance our understanding of the literary text, but this is eventually autonomous, independent of it: history, in this version, is brought to the text merely to throw some light on difficult questions that have to be "historically contextualized" in order to be accounted for.

New Historicism claims to present a radically different approach to literature and history, although its real "newness" has also been discussed.¹⁰ In the first place, and within the field of historicist, or pseudo-historicist, work, NH differentiates radically from old historicism in its renegotiation of the distinction background/foreground; resituating history and literature implies considering the latter as one of the many discursive practices that try to make sense of the world in different ways and for many reasons. Actually, for both CM and NH, literature is not a "mirror" (more or less faithful) of history, but rather, and together with other discursive practices, an active constituent element of it. Literary texts participate, with many cultural institutions (such as Church, State, Monarchy etc...), in the relations of power that continuously produce new meanings or sanction old ones in order to maintain, more or less smoothly, a certain structure of power. Obviously, this position implicitly rejects the transcendental approach of idealist, or psychologically realist, theories, which stress the function of literature (or Literature) as the repository of universal values of general concern to the essential human nature. In this sense, CM and NH follow the materialist criticism of essentialism that Marxism attempted one hundred years earlier, and that, according to practitioners of both movements, Galileo and Machiavelli anticipated. Anti-essentialism is, to my view, the most distinctive feature of both NH and CM in their approach to the English literature and history of the xvth and xviith centuries. Following the Italian thinker Antonio Gramsci, they (like Marxism) root their anti-

¹⁰ Among many others, by Richard Levin (who seems to be particularly hostile to NH and CM), in his assertion that new historicist criticism of previous pseudo-historicist readings does not add anything to what critics like himself had already said. See R. Levin (1990:433).

essentialism in the philosophy of praxis prefigured by Machiavelli; in one of their most contested assertions, cultural materialists maintain that it is possible to read some of this anti-essentialist (and, consequently, oppositional) thought in Jacobean drama: thus, some of these plays would suggest the possibility that there is no such thing as a fixed and immutable "human nature".¹¹ CM defends from the accusations of un-historicity (anti-essentialism, as formulated by the philosophy of praxis, seems to be a creation of Marxist thought) appealing to the historical roots of Marxism: thus, Althusser's concept of ideology is traced back to Montaigne's account of custom, much of modern Marxist thought, to Spinoza, and, as I have already pointed out, anti-essentialism proper, to Machiavelli, Hobbes, More and Bacon.¹² No fixed value is then attached to works of this (or any other) period; the concepts of Author and authorial intention, universal appeal, or timeless reference, are rejected and replaced by a materialist view of art as historically and materially determined, in a complex and dialectic relation with different structures of power with which it establishes a conflictive dialogue.¹³ The oppositional aspect of xvth and xviith centuries drama is not shared by NH, though; this American version of historicist theories stress containment and not subversion as the most clearly identifying feature of Renaissance literature; NH focuses then, rather than on the subversive potential of these plays, in the different ways in which drama as a spectacle worked to legitimate authority and power, showing, by the continuous display of (disguised) processes of scripting, the futility of any kind of oppositional work. In this sense, NH is not Marxist, or

¹¹ For an interesting presentation of the "philosophy of praxis" see A. Gramsci (1971:132-4). Jonathan Dollimore devotes chapter 16 in *Radical Tragedy* to the concept of "essentialism"; see also ch. 10: "Subjectivity and social process".

¹² Further ancestry of Marxism would include, according to CM, Pico, Kant, Rousseau, Nietzsche or Hegel, in varying degrees and ways. It is especially significant Dollimore's interpretation of More's "enviromentalism" as a signal of the radicalism of *Utopia*, and of Machiavelli's and Hobbes' demystification of man and society. See Dollimore (1989:153-74).

¹³ Étienne Balibar and Pierre Macherey summarized this materialist position by retaking Marx's question: "Where does the eternal charm of Greek art come from?". In their elaboration, both philosophers conclude that this question, central to all liberal-humanist, traditional, critics, simply cannot be answered, because there is not such eternal charm: "Works of art are processes and not objects, for they are never produced once and for all, but are continually susceptible to 'reproduction' ... There is no eternal art, there are no fixed and immutable works" (P. Macherey, 1977:45).

Although cultural materialists do not actually mention it, Macherey's thought is implicit in the critical and theoretical consequences that both CM and NH extract from their anti-essentialism.

dialectic, since it addresses power as inevitable, monolythical and undefeatable.

The most radical tenet of CM (and its main difference with NH) is its compromise with the transformation of reality. The interaction between State power and cultural forms, characteristic of NH, leads to a consideration of the possibility of questioning, in some cases, that power. But, to begin with, we mustn't take this as an absolute break with dominant cultural and political forms, but rather as pointing at the potential contradictions existing within those forms. CM's "ideology" is the socially constructed, historically specific set of concepts and systems that explain the world. If ideology is so central a notion in any approach to culture (and this is accepted by social semiotics or critical discourse theory), it is because we come to consciousness in ideology; the way we come to terms with the world, the way we make it cohere, our conditions of plausibility, depend on the set of concepts that explain the system of social relationship which allows the process of material production to take place. Althusser explained how societies have to produce ideologically to survive (they have to make stories that justify their functioning), and Gramsci pointed out how these explanations, already existing when we get into society, are legitimated uncritically as "common sense"; CM retakes all these arguments to reject idealist approaches to literary texts that ignore their ideological implications, and attempts, from this standpoint, a criticism of essentialism and providentialism. The state monopoly of violence, exercised upon Others, who are used to exorcize any threat to the dominant system, is the secondary alternative in those cases in which the pervasive dominion of ideology seems to fail. Thus, CM produces a kind of historicist criticism that goes beyond that of NH: both share the concepts of ideology, history, cultural forms, power, or the subject, and then their approaches to plays of the English Renaissance is similar; yet, Jacobean drama is granted a especial oppositional value, that the xxth century critic must be able to read from the contradictions that, in some ways, fracture the apparently homogeneous message produced; especially, since, up to now, those contradictions haven't been accounted for. CM also distinguishes between "subversion" and mere "change"; the latter is an attack on authority; the former, on the principles on which that authority is based. But the relation

between authority and subversion is not one of straightforward opposition but highly complex: subversiveness may actually appear but, then, as a production of power for its own ends, to be eventually contained by that same power.¹⁴ But although this may be so, once subversiveness appears, whether appropriated or not, it can function (or be used) against authority. CM can explain this far from simple process because power is never understood as a monolithic structure but one made up of competing elements, functioning in a similar way to the model of cultural elements established by Raymond Williams which I introduced above. That vision of a structural homology in power is, however, still present in some versions of NH; classes, class fractions or groups are not paid attention, and then NH ends up by obscuring the importance of collectivities. CM tries to escape the "entrapment model" that leads NH, inevitably, to deny the possibility for the subordinate to elude eventual containment. CM will try to find the potential for subversion in the conflicts and contradictions that the social order produces within itself. The final apparition of dissidence, when it occurs, will not be as a direct consequence of power: the dominant culture will produce, inadvertently, some of the conditions that allow not individuals but groups to perceive those contradictions. But if these literary productions offer a possibility to escape from those power structures, it will not be found in essentialist individualism, incapable of locating contradiction and challenge power, but in the social groups' potential for contestation. So, CM does not theorize power as an unbreakable system: as Dollimore puts it, NH is accused of finding too little subversion, CM of finding too much.

Direct attacks to many of the proposals of NH and CM have appeared in the last years, and many for unconfessed political reasons: Jonathan Goldberg calls this a defense of old plays from new readings (1990:457). To argue, as these critics do, that Renaissance plays only create the illusion of real life, denying the possibility of a double, symbolic, vision, implies to miss some of the possible political implications of, say, *Macbeth*; to reject a project to read differently, stressing the plays' historicity as

¹⁴This is an idea already present in the work of a critic not too appreciated by cultural materialists, Roland Barthes (1973). In Barthes' words: "One immunizes the contents of the collective imagination by means of a small inoculation of acknowledged evil; one thus protects it against the risk of a generalized subversion" (150).

well as our own, seems to me to be a reductionist approach, and so is the refusal to recognize disruption and contradiction, and the way in which many Elizabethan and, above all, Jacobean plays elaborate a "knowledge of political domination" (in Dollimore's phrase); to ignore that literature, far from passively reflecting history, intervenes in it by the very act of representing it, seems to me to be wrong; and, to finish, the critic's appeal to notions of timeless identity or 'common sense' somehow appears to be an exercise of humanist complacency. NH and CM, although with different conceptions of the kind of intervention we can find in xvth and xviith literature, coincide in pointing at the relevant function of a materialist and historicist criticism: to produce "not so much new readings of (Shakespeare's) texts, as a historical relocation of them" (Dollimore, 1992:10). More interesting criticisms have appeared from the field of oppositional practices such as post-modern Marxism, feminism or critical discourse theory, and from these I think that the critical reading of Renaissance texts can certainly benefit: is CM going to repeat the old Marxist model of literature as the direct expression of social rules deriving from material conditions, and consequently being absorbed entirely into an ideological superstructure? Is a new historicist reading of Renaissance literature going to marginalize women again, as C.T. Neely or L. Boose fear, falling in the "entrapment model"? Or is it going to co-opt these texts to privilege the women's part? More centrally, will CM and NH be able to problematize the ideology of the texts, analysing the conditions of their production, in order to determine their subversiveness? Are these two theories really aware of the risk of marginalizing again the histories of subordinate groups, producing a new hierarchization in literary studies, which may eventually consolidate as a new form of colonialism?¹⁵

¹⁵ I consider these questions as meaningful and central. Only an adequate and full theorization of them will allow us to consider these two theories, NH and CM, as genuinely relevant for Renaissance studies, since their findings will prove to be what NH and CM claim they are: namely, and basically, a refusal to privilege transcendental notions of a timeless art, reconsidering many of the meanings traditionally ascribed to the texts by some generations of scholars practising character criticism, old historicism and formalist work. To say the truth, some relevant figures of both currents have already addressed many of these questions. J. Dollimore, L. Jardine, S. Greenblatt, C. Porter, R. Fraden, A. Sinfield or C. Belsey have, in their most recent work, actually tried to provide some answers; however, and in my opinion, some of these will have to be more fully elaborated if this approach to literary texts is to prove as serious, radically subversive and honest as it claims to be.

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CORPUS EVIDENCE FOR A LEXICAL APPROACH TO GRAMMAR

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Abstract

This paper examines corpus-based evidence of the interdependence between lexis and grammar. A corpus-driven grammar is based on a contextual theory of meaning (Firth, 1935, 1957) and emphasises the need of a lexical approach to grammar. Thus, instead of supporting the traditional dichotomy between lexis and grammar, the phraseological component of language is paid attention to. In this paper several aspects of the interaction of lexis and grammar are discussed: (i) the lack of a clear distinction between lexis and grammar; (ii) the co-selection of syntactic and lexical elements when building up discourse; (iii) the association of each sense of a word with a distinct formal patterning; and (iv) the association of the different forms of a lemma with different patterns. It is concluded that a lexico-grammar of English is highly useful in a pedagogical context, since it provides information regarding the real use of language.

1. Introduction

In the past few years several corpus-based studies and projects have analysed different aspects of language structure and language use. The study of a collection of texts provides insights into language which intuition alone cannot reveal. Although corpus analysis is quite a recent area of research the underlying ideas date back to the 30s and can be found in Firth's work (1935, 1957). Firth's "contextual theory of meaning" has been highly influential to establish the principles on which most corpus analysis is based. Firth's consideration that "the complete meaning of a word is always contextual, and no study of meaning apart from a complete context can be taken seriously" (1935:37) has been the basis for the development of grammatical and lexical models by British linguists like Sinclair, Halliday and their associates.

One of the basic principles of this tradition is that form and meaning are inseparable and, therefore, lexis and grammar are interdependent (Stubbs, 1996:23). Sinclair's work has shown that the use of corpora reveals that grammar cannot be accounted for without reference to lexis, that lexis and syntax are co-selected. Grammar is here taken as a broad concept which includes notions such as *usage*, *collocation* and *colligation*. The concepts of collocation and colligation were first introduced by Firth (1957) to describe the meaning of a word. For Firth, part of the meaning of a word is "the company it keeps". He defines the "habitual collocations (of words)" as "the mere word accompaniment" (Firth, 1957:11). Thus, collocations are concerned with the syntagmatic relations between words. The concept of colligation, as introduced by Firth, is defined by Butler as "the grammatical counterpart of collocation": "Colligations, unlike collocations, are not relations between individual lexical words, but between grammatical categories such as articles nouns and verbs" (1985:7-8).

The purpose of this paper is to discuss the effect that corpus analysis has had on the description of grammar and to present and examine some of the evidence of the interdependence between lexis and grammar. Most of this evidence is a result of the use of concordances (i.e. lists of all the occurrences of a word or combinations of words in a corpus within a

co-text). These concordances reveal correlations between lexical and grammatical aspects.

2. The integration of lexis and grammar

Traditionally there has been a dichotomy between lexis and grammar. Chomsky states that "grammar is autonomous and independent of meaning" (1957:17). Linguistic competence has been seen as consisting of two components: the lexis of a language, and the productive rules, or grammar, of that language. While lexis is equated with words, grammar has been considered to be concerned with verb tenses, prepositions, sentence patterns, structures, that is, with elements which are regarded as systematised. As Lewis put it: "Roughly speaking, grammar is seen as a set of sentence frames with slots, into which appropriate 'vocabulary', or words can be fitted" (1993:8). Mainstream linguistics has generally considered that language is organised around grammar, around abstract structures which provide the overall pattern, the linguistic generalizations. Lexis is regarded as the secondary component of language, "the home of exceptions and idiosyncracies" (Smith and Wilson, 1987:58), consisting of items which are used to fit the patterns of language.

These ideas are opposed by the current of linguistics based on Firth's work, which proposes the integration of lexis and grammar (e.g. Sinclair, 1966, 1991; Halliday, 1966). In his paper on "the techniques of semantics" Firth (1935) emphasised that it is not possible to separate form and meaning. Thus, this approach to grammar rejects the dichotomy between lexis and grammar and considers that one of the most important components of language is "phraseology", or the phraseological component (Altenberg, 1993). There is now a vast amount of research that supports the formulaic nature of language (e.g. Nattinger and DeCarrico, 1992; Pawley & Syder, 1983; Sinclair, 1991). A great number of researchers consider that discourse is mostly built up by means of semi-prefabricated units. Aston words clearly this idea:

Rather than seeing the production and interpretation of discourse as rigidly componential, with morphemes being selected and combined

according to complex sets of grammatical and pragmatic rules, both (corpus linguistics and language pedagogy) tend to see (language) as exploiting ready-made memorised building blocks. (1995:261)

Sinclair (1987, 1991) proposes the interaction of two models for building up discourse: *the open-choice principle* and *the idiom principle*. The open-choice principle accounts for the way language has traditionally been seen and implies that discourse is the result of a great number of choices. As Sinclair puts it: "At each point where a unit is completed (a word or a phrase or a clause), a large range of choice opens up and the only restraint is grammaticality" (1991:109). Within this model texts have a series of slots that are filled with lexical items. The idiom principle implies that a language contains a large number of semi-preconstructed phrases that are used by language users as single units, although they could be analysed into segments (Sinclair, 1991:110). Sinclair considers that the construction of discourse involves interaction of both models. The model based on the open-choice principle is secondary: it has an abstract or theoretical relevance, since a text can potentially be analysed as a result of open choices, but much of the text is in fact a result of the idiom principle.

In the remaining of the paper I will describe the evidence that corpus analysis has provided for a lexical approach to grammar. I will be concerned with a series of postulates of a corpus-driven grammar, which are all based on the basic principle that there is an interaction between lexis and grammar. These postulates are the following:

- (i) There is not a clear distinction between lexis and grammar.
- (ii) Syntactic structures and lexical items are co-selected.
- (iii) Each meaning of a word is associated with a distinct formal patterning.
- (iv) Different forms of a lemma are associated with different formal patterns.

3. There is not a clear distinction between lexis and grammar

The traditional distinction between lexis and grammar is based on criteria such as systematicity and generative power. Lewis (1993:39) points out that grammar has been considered as the systematic and generative component of language, which contains the mechanisms for the creation of texts. By contrast, vocabulary has been seen as a set of arbitrary items with no generative power. In this sense, words like prepositions or conjunctions are considered grammatical words, since they are regarded as elements of the structure of the language. However, the line between lexis and grammar is difficult to draw. There are two facts that support this statement. Firstly, there are units where lexis and grammar can be considered to "meet" (Sinclair, 1991; Renouf & Sinclair, 1991); secondly, some lexical items undergo a process which turns them into grammatical elements (i.e. grammaticalisation), and it is difficult to decide when they stop being lexical items to become grammatical elements.

Sinclair pays special attention to the meeting of lexis and grammar in very common words which are categorised as belonging to the group of prepositions. He considers that the so-called preposition *of* is a "one-member class...where grammar and lexis join" (1991:83). Although *of* is regarded as a word which lacks semantic meaning and should have a place in a grammar, rather than in a dictionary, he finds that grammars do not provide a "tidy treatment" of this word. There are frequent references to it in grammars, but not a space devoted to its description. Additionally, *of* is not typically used in the most common structure for the class of prepositions: while the main function of prepositions is to combine with following nouns to form prepositional phrases which function as adjuncts (e.g. "in the garden"), the main function of *of* (the word which occurs more than double the next preposition) is to combine with preceding nouns to elaborate these nouns ("the back of the car"). This leads Sinclair to suggest that it is not a preposition, but a one-member class which could be dealt with both in a grammar or in a dictionary. Similarly, Willis (1990) argues that *would* should be taught as a lexical item and not as a grammar element related to structural patterns like the sentences which contain *if*.

Another meeting point between lexis and grammar is what Renouf and Sinclair (1991) call "collocational frameworks". These are discontinuous recurrent pairings of grammatical words such as: *a(n)...of*, *be...to*, *too...to*. These frameworks tend to occur with a limited set of intervening words (e.g. *a piece of*, *a lot of*, *be ready to*, *too difficult to*). The collocational frameworks and the triplets of which they are part (e.g. *a piece of*), which are highly frequent in the language, cannot be considered grammatical constituents. They have a place somewhere between word and group, and in fact they have not been paid attention to in grammatical descriptions.

As has been said, the process of grammaticalisation also functions as evidence that there is no clear line between lexis and grammar. Grammaticalisation has been defined as "the dynamic uni-directional historical process whereby lexical items in the course of time acquire a new status as grammatical, morphosyntactic forms" (Traugott & Ksnig, 1991). An interesting corpus-based study of this process is that by Mair (1994), which revealed that *see* is becoming a grammatical element. This can be seen in the examples below:

- (1) "I will be looking to see what can be done" (Mair, 1994:132)
- (2) "We at LWT were surprised to see Lisa Buckingham say that Central had 'just become the most profitable of all ITV companies'" (Mair, 1994:134)

According to Mair, example (1) reflects the tendency of *to see* towards becoming a conjunction/ complementiser. *See* has a greater variety of patterns of clausal complementation than *look*. So the grammaticalisation of *to see* would enable to extend the number of patterns of complementation with *look*. To support this point Mair compares the unnaturalness of ?*I will be looking what can be done* with *I will be looking to see what can be done*. Example (2) can be paraphrased as: "surprised+ that-clause".

Mair also points out to the interest of constructions like "he saw himself surrounded by the enemy" which are "candidates for grammaticalisation as experiencer-centred versions of the passive" (1994:135). In this case, as in examples (1) and (2), the verb *see* would be

half-way between a lexical and a grammatical item, since it has lost part of its lexical content to become a passive auxiliary.

4. Syntactic structures and lexical items are co-selected

When building up discourse syntactic structures and lexical items are co-selected: particular syntactic structures are mostly used with particular lexical items and lexical items tend to be associated with a limited range of syntactic structures (Francis, 1994:143).

The co-occurrence of particular syntactic structures with a limited set of lexical items is emphasised in the *Collins Cobuild English Grammar* (Sinclair, 1990), a grammar based on the analysis of the computerised corpus *Birmingham Collection of English Texts*. For example, the chapter where reporting is described lists a set of verbs which take the preposition *with* if the hearer is mentioned: *agree, argue, confirm, plead, reason*. That is, these verbs are associated to the structure *Subject+reporting verb+with (hearer)* (e.g. "He agreed with us that it would be better to have a break"). Similarly, the structure where the verb is followed by a prepositional phrase beginning with *from*, to indicate where the information comes from, also co-occurs with a restricted set of verbs: *discover, gather, infer, see, elicit, hear, learn* (e.g. "I discovered from her that a woman prison had killed herself"). Sinclair (1992:393) himself draws attention to another structure where the co-selection of lexis and syntax is clearly perceived. The following prefacing structure can be used to comment on a fact, event or situation: *It+be+a+noun+that* (optional) (e.g. "It is a shame he didn't come"). The noun that functions as complement in this preface is frequently one of the following: *disgrace, pity, wonder, marvel, shame, nuisance, surprise*. The lists of items co-selected with some structures that this grammar provides are not exhaustive, but give an indication of what kind of lexical items occur with the different structures.

Biber *et al.* (1996) draw attention to the fact that two types of complement clauses (*to-clauses* and *that-clauses*) have different lexical associations. A few verbs can be used both with *that-clauses* and *to-clauses* (e.g. *hope, decide*). However, most verbs control only *that-clauses*

or *to*-clauses. While the verbs *imagine*, *suggest*, *guess* and *argue* can control a *that*-clause and not a *to*-clause, the verbs *start*, *like*, *love* and *want* can control a *to*-clause but not a *that*-clause. Similar observations regarding the co-selection of lexis and grammar are made by Mair (1990) and Tognini (1992). In his study of *to*-infinitival constructions Mair (1990) identifies sets of verbs which are frequently used with various infinitival constructions. For instance the verbs *want*, *expect*, *get*, *allow* and *enable* occur commonly with subject-*to*-object raising. Tognini (1992) analyses the pseudo-cleft sentences introduced by "all" (e.g. "All I'm saying is that...") and states that the verb at the end of the pseudo-cleft structure (i.e. before the verb "be") tends to be one of the following: a modal verb, a verb with modal meaning (e.g. *have to*, *be allowed to*), a substitute verb, a reporting verb, a verb like *want* or *need*.

A structure where the lexical restriction is highly noticeable is that where the introductory pronoun *it* is the object of a verb and is followed by an adjective or noun group (e.g. "I find it easy to..."). Francis (1994) found out that only a few verbs and a few adjectives co-occur with this structure. The most frequent verbs which occur with this structure are *make* and *find*, which account for over 98% of the occurrences of the structure in the corpus she examined. The range of adjectives that may follow *it* is also quite restricted: *find* tends to occur with *difficult*, *hard* and *easy*, and *make* tends to occur with *clear*.

In some cases the use of a lexical item with a structure with which it does not usually co-occur may produce a change in meaning or in pragmatic force. In the structures *How+adjective+be+subject* and *Subject+be+measurement noun+adjective* the adjective expresses what the measurement refers to (e.g. "She is about five feet tall"). The adjectives in this structure belong to a restricted set, which includes: *old*, *broad*, *deep*, *high*, *long*, *tall*, *thick*, *wide*. These adjectives can be used in the structure *How+adjective+be+subject* in a neutral way (Cruse, 1986:208). For instance, if we ask "How thick is it?" we do not assume the object to be thick or thin. By contrast, the question: "How thin is it?" conveys the presupposition that the object is thin. If we take the pairs *big/little*, *thick/thin* and *long/short*, *big*, *thick* and *long* are more perceptually salient. When the opposites (*little*, *thin*, *short*) are used they are marked,

and some aspect of the dimension being measured (size, etc.) receives a communicative focus (e.g. "How short it was?" entails that it was short).

The "other side of the coin", as Francis (1994) calls it, is that lexical items tend to occur in specific patterns and with specific functions. The analysis of isolated words provides evidence for this statement.

In his analysis of the word *reason* Hoey (1993) found that it is associated with a limited set of structures. 25% instances of *reason* occur in the pattern: *pronoun (including "there")+be+group containing "reason"* (e.g. "There is an important reason..."). When *reason* occurs in sentence initial position as the subject of its clause it signals a reason relation in patterns like the following: (a) *x. The reason is (simple). y*; (b) *x. The reason is y*; (c) *x. The reason for this is y*; (d) *The reason x is y*, where "x" is the consequence and "y" the cause. If *reason* functions as (part of) the object or complement of its clause it tends to be postmodified by *for x*, *why-clause*, or *to x* (e.g. "That is the reason why...").

Another interesting point is the association between lexical units and particular morphological features or grammatical elements (e.g. a particular type of subject). Beaugrande (1996) examines the Bank of English corpus data of the English verb *warrant* to discover the constraints for the use of this word. He notes that there is an overwhelming frequency of non-finite forms, preceded by an adjective or by a modal (e.g. "The problems are too trivial to warrant a visit to the surgery") and of third person subjects (only 4 out of 228 occurrences have a first person subject), and that the verb *warrant* collocates frequently with negations: *not*, *don't*, *not yet*, *hardly*. Further evidence of this association is provided by Stubbs (1996) in his analysis of ergative verbs, i.e. verbs which can be transitive and intransitive and which can have the same noun phrase as subject of the intransitive clause and as object of the transitive clause. He found that in a corpus consisting in a secondary school book of Geography the ergative verb *close* occurs much more frequently as intransitive than the ergative verb *open*. Only 16% of the occurrences of *open* were intransitive, while 76% of the occurrences of *close* were intransitive.

Stein and Quirk (1991) also found lexico-grammatical associations

in their study of the expressions made up of a delexical verb like *have*, *give*, or *take* and a nominalised form of another verb which functions as object (e.g. *have a look*, *give a scream*). They remark that a typical feature of this construction is that the noun is in an overwhelming number of cases a singular noun with the indefinite article. Additionally, there are significant differences in the grammatical properties of the verbs. For instance, while a third person subject is not frequent with *have* (19 out of 54 occurrences), the third person subject prevails with *take* and *give* (279 out of 293 occurrences).

In his study of the phrasal verbs which contain *set* Sinclair (1987, 1991) also makes interesting observations. He points out that the form that follows *set about* tends to be an *-ing* form of a transitive verb (e.g. "set about earning money"). The phrasal tends to be preceded by structures expressing uncertainty (e.g. *little idea*, *I'm not sure*, *negatives*). The verb *set in* tends to occur in subordinate clauses and shows a clear tendency to end structures (e.g. "...where the rot set in"). *Set apart* and *set aside* have similar meanings, but are used differently. *Set apart* is typically passive and tends to be followed by a prepositional phrase beginning with *from* (e.g. "Set apart from the rest"). With *set aside* the agent is usually expressed.

Further evidence of the interdependence between lexis and grammar is provided by the association of specific words with particular grammatical and clause positions. Francis (1991) has analysed the grammatical position that a number of nouns (e.g. *context*, *accident*, *artists*) have in the clause. If grammar and lexis were different systems, there would be a fairly even distribution of head-nouns over the grammatical constituents of the clause (e.g. subject, direct object, indirect object, adjunct, complement). Traditionally it has been considered that words are simply slot fillers of these constituents. However, Francis has found out that the distribution of nominal groups over the grammatical constituents is uneven. For instance, 83% of the occurrences of *context* and 63% of the occurrences of *knees* are adjuncts, while only 1% of the occurrences of *tendency* are adjuncts. *Furniture* and *impact* are very frequently objects and *scientist* is much more common in subject position

than elsewhere. *Accident* is very frequently a complement (e.g. "It was not an accident").

5. Each meaning is associated with a distinct formal patterning

The previous discussion may lead to conclude that words in abstract are associated with specific patterns. This is not the case. Most words have more than a sense and the distinct senses of a word are differentiated by distinctions in form. Hanks (1994:92) states that "the meaning potentials are projected onto the syntax...; different meanings are associated with different syntactic patterns." Francis (1991) provides evidence for this statement in her analysis of the word *impact*. This word has two different senses: (1) "effect on a situation, process, person, etc"; and (2) "action of one object hitting another". With sense (1) *impact* occurs mostly as object, with sense (2) *impact* occurs mostly as adjunct or prepositional phrase. When it has the first sense the word *impact* occurs mostly in the structure *have/make_____on/ upon*, and it is frequently modified by a quantifier (*little, more*) or by a qualitative adjective (*great, significant*). When it has the second sense it is not usually modified and it does not occur with a prepositional phrase modifier.

Moon (1987) shows that aspects like countability may reflect distinctions in the meaning of nouns. In her examples the two different meanings of *quality* ("how good or bad something is" and "characteristic or feature") are related to countability:

(3) "We are not able to comment on the quality and effectiveness of the courses"
(Moon, 1987:90)

(4) "But happiness is an elusive quality, not easily imposed through legislation"
(Moon, 1987:90)

Hoey (1993) also draws attention to the fact that the two meanings of *reason* ("cause" and "rationality") can be distinguished on the criterion of countability. When *reason* means "rationality" it is never premodified by *a, the* or *any* cardinal/ ordinal (e.g. "Cool reason says there is not continuity").

An interesting point made by Moon (1987:92) is that the metaphorical senses that some nouns develop are syntactically marked. This can be clearly seen in the following example:

(5) "No-one should waste her life on the treadmill of housework"
(Moon, 1987:92)

The structure *the...of* indicates that *treadmill* has a metaphorical sense here: "monotonous routine".

6. Different forms of a lemma are associated with different patterns

Even if they correspond to the same sense, different forms of a single lemma (=lexeme or dictionary head word) may have different grammatical distributions. A clear example is provided by Sinclair (1991), who reveals the different patterning of *eye* and *eyes* and thus the non-equivalence of singular and plural forms of nouns. Sinclair states that these words have different environments and cannot normally be used to replace each other. The plural co-occurs with adjectives such as *blue*, *brown*, *covetous*, *manic*. The singular hardly ever refers to the anatomical organ, except when talking about injury or handicap. Similarly, singular and plural occur in different sets of phrases (e.g. *all eyes will be on*, *turn a blind eye*, *keep an eye on*).

Stubbs (1996:172-173) provides another clear example with the lemma *educate*. Different forms of this lemma have different collocates. *Education* collocates with terms denoting institutions (e.g. *further*, *higher*, *secondary*, *university*). *Educate* collocates with synonyms like *enlighten*, *entertain*, *help*, *train*. And *educated* occurs most often in the expression *he was educated at* plus a range of prestigious institutional names (e.g. *Cambridge*, *college*, *Eton*, *Harvard*, *Oxford*, *university*, *school*).

7. Conclusions

In this paper I have discussed corpus-analysis evidence of some correlations between grammatical and lexical elements. To conclude I'd like to suggest that these correlations can usually be explained with the help of pragmatic considerations, that is, there tends to be a motivation for these correlations. This point has been remarked by Beaugrande (1996) regarding the grammatical "profile" of the word *warrant*. For instance, the high frequency of infinitive forms reflects the need to specify the criterion for making the declaration (e.g. "This is not serious enough to warrant...") and the use of modals helps to mitigate the pragmatic force of an act that might be face-threatening. Another clear example is provided by Stubbs (1996). The fact that the ergative verb *close* occurs much more frequently as intransitive than the ergative verb *open* is explained by Stubbs (1996:139) as a reflection of the fact that *open* refers mostly to a positive event, so there is always an (implicit) agent to take the credit, while *close* refers mostly to a negative event.

Another point worth commenting on is that the evidence for the interface between lexis and grammar that has been examined in this paper suggests that grammar is probabilistic. The co-selection of lexis and grammar is governed by some restrictions, but these restrictions are tendencies, not rules. Thus, grammar and dictionaries should provide probabilistic information (e.g. which is the most common syntactic pattern for a sense of a word, which verbs tend to be used as transitive, and which favour passive forms, which words or senses of a word tend to be selected by a specific structure, and so on).

This leads us to make some observations from a pedagogical perspective. In a teaching/learning situation students should be drawn attention to the connection between lexis and grammar and should not be led to conclude that grammatical and lexical patterns are independent of each other. This implies that lexical items should be taught by focusing on their syntactic preferences and on the syntactic patterns which are associated with every word. Similarly, students should be made aware that certain structures select specific words or specific senses of a word.

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LET ANGELS SING ENAMoured DIRGES...
(...WHILE WE RIDE INTO THE LANDS OF THE BEYOND)

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Abstract

May we want it or not, weird lights of chiaroscuro and living silhouettes of phantoms grow in the shadows. We will never avoid seeing those wandering souls unless we stop looking at ourselves in the outside, that true mirror...

This essay intends to cast light on the gloomy crypts of horror stories, studying their contrasting essence, both curiously revealing them as peculiar poems of morbid love and crowning them as overwhelming chantings of the individual imagination, hypnotizing the collective conscience for an instant...as hoped...

Has anyone ever dared to draw hopes on darkened skies? Have you any time felt the intrepid spirit of clarity in the veils of rain? Remember some of the most beautiful pictures of your existence, either lived or imagined. Explore deep within and let that temptation emerge.

Have you ever disguised reality? Have you ever loved the hateful or hated the lovely? Have you ever felt cold when embracing wild flames?

Have you ever tasted bitterness when savouring the sweet? Have you ever smiled in desperation when you were going through dark waters?

Some entities know how to sumberge in dry deserts; some kings know how to tear the familiar reality and provide you with peculiar allegories of the unreal, in the realms of inspiration: voices, puppets, heroes, villains, that world in the constellations of the text, the universe of murmured stars on papers to lay on trembling hands or rigid desks, manuscripts to breed the eyes of the tiger, that reader lurking in the shadows of anonymity.

These princes of troubled minds –gazing the world– and dancing hands that imprison pencils whose beat lets drops of ink flow, ideas modelling in the air, these servants of nymphs and holders of a divine gift, those silhouettes wandering along invisible paths, the writers, at least the ones I adore, create the infinite to reign over limitations and eclipse the sun if darkness is the landscape for their signs to shine.

Have you ever felt ideas overflow your mind? Have you ever thought your heart keeps all the forthcoming beats in your existence, being its number a secret of the oracle? Can you imagine any eyes that can see and inhabit all the landscapes in the world at the same time?

Meet reality and draw a picture of Mother Nature...

The rainbow is an omnipotent symbol since it gathers the gallery of colours in just one arched soul; the sea is a vast prairie on which the raging waves of the tempest or the serene silks of calm rejoice; the horizon is a dead coordinate where day and night unite; the distance, an almost diffuse realm where the concrete nearness and the abstract infinite clash just as titans, a remote vacuum where wolves howl or lambs gather in silence; the sky, that unreachable part of blue, grey or dark velvet, possess the flying shades of birds, both the glassy moon and the sun of petal-like embers, and minor stars flashing dead or alive, the stars and the clouds; the clouds, not only those nomad ancient coming from distant skies and forgotten times but also the renewed ones, those pompous crowns of white, keep thousands of tears to fall in winter or autumn rains.

And within Nature, meet humanity and draw a portrait of the human being...

We all breathe before the rainbow, by the sea, below the sky. Like them, we are all omnipotent entities gathering minor antagonist concepts. Our mind is another sea, of images and words, where the winds of fury or the breeze of pleasure rock vibrations of concrete states of mind, sane or insane; our breast, that quaking realm of love and hatred, the lair of a languid or stony heart, a rainbow of burning or cold colours, keeps on beating as magma; we, as a whole, are an empire of senses, heralds of shadows and light, a realm and the provinces within: an ode to the enchanted forests, awaiting the dirge of identity to emerge from the shadows; a misty sight of horizons in each and every day, a fight against the aging rust; the acrid taste of coagulated blood or the sweet gift of joy; the heavy and insane touch of the ashes of a never-materialized-hope or the light caress of unusual triumphs; the fragrance of a crown of chrysanthemus when we are adored in the cradle of birth or the smell of withered bouquets of roses standing by the silent crystal marble of the dead, the back of each cradle of filth.

Nature and, within, rainbows...rainbows and, within, colours...colours and, within, the blue of the sea...seas, and within, tempests or peace, the blue peace of a reflected sky...skies and, within, clouds or stars, traveling on the shroud of day or shining on the gown of night, all of them painted on the vigilant eyes of wolves or the tender gaze of lambs, as non-understandable illusions.

Human beings and within, the mind...the mind and, within, paradises of a sane existence or the hellish gloomy caverns of insanity, whose beating is as silent as the flowing of an evaporated river...breasts and, within, hearts melt in passion, or icy palaces of no feeling...feelings and within, the harbours of the vast sea of contrasting emotions: sounds of black or white; sight of cemeteries or embryos, taste of defeat or triumph, touch of privacy or intimacy and smell of decadence or glory.

Nature and the human being, both in the pit of ages, dancing at the sound of the pendulum of time...time and, within, Nature and beings...all of them at God's mercy.

But there are other demiurgic entities ruling nature, humanity and time. Have you ever been told that a boy screaming in agony is not louder

than the foolish and undecipherable murmurs of a multitude? That is the silent damnation of an erect bush in oblivion, within the vast universe of trodden grass. But sometimes, the voice of that latent individuality reaches the sky and paints the colour of the whole, becomes the voice of collectivity.

In fact, here and there, we can sense the power of the individual over the mass, the rainbow as one, reigning over its colours; the present, the "today", the "now", has cuddling veils of a yesterday, echoes from the past and diffuse lights of a "tomorrow", that "and then?", premonitions about the forthcoming.

Writers are those other gods who possess reality and, by drawing upon the objective frames, fortunately create a new one, a subjective or personal universe as a playground, sometimes clearly recognizable, familiar to us, other times going deep into the realms of shadowlands, hypnotizing us and letting us cross the borders of the unreal with just a simple step beyond.

Dreaming others' illusions is a magical virtue only these privileged artists have; uttering others' words is an art only these magicians show; thinking others' thoughts is the demiurgic capacity these intruders possess. Writers rule the mass and stand out of it; they are unique, just as the rainbow is a sigh of the harmed sun, a cross of light, in unholy skies of rain. Writers live our real lives or those other potentially imagined existences. In their cotidianous world of rainbows, seas, skies and horizons, actants, archetypes of their own, suffer our pains, taste our happiness, live our day to day life and die our end.

Within the privileged ones, there are those whose eyes can see beyond the limits of the surrounding truth, those revealing lairs of latent frights in alternative worlds. In their dream theater, those never-never lands, they compose symphonies of the unknown, either fairy or horror tales. The corpus of this essay is devoted to these last revealers, the hands offering the shiver. Horror is the story of the chaotic subconscious, the spring of the repressed, the invisible grin of pain, the silent cry of fear, and literature, that dead ocean, the mirror where altered states become art.

The writers of horror fiction, those wizards secluded in valleys with no dawn, sip the essence of our world and exorcize our traumas by making us, readers, face the frights they model in their lines. They bring the plague; by the light in their thresholds, either cold or warm, and the fragrance of their breath, fetid or rose-in-decay-like, you will recognize their mood. Their individual voice catches the restless beating of colectivity, making their nightmares our own, strumming chords of universal distress. They may prefer to let their terrifying stories develop into day-to-day settings, bringing rational fears –real threats– alive: murder, rape, toxic menace, lethal diseases...the autopsy of our present, not trespassing the frontiers of reality, bringing the shadows into our world, painting the walls of our cotidianeity in black, telling us about the horror growing hidden behind the next door, in our neighbourhood, in our streets, in our cities, in our body, breeding our shiver in familiar contexts, describing the flotsam and jetsam in the river of existence, turning the world upside down, showing universes and characters easy to identify with; or they may take us to dimensions apart, to the beyond, unknown lands of alienation, castles in the air of storm, what is hidden behind the closet door or under the bed at night, in distant ages or non existent worlds that they create for the occassion, where monsters, vampires, werewolves, aliens and other irrational fears of the soul¹ lurk in the shadows, those fears we pretend don't exist;² or, in a hybrid way,

¹ Poe implicitly refers to this sort of fears when talking about the opening intention in his works of horror, an effect aimed to caress human soul darkly: "I prefer commencing with the consideration of an *effect*(...), I say to myself, in the first place, 'Of the innumerable effects, or impressions, of which the heart, the intellect, or (more generally) the soul is susceptible, what one shall I, on the present occasion, select?'" (1986b:480-1).

² These are the exquisite delicacies Stephen Spignesi refers to as *a kiss in the dark*: "They make us close the closet door securely before getting into bed. Now, rationally, we all know that there isn't a monster in our bedroom closet. But emotionally we all feel a little better with the door closed tight. That way, anything that just might be in there won't be able to get out without us hearing the door squeak open" (1991:xv).

Stephen King also talks about the delightful clash between real and unreal fears, these latter not really existing but menacing in the shadows or hidden ambiances in our minds: "Let's talk, you and I. Let's talk about fear(...). We'll talk about the way the good fabric of things sometimes has a way of unravelling with shocking suddenness. At night, when I go to bed, I still am at pains to be sure that my legs are under the blanket after the lights go out. I am not a child anymore but... I don't like to sleep with one leg sticking out. Because if a cool hand ever reached out from under the bed and grasped my ankle, I might scream(...)vampires, demon lovers, a thing that lives in the closet, all sorts of other terrors. None of them are real. The thing under my bed waiting to grab my ankle isn't real. I know, and I also know that if I'm careful to keep my foot under the covers, it will never be able to grab my ankle" (1990b:5-6).

in what I call the "Anthesterian fiction",³ they may draw paths from the other side to our world for monsters to invade our urban jungles, usually trying to use the myths of the horrorscope, those irrational icons, as metaphors, standing for rational fears, drawing, in this way, the disutopy of a world in decadence. As Noël Carroll asserts: "it is at least plausible to hypothesize that horror cycles are likely to occur in periods of pronounced social stress in which horror fictions serve to dramatize or to express the prevailing malaise" (1990:211)

Be it as it may, the horror writer, ghost haunting the labyrinths of our minds, rainbow of trembling colours fading black, exhales morbid chantings and, with the whispered intonations of a flute, leads the masses up to a silent open paradise in the woods of dark imagination, just when the seasons of black arrive. There, the artist stops, sits down by the moonlight and, as a stimulus, gazes at the followers, who immediately, in response, surround him/her, all around a bonfire of beautiful flames. In the intimacy of shadows, together as the coven of twilight, they inspire the nocturnal supremacy.

It is two minutes to midnight when the writer begins to murmur. Words flow soothly through the air, creating the atmosphere of phantasmagoria. The initiation. Hypnotized, readers, listeners, yield to the macabre exotism, sharing the writer's fatal visions. As the narrator in Henry James's *The Turn of the Screw* states:

THE STORY HAS HELD US, round the fire, sufficiently breathless, but except the obvious remark that it was gruesome, as on Christmas Eve in an old house a strange tale should essentially be, I remember no comment uttered till somebody happened to note it as the only case he had met in which such a visitation had fallen on a child. (1993:3)

³ Narratives establishing Hell on Earth, monsters and dead among us. According to Matthew Bunson: "Anthesteria was a Greek festival held at Athens during ancient times in which it was believed that the dead returned to the city from Hades and wandered the streets. The Anthesteria was held in the month of **Anthesterion** (February-March) and was related to the god Dionysus, celebrating the maturing of wine for the season and honoring the coming of spring" (1993:8).

Attending the meeting at the forest implies accepting the risk of entering a world of frightful events and facing repulsive entities. That is the paradox within the heart of horror fiction. Fear is sublime, both terrible and splendidous. When reading horror books or watching horror films we are terrified, but we still insist on tasting the forbidden fruit, driven by our curiosity and inertia to unveil the unknown. At first, the writer speaks in silent words, taking our hands, cuddling us and making us trust him in a warm welcome, like that of Dracula to Jonathan Harker: "Welcome to my house. Come freely. Go safely; and leave something of the happiness you bring" (Stoker, 1993:26).

Then, by intuition and realizing we have joined the coven to be horrified, we get to know something horrible is going to happen. The forest becomes a gloomy castle of imprisonment. Trees whisper our name as we approach the palace. The landlord, the author, warns the guests, the hostages, between lines. If we trespass the threshold we will pay the price. In the labyrinth of darkness lots of locked doors wait to be opened:

"Let me advise you, my dear young friend nay, let me warn you with all seriousness, that should you leave these rooms you will not by any chance go to sleep in any other part of the castle. It is old, and has many memories, and there are bad dreams for thsoe who sleep unwisely. Be warned! Should sleep now or ever overcome you, or be like to do, then haste to your own chamber or to these rooms, for your rest will then be safe. But if yoube not careful in this respect, then". (Stoker, 1993:47)

Only those whose fear eclipses the necessity to know, the timorous ones, leave the meeting and run back for their salvation, not saving the mystery, surrendering to dark secrecy. The rest, suffering the threat, but blinded by curiosity –just like Adan and Eve or Jonathan Harker ("The Count's warning came into my mind, but I took a pleasure in desobeying it." [Stoker, 1993:52])– fall into the abyss, trespassing the threshold. In that magical moment, the visitors to the castle of nightmares become children, because not involved in the materialistic world, not having lost their capacity to be frightened by the fantastic or the supernatural, not having lost that splendidous innocence and their

imagination remaining open fields without limits, they are weak candles to the wind, wastelands for frights to grow:

He is only a child and his mind is not closed to unnatural possibilities. Optimism may sometimes be bizarre in the very young, but it is no less potent for that. A voice has whispered his name and he has responded; he has his own reasons for grasping at the inconceivable. (Herbert, 1989:14)

Night falls and the horror writer reigns all over restless thoughts. Children fight against entities, bogeymen, who come with the storm. They fight alone, falling apart from the adult's generation, those who do not listen to the children's cry:

*He cannot resist(...)
He listens for a moment more, perhaps wishing that the peripheral voice would also rouse his sleeping parents. There is no sound from their room; grief has exhausted their bodies as well as their spirit(...)
At the foot of the stairs he pauses once again, glancing back over his shoulder as if seeking reassurance from his spent parents. There is still no sound from their bedroom. No sounds in the house at all. Not even the voice. (Herbert, 1989:12)*

Or as Stephen King tells us in 'Salem's Lot about his child hero Mark Petrie, ready to face the vampire's hour:

Before drifting away entirely, he found himself reflecting –not for the first time– on the peculiarity of adults. They took laxatives, liquor or sleeping pills to drive away their terrors so that sleep would come, and their terrors were so tame and domestic: the job, the money, what the teacher will think if I can't get Jennie nicer clothes, does my wife still love me, who are my friends. They were pallid compared to the fears every child lies cheek and jowl with in his dark bed, with no one to confess to in hope of perfect understanding but another child. There is no group therapy or psychiatry or community social services for the child who must cope with the thing under the bed or in the cellar every

night, the thing which leers and capers and threatens just beyond the point where vision will reach. The same lonely battle must be fought night after night and the only cure is the eventual ossification of the imaginary faculties, and this is called adulthood. (253)

Children or child-like-adults are invited to the haunted palace for a special dance with the paradox –the *danse macabre*, in Stephen King's words–, a training for the worst, a terrible experience we accept because, deep within us, we know nothing can really hurt us as we are dreaming in fictionalized worlds. We choose to be sweetly horrified in the act of being tortured:

The danse macabre is a waltz with death. This is a truth we cannot afford to shy away from. Like the rides in the amusement park which mimic violent death, the tale of horror is a chance to examine what's going on behind doors which we usually keep double-locked. Yet the human imagination is not content with locked doors. Somewhere there is another dancing partner, the imagination whispers in the night, a partner in a rotting ball gown, a partner with empty eyesockets, green mold growing on her elbow-length gloves, maggots squirming in the thin remains of her hair. To hold such a creature in our arms? Who, you ask me, would be so mad? Well...?"(King, 1993:441)

When we listen to the silky calling from beyond, we are already asleep in that dream of tenebrous atmosphere, ready to leave our cradle and follow paths to the land of lightning and thunder:

A whispered name.

*The boy stirs in his sleep, a pale, vaporous moon lights the room.
Shadows are deep.*

*He twists his head, turning towards the windows so that his face becomes
a soft mask, unblemished, colourless. But the boy's dream is troubled;
beneath their lids, his eyes dart to and fro. (Herbert, 1989:11)*

Once we take the writer's hands, we gradually sink into the seas of madness. One by one, we ride the horse into the unknown, fast, as the dead travel at night. The effectiveness of this process of hypnosis depends on the writer's skill to preserve our interest, not revealing the secret until the story reaches its climax, so that readers do not awake from the trance prematurely. Firstly, both the author and the reader are imprisoned in the walls of the castle of horrors⁴ and, as a consequence, the artist must also believe what he creates to horrify, taking as a basis his/her own nightmares and transmitting the evil essence.⁵ Readers enter the realms of horror literature at their own risks. That is their role. Writers, on the other hand, have the challenge to frighten readers to undiscovered limits. Fear of the dark is a permanent threat and an instinct that makes us wonder what the universe is capable of. Referring

⁴The sensation of claustrophobic isolation is of outstanding importance in the literature of horror. The writer must imprison the reader within the storm of frights, as the audience of horror films, far from being in the familiar light at home, in front of TV., feels frightened when lights go away and they find themselves alone in the closed unfamiliar darkness of the cinema.

⁵The writer must taste his/her sighs and put stress on others' cries, modelling his/her work of art as the rainbow of black, gathering all the timorato colours of the collective nightmare of humanity. The writer's own shiver resulting from deep belief on the unreal is the previous condition for the shiver of collectivity. Mary Shelley suffered the nightmare before telling us about *Frankenstein*, the monster: "When I placed my head on my pillow, I did not sleep, nor could I be said to think. My imagination, unbidden, possessed and guided me, gifting the successive images that arose in my mind with a vividness far beyond the usual bounds of reverie. I saw—with shut eyes, but acute mental vision—I saw the pale student of unhallowed arts kneeling beside the thing he had put together. I saw the hideous phantasm of a man stretched out, and then, on the working of some powerful engine, shows signs of life, and stir with an uneasy, half vital motion. Frighful must it be; for supremely frightful would be the effect of any human endeavour to mock the stupendous mechanism of the Creator of the world. His success would terrify the artist; he would rush away from his odious handiwork, horror-stricken. He would hope that, left to itself, the slight spark of life which he had communicated would fade; and he might sleep in the belief that the silence of the grave would quench forever the transient existence of the hideous corpse which he had looked upon as the cradle of life. He sleeps; but he is awakened; he opens his eyes; behold, the horrid thing stands at his bedside, opening his curtains and looking on him with yellow, watery, but speculative eyes." (Shelley, 1994:9).

It is often the case that horror writers compose their gloomy chantings after awakening from their own nightmare. Mary Shelley, like Stoker or Walpole, were fablers who tried to share their shiverings with us: "I opened mine in terror. The idea so possessed my mind that a thrill of fear ran through me, and I wished to exchange the ghastly image of my fancy for the realities around. I see them still: the very room, the dark parquet, the closed shutters with the moonlight struggling through, and the sense I had that the glassy lake and white high Alps were beyond. I could not so easily get rid of my hideous phantom; still it haunted me. I must try to think of something else. I recurred to my ghost story, my tiresome, unlucky ghost story! Oh! If I could only contrive one which would frighten my reader as I myself had been frightened that night!" (Shelley, 1994:9).

to the inspiration and aims of a horror story, Mary Shelley wrote in the introduction to her magnificent work *Frankenstein*:

I busied myself to think of a story, a story to rival those which had excited us to this task. One which would speak to the mysterious fears of our nature and awaken thrilling horror, one to make the reader dread look round, to curdle the blood, and quicken the beatings of the heart. If I did not accomplish these things, my ghost story would be unworthy of its name. (Shelley, 1994:8)

The horror writer, the spider of a thousand eyes, leaves a slimy web in the vacuum of silence, an apparently frail architecture, that almost invisible frontier Renfield (whose name should have been Jonathan Harker) trespasses in Tod Browning's film *Dracula* (1931), when invading the Count's domains soon after Lugosi has welcomed him and introduced himself in such a distinctive way. After the winds of curiosity have lead the reader to the web, he/she is caught within and the first restless movements on his/her part awaken the macabre genius between the lines. Then, the spider-like shadow of the author approaches the prey and suddenly stings the pure skin –infestation–, injecting the horror venom, which starts flowing in successive cycles through the reader's veins, reaching the core of shivers quickly for the first time, erasing the balance of cotidianity, turning the world upside down.⁶

On the one hand, the venom of horror art must be part acrid, part sweet, as well as hypnotizing, not lethal, making the prey go through a lethargy –not a “lethargy”!!– in agony, like the trembling flame of a candle facing the wind; and, on the other, the web must be temptation wrapped around the reader's restless anxiety, not letting him go until

⁶ I compared the reader of horror novels with a bat in lethargy in one of my articles on horror fiction. In the lines closing the essay an imagined horror writer talks to the audience: “Ya ha pasado el baile. Todo cuanto te he susurrado debería haberte puesto los pelos de punta. Aún guardo la mayor de las sorpresas para ti. Pienso en ella mientras contemplo la llama del candil. Te gustaría visitar mi escritorio. Mi querido murciélago de porcelana...en meditación. Lee mensajes traídos en patas de un gorrión muerto. Si un murciélago de porcelana se aterra y cae...Abracadabra...Llora por última vez. Abre los ojos y ve el mundo que te he preparado. Un poco invertido, lo sé, ciertamente oscuro, lo presiento, pero, al menos, pese a tu pose de murciélago, ya puedes ver.” (Olivares, 1996:12).

the end, when the worst is to come.⁷ Horror plots are elaborated processes, tales, including several stages, following an "indispensable air of consequence, or causation, by making the incidents, and specially the tone at all points, tend to the development of the intention." (Poe, 1986b:480).⁸ The final product is a threatening entity created by dark invention, being its creator a god-like master. In Mary Shelley's words:

Invention, it must be humbly admitted, does not consist in creating out of void, but out of chaos; the materials must, in the first place, be afforded; it can give form to dark, shapeless substances, but cannot bring into being the substance itself. In all matters of discovery and invention, even those that appertain to the imagination, we are continually reminded of the story of Columbus and his egg. Invention consists in the capacity of seizing on the capabilities of a subject; and in the power of moulding and fashioning ideas suggested to it. (1994:8)

In fact, horror works are plays with three acts, tragedies both of repulsive terror and sensual attraction, narratives moving from a starting situation of balance—order that is suddenly broken by the irruption of the object of horror, the monster, the antagonist—towards a new balance to be restored. Once we are caught in the web of horrifying words, an oath is made between the author and the reader. The latter accepts the compromise and, after suspending disbelief, suddenly faints within the writer's arms to recover conscience in a different dimension. In the dream-like reality apart, the author gives hints about the shape under the sheet,

⁷ Furthermore, the length of a work of horror, like that of a poem, must be skillfully conceived for the suspension of disbelief to be effective and the feeling of horror to terrify instantaneously and not become ridiculous or monotonous if lasting for too long; brief dark emotions for an involving and enchanting unity of impression, in Poe's words: "If any literary work is too long to be read at one sitting, we must be content to dispense with the immensely important effect derivable from unity of impression for, if two sittings be required, the affairs of the world interfere, and every thing like totality is at once destroyed" (1986b:482).

⁸ Taking his weird poem "The Raven" as a basis of analysis, Poe states: "It is my design to render it manifest that no one point in its composition is referrible either to accident or intuition—that the work proceeded, step by step, to its completion with the precision and rigid consequence of a mathematical problem" (1986b:482).

as Stephen Spignesi states,⁹ but he does not unveil the mystery and keeps the secret to create suspense, gradually threatening the reader, and darkening the context of reading, deeper into the pit, a descent *in crescendo* into hell, a ride to the bridal chamber in which marriage with horror will take place. The oath is an invocation to a peculiar sort of love and passion. As Carmilla, the vampire, murmurs in sibylline words to Laura, her prey:

*I dare not tell my story yet, even to you. The time is very near when you shall know everything. You will think me cruel, very selfish, but love is always selfish; the more ardent the more selfish. How jealous I am you cannot know. You must come with me, loving me, to death; or else hate me, and still come with me, and **hating** me through death and after. There is no such word as indifference in my apathetic nature. (Le Fanu, 1987:100)*

The structure of horror novels, whose dark current follows the already mentioned dynamism from light to shadows and to final light again, can be usually broken into four main stages. The very first one is the onset, including the starting peaceful monotony and the subsequent arrival of darkness, introduced by the first event of horror, usually a striking one, opening a sequence of shivers, murders, deaths, strange appearances or disappearances, murmurs from beyond, which show the menace behind the scene.¹⁰ Sensual attraction follows the same pattern, from dressed beauty to naked skin in a gradually exciting process.

During the onset, losing vigour in the different visits from the vampire, the reader almost touches the shape under the sheet and is invaded by chaotic and subversive visions of the unknown. Each glimpse of nightmare is a voyeuristic morbid experience in which the reader

⁹ The title of his major work on King's fiction speaks for itself: *The Shape Under the Sheet: The Complete Stephen King Encyclopedia* (1991).

¹⁰ The presentation of the monster is usually delayed to stress the suspense. We, readers, are privileged witnesses of the effect, but, except for some hints, we have not the cause of it, that is to say, we have images of death –victims, martyrs to be revenged in the subsequent quest for balance–, and the atmosphere is that of imminent fright, of monstrosity lurking in the shadows.

floats in a satin darkness of bitter shudders, gradually identifying with the threatened characters in the story –pictures in the horror gallery are drawings with no frame–,¹¹ with a feeling of delightful anticipation, a trance Jonathan Harker describes after his confrontation with the three weird sisters by the cold and exotic moonlight in one of the forbidden chambers in Castle Dracula:

I lay quiet, looking out under my eyelashes in an agony of delightful anticipation. The fair girl advanced and bent over me till I could feel the movement of her breath upon me. Sweet it was in one sense, honey-sweet, and sent the same tingling through the nerves as her voice, but with a bitter underlying the sweet, a bitter offensiveness, as one smells in blood. (Stoker, 1993:53-4)

Throughout the onset, the reader experiences lots of interrupted orgasms, about to unveil the secret, about to feel the peak of emotions, following, with measured steps, the trace of an intermitent light at the end of the corridor –a soft glow of embers–, opening doors to the unknown, exploring in closets of the subconscious, one door leading to darkness, this darkness to another door and this one to another more stupid darkness.¹²

He stands at the door as if fearing to touch. But he is puzzled. More, he is curious. He twists the handle, the metal's coldness leaping along his

¹¹ The fiction idea of *this may happen to you* is replaced by that of *this is happening to you!!!*

¹² The horror story is a journey towards the unknown, deeper into the soul of fear. The chain of frightful events in the onset happens, one after the other, as doors to darker domains. The horror story, establishing once again a parallelism with the poem, is, in Poe's words, "merely a succession of brief ones, that is to say, of brief poetical effects.. It is needless to demonstrate that a poem is such, only inasmuch as it intensely excites, by elevating, the soul; and all intense excitements are, through a physical necessity, brief" (1986b:482).

The onset gathers a choir of frights, just like a refrain that is repeated to attract, touches and penetrations heading for the final orgasm. Each one must suppose a variation with respect to the previous one, a step forward, an intensification of fear, pleasure and horror: "The pleasure is deduced solely from the sense of identity, of repetition. I resolved to diversify, and so heighten, the effect, by adhering, in general, to the monotone of sound, while I continually varied that of thought: that is to say, I determined to produce continuously novel effects, by the variation of the application of the refrain, the refrain itself remaining, for the most part, unvaried" (1986b:484-5).

arm like iced energy released from a brumal host. The shock is mild against the damp chill of his own body. He pulls the door open and the darkness beyond is more dense; it seems to swell into the bedroom, a waxing shadow. An illusion, but the boy is too young to appreciate such natural deception. He shrinks away, reluctant to allow contact with this fresh darkness. (Herbert, 1989:12)

Once the waxing shadow is seen, once the essence of monstrosity is felt floating in the dark, discovery occurs and this results in the immediate need for confirmation of the unreal: "Disbelief mingles with the fascination and the fear, small lights – caught who knows where? – glitter in his pupils, tiny twin beacons moving through the shadows, gleamings that slip jerkily into the depths" (Herbert, 1989:13).

And once the threat is confirmed, once ghosts dance before our eyes, we look for the final confrontation to restore the balance, the previous *status quo*. We will have to face the antagonist, an almost indestructible entity, according to what the sequence of pavorous events and the resulting submission on the part of victims have shown during the onset. The harder challenge, the deeper orgasm. We still have to open another door, the last, leading to the climax of the story. Victory in the quest or terrible defeat lies behind. Fear hinders your movement, but the door finally opens. The sanctuary of horror welcomes us:¹³

A brief thought that there is someone clutching the other side, resisting his effort; then the handle catches and the door is open. He pushes inwards and his face is flushed by the lambent glow.

¹³ Every threat previously shown, every shiver previously suffered, is nothing compared to this last shock. The horror story, the poem of several brief terrifying emotions, develops in *crescendo*. The onset, discovery and confirmation, are dressed in a shroud of black. The last "stanza", the confrontation, where all the preceeding ones converge and the unity of impression is achieved, is shrouded by a deep shining darkness. Poe stated: "I composed this stanza, at this point, first that, by establishing the climax, I might better vary and graduate, as regards seriousness and importance, the preceding queries of the lover and, secondly, that I might definitely settle the rhythm, the metre, and the length and general arrangement of the stanza, as well as graduate the stanzas which were to precede, so that none of them might surpass this in rhythmical effect. Had I been able, in the subsequent composition, to construct more vigorous stanzas, I should, without scruple, have purposely enfeebled them, so as not to interfere with the climateric effect" (1986b:487).

The room is a display of burning candles: their light bows with the opening of the door and their waxy smell welcomes him. Shadows momentarily shy away then rush forward in their own greeting as the myriads flames settle.

At the furthest point of the room, resting on a lace-clothed table, is a coffin. A small coffin. A child's coffin. (Herbert, 1989:13)

The climax is served. The rewarding supreme shiver is about to haunt our consciences. The marriage ceremony is about to be held. We are to gaze at the monstrosity, whatever form it has, deep at its eyes. Having listened to the calling in lines, having followed the beatings of that light from beyond, after drawing images of unlimited horror, after wafting at the sound of a waltz of monotones, we are ready to unveil our dancing partner's mask and contemplate the bride in her exceeding beauty. Still the temptation of the unknown and the reluctance against the feared mingle in our minds:

He does not want to look into that coffin. He does not want to see the figure lying there, not in such alien state. But there is really no choice.(...) He draws closer. The form inside the silk-lined casket is gradually revealed.

She wears a white communion gown, a pale blue sash tied at her waist. She is —she was— not much older than the boy. Her hands rest together on her chest as if in supplication. Dark hair frames her face and in her death she is almost serene, a sleeping, untroubled child; and although, in truth, she is perfectly still, unsteady light plays on the corners of her lips so that it seems she suppresses a smile. (Herbert, 1989:14)

This ultimate discovery is the climatic essence of a horror story, just as beauty, in Poe's opinion, is the province, "the most intense, the most elevating and most pure" pleasure in a poem, an effect that elevates,

both purely and intensely, the reader's soul:¹⁴ "Beauty of whatever kind, in its supreme development, invariably excites the sensitive soul to tears. Melancholy is thus the most legitimate of all poetical tones" (Poe, 1986b:484).

In the case of horror fiction, we are dealing with dark beauty, another utopic concept that is doomed to wither. Apart from fear, melancholy, nostalgia and sadness impregnate the atmospheres in a horror story.¹⁵ For Poe, death was the most melancholic topic, resulting in poems of intense, deep and sincere tone, becoming bereaved lovers' laments; for a horror writer, death, as the most ardent threat, is also present. In the claustrophobic reading of horror stories, she hunts us like a shadow we can not get rid of, finally materializing, as Mark Petrie knows in King's

¹⁴The more prolonged, the more intense. Sometimes, this climatic ecstasy, the last dance, is brief and deceptioning, as in numerous gothic writings, in which horror wounds are suddenly healed in a quick process of recovery. The monster is supposed to become more horrifying when cornered, when discovered for the last dance; it is supposed to present its dark beauty in its raw state, to horrify and attract, to bravely oppose savers and potential victims in the final confrontation. If the dark entity fades when starting to dance, if after the lasting storm of shivers in the onset, the dispute is reduced to ashes in seconds, without a touch, without a shudder, the reader, violently awoken to reality, deprived from that last pleasure and orgasm, suffers nausea. The end of Stoker's *Dracula* is a clear example of this: "But, on the instant, came the sweep and flash of Jonathan's great knife. I shrieked as I saw it shear through the throat, whilst at the same moment Mr Morris's bowie knife plunged into the heart. It was like a miracle; but before our very eyes, and almost in the drawing of a breath, the whole body crumbled into dust and passed from our sight. I shall be glad as long as I live that even in that moment of final dissolution, there was in the face a look of peace, such as I never could have imagined might have rested there" (1993:484).

¹⁵ Poe's exotic contemplation of the horrible is materialized in the devotion to his dark nymphs: Ligeia, Morella, Berenice, Madeleine Usher, and even the living presence of the House of Usher, which, seen from the narrator's perspective, becomes a doomed *mausoleum*: "During the whole of dull, dark, and soundless day in the autumn of the year when the clouds hung oppressively low in the heavens, I had been passing alone, on horseback, through a singularly dreary tract of country, and at length found myself, as the shades of the evening drew on, within view of the melancholy House of Usher. I know not how it was but, with the first glimpse of the building, a sense of insufferable gloom pervaded my spirit. I say insufferable; for the feeling was unrelieved by any of that half-pleasurable, because poetic, sentiment, with which the mind usually receives even the sternest natural images of the desolate or terrible. I looked upon the scene before me, upon the mere house, and the simple landscape features of the domain, upon the bleak walls, upon the vacant eye-like windows, upon a few rank sedges, and upon a few white trunks of decayed trees, with an utter depression of soul which I can compare to no earthly sensation more properly than to the after-dream of the reveller upon opium, the bitter lapse into everyday life, the hideous dropping off of the reveller upon opium, the hideous dropping off of the veil. There was an iciness, a sinking, a sickening of the heart, an unredeemed dreariness of thought which no goading of the imagination could torture into aught of the sublime" (1986a:138).

Salem's Lot, "when the monsters got you" (153) in the last act. The passionate oath culminates in the marriage with the dark lover:

*He leans forward as if he might kiss his dead sister.
And her eyes snap open.
And as he grins up at him, her young face no longer innocent.
And her hand stirs as if to reach for him. (Herbert, 1989:14-15)*

Death is the diva we are dancing with. Eyes opened, becoming alive, it/he/she claims to be loved forever. There is nothing we can do. No shout comes from our throat, constricted by the wretchedness of our emotion, as we hear the horrible words in death's lap, when the conversion is imminent and symmetry is about to be drawn. Lovers will die together, in the inertia of that cruel love.¹⁶ We have a unique escape, the last cry we utter: "if your dear heart is wounded, my wild heart bleeds with yours. In the rapture of my enormous humiliation I live in your warm life, and you shall die –die, sweetly die– into mine" (Le Fanu, 1988:89).

And we finally reject the dark marriage. Our cry expresses fear and a tone of lament, that longing desire for the lost lover, and a sigh expecting an echo of identity, in search of the balance, sanity, peace and stillness we left behind in that other world and reality we lived in before entering the nightmare. That other lover lays in the depths of sea, in a forgotten sepulchre, just as Poe's Annabel Lee. The angels of horror took her there and that absence results in a forced disdain. Anyway, the quest for balance, the remembrances of that calm existence, will have its reward:

*The angels, not half so happy in heaven,
Went envying her and me
Yes! that was the reason (as all men know,
In this kingdom by the sea)
That the wind came out of the cloud by night,
Chilling and killing my ANNABEL LEE.
But our love it was stronger by far than the love
Of those who were older than we*

¹⁶ Carmilla admits: "Love will have its sacrifices. No sacrifice without blood" (1988:101).

*Of many far wider than we
 And neither the angels in heaven above,
 Nor the demons down under the sea,
 Can ever dissever my soul from the soul
 Of the beautiful ANNABEL LEE:
 For the moon never beams, without bringing me dreams
 Of the beautiful ANNABEL LEE;
 And the stars never rise, but I feel the bright eyes
 Of the beautiful ANNABEL LEE:
 And so, all the night-tide, I lie down by the side
 Of my darling, my darling, my life and my bride,
 In the sepulchre there by the sea,
 In her tomb by the sounding sea. (Poe, 1986c:89-90)*

Horror orgasm emerges precisely from this faked act of dying in the embrace of the nightmare, the exciting affair with fictionalized death, loving the horrible and dancing with it up to undiscovered limits, but, ultimately, remembering and missing our abandoned beloved in the sepulchre, with the assurance of a reintegration, a coming back to our engagement with reality, after our intrepid slide into the beyond. Consequently, reading horror is travelling towards shadowlands with a return-ticket. Awakening gradually takes place, as we sink in our own cry, a shout, avid for reintegration, that is grown in remembrances and the instinct of loving life:

*The boy frowns; yet the voice is within his own slumber, a silky calling
 inside his dream. His arm loosens from dampened bedclothes, his lips
 part in a silent murmur. His floating thoughts are being drawn
 unwillingly from their free-roaming hinterland towards consciousness.
 The protest trapped in his throat takes form, emerges as he awakens.
 And he wonders if he has imagined his own cry as he stares through the
 glass at the insipid moon. (Herbert, 1989:11)*

It is like instantly fleeing from the haunted palace, from the House of Usher, as it crumbles, as we realize we have survived the worst,

released from the bad dream in a delightful deliverance. We feel our pulse once again. The dynamism changes its essence. We are back, travelling again in the carriage of cotidianity. Everything is over and we have set Annabel Lee, our lover, free, feeling her by our side again:¹⁷

...His eyes opened and uncertainty surfaced with the wakefulness. The clatter of iron on iron, wheels on track, and the rhythmic lurching of the carriage banished the lingering shreds of his dream. He blinked once, twice, disturbed by gossamer after-images that had no clear form and certainly no context. (Herbert, 1989:15)

The rebirth implies loving the bride we had been deprived of more than before. Our relief comes from that sense of having experienced the worst but being unharmed. The flame of the candle has not been extinguished. It is such a dangerous game, but a game after all. Happy melodies fill the air. Dawn comes. The author's nightmare decomposes in daylight, even though silhouettes of black still inhabit our confused minds:

In the summer of this year we made a journey to Transylvania, and went over the old ground which was, and is, to us so full of vivid and terrible memories. It was almost impossible to believe that the things which we had seen with our own eyes and heard with our own ears were living truths. Every trace of all that had been was blotted out. The castle stood as before, reared high above a waste of desolation. (Stoker, 1993:485-6)

The horror amusing ride is over.

Or not...

...because among the clan of horror writers, there are some who have a place in eternal afterwords, coming as everlasting shivers, soon after the holy anticlimax, composing epilogues which turn into prologues

¹⁷King points out: "I believe it's the feeling of reintegration, arising from a field specializing in death, fear, and monstrosity, that makes the danse macabre so rewarding and magical...that, and the boundless ability of the human imagination to create endless dreamworlds and put them to work" (1993:28).

to new stories to tell in a non-stopping-cycle, those intrepid wizards who choose to let the seed of horror within us suddenly grow, the phoenix of fear rise from ashes, breaking the sweet melody, just when the story seems to have ended and the nightmare appears to be gradually fading. Those of you who may ever be unfortunately mastered by these obsessed artists, will realize that, after awakening, you will have brought to reality something more than just an echo.

Reintegration?

The day will darken and a hand destitute of flesh will come out from the tomb of frightening memories to pull you under. In fact, you will have awoken in another nightmare, the everlasting one, and you will be trapped in the dreamside forever, because some works of horror have no paths out, some writers invade your mind to stay, and what may have appeared to be just fiction to be alienated from at the end, murmurs of art gone with the wind, becomes horrible reality, chronicles of a story becoming the history to live in agony.

You will be walled up in the castle of nightmares.

Those visions of a dying embrace with death will then be portraits of that renewed fatal love.

After taking Annabel Lee back to her sepulchre down the sea, angels will cry forever haunting you. Let them cry. Let them sing the enamoured dirge. And you, Lady Death's eternal inamorato, songless bird, can even join the choir then.

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**THE RHYTHMS OF LANGUAGE
AND METRICAL DOCTRINE:
THE CASE OF HENRY HOWARD'S BLANK VERSE**

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Abstract

The development of linguistics during this century has dramatically changed our understanding of the nature and structure of meter. As a result, the new models of analysis have rendered more traditional views obsolete. These doctrines thought of meter as a sort of prescriptive abstraction which was imposed on language to model it as verse. However, authors who worked with these traditional doctrines had only an intuitive awareness of their inadequacy. Thus, poets working in the context of a transition period had to rely heavily on these theoretical models in order to establish a solid foundation for the new poetic tradition. It is the purpose of this paper to show how a strict application of these doctrines may have influenced in a negative manner the poetry of Henry Howard, Earl of Surrey, who worked with a new type of verse within a new stage in the development of the English language. The poem is his translation of Books II and IV of Virgil's Aeneid, for which he chose blank decasyllables in imitation of Latin hexameter. Both the peculiar character of Surrey's blank verse and the general context in which it appeared make it a useful example to illustrate some of the current issues in metrical theory.

I

There are several views on the relation between the rhythms of language and the rhythms of meter. Traditional metrical doctrines viewed meter as an abstract entity of quasi-platonic nature which was imposed on or applied to language in order to produce verse. Modern theories of meter based on linguistic studies have proved the former views to be inadequate. Nevertheless, poets writing in that tradition had only an intuitive knowledge of the inadequacy of such view, and in some cases their poetic techniques may have been affected by the metrical doctrines in which they were educated.

This problem was aggravated in the case of English verse by the fact that virtually all of these doctrines were based on models taken from Latin and Greek prosodies, and therefore the belief that entities such as traditional feet and long and short syllables were the units which made up metrical discourse in classical authors who were revered as models necessarily had to influence theoretical treatises for the writing of poetry in modern languages. In a way, this caused the imposition to become double: first the abstract pattern on language, and then an abstract pattern which was based on the metrical features of languages alien to the structure and nature of the English language.

This produced a lack of correspondence between the real units which made up metrical discourse in English and those taken from classical languages, which may have affected the composition of poetry with a solid theoretical basis, as seems to be the case with Surrey. There is no doubt that truly gifted poets went beyond mere prescriptive theories through their intuitions or what might be called natural linguistic competence into verse writing based on the real structures of the language. This poetic competence increased also with experience and the building up of a poetic tradition through the years. But it is not difficult to imagine that the outlook for a poet writing at the very beginning of a new tradition and working with a new kind of line was quite different from those who created with a substantial amount of written poetry behind them.

One of the purposes of this paper is to demonstrate how a strict adherence to certain metrical doctrines may have been one of the factors that contributed to flaw the work of a poet writing on a new type of verse within a new stage in the development of his language. The poet is Henry Howard, Earl of Surrey, and the poem is his translation of Books II and IV of Virgil's *Aeneid*, for which he chose blank decasyllables in imitation of Latin hexameters, also following the Italian model of *versi sciolti*, that is, verse without rhyme (literally, "loose verses" or lines). Using Surrey's translation as an example to comment on, this paper also intends to pose a number of questions which lie at the center of current studies of verse structure.

The flaw in Surrey's translation –or at least part of it– is unanimously acknowledged to be the strict iambic rhythm of his verses: a close metrical analysis shows that 30% of the lines in his translation are strictly iambic in rhythm without concessions to any of the permitted metrical licenses such as promotion, demotion, or variation in the number of syllables; moreover, as much as 74% of them are iambic decasyllables with only one or two minor variations such as initial inversion and/or promotion of unstressed syllables to an ictus position.¹ There are several causes for this: one of them is the fact that the poetry which immediately preceded Surrey was made up of quite irregular rhythms. It might also be attributed to Surrey's lack of experience in that kind of meter, even to the fact that he was more a poet of careful technique than spontaneous or intuitive talent, which kept him from using a more varied rhythm. Another cause may lie in his education as a poet. There are reasons to affirm that Surrey started his career following strict rhetorical patterns. There is a good example of this in his youthful sonnet to Geraldine, which follows closely the prevailing rhetorical doctrines on the distribution of the topics in the poem:

*From Tuscan cam my ladies worthi race;
Faire Florence was sometime her auncient seate;
The westorne ile, whose pleasaunt showre doth face
Wylde Chambaes cliffes, did geve her lyvely heate.*

¹ For a detailed account and more statistics, see Pérez Fernández (1995).

*Fostred she was with mylke of Irishe brest;
 Her syer an erle, hir dame of princes bloud;
 From tender yeres in Britaine she doth rest,
 With a kinges child, where she tastes gostly foode.
 Honsdon did furst present her to myn eyen:
 Bryght ys her hew, and Geraldine she hight;
 Hampton me tawght to wishe her furst for myne,
 And Windsor, alas, doth chase me from her sight.
 Bewty of kind, her vertues from above;
 Happy ys he that may obtaine her love.²*

Thus, it is not illogical to assume that he must have stuck with similar compliance to metrical rules which likewise originated in Latin prosodies.

II

T.V.F. Brogan remarks that: "Historically, enormous confusion has been created by failure to distinguish the metrical pattern from the linguistic markers that fill it, most particularly in usage of the terms 'long' and 'short'" (1993:769). In the case of Surrey the problem did not lie in trying to write English verse based on syllabic quantity—he never intended to do that—but in failing to distinguish the platonic or abstract metrical pattern from its actualization in individual lines which had to be adapted with more flexibility to the patterns of English speech if the poem was to flow more naturally or with more ease.³

² No. 9, p. 5 in E. Jone's edition of Surrey's Poems, 1964. The rhetorical treatises (Foundacion of Rhetorike by Rainolde [1563], and *The Arte of Rhetorique* by Wilson [1553]) which support this view were published after Surrey's death, but they reflected doctrines in common use all over 16th-century Europe, which were taken from Latin manuals. See Peterson (1990).

³ According to studies of perceptual psychology, a strict pattern need not have a presence above 25% to be perceived as the dominant in any medium. Thus Allen: "The ideal line may occur in composition only rarely—or conceivably not at all; it may simply be intuited as that structure which comprises the most regular recurrence of the structural elements" (1973:110).

Modern linguistics has shown that some of the mechanisms of metrical verse are simply the result of reorganizing or systematizing some of the natural processes of language. Verse becomes thus the site for the interplay between language and the conventions of poetry, the tradition. Brogan illustrates this relation by means of the following diagram: $L > T < M$. According to him, "Meter selects one phonological feature of language (stress, pitch, length) and reduces its several levels or degrees in ordinary speech to a simple binary opposition." (1993:768).

Metrical phonology goes well beyond the former view by stating that the filtering in metrical language is double: on the one hand the one made to produce speech (since this is conventional) and on the other the filtering or systematization intended to produce metrical speech.

But the situation is more complex: modern theories of meter also acknowledge that meter is a subspecies of rhythm, and therefore subject not only to the laws or rules of the language in which the poem is written, but also to the general laws of rhythmicity. And yet meter always writes itself through language. This is probably one of the central problems, but one which does not seem to be directly addressed, if ever.

According to the view adopted in traditional prosodies, meter is an abstraction which has an origin in language, its versified version. Language is actually the only place where metrical discourse can exist. Once it has been *extracted* from metrical speech it is then idealized as a theoretical, pseudo-platonic entity, until finally, after this process of abstraction—which is cultural and historical, and thus conventional—it is converted into a series of rules which are to be reapplied onto the language they originally came from. In other cases the abstraction is effected from a language (Latin, Greek) different from the one to which it was reapplied. The question is: is not this imposition—or reimposition—epistemologically or methodologically awkward, would it not lack objectivity, since meter cannot exist outside language? What changes have taken place in the process of abstraction which invalidate the resulting rules? Is it only the fact that the model was a foreign language, or is there a deeper methodological reason? Is a more general and objective framework in need from outside language or are the data provided by it enough to account for its functioning? This seems to have

been a serious flaw in the processes behind traditional metrical theories. The fact that some of the latest studies of verse structure have abandoned the restricted field of meter in language *per se* to focus on the wider and more general domain of rhythmic structure seems to show that the answer to the last of this series of questions is a positive one. Moreover, the theoretical perspective adopted by these studies is that provided by studies in musical rhythm. Thus the latest studies by Cureton (1992), among others, who explicitly acknowledges his indebtedness to Lerdahl and Jackendoff's musical theory.

In addition to the conventions of language and poetic tradition, there are other domains which interact with verse writing and its perception. The first of these is the auditory domain, which chronologically must have lain at the very root of metrical discourse, since this had an exclusively oral character during its earlier stages. The second aspect was not constitutive in its origin but it finally came to be fundamental for the fixation of poetry as text and the establishment of a solid tradition: this is the visual-graphic aspect, the poem on a written page. This aspect increased in importance with the advent of printing at the beginning of the Modern Age, precisely when Surrey was writing.

Finally, another perspective which must be taken into account when studying metrical phenomena must be perceptual psychology, a discipline which comes to include most of the other aspects of meter. Most modern metrists acknowledge the importance of this discipline to account for all the phenomena involved in the reading and/or hearing of poetry, metrical discourse as subspecies of the general phenomenon of rhythm. The insights provided by it are extremely interesting and at the core of current theories, together with the views provided by linguistic studies.

All of these different components of reading and hearing poetry interact simultaneously, combining different perceptual domains. In relation to this, a very interesting concept is that of the *auditory imagination*: the displacement of originally aural data, their reprocessing, from the physical world of sound to the inner workings of the mind when an individual silent reading takes place.

Even within the purely linguistic perspective –without taking into account such *peripheral* phenomena as graphic disposition–, meter is

extremely complex. There are the phonological, the syntactic and the lexical contribution to the general effect of any given poem: meter is multidimensional even within strictly linguistic boundaries.

Turning back to Surrey's specific case, it is relevant to keep in mind that the relation between the different structural, as well as the peripheral, elements has been continuously shifting through history. In other words, it must not be forgotten that in addition to the natural structures of language that meter reorganizes or systematizes there are components from other traditions, such as Romance syllabism for English poetry, and from other cultural domains, probably much more arbitrary than the less conspicuous conventions of language, since the latter are shared more or less unconsciously by all users of the language, and the former are known or accessible to a more restricted amount of readers, writers, critics, etc. The question remains whether such distinction can be expressible in terms of "natural" and "artificial" components of verse, as traditional literary history would have us believe, or whether this is a false dichotomy, the product of cultural convention as verse itself is.

But going back to the different components in verse perception, there is also very often an actual counterpoint between the rhythmic structure of the spoken poem and its graphic representation in the text. This is so if Byers (1983) is right in her claim that the line end in itself has no auditory reality. It is only natural to think that in its origin, line division strictly coincided with the rhythmic structure of the poem, a relation whose nature was modified as the poetic tradition grew into more complex and sophisticated forms: counterpoint. However, this is a counterpoint between phenomena belonging to different perceptive domains, the second one being part of a graphic convention strictly within the literary tradition, whereas the first one is part of the rhythmic structure of spoken language. On the other hand, the corpus from which Byers gets her statistics is very limited both in the number of speakers surveyed (18) as well as in the text—a poem written for the occasion by Byers herself—a fact which may seriously bias her results. A wide computer corpus of spoken English language is in need, similar in scope and exhaustiveness to the ones already existing for written texts, if we want the results of statistical analyses to be reliable and productive of rules of universal application. As Brogan remarks, metrics is one of the few areas of poetics

where empirical verification actually applies, and can be used to prove (and disprove) theories (Brogan, 1993:779). Empirical studies, however, do not seem to be sufficient to account for all the dimensions of the complex phenomenon of verse, since tradition and subjective perception, among others, play an important role.

This counterpoint or tension has been lurking from the moment poetry first became visual as a written text. And this fact has sporadically turned up in the discussions on the nature of verse (remember the assertion that some of Shakespeare's lines in his last plays were only lines for the eye, since their auditory boundaries did not coincide with the graphic line). But this fact has been fully acknowledged and also openly used as a rhetorical device within the latest poetry, when the loss of fixed metrical patterns has increased the need for alternative constitutive devices. The use of the graphic disposition in a text has become a conspicuous device in most modern poetry since free verse came into being.

The subject of the lack of a co-extensive relation between the auditory and the visual aspect of a poem (its graphic representation through a written text) leads to the question of *text and performance*. The methodological problems brought about by this subject are central to the study of verse. Several questions arise: are there clearly definable structural elements (in the sense established by structuralism in terms of *langue/parole*, if this distinction is valid for metrical speech) or invariants in the text that function as a solid basis for the metrical discourse, in opposition to the varying performances of the same? If this is so, the division between both can hardly be a clear-cut one; actually the discussion is concerned with where such a division should be established.

In addition to the former, it must be taken into account that the relation between text (in the sense of the graphic dimension of the poem) and oral performance has changed through the history of verse. This shifting relation has also taken place between other aspects of verse making, such as actual writing and theoretical doctrine. In the case of Surrey, the question is whether contemporary doctrines of poetry originated in him an incorrect concept of what meter or the metrical

structure of iambic pentameter should be. It is also a subject to consider whether these inadequacies could be the result of a strict application of foreign patterns on verse written in English. In addition to all these factors there is the fact that the kind of verse that Surrey decided to use for his translation (blank decasyllable) was new for Early Modern English, a variety which on the other hand was accentually unstable at the beginning of the 16th century.

Another general theoretical question related to this subject is the status of the line. It is obvious that the line is one of the central features of poetry. But, although it is a fact that the convention of division into lines in a written text is not *the* constitutive feature at the core of poetry, it cannot be denied that, as Byers remarks, line-end is a genre cue, "a signal to the reader that the utterance is a poem" (Byers, 1983:27; Brogan, 1993:781). It must not be forgotten, however, that poetic conventions are precisely that: cultural products, and that what one culture deems as poetic may not be so in another. From this perspective, it is undeniable that one of the constants in most of the written poetry in Western (and some non-Western) culture is the division into lines, simple as this assertion may seem.

A close look at Surrey's blank decasyllables may once again help clarify or at least illustrate this point. End-rhyme, although considered to be a barbarian, medieval corruption by some Renaissance humanists, had already a long tradition to be easily discarded overnight, and thus one of the most conspicuous constituents—or what was at least felt to be one—had to be abandoned under the new poetics. The consequence of doing so was a certain feeling that something was missing in the constitutive nature of the line, hence the reinforcement of rhythm to compensate for the loss of rhyme. Something similar seems to have happened during this century in relation to the loss of a fixed metrical pattern, which has had as a result the increasing importance of the distribution of graphic lines as a stylistic device.

Surrey's strict distribution of metrical accents within orthodox decasyllables coincides with an equally ordered disposition of the syntactic periods within the limits of the lines. The result is a kind of verse made up of layer after layer of disciplined constituents. In his

case, the lower-level constituents (i.e. stress distribution) interact precisely with those at higher level (rhythmic phrases). Two of the most interesting contributions to the study of verse structure approach their subject from these two different angles: low-level and high-level constituency. Attridge, in *The Rhythms of English Poetry* (1982), attempts a study of the basic units –beats and offbeats– and he builds his model from these constituents upwards. Cureton's *Rhythmic Phrasing in English Verse* (1992) aims at a more ambitious target: formulating a model of verse structure that goes beyond the line, and which can provide us with a holistic approach to account for the poetic phenomenon in all its different aspects. I think that both perspectives are not necessarily opposed since they both share many underlying assumptions, such as the necessity of a general theory of rhythm and the importance of perceptual psychology to explain the workings of poetic discourse well beyond a mechanistic approach based on partial studies or statistical analyses. There is no doubt that methodological discipline can not and must not be discarded, but on the other hand purely empirical studies cannot account for such a complex phenomenon as the structure and perception of verse.

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THE ANALYSIS OF INTERACTION IN PROJECT WORK

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Abstract

This paper aims to describe the interaction generated by groups of students while working on a project. Some background studies have been taken into account to enrich the description of the context in which this research takes place. The analysis of interaction in this case will be carried out by a team of observers with the use of a checklist, especially designed for this purpose. Both global and average-session results will be presented in order to have a more productive discussion and offer definite conclusions.

1. Introduction

Too many pages have been written to report a good number of experiences with project work. Other articles have described the different steps to be followed, and occasionally some other papers have informed of their results and shown some of the end-products in their appendix sections. In contrast, very little has been said on what really happens

within a group of students while they are working in a project work session.

Therefore, the aim of this paper is to observe and analyse the kind of interaction processes which take place when young learners carry out project work in the classroom.

Those learners are our secondary school students, who learn English –foreign language– as a compulsory subject in the state school system.

The research will focus on the directions in which the interaction processes develop and the language used: the mother tongue (henceforth, L1) or the foreign language (henceforth, L2).

2. Background studies

On the one hand, plenty of papers have reported different experiences with project work in our country for the last ten years or so.

Rodríguez Torras (1989 & 1991), De la Torre & Rodríguez (1993) and Velasco Moreno (1997) describe some of the experiences in primary education. At secondary level, the number of reports is larger: Vidal (1987), Casañas (1986), Palacios (1988), Granada Learner Autonomy Group (henceforth GLAG) (1992), Ribé (1994), Roldán Tapia (1995 & 1996), Cabezas Cabello (1993 & 1996), Menéndez (1995) or Pérez Torres (1995). There are some experiences carried out at university level as well: Alario Trigueros (1991), De la Serna Pozas (1993) or Rodríguez Mederos (1994).

The only comment or criticism to be made is that these articles only report the experience and occasionally include an appendix in which some of the end-product is shown. Apart from Velasco Moreno (1997), GLAG (1992) and Ribé (1994), all the others do not offer any kind of result: that is, no quantified data are available to the reader who wants to contrast his/her own experiences.

GLAG (1992) and Ribé (1994) include the results of a final evaluation questionnaire which the students had completed at the end of the project

sessions. Very briefly, the most outstanding conclusion in both studies is the students' positive attitude towards project work in general.

Velasco Moreno (1997) offers the most relevant conclusions in this case but its research design is very incomplete. She claims to have recorded and observed a working session and also to have made students answer a questionnaire; but we are not informed about the training of the observer or the validation test of the questionnaire, we are not offered either the transcript of the recording and the control group chosen to test her hypotheses is a normal class of the same level, with a number of variables which are not taken into account: sex, L1 and L2 competence, etc. Among the conclusions, which need not be completely overshadowed, the following ones should be highlighted: the class which is doing project work is characterized by the small number of times in which the teacher's assistance is required, by the noise generated in the groups which contrasts with the teacher-fronted lessons in the control class, and by the extensive use of the learners' L1 throughout the process.

On the other hand, there are a number of studies which focus on the kind of interaction generated in group work and may enrich the discussion later on.

For example, Pica & Doughty (1985) confirm some of the various hypotheses which they try out in their study: the input in the teacher-fronted activity (henceforth, TFA) is more grammatical than that in the group activity (henceforth, GRA), more turns are taken by an individual student in the GRA than in the TFA, more input is directed toward an individual in the GRA than in the TFA and a greater quantity of language is produced by an individual student in the GRA than in the TFA.

Wong-Fillmore (1985) describes research carried out in the USA with limited-in-English-proficiency students whose L1s were Spanish and Cantonese. She states that in classrooms with high concentrations of this kind of students, the interactions are most naturally conducted in their respective L1 because this is the language they know rather than in English which is new to all of them. Appel (1989) observes the same facts when he refers to his German learners of English.

Fotos & Ellis (1991) report that different groups of Japanese university students use their L1 as a vehicle for communication in group

work: the highest percentage of use is made by groups of male Economics students (44%), whereas the lowest percentage is made by groups of female Languages students (3%).

Freeman (1992) and Fathman & Kessler (1993) state that group work on very specific tasks (information-gap type, for example) reinforces the learners' self-esteem, improves their language competence and avoids an extense use of L1 use within the group.

3. Research design

Different patterns of interaction have been widely described, for example by Allwright (1984), Coleman (1987), Malamah-Thomas (1987) or Tsui (1995), but so far, the aim is not to get into a deep discussion on these or other different modes of interaction.

Therefore, the purpose of this paper will be to describe the interaction generated by groups of students in project work sessions in a classroom; whether the interaction process takes place within the groups, between two groups, with the teacher or if it undergoes an interruption, and which language the participants use in each case: L1 or L2.

3.1 Subjects

The number of students participating in the research totals 82, divided into 18 groups with an average of 4 or 5 students per group. They were all secondary school students, who had studied English at least for two years in the same secondary school but whose capacities were certainly mixed. Their L1 was Spanish, they attended a state school in a middle-sized city and they studied English as a compulsory subject within the national curriculum for secondary education.

3.2 Data collection procedure

A systematic observation (Seliger & Shohamy, 1989; Larsen-Freeman & Long, 1991) was carried out, in which 12 of the 18 groups

were observed 6 times and the others 8 times. Two observers were in charge of this task and they employed a checklist or tally sheet (Malamah-Thomas, 1987; Nunan, 1989; Sheal, 1989; Gebhard, 1992; Rees, 1993 or Tsui, 1995) especially designed for this particular observation. Some other checklists -FLINT, FIAC, COLT, TALOS, etc- had already been designed (Malamah-Thomas, 1987; Allwright & Bailey, 1991) but in order to serve our purpose a different one was needed.

The observers had been especially trained for their job (Sheal, 1989; Williams, 1989) and had also been successful in the inter-rater reliability or inter-observer agreement test (Seliger & Shohamy, 1989; Allwright & Bailey, 1991) with a coefficient of 0,91, which guarantees a high standard of reliability.

They were responsible for observing three groups each in every session. They codified the checklist for the forty central minutes of the session and the frequency of codification was a minute. The checklist contained 14 categories and codification was multiple (more than one category in the same minute) and it was done in real time, without any kind of recording.

One checklist was codified for each group and for each day. Therefore, at the end of the research process, 118 checklists had been codified.

3.3 The checklist

This is the research instrument which has been mentioned and briefly described above. The fourteen categories try to describe both the direction of the interaction and the language which is used.

Before its definitive use, it was also validated in a pilot study (Seliger & Shohamy, 1989) to check whether it fulfilled the functions which were expected and for which it had been designed.

4. Results

The following table includes three different types of results. The first numerical column, on the left, includes the total of tallies coded

CATEGORIES.	TALLIES.	TOTAL.
(1) Within the group L1		
(2) Within the group L2		
3) Group to teacher L1		
(4) Group to teacher L2		
(5) Group to group* L1		
(6) Group to group* L2		
(7) Group* to group L1		
(8) Group* to group L2		
(9) Teacher to group L1		
(10) Teacher to group L2		
(11) Interruption L1		
(12) Interruption L2		
(13) Teacher to class L1		

during the whole process of research. The column in the middle reports these same data in a percentage. The third column describes what an average session would be like and those data are obtained by a division between the number of tallies in each category and the number of checklists (118) actually coded in the research.

CATEGORIES	NUMBER OF TALLIES	PERCENTAGE	AVERAGE SESSION
(1) G. L1	2.278	53.29%	19,30
(2) G. L2	7	0.12%	0,05
(3) G-Pr L1	410	9.59%	3,47
(4) G-Pr L2	18	0.42%	0,15
(5) G-G* L1	65	1,52%	0,55
(6) G-G* L2	0	0,00%	0,00
(7) G*-G L1	73	1,70%	0,61
(8) G*-G L2	1	0,00%	0,01
(9) Pr-G L1	319	7,46%	2,70
(10) Pr-G L2	171	4,00%	1,44
(11) Irr. L1	647	15,13%	5,48
(12) Irr. L2	0	0,00%	0,00
(13) P-C L1	257	6,08%	2,17
(14) P-C L2	29	0,69%	0,24
TOTAL	4.275	100,00%	36,17

5. Discussion

The first outstanding fact is the high number of tallies coded at the end of the whole process (4.275), which demonstrates that plenty of communication takes place within, between, to and with the group. It confirms one of Pica & Doughty's conclusions (1985) as they stated that more turns of participation are taken by an individual student in group work than in a teacher-fronted lesson. Velasco Moreno (1997) also comments on the small number of times in which the teacher's participation is recorded, if compared with the learners' massive participation in all of the interaction processes.

It is also interesting to observe that the majority of communication takes place by using L1: if we add the results of all the odd categories (L1), they get to a 94,77% of the total of tallies coded during the research; whereas by adding the results of the even categories (L2), it only totals 5,23%. Therefore, there is a coincidence with Wong-Fillmore (1985), Appel (1989) and Velasco Moreno's (1997) studies in the sense that with limited-in-English-proficiency students, who also share a common mother tongue, interactions are conducted in their L1. There is also certain similitude with one of the set of groups (male Economics students) in Fotos & Ellis's study (1991) whereas the other set (female Languages students) presents a completely different result. In any case Fotos & Ellis (1991) have taken into account some variables (sex and university course), which make their research slightly different from ours.

According to Freeman (1992) and Fathman & Kessler (1993), the kind of tasks developed within the group should perhaps be altered in order to avoid so much interaction in L1: for example, information-gap type instead of discussion type tasks.

On most of the occasions in which L2 is used in any of the interaction processes, it is done when the teacher participates in the communication in one way or another: for example, in categories 4, 10 or 14.

Categories on interruption (11 and 12) sum up 15,13% of the total of tallies, which may be a very high percentage for some teachers and researchers, but which we consider positive if compared with a more traditional lesson. Is it not true that an average student wastes at least

15% of his/her time or work in a teacher-fronted lesson, in which he does not have too many opportunities to participate? From this point of view, this result shows a coincidence with the favourable opinion which two different groups of students have of project work and which they expressed in the questionnaires they had to answer (GLAG, 1992; Ribé, 1994).

In an average working session and in an average group, the following facts/categories would be observed at least (those which score 1,00 or higher): the group would interact in L1 (19,30), they would address the teacher also in L1 (3,47), the teacher would interact with the groups in both languages (2,70 and 1,44) and with the whole class in L1 (2,17), and there will be also a short span of interruption (5,48).

6. Conclusion

The high number of tallies and the limited participation of the teacher in the whole process confirms that project work is an excellent example of learner-centred activity which fosters, above all, autonomy in the learner.

Project work does not imply a waste of time because of the amount of time the students spend using L1 or interrupting group work; however, it is not a panacea either and it should be integrated in a kind of eclectic syllabus together with other grammar –or function– based lessons, in which different activities or tasks would be developed.

In fact, the tasks carried out demonstrate the great interest of the groups to communicate in all the possible directions. While this is true and positive, other more controlled or restricted tasks, such as information-gap ones, should be employed to complement the learners' possibilities and capacities for communication in L2.

Finally, the extensive use of L1 made by the students, which probably many authors did not dare to express, leads us to think that those classes in which English is taught as a foreign language and in which both teacher and students share a common first language (Atkinson, 1993) deserve a different consideration from those where English is taught as a second language and the teacher is probably a native speaker of L2.

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**VICTIMIZATION AS RESPONSE TO PERSONAL
AND POLITICAL UNREST IN MARGARET ATWOOD'S
BODILY HARM (1981)**

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Abstract

In Bodily Harm (1981), Margaret Atwood uses elements from gothic romances in order to challenge some of their ideological assumptions about the innocence and powerlessness of women to help themselves. To run away from her life for some time, Rennie Wilford, the protagonist, takes an assignment to a Caribbean island where she is confronted with an unsettling social and political situation and where most people she meets are not what they seem. Rennie then has to revise her image of herself as a middle-class Canadian free from the dangers that other people from other cultures have to face. This paper analyses the role of victim Rennie assumes throughout the novel, and questions her ways of seeing which always place her among the innocent and the powerless. If lack of involvement had been a guarantee of safety in her previous life, that attitude will not protect her from the postcolonial power struggles eventually taking place in the island. Paradoxically, when Rennie acknowledges her personal and political implication in what is going on around her, it may be too late.

1. Introduction

In most of her novels published since 1969, Margaret Atwood has explored a wide range of the literary and social fictions through which women have inherited images of themselves. However, as Coral Ann Howells has pointed out (1987:54), her novels move beyond any narrowly defined feminist project to include a revision of cultural myths about Canadianness and colonization and about structures of political power, sexual politics and oppression.

In *Bodily Harm* (1981), the theme of victimization is closely related to perception and the perceiver (Carrington, 1983:45). It has to do with a way of seeing life which deliberately excludes commitment to action and the risk of active participation. Also, passivity implies a distance between perceiver and perception leading to the illusion of exemption from evil. My aim in the present paper is to analyse the role of victim that Rennie Wilford, the protagonist, assumes throughout the novel, and to question her ways of seeing, those which always place her among the innocent and the powerless.

Atwood uses elements from gothic romances, the adventure novel and detective stories to compose a polyphonic and postmodernist novel where nothing is what it looks like, not even from the formal point of view. The undermining of the notions of unity that occurs at the level of genre calls into question the dichotomies Rennie had based her world on, such as surfaces and depths, fact and fiction, doctor and patient, subject and object, body and mind. The presence of realistic and anti-realistic modes of writing opposes these mutually exclusive alternatives, privileging their coexistence. Thus the notion of a detached observer and the line severing subject and object are weakened (Rao, 1993:99). Also, Atwood overturns readers' expectations by questioning the patterns and conventions genres impose on the narrative discourse. She has described this novel as an anti-thriller. There is no murder or mystery the protagonist consciously wants to solve; on the contrary, Rennie tries to avoid any kind of involvement in what is going on around her. Besides, not only do the good not win at the end, but the division between good and bad is blurred.

Bodily Harm interweaves present-tense and past-tense narrative, and, in the closure, shifts to the future tense; it is narrated in both the first and third person; and it has two narrators, Rennie and Lora. Rennie, the protagonist, is a journalist, living in Toronto with an advertising designer named Jake. She is diagnosed as having cancer and undergoes a partial mastectomy which is clinically successful, although she continues to be haunted by the fear of recurrence. To run away from her life for some time, Rennie takes an assignment to the Caribbean island of St. Antoine, where she is confronted with an unsettling social and political situation, and where most people are not what they seem. Eventually Rennie and Lora, a woman she has previously met there, are arrested and confined to a subterranean cell in an old fort. The ending describes Rennie's future liberation from the prison, although we never know whether this will in fact take place or whether it is just a fantasy on the part of the protagonist. The past-tense narratives intercalated in the novel make reference to Rennie's and Lora's family backgrounds and to their relationships with men.

2. Surfaces and depths

Rennie has always looked at the world without touching it (Davey, 1984: 70). Her attitude has been that of a tourist, whom she defines as a "spectator, a voyeur" (Atwood, 1983:125). Rennie strives for neutrality and invisibility and avoids any kind of personal or political involvement in life. As a journalist, she has abandoned social and political issues in favour of "lifestyles" articles, reflecting shallow trends of the society she lives in. Rennie chooses surfaces because she believes they are a safe space. By ignoring what lies underneath, she feels protected and exempt from action. Also, lack of involvement allows her to avoid failure easily because she naively believes she can always keep her options open and go somewhere else (227). According to David Lucking (1990:80), much of Rennie's attitude to life is the legacy of her direct upbringing in a small Ontario town which she depicts as a "subground...full of gritty old rocks and buried stumps, worms and bones" (18), the exact reverse of a surface. This attempt to detach herself from her roots is directly related to the

desire to escape from the responsibilities and commitments imposed by a claustrophobic environment: "I didn't want to be trapped...I didn't want to have a family or be anyone's mother, ever...I didn't want to own any objects or inherit any. I didn't want to cope. I didn't want to deteriorate" (58).

The first crack in Rennie's conception of reality occurs when she is doing research for an article "on pornography as an art form," and she has the chance to watch films seized by the Toronto police. This glimpse into the dark abyss of human depravity, this look beneath the neat surfaces of her everyday life briefly shakes her limited perception of reality: "Rennie felt that a large gap had appeared in what she had been used to thinking of as reality" (210). However, she interrupts this journey into the depths, and remains uninvolved in this issue by not writing the article. Rennie believes that this perversity of the world at large will not affect her if she just ignores it, thus preserving her safety and invulnerability: "Rennie decided that there were some things it was better not to know any more about than you had to. Surfaces, in many cases, were preferable to depths" (211).

Rennie's understanding of life as a dichotomy of surfaces and depths gradually falls apart when she is diagnosed as having cancer. Disease obliges Rennie to confront the other side of herself she had always kept at a distance, as a machine to be kept in good repair: her body. Up to that moment, she had merely felt a tenant in her own body. Rennie is reluctant to accept the inseparability of mind and body, of one not being subordinate to the other. She used to regard illnesses such as cancer as a manifestation of a mental disability, thus something one could control from the mind. But when her doctor tells her that "Cancer isn't a symbol, it's a disease" (82), she begins to recognise the existence of some elements within her self she cannot control. Unlike in the pornography issue, this time ignorance about what lies underneath a smooth appearance has not protected her body against the disease. Consequently, Rennie finds it very difficult to live at the same level as before (Lucking, 1990:82). She is afraid of recurrence, and although apparently her body does not reveal any symptoms of that kind, "...from the surface you can feel nothing, but she no longer trusts surfaces" (48).

Unable to find within herself the strength to face her own mortality and vulnerability, Rennie's response to the threat of cancer is to fall in love with her doctor, Daniel. This complicity with the mystique of the doctor reveals her willingness to assume the role of victim/patient who subordinates to a powerful healing other/doctor (Hansen, 1985:14). By considering Daniel as the only person who can "rescue" her from her illness, Rennie does not feel responsible for her own healing and confers the active role on another person. This way she avoids facing the risks of her new personal and social future. Eventually, Rennie's faith in Daniel as her saviour fades, which leads her to question her role as a passive object in the hands of a distant subject. After having an affair with him, Rennie realises that he is just a human being who also needs to be rescued: "The fact was that he had needed something from her, which she could neither believe nor forgive" (238). When the roles are exchanged and Daniel is no longer the rescuer, "...she was supposed to be the needy one, but it was the other way around" (238), Rennie feels betrayed and left alone in the face of death: "This is what terminal means" (238). Despite her attempts to play the passive part, she has been forced to participate in the action.

Just before taking the assignment to the Caribbean island of St. Antoine, the discovery that a stranger has broken into her house contributes to Rennie's growing awareness of the destructive forces lying below the familiar surface of life (Lucking, 1990:85). A feeling of being involved seizes her: "She felt implicated, even though she had done nothing and nothing had been done to her" (40). This incident can be seen as an external correlative of Rennie's cancer, which is also a hidden element in an apparently healthy body. On this occasion, her way to escape the external and internal dangers threatening her passivity is to fly to a remote place where she can keep her detachment from the world by playing the part she feels more comfortable at: that of tourist.

3. Aggressors and victims

Once on the island of St. Antoine, Rennie does not perceive the social unrest and postcolonial struggles taking place there. A presidential election is scheduled during her stay, however she is only interested in

tennis courts, restaurants and other aspects that can be interesting for the readership of the magazine she works for. Dr. Minnow, a candidate running for president whom Rennie met on the plane to St. Antoine, tells her about the history of colonial and postcolonial power politics and the suffering of the population on the islands. In his mind, the artist and politician have a duty to change reality (Staels, 1995:143), so he asks Rennie to write the truth about the poverty and the political corruption on St. Antoine, "Since you are a reporter, it is your duty to report" (134). But Rennie has no intention of reporting on those issues. Although she witnesses the brutal methods of the police to repress people, such as the beating of a deaf and dumb man by an officer, she prefers to think she does not have the power to act and change things. This justifies her attitude of non-involvement. Instead of exploring the dark side of the island, Rennie sticks to surface realities over which she believes she has control.

On St. Antoine Rennie also meets Paul and Lora. Like herself, Paul is always out and away when life gets too dangerous (Staels, 1995:133), however, he has learned to distrust appearances and he advises Rennie to do the same. With regard to Lora, Rennie is reluctant to listen to her story of personal victimization and violence. She does not want to see the violence that is beyond words because that would demand her revision of the securities she has based her life on.

Without her being aware of it, Rennie has become dangerously involved in island politics because she has been seen with Dr. Minnow, and has been used by Lora to receive and hide guns for an opposition group. After the election and the murder of Dr. Minnow, who had been elected prime minister, there is an uprising, and Rennie is arrested for "Suspicion" (262). Lora and her are imprisoned in the cellar of an old fort Rennie had previously visited with Dr. Minnow. This arrest opens a definite split in Rennie's life. Now she is in the depths, from a physical and metaphorical point of view. Initially, she does not believe that situation is happening to her and hopes for a quick release. Later on Rennie sees the police torturing some prisoners in the prison's courtyard. At that point, Rennie understands that she is not exempt. For the first time, she acknowledges her own complicity in what she has witnessed.

The tidy distinctions upon which her existence had been founded crumble when Rennie realises that the roles can be reversed at any time. She can be aggressor and victim, there is no longer a safe here and a dangerous there (Lucking, 1990:89). Before Rennie was outside, now she is inside where she never thought she would be. Her ignorance and lack of involvement have not protected her and will not save her:

She has been turned inside out, there's no longer a here and a there. Rennie understands for the first time that this is not necessarily a place she will get out of, ever. She is not exempt. Nobody is exempt from anything. (290)

Once she has undergone this epiphany, Rennie stops being a voyeur to become an actor (Bouson, 1993:131). This is portrayed in the novel when she helps Lora after her beating by the prison guards. The connection with another human being turns Rennie into a rescuer, and definitely changes her perception of life: "What she sees has not altered; only the way she sees it. It's all exactly the same. Nothing is the same" (300). Rennie rejects her illusion of exemption from evil and acknowledges her own power to act. She assumes the responsibility to report what she has seen and lived at St. Antoine so that the world at large can benefit from her experience: "In any case she is a subversive. She was not once but now she is. A reporter. She will pick her time; then she will report" (301).

4. Conclusion

We never know whether Rennie actually leaves the prison or not because the narration of her liberation is in the future tense. This formal ambiguity frustrates the readers' expectations of a conventionally happy ending where the heroine is rescued and the bad are punished, like in gothic romances, adventure novels, or detective stories. Thus Atwood subverts the conventions certain genres impose on the content of the narration. On the one hand, the author stresses the positive aspects of Rennie's emotional rescue from her role of victim such as the recognition

of her complicity in the evil of the world and the redemption she achieves by helping Lora. In this sense, it would be irrelevant whether she is physically liberated or not from the prison. This paradox would explain the contradictory statements with which the novel concludes (Lucking, 1990:91): "She will never be rescued: she has already been rescued. She is not exempt. Instead she is lucky" (301). The other side to this interpretation would be that precisely when Rennie decides to involve herself in life, she may never have the chance to enact her new story about not being a victim (Howells, 1987:61). In that case her spiritual renewal would remain at a strict private level, being useless for the world.

Even in the late twentieth-century "postfeminist" era women are not exempt from the power and sexual politics that structure masculinist culture (Bouson, 1993:134). As an author concerned with the uses and abuses of power, Atwood portrays in *Bodily Harm* the negative aspects of those politics, challenging some female fantasies of innocence and victimization. These fantasies limit women's recognition of the dangers of real life as well as their perception of themselves as morally responsible human beings.

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INTRODUCCIÓN A LA LITERATURA CHICANA

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Texto completo de la conferencia dada por el profesor Manuel Villar Raso en la Universidad de Jaén, el 8 de Abril de 1997, dentro del Ciclo de Conferencias organizadas por el Departamento de Filología Inglesa de la citada Universidad.

1. Hacia una definición

La palabra chicano deriva de la pronunciación popular de "mexicano", "meshicano", "shicano", "chicano, por aféresis. Para el crítico Bruce Novoa (1988:11), "chicano" quiere decir todo ser humano de ascendencia mejicana que reside en los Estados Unidos, lo quiera o no. El origen y la evolución de la literatura chicana sigue siendo tema de debate. Críticos como Luis Leal (1979:21) la sitúan en tiempos de la conquista e incluso antes; en tiempo de Cabeza de Vaca, en el siglo XVI, o en las expediciones de Coronado, De Soto y Oñate. Cabeza de Vaca, en efecto, sufrió una experiencia chicana al encontrarse con gente de su raza después de años de andar entre los indios. Vestido como ellos, no parecía español y se había convertido en otro, aunque no del todo, que es lo que les sucede a los mejicanos que van a los Estados Unidos o los chicanos que van a

Méjico. Si ser chicano significa estar en contra de la cultura principal, entonces lo chicano nace cuando España se convierte en el imperio más poderoso del mundo. Si ser chicano es sufrir la discriminación y la explotación en los Estados Unidos, sólo por el hecho de ser mejicano o hispano, entonces sin duda existe desde 1848, cuando México perdió la mitad de su territorio con el Tratado de Guadalupe Hidalgo; y en Texas, desde 1836.

De la década de los 20 es la siguiente letrilla:

*Un día desesperado
por tanta revolución,
me pasé para este lado
sin pagar la inmigración.*

....

*Qué arrepentido
qué arrepentido
de haberme venido.*

Y esta otra:

*Ya me voy a trabajar al norte pa'pagarme yo mucho dinero.
Luego que yo quiera divertirme, yo me vengo a pasear a Laredo.
En Laredo se encuentra de todo, ven aquí si te quieres pasear.
Hay cerveza, mariachis, canciones, y mujeres que saben amar.*
(Villanueva, 1996:8-9)

Juan Rodríguez distingue tres fases en la literatura chicana: 1ª, de 1848 a 1945; 2ª, de 1945 a 1960 y 3ª, el florecimiento (1977:71). Lo que está claro es que la literatura chicana no nace en el vacío, aunque su novela sea un fenómeno reciente. De los años 60, cuando la comunidad latina y negra hacen oír su voz con fuerza y los norteamericanos se enteran de que existen otras etnias, destacan dos buenos ejemplos: Luis Valdés con su *Teatro Campesino* y Rodolfo Gonzales con *Yo soy Joaquín*, obras en las que se protesta por el tratamiento y explotación que reciben los chicanos.

2. Búsqueda de identidad

La novela más representativa y que ya plantea el problema de la realidad e identidad chicana, de forma magistral, es *Pocho* (1959), de José Antonio Villarreal, si bien *...y no se nos tragó la tierra* (1971), de Tomás Rivera, es un texto al mejor estilo Rulfo, más atractivo. *Pocho* se inicia con el retrato de Juan Rubio y su desilusión con la revolución mejicana de 1910. Seguidor de Pancho Villa contra Obregón, el protagonista es un hombre que odia todo lo que no es mejicano, sea anglo o español. Espera que lo llamen para ir a las armas y finalmente se une a la masa de emigrantes causada por la guerra. Lucha en una cantina por el honor de una prostituta y en la lucha muere su chulo español. Es una víctima de sus ídolos, Zapata y Villa, y acabará refugiándose al otro lado de la frontera, enfrentado a la edad, a la pérdida de su masculinidad y de la estructura familiar. En Santa Clara, donde se le une su mujer, Consuelo, le nace su hijo, Richard, cuyos valores ya no son los del padre y contemporiza con lo anglo, rivalizando con otros de su etnia en ver quién es más americano. Allí Consuelo pierde su dignidad y Juan Rubio se irá a vivir con Pilar Ramírez, otra mejicana.

En "El año perdido", cuento introductorio de la novela de Tomás Rivera, *...y no se nos tragó la tierra*, el protagonista se mira al espejo y se da cuenta de que lo que ve es él mismo; como es de esperar, él mismo se ha llamado, él mismo ha creado su realidad. Va en busca de trabajo y sabe que el viaje es inútil y terminará como tiene que terminar, sin encontrar el paraíso. En el último cuento, "Cuando lleguemos", el protagonista dice:

Cuando lleguemos, cuando lleguemos, ya la mera verdad estoy cansado de llegar. Es la misma cosa llegar que partir porque apenas llegamos y ... la mera verdad estoy cansado de llegar. Mejor debería decir, cuando no lleguemos porque esa es la mera verdad. Nunca llegamos. (1971:114)

3. Novela chicana en español

Son contados los autores que han hecho su obra en español; entre los más importantes están Miguel Méndez, Rolando Hinojosa, Aristeo

Brito o Xavier Ulibarri. La gran mayoría de autores chicanos escriben en inglés, fundamentalmente porque el resto de los autores conoce el español hablado, pero no el escrito, que en los Estados Unidos cada vez se estudia menos en la escuela. De entre los autores en español destaca sin duda Miguel Méndez, autor de *Peregrinos de Aztlán*, *El pueblo de Santa María de las Piedras* (1997) o *Los muertos también cuentan*, novelas que interpretan varios aspectos de la experiencia chicana. *Peregrinos de Aztlán* (1974), novela narrada desde diversos puntos de vista, cuenta los recuerdos de Loreto Maldonado, un viejo indio Yaqui, su vida rural y urbana como lavador de coches, en una ciudad norteamericana sin identificar en la frontera de Arizona con Sonora. Sus pensamientos, sueños e ilusiones dan una visión de la sociedad desde el estrato superior al inferior. Aztlán es la región perdida –hoy mítica– de los estados de Texas, Nuevo México, Arizona, California y parte de Colorado y Nevada, un ámbito que en la novela está sembrado de personajes como Rosario Cuamea, un guerrero que *desfloró a la muerte*, o Jesús de Belem, a quien *muchísimos adoran por sus milagros*. Pero es la ciudad fronteriza la que se convierte en el *leitmotif* de la estructura de la novela, la protagonista real, que en ocasiones niega lo más básico de la existencia a los *peregrinos de Aztlán*. La muerte de Frankie Pérez en el Vietnam, años después, nos muestra cómo los chicanos han sido manipulados por el sistema para luchar guerras que no son las suyas. El tema grande, por excelencia, de *Peregrinos* es la explotación del chicano. El buen Chuco es otro de los personajes inolvidables:

topé con el buen Chuco en el centro de Los Angeles, Aztlán. ¡Qué acabado! Arrugadito como una pasa... Lo reconocí porque en ese momento provocaba la indignación de varios peatones; pues se había sentado a media acera en posición fetal,...s (1974:37)

El pueblo de Santa María de las Piedras (1997), recientemente publicada en Granada, es un ejercicio de estilo que puede incluirse entre la mejor novela latinoamericana. Las conversaciones de unos viejos crean el pueblo y con su muerte, éste desaparece. *Los muertos también cuentan* es la historia de un yaqui, un pachuco y un conquistador, ya muertos y en busca de su sepultura. Pocos autores como Méndez exploran las

tantas facetas de la realidad chicana (la frontera, el desierto, los espaldas mojadas,...) y en una lengua tan novedosa, vida y original, que es su mayor logro.

El diablo en Texas (1968) de Aristeo Brito es la historia de Presidio Ojinava en el río Grande, un pueblo en el que los colonos norteamericanos van despojando de sus tierras a los incultos mejicanos, unas tierras que ellos llevan trabajando siglos, pero de las que no tienen papeles. La ciudad está entre el cielo y el infierno. Son ánimas en pena, masacradas por bárbaros como Ben Lynch y otros, que luchan desesperadamente por sobrevivir. El hijo no nacido de Marcela, mujer de José, racionaliza las razones del descontento de su madre: "Es que traen cien años, fíjate chonito, de historia indignada en la panza. Su enfermedad es de palabras, que no pueden salir de aquí, de sus entrañas" (1968:79).

El valle de Río Grande de Tejas tiene una de las mayores concentraciones de chicanos de los Estados Unidos. Es el lugar donde sucede parte de la obra de Tomás Rivera, ...y no se nos tragó la tierra (1971), y de la obra de Rolando Hinojosa, que empieza con *Estampas del Valle* (1973), *Generaciones y semblanzas*¹(1977) y *Klail City y sus alrededores*. Los personajes principales son Malacara y Rafa Buenrostro; el tema importante es la relación de los chicanos con los bilillos o anglos. También la familia Tamez juega un papel importante; así en *Generaciones y semblanzas* leemos: "A Jovita de Anda la preñó Joaquín, el mayor de los Tamez. En esos casos es difícil saber qué va a pasar." (1977:49). Hinojosa tiene una habilidad especial a la hora de poner en boca de sus personajes una lengua nada gramatical; combina además ésta con el inglés de forma anárquica. Pero lo importante es su interpretación de la vida y de la historia chicana durante décadas del siglo XX. Crea, como Faulkner, un condado, *The Belken County*, que provee a las vidas de la gente su identidad colectiva. Sus temas son la guerra, la emigración, el barrio y las tensiones entre chicanos y bolillos.

Alejandro Morales ha publicado dos novelas en español, *Caras viejas y vino nuevo* (1975) y *La verdad sin voz* (1979), ambas urbanas y

¹ Se trata éste de un libro modelado según el de Ferán Pérez de Guzmán, *Generaciones y semblanzas*, del siglo XV, la primera colección de biografías y retratos de ilustres españoles.

sobre la experiencia del barrio. En las dos, el tema de fondo es el puente entre la realidad chicana y mejicana. La acogida por parte de Méjico, sin embargo, no ha sido buena y Juan Ventura Sandoval dice, por ejemplo, que “no hay manejo brillante del lenguaje, saboreamos resabios de un español contaminado por el inglés y observamos una pobreza gramatical que en nada dignifica su obra” (1976:89). El protagonista de *Caras viejas*, Mateo, hace a veces de testigo y de conciencia: “La vecindad lucía una belleza íntima: el barrio es un lugar bello si uno lo siente como lo sentía él” (1975:41). El barrio ofrece al chicano protección y respeto, pero fuera de este ámbito sigue la explotación. Es una visión sin duda idealizada del barrio y el tema central es el conflicto entre generaciones, Julián/Edmundo. Julián pertenece a la nueva generación de delincuentes, a los que Edmundo se refiere como *cabrones*, *sinvergüenzas*, *místicos*, *malas astillas*. La imagen del mundo anglo es muy negativa, incluso caricaturizada y de caracterización pobre, como en el caso de Bárbara. El sexo es instrumento de violencia..., aunque indudablemente el barrio provee bases culturales positivas a sus miembros.

Caras viejas tiene el mérito de haber sido publicada por una gran casa comercial, pero como queda dicho, no se justifica en ella su uso incorrecto del español; aunque en su defensa hay que decir que Morales no trata de gustar a los puristas del lenguaje y sí captar la lengua, los pensamientos y actos o experiencias de la población chicana. Su diferencia con Hinojosa es importante. En la obra de éste la experiencia chicana es positiva, mientras que Morales proyecta un mundo muy pesimista y al borde del caos.

4. Novela chicana masculina en inglés

4.1. El sueño americano y California

Y si la novela chicana en lengua española ha dado novelistas tan relevantes, como los citados, en la lengua inglesa, la experiencia chicana no le va a la zaga, en parte por imperativo del mercado y en parte no menor por desconocimiento del español escrito por la mayoría de los autores actuales. Los mejores ejemplos están en California. California

tiene la mayor población chicana de los Estados Unidos. Sigue siendo la tierra prometida, el lugar por excelencia del sueño americano y a ella se desplazan la mayoría de los emigrantes mejicanos. Entre los novelistas chicanos en inglés destacan Raymon Barrio, autor de *The Plum Plum Pickers* (1984), Nash Candelaria, con *Memories of the Alhambra* (1977) y Ron Arias, con *The Road to Tamazunchale* (1975).

The Plum Plum Pickers (1984) narra la vida de los emigrantes, de la familia Gutiérrez y Delgado, así como de gran parte de la población trabajadora. El fondo de la obra lo constituyen el trabajo y las condiciones de vida, la hostilidad de los anglos y el problema de la identidad de jóvenes que, como Margarita Delgado, cuestionan sus orígenes. A esto se añaden las dificultades derivadas del color y de la lengua. Frente a todo, Lupe, para quien encontrar trabajo es el sumo del éxito. No es una novela optimista y, sin embargo, enfatiza la capacidad de lucha y la habilidad de sobrevivir de los chicanos.

Los personajes des *Memories of the Alhambra* (1977) pertenecen a la clase media e intentan identificarse con el mundo anglo y conseguir de él los mayores beneficios. Es una de las novelas chicanas más celebradas por la crítica, pero el problema para los personajes sigue siendo el mismo: quiénes son y dónde van. La novela comienza con el funeral del padre de José, Rafa, y acaba con el funeral del primero. Entre estos dos sucesos, el narrador traza el desarrollo de dos generaciones de Rafas, que se consideran españoles y no mejicanos —la palabra *Mexican* significa para ellos inferioridad—, desde Albuquerque a Los Ángeles. Muy fina es la caracterización de Theresa Trujillo, mujer de José. Éste pertenece a la comunidad hispana de Nuevo México desde 1706, año en el que se funda Albuquerque. De California viene a España en busca de sus raíces, pero no las encuentra o encuentra que cada hombre debe ser juzgado por lo que es en el presente y no por el pasado. José ama y odia a los anglos al tiempo. No consigue reconciliarse con esa cultura. Esto sólo lo logrará su hijo Joe, químico de profesión, gracias a sus mayores conocimientos de la historia y al hecho de conseguir cambiar su modo de vida y aceptar su puesto en la sociedad anglo. Pese a todo, el tema de la identidad continúa y, con ella, también la recompensa fallida del sueño americano, que no acaba de llegarles.

Macho (1973), de Edmund Villaseñor, es la historia de un joven indio tarasca, que igualmente intenta llegar al sueño americano. Más atención requiere *The Road to Tamazunchale* (1975), de Ron Arias, una de las obras que más nos ha interesado de la experiencia chicana. Se trata de una novela que va más allá del realismo social y que entra en el reino de la fantasía y de la magia. El personaje central es el moribundo Fausto Tejeda, cuyo proceso mental oscila entre la realidad de las autopistas y nieblas de Los Ángeles y la fantasía de una edad heroica en el pasado. Las imágenes de muerte que se repiten son la flauta, que corresponde a su angustia, y el pastor, en su mitología el conductor de las almas a la tierra de los muertos. Fausto sueña con traer trabajadores en barcos al sueño americano, cosa que no consigue en la realidad, pero sí en el sueño. La imagen central, Tamazunchale, representa el paraíso, el mundo sin estropear de los incas, que es en realidad el suelo de su habitación. El parque Elysian, donde se reúne con sus amigos, es otro lugar mágico y simbólicamente un lugar de descanso, a donde Fausto Tejeda llega finalmente en amistosa camaradería con otros animales y con la naturaleza. Se trata de una novela que también se centra en el problema chicano, aunque tratado de una manera simbólica. Se trata de una novela diferente y autónoma, que hay que juzgar ya como ficción y no tan sólo como realismo social, tema que sin duda Ron Arias trasciende.

5. Nuevo México o lo real y maravilloso

Nuevo México es el único estado en el que lo español priva sobre lo mejicano y donde la cultura española se ha sabido interpretar maravillosamente en ambiente humano y natural. Tres autores –Rudolfo Anaya, Orlando Romero y Xavier Ulbarri– son los que dan de esta tierra un encanto literario especial para los españoles, realismo mágico incluido y también elementos de lo fantástico.² *Bless Me Ultima* (1972), de R. Anaya, cubre varios años de la niñez de Antonio Márez, los recuerdos de la curandera Última y su lechuza, así como su influencia en la comunidad de Guadalupe. Es una de las obras de más éxito en los Estados Unidos, a caballo entre el mito, el curanderismo, y la realidad social, vida de sus padres y hermanos, tensiones entre granjeros y vaqueros, emigración

del llano a Las Pasturas de Guadalupe...Es la novela de iniciación a la madurez del joven Antonio, su niñez, escuela y aprendizaje en la vida, con leyendas como la de la carpa dorada (relativa a gente castigada que se convierte en pez por desobedecer a Dios) e incursiones en la cosmogonía azteca. La presencia del río le da al muchacho un atractivo sentido de armonía y comunión con la naturaleza. Última, la bruja, exorciza a los demonios y controla a las hijas de Tenorio. En el fondo, la novela trata del bien y del mal, de la inadecuación del catolicismo con la vida y de las imperfecciones de la naturaleza. El éxito de esta novela ha llevado a Anaya a escribir *Albuquerque*, mucho más comercial (casi una novela rosa y de atractiva lectura), en la que no nos detendremos, ya que carece de la complejidad de *Bless me Ultima*; lo mismo sucede con *Heart of Aztlán*, que dejamos por idénticas razones.

Nambé Year One (1976), de Orlando Romero, consiste en una evocación poética de los recuerdos y aspiraciones de Mateo Romero, nativo de Nambé, a los pies de las Montañas de la Sangre de Cristo, en el Llano, con gitanas, aventuras de pesca, encuentros con La Bartola o La Llorona, penitentes, santeros,... Una novela, en suma, que intenta captar el misterio que palpita en las cosas, en la vida, en las acciones humanas, no muy diferente a *So Far From God* de Ana Castillo, novela a la que volveremos a hacer referencia al hablar de las autoras chicanas.

De Ulibarri hay que resaltar *Tierras amarillas*. No se trata de una novela, sino de historias de esta región –al norte de Santa Fe, donde nace Ulibarri– que nos recrean un español soberbio que hará las delicias del lector. Algunas de las historias, como “Mi abuela fumaba puros”, son sencillamente magistrales. El protagonista del citado relato es parecido a Antonio Márez: también bucea en la historia de sus antepasados, abuelos y padres, vida del campo,...Tras la muerte del abuelo, la abuela toma las riendas familiare, siguiendo sus mismas pasos y costumbres –incluso la de fumar puros como él–; y eso pese a haberle guarecido sin tregua en vida. En otras de sus historias, Ulibarri nos habla

²T. Todorov dice que “the fantastic is that hesitation experienced by a person who knows only the laws of nature, confronting an apparently supernatural event” (1970:25). Por su parte, Louis Vax añade que la narración fantástica “se deleita en presentarnos hombres como nosotros, situados súbitamente en presencia de lo inexplicable, pero dentro de nuestro mundo real” (1967:232-33).

de su pueblo y del cura anglo que viene tras la muerte del cura español: su castellano incipiente hace la delicia de los parroquianos. Otra historia inolvidable es la titulada "Mi caballo blanco", con introspecciones en el paisaje, la naturaleza y la vida de gentes ancladas en la cultura hispana, como en una isla, en medio de la fagocitaria sociedad anglo, que intenta por todos los medios integrarla.

Creemos que estos ejemplos ilustran de maravilla la trayectoria y corrientes dentro de la novela chicana, la peripecia, protestas y creatividad de un pueblo que busca desesperadamente integrarse en el sueño americano, sin perder por ello su identidad, un pueblo que ha creado una literatura única, cada día con mayor sentido universal.

6. La novela chicana femenina

Todavía no hemos abordado la aportación de la mujer chicana a este mundo, tan suyo como del hombre. La mujer entra tardíamente en esta literatura. Aparece con su florecimiento, en los setenta, pero cada día su voz es más poderosa, tanto en novela como en poesía. En este último género tenemos mujeres tan importantes como Lorna Dee Cervantes, autora de *Emplumada* (1982), libro que estudia de nuevo la identidad y en el que la protagonista viaja a Méjico en busca de sus raíces, sólo para encontrar que Méjico le es tan ajeno como la cultura anglo. Alma Villanueva es otra poetisa con parecida fuerza. Su *Mother, May I?* trata de nuevo el tema de la iniciación e identidad de una joven hasta su madurez, pero con un estilo sencillo, claramente influido por William Carlos Williams, aunque naturalmente referido temáticamente al mundo de la mujer. Otras mujeres con voz igualmente poderosa, aunque en el mundo político, lesbiano y feminista son Cherrie Moraga y Gloria Anzaldúa.

Entre las autoras de historias cortas hay que resaltar a D. Chávez, con *The Last of the Menue Girls* (1986). La extraordinaria Estela Portillo Trambley es la autora de una breve y magnífica narración titulada "El vestido de París", incluida en su *Rain of Scorpions and Other Stories* (1975). En "The Rain of Scorpions", obra que da título a la anterior selección, E. Portillo rememora su niñez en la ciudad fronteriza de El Paso,

en cuya universidad trabaja en la actualidad. "Las Polillas" (1982), de Helena María Viramontes, es otra historia corta incluida en la obra antológica *The Moths and Other Stories*. Pero es *The House of Mango Street* (1984), de Sandra Cisneros, la obra que ha acaparado la atención, si no mundial, sí al menos de España. *The House of Mango Street* es de nuevo una historia de iniciación, en este caso de una muchacha que vive en un barrio de Chicago, donde hay una gran comunidad chicana. En un estilo extraordinariamente sencillo, Cisneros cuenta los avatares de su propia niñez, la vida en la calle y sus primeras relaciones con chicos y chicas hasta la madurez.

De Ana Castillo deben resaltarse dos novelas, *Mixquihuala Letters* (1986) y *So Far From God* (1993). La primera es la historia de una mujer que vuelve a Méjico en busca de sus orígenes. Va acompañada de una amiga y la novela consiste en las cartas de la protagonista a esta última, renglones en los que se cuentan las relaciones tenidas con diferentes hombres o los divorcios subsiguientes. En definitiva, la inadaptación de la protagonista tanto en el mundo mejicano, como en el norteamericano. En consonancia temática con Anaya y Rolando, Ana Castillo ha explorado en *So Far From God* (1993) el mundo hispano de Nuevo México, con personajes que parecen sacados de una película de Buñuel. La autora toma como modelo una familia de cuatro hermanas y va desgranando sus vidas, relaciones, confrontación con el mundo anglo, curanderismo, brujería y realismo mágico, con personajes que mueren y resucitan milagrosamente. Es una novela notable, que resume la extraordinaria aportación que la mujer, tardíamente integrada a esta literatura, está consiguiendo en estos momentos.

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INTERVIEW WITH STEPHEN DOBYNS

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*The following interview took place at the home of Stephen Dobyns' in Syracuse, New York, in August 1989. The interview was recorded, and what follows below is a transcription of the author's words taken from the recorded tape, complete, with repetitions, tags, and colloquial expressions, which give us an idea of the spontaneity of this writer and the freshness of his discourse. Though dated in 1989, the interview itself seems especially relevant, given the recent publication of Dobyns' collection of poems: *Velocities: New and Selected poems, 1966-1992* (1994) and his latest book of poems: *Common Carnage* (1996).*

1. Question: What is, in your opinion, the role of the poet in contemporary society?

Answer: The poet has several functions, I think. On one hand poetry is meant to entertain. The poem is a work of art so, therefore, it should also be beautiful. But, beyond that, I think the poet works to remind people of the whole of their lives, the entire proof of their lives. I think we often try to think ourselves as existing in one moment of time and the poet tells us where we have come from and where we are going. He reminds us of our mortality.

Poetry also works to communicate the emotions and it's really through the arts that emotions are communicated and we know that other human beings feel the same way as we feel and feel as deeply as we feel. And this takes us out of our isolation—our existential isolation—and lets us realize that other people are similar to us and feel the same things as we do. So, then I think that, given that poetry reminds us of our place in the human community and in the emotional community, it lets us know where we are with other people.

A third thing it does, something that I try to do as well: as human beings, we try to be complacent and not worry or think about this or that. And I think poetry can really jar or jab the reader's complacency again to sort of say, "What is it to be a human being? What responsibilities do you have as a human being? Who are you as a human being? What is your duty? What is your role?" So poetry does take the role of all those things.

2. Q.: Yes, in Spain, for instance, political poetry has a long and respected tradition, so I was wondering if your poetry has something to do with this.

A.: I think poetry is always political to the extent that, the best poetry is always political to the extent that it reminds a person of "what are your responsibilities as a human being." You then have poetry that is specifically political, poetry say, against the war or for or against some particular position. Sometimes that works as poetry, sometimes not. Then the poem is not political, but partisan. Then it's a piece of propaganda first and then a poem second or third. Clearly, Pablo Neruda has great political poems that function first as poems and I like to think of that in some of my work as well. It may be political and, again, what is it to be a human being? How do you take your place in the human community? That clearly is a poem first, not a piece of propaganda.

3. Q.: Do you consider "political" your poem "General Matthei Drives Home Through Santiago"?

A.: Sure, yes. General Matthei's poem is clearly more political than any of the others, and political in a double way. One, it has that sense of what is it to be a human being and, two, it's working off a particular

event—the Cuban/Chile event—the way the government treats the people. They treat the people like cattle.

4. Q.: You were living in Chile, weren't you?

A.: Yes. My wife is Chilean and there was a period before we were married that she was working down there and I went down there about five times. Each time I stayed for about two months. This would be, say, between 1981 and 1984. And then, I'd met her before, I'd met her 10 years ago, 11 or 12 years ago in Iowa, Iowa City, Iowa, where she was a graduate student in Biology and I was teaching in the writing program, creative writing program, and we got together so often. But, at that particular time, I'd gone down to Chile and I liked going down there. I like traveling because it makes you think about the world in which you live.

5. Q.: So, do you think your experiences in Chile changed you as a poet?

A.: I don't think "changed me." I mean, not only do I want my poems to jar the reader's complacency, but I have to do things against my own complacency. And if you travel, I mean, you know from being here this summer, one of the things you think about or it makes you think about your own country. Seeing another country makes you think about your own country, what's wrong with it. What's right with it. What you like about it. What you don't like about it. It forces you to articulate those differences. Any travel does that and I think being in Chile helped that for me, as did being in other places. And Chile is also a very poor place. You see people living at the very edge of their lives. America is a very fat country. People don't have to worry, or most people, the low class, doesn't have to worry, and if you live in that kind of world, you tend to forget about the other one and that, for a writer, is very dangerous. You have to have a sense of the whole world, basically, all its contrasts and differences.

6. Q.: You've been living in different cities, does your poetry change depending on where you are living?

A.: All those things influence it, certainly. Wherever I live is reflected in the work itself. But, also, I try to make each book very different from the one before and have it be a clear difference so that's responsible, as well, for the many differences.

7. Q.: Much of your earlier work is written in first person, and then you decided to move towards third person. Do you find any benefits or drawbacks in the use of one person or another?

A.: My sense of the function of poetry and the relation between the poem and the reader, I think, has changed a lot from my first book, *Concurring Beasts*. To say, I think, the change became clearer in the third book, *Heat Death*. In the first book I had very little sense of connection of the reader. If the reader understood, fine. If he didn't understand, fine. And so those poems tend to be much more obscure, far more idiosyncratic, far more "I" oriented. And then I think later (probably from reading people like Pablo Neruda and Whitman), later, by *Heat Death* when I was working on that book, I had a greater sense of the poet as being the reader's representative, that the reader, that when we read we are always looking, trying to learn about our own lives. We are not reading to learn about the poet's life. We are reading to learn about our own lives. We are using the poet's experience as a metaphor to tell us something about our own lives, and so when I make that change in my own work, when that emphasis changes in my work, then I think I write more poems in third person and even when I write the poems in first person I'm still intending that poem to function as some kind of metaphor the reader will find influential.

8. Q.: I was going to ask you why you might choose first, second or third person in a given poem. Has it something to do with the theme or...?

A.: It may partly be the theme. It may partly be the distance you want from the subject. I would do a lot of poems in, say, second person, and the second person is usually the poet or whatever addressing himself in the work and you have a kind of, it gives you a kind of distance. It's the person thinking about why he did something or whatever. It's more of a contemplative mode. First person obviously is the most immediate, I did this, I did that. Third person is the most distant and so, if you want to be more objective about something, or seemingly objective then you would use the third person; he did this and he did that. And you can sometimes, if you don't want the poem to appear too confessional, for instance, you could then write in third person. Basically, it's a matter of

tone, what tone do you want to create and how close do you want to be to the subject. Do you want it to seem intensely confessional or have it appear more distant. So that's what would affect it.

9. Q.: In what direction do you see your work going now?

A.: I don't know. I'm just finishing this books of poems, *Body Traffic*. In fact, the book is done, all the poems are done although I'm still fiddling. That book uses the body as a kind of metaphor to talk about various aspects of life and the process of aging. They are not narrative poems so much. There are some narrative poems, but there are many more meditated poems within that book. The earlier poems in *Cemetery Nights*, *Black Dog*, *Red Dog*, and *The Balthus Poems*, those books have many more narrative poems. So, I guess, one change is that I that I'm using narrative much less than I used to. Having just finished this book, I have not yet articulated to myself what I want to do next. In fact, you're always, when you finish a book, somewhat superstitious. You think, maybe I'm not going to do anything at all, maybe I've reached the bottom. But, I think I want to do poems, I think of myself as wanting to do poems that are shorter, more imagistic, less narrative, but I don't know if that's what I'll do. That's sort of something that I'm thinking about.

10. Q.: Do you identify yourself in some way with imagism?

A.: Well, imagism has certainly influenced me. I mean, if I'm a poet in the 1980's, I'm consciously, I'm always aware of where have I come from as a writer. I mean, all modern poetry goes back to two people basically. It goes back to Baudelaire and Whitman. It doesn't matter if you are Spanish. It doesn't matter if you are American. It doesn't matter if you are French. All world poets, all western poets at this point have been greatly influenced by those two men, Baudelaire and Whitman.

And then, beyond that, the people in your own language, like for an American, people who write in English, are very much influenced by Keats, Yeats and Wordsworth, etc. But so when I think of myself as a writer, I think of how has writing changed from, say, Baudelaire and Whitman to now. And imagism, that period brings a kind of reaction to symbolism that you see in Pound, etc. That use of the image has influenced me a lot, but I've never felt particularly close to poets like Pound. I felt closer to poets like Williams Carlos Williams or like Yeats.

Poets that have a certain degree of clarity. I find Pound's *Cantos*, for instance, almost impenetrable. I find that too obscure. There are parts that are wonderful, but on the whole I find them too obscure, so I've never really enjoyed them. And the same with Eliot. Like I said, if you think that he's coming out of the symbolist, imagist. I love Eliot's poem "The Love Song of J. Alfred Prufrock," but "The Wasteland" is not a poem, at all.

11. Q.: I have read some poems by Justice, and it seems to me they have something to do with your poetry. Is he one of the poets that have influenced your poetry?

A.: Donald Justice is a poet I admire a great deal. I never had him as a teacher, but he taught in the same school where I went, the university of Iowa. He's a man I know, have known for twenty years. I admire his work. What I admire in his work is the precision, the clarity, and the attention to the sound of the poem. How does the poem sound. And so I don't know if I've been influenced by him, although I expect I have. There are other things I don't like about the poems, but those things I do. I think he's really one of the very strongest poets of his generation.

12. Q.: Does he belong to an earlier generation?

A.: Very much.

13. Q.: And you? Would you place yourself in a particular generation?

A.: Sure. That Spanish poet, the Guillén (I don't know if it's Rafael or Jorge)... The Guillén of the generation of 1927. He gave a series of lectures at Harvard in the 40's, but he talks about a literary generation as being about fifteen years and I think that's true. I think fifteen years just about covers it.

And I'm one of the older people of my generation, by the cut-off date our poets are now about fifty. What influenced them and what I think makes our generation different from the generation before us, there are several things:

One, the generation before us is much more connected to T.S. Eliot and Ezra Pound and saw themselves as writing in their shadow. My generation is much more indifferent to those poets, we may like them or dislike them, but do not feel as if we are being bullied by them. The

things that influenced my generation are the publication of Ginsberg's poem, "Howl", that was published in 1956. I was in high school when I read that and it was a very important poem to me. Also the great influx of translations. I mean, Pound told poets to go learn languages and translate and the students that he influenced, the poets that he influenced: Donald Justice, W.S. Merwin, Galway Kinnell, James Wright, all those poets did a great deal of translating, and so, Robert Bly, and so by the end of the 1950's, these poets all began publishing their translations, so a great deal of Lorca began to appear, a great deal of Neruda, a great deal of Rilke, all of these European poets and South American poets, so poets of my generation were reading these poets as well as reading poets who wrote in English. And that had great influence on us because it made it clear that Eliot said you have to write in this particular way, but Neruda didn't write in that way, and Lorca didn't write in that way, and Apollinaire didn't write in that way and so it gave us different alternatives.

The third thing that was a great influence was the Vietnam war. That gave us, it made us feel that the poetry had a social responsibility, that it was not something necessarily felt in the earlier generations. I mean, it's something that one generation feels the next one doesn't necessarily. But, I think it really influenced us. It influenced us in our relationship to the culture, in our relationship to the government, and in our relationship to the earlier poetry. Clearly the poets in the previous generation, Robert Bly, Justice and other poets, they had anti-war poems they were all very influenced by, but there was a way that the war, I think, caused the poets of my generation to lose faith with the government, to lose faith with the ideals of the American culture and become more cynical. And those were all big influences and you can see clearly in the poets of my generation there are many who are very different from the generation that precedes us, with Justice, Bly, Wright.

14. Q.: Could you name other people of your generation?

A.: I think the best writers of that generation are: there is a woman by the name of Louise Glück, there is a man by the name of Robert Hass, another man, Thomas Lux. There is a man by the name of C.K. Williams, he sort of stands out, Charles Simic, Ellen Bryant Voigt, Sharon Olds.

We were also the generation that all went to graduate programs. Thousands of people really have gone to those graduate programs, but it was really our generation that started doing that. That previous generation, Justice and W.D. Snodgrass, they were all students of Iowa as well and they all basically had one teacher, their teacher was John Berryman of Iowa and Berryman is really of an earlier, he was of the next earlier generation. But Berryman and Lowell taught these other people, Donald Justice and so on. Sylvia Plath, Anne Sexton, they all worked full time at the poetry school and they really were the teachers of my generation and so there is that kind of difference as well.

15. Q: Do you think it is like a chain, the teachers influence the students, and then these students become teachers and influence other students? Do you think you're going to influence the people that you teach?

A: Yes, I expect so. I mean, I think that's how you can look at poetry, say, going back to Baudelaire, you can move it generation by generation, you can see it, you can see it in Spain and you can see the influence that Jiménez and that third guy, had on Lorca, and the rest of them. The big Spanish poet of the 90's was that Nicaraguan poet, whose name was –I can't think of it–, but he was the one who first began to write, in Spanish, a kind of poetry that was tremendously influenced by the French symbolists.

16. Q.: Rubén Darío?

A: Darío was the first poet that had that kind of Spanish, that mixed the French symbolists with Spanish poetry and then Jiménez continues that and you can see it moving generation by generation. All poetry is like that in any country. And then they were also clearly reading other people. Neruda learned a great deal from Whitman and Neruda says that Whitman has the greatest influence on him than on any other poet. So you're always going back and forth between different languages and different cultures.

17. Q.: Would you say your work is autobiographical?

A: Not really. I mean, the poems always contain autobiography, but I'm never loyal to that autobiography. I may change details or change

things for the sake of the poem. If the poem is going to work it has to transcend and go beyond the life of the writer. It can't be tied to the life of the writer, as autobiography.

18. Q.: I was thinking of "Faces" and "Learning to Talk."

A.: Those poems all, they're more or less autobiographical, but I still may change details for the sake of the poem. I mean, my first loyalty is to the poem, not to the autobiography.

19. Q.: Okay, I'd like to ask you some questions about rhetorical devices. Do you concentrate on employing rhetorical devices as you write a poem? For instance assonance or alliteration?

A.: Yeah, I don't know that. When I first do a draft of a poem I have it in mind perhaps, but I'm not concentrating on it. Then, when I begin to revise the poem I look for various linguistic patterns within the poem which I can heighten or subdue and in that revision process I work to use them to heighten it. One of the changes I think for this new book, *Body Traffic*, is that there is much, much more linguistic stuff going on. There is much, much more rhyme, there is more obvious meter. But the rhyme is often very subdued, not subdued, but it is not emphasized. The first poem that begins the book, for instance, is called "The Body's Journey." I rhymed the word "travel" about fifteen or seventeen times within the poem and it's not a very long poem, but it all winds through. Ideally that kind of rhyme is almost subliminal, it's not obtrusive, but if you look for it, then you see it there. Also, in that book there are about fifteen sonnets that are fairly conventional. They are free sonnets, but they still use iambic pentameter, and they use a rhyme scheme, the traditional sonnet rhyme scheme, even though they do have rhymes that are quarter rhymes.

In *Cemetery Nights* there are sixteen short poems, that "Faces", "Learning to Talk", that you mentioned, and I think of them as being domestic poems. But, all those poems are written in syllabics, each line of every one of those poems is eleven syllables and that was a kind of form that I composed. When you begin a poem, the whole thing clearly is intuitive and as you write the poem, you try to figure out why you are writing the poem, but then, the farther you go, the more that you make

up your mind “what’s my intention here,” the more you then work to form the poem and to turn the poem into a sound, into a noise.

20. Q.: How do you view the role of metaphor in your poetry?

A.: Metaphor, well, it works two ways. I mean, one, the poem itself is a metaphor. The entire poem is a metaphor which stands for my relation to what I think reality is and it has some aspect of reality or how I imagine reality to be. And then I use metaphor clearly within the poem. Metaphor is how language develops and when we can’t think of a word we invent a metaphor and that metaphor often becomes a word. For instance, the English word “supercilious”, it comes from a Latin root, (I can’t think of the Spanish for “supercilious”), but the word in Latin means “above the eyebrows, the raised eyebrow.” And clearly a word like that began as a metaphor to describe someone who is too much of an egoist and who was conceited. The word “inspiration” has to do with breath. Many, many words have that beginning with metaphor and so, in poetry, you’re trying to articulate things that have not been said in any other way. There are no words for these and so you then find a metaphor for them.

Poetry also works by use of surprise, by trying to, when you’re reading a poem you’re always anticipating where is the poem going to go and the writer is always sort of working against that anticipation and is trying to surprise you. A good metaphor is always surprising. It is startling and so that too becomes a function of metaphor.

21. Q.: And would you establish any differences between image and metaphor?

A.: Not necessarily. An image is an aspect of metaphor that you may not, I mean, an image, I mean, a simile, for instance, has two parts, it has an object and then it has an image. You would say “a liar is like an egg in mid-air.” Liar” is the object and “egg in mid-air” is the image. Often in a poem we just use the image part, and as the reader, you guess the object. All of these are aspects of metaphor.

22. Q.: I would also like to know how you use breaks.

A.: A line break, well, it does many things: One, the line break in

free verse, the line break is one of the few things that is controlling the rhythm and so, if you end stop a line, meaning stopping at the place of punctuation or of natural pause, you're creating a rest. If you emjamb a line, meaning you're breaking a line at an unnatural place, basically, you're imposing an artificial silence. There's a little pause at the end of the line and you're imposing an little silence. And if you enjamb it, you are imposing it where you would not normally pause. Well, that emjambment creates some degree of tension.

In a poem you've got two rhythms, you've got the rhythm of the sentence and the rhythm of the line. And by the use of emjambment and end stop, you are affecting the rhythm of the line and you're balancing it against that kind of rhythm of the sentence. And with those two rhythms, the rhythm of the line and the rhythm of the sentence, you can create a kind of counterpoint. But then, always in a poem, you are moving between tension and rest, tension and rest. When you're obscure you create tension and when you're clear you create a rest. When you have a long sentence, for instance, you're creating tension, the more complicated the syntax, the more tension. A short, easy sentence is a rest. You do this with various sounds as well. You do this with all kinds of things. You're moving back and forth between tension and rest. Each time you emjamb a line you are creating tension, each time you end stop you're creating rest. It's just another way of affecting tension and rest. Also, the line break can be used for surprise, that the reader is anticipating, and you stop it on one word, an adjective, for instance, and the reader is anticipating, "what's the noun." The last word of this line is a "red", so "what's going to be next?" and that creates a kind of surprise. The line break can be used in many different ways. I think the line break in a poem always has to be intentional. You decide to break it there for a particular reason and usually it has more than one purpose, that you're using for tension or rest, you're using for surprise, you're using it for various things to affect the rhythm of the poem. Many of my line breaks will work to create a kind of rhythm, a kind of staggering rhythm, and I'll often break the line. As I say, most of the line breaks I use, especially, I think, in *Cemetery Nights*, and in this new book as well, are really forcing you to read the poem or to get away. If when you read the poem you honor the line break, that is, if you stop at that break, then a certain rhythm is created within

the poem. And thus, as I say, that none of it can be accidental, all of it has to be intentional.

23. Q.: And even alliteration and assonance? In which way do they affect the sentence or the poem?

A.: Well, the moment you set up a pattern, if you have two things, if you have like two sounds that are similar, you are setting up a certain tension. Is there going to be a third sound and so this too, is a way of creating tension and certain expectations. Is there going to be another noise, for instance, that's like the previous noises? Alliteration is a way to do that. Assonance is a way to do that. I use a lot of different kinds of consonance as well, by using certain plosive words. In many of my poems you can find the sound in the first line or in the first two lines and I'll have that echo all the way through the poem, all the way through. And usually, if it's a "k" sound, for instance a final "k" or "t" or "p" noise working through the poem. And, again, it's almost subliminal, you would not necessarily know it was there. But, let me show you one thing. There is a poem in this book called "Careers," and every line in this poem tries to use, to seem kind of "k," come, talk, k, k, k, k. Every line tries to use the "k" or if not a "k", a plosive, maybe a "p" or a "t": "constant," "career." And that's something that helps structure for me the sound quality of the poem. Within that, then, there are lots of other noises, but it's something in writing the poem, at some point there is a conscious decision to sculpt the sound.

A poem is always a noise and you try and shape that noise, sculpt that noise. But the reader, especially in free verse, this is very clear that in traditional you have those kinds of end rhymes that sort of jangle all the way through. But in free verse there is a way of trying to find other ways of doing the job, but you still want that sound quality of the poem. You know, the worst free verse is the stuff that has no sound quality at all. And I think, I mean, in a book like *Black Dog, Red Dog*, I use different kinds of rhythms in that. But the language itself is flat and there is less sound quality sound quality as, say, *Cemetery Nights* and this new book, *Body Traffic*, that have much more heightened sound quality, the language is chewy. There is much more just noise in the poems. I wish I could find some examples... stop your tape for a minute. Sorry.

This is the first stanza of a poem called "Delicious Monstrosity" and it goes:

*With the flat side of white plastic spatulas,
three old ladies perch on a park bench, slapping
gobs of blackberry jam onto slabs of dark bread.*

Well, the certain sounds, "flat, plastic, spatulas, slapping, blackberry, slabs," and then, "perch, bench, dark, bread, berries." It's very carefully working within those sounds and that's a kind of radical example, but there are a number of other poems in that book that try to do that, that try to push these sounds together and really be much more aggressive. I've always liked a kind of poetry that is aggressive and one of the difficulties of poetry is that it is the most passive of arts. It's the most forgettable and so I try to write a much more aggressive poem, a poem that is on the edge of being offensive to the reader, that confronts the reader, it makes the reader either accept it or reject it. And many people will reject it. I mean many times I get reviews of people saying I write poems on subjects that you should not write poems on. Well, that's fine with me.

24. Q.: Is your poetry changing? Can you see it following a more rigid pattern, like a kind of mold? Why did you change?

A.: Well, any book, I mean, a book is a gathering of poems written over a certain period of time and when you begin that book you have certain ideas about language, certain ideas about significance or philosophy, or certain experiences that you want to deal with and then you write that out. You find certain paradise and you explore those ideas, you explore those, both ideas of language, both ideas, philosophical ideas. And once you have explored that, then you're done with it. And there's a period of time that I find I become repetitive, like I write parodies of my own poems. And I have to go through a period where I find some new kind of language, some new kind of idea and clearly still related to me. These things are not completely different, but then each book has its own identity. The kind of poetry I want to write is always, as I say, aggressive. I'm writing poems now that I think have much more attention to language, the poems always have attention to the language, but the

poems are much more, the language is much louder, basically, much more aggressive, the sounds bang against each other more. In terms of subject matter, I think I have a stronger sense of the relationship to the writer and the reader and I think the poems have to be political. They have to be poems that help people live their lives, that help describe what it is to be a human being, all of those things.

25. Q.: Do you think that the poem should be performed, with a more specific purpose than just being read?

A.: Well, I think, first of all, a poem is a sound. I mean, even when you read a poem to yourself, I mean, when you read somebody else's poem, you should be sounding that poem, you should be saying the words out loud, or saying them out loud in your head because it is a noise. Even with free verse poems you're always dealing with relationship between stressed and unstressed syllables. Even if you're not writing "baban, baban, baban, baban," you figure out that relationship between stressed and unstressed syllables and that's always a poem. And I see my work always changing. I don't particularly know where it's going, necessarily. But I see certain concerns I've always had and many, you know, we develop certain concerns as teenagers around our early twenties, our personality becomes formed, and in many ways you're always writing, out of the same concerns, the same kinds of ideas. How you write about them changes from book to book.

26. Q.: And going to the ideas, do you think that you have any theme, any central theme or obsession that you always go back to in your poetry?

A.: Themes. Well, I think that one of my themes has always been to discuss man's relationship to human beings' relationship to his or her own mortality. That certainly is a constant theme. How you live in the face of your own mortality. Beyond that, the nature of intimacy, the nature of love, I'm not sure how you identify those things. I mean, I remember reading that Pablo Neruda was saying that it's dangerous for a poet to become too conscious about his themes, that you have to write the poem out of your unconscious mind and if you're too conscious about what you do, then it interferes with that intuition. I suppose that I write, and the trail is another theme that I certainly have dealt with in novels and in some poems.

The general theme always is what is it to be a human being, how do you live. I find life extremely confusing, just the whole process of it is difficult. I mean, you go through this whole period. I've had many friends who have died in these past two years and many of these people are even younger than I am, who have died just fluke deaths or they've had cancer or something. My father is very old and he's sick and he'll probably die this year. I'm pretty sure. So those are concerns that really color this book that I've just finished, very much so. Having children was a great change to me. And that certainly influenced my work as well. I realized, before I had a child in some ways I'd never been afraid. I don't particularly care if anything happens to me, but having a child made me feel scared of what could happen to them. What could happen to the child, and yet you clearly can't protect the child all the time. You can't just be running after it and always guarding it. And so, that certainly became a theme in *Cemetery Nights* and in this new book *Body Traffic*.

27. Q.: That's all. I can't wait to read your next book. Thank you very much.

A.: Thank you.

Reviews

García Tortosa, Francisco y Antonio Raúl de Toro Santos
(eds.) 1977, *Joyce en España (II)*. Universidade da Coruña:
Servicio de Publicacións. 165 pp.

Carmelo Medina Casado
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Siguiendo la excelente línea trazada con la publicación del primer volumen de *Joyce en España (I)*, acaba de aparecer este nuevo volumen en el que sus editores nos ofrecen una recopilación de textos de un influyente grupo de escritores y críticos de nuestro país en los que se exponen las opiniones que la obra de Joyce suscitó en los mismos, desde su temprana recepción en nuestro país, hasta un período más cercano a nosotros en el tiempo. Este libro debemos incluirlo dentro de la amplia gama de publicaciones y actividades que sobre Joyce vienen sucediéndose en los últimos años en España; en este sentido nos referimos a la publicación de monografías, artículos periodísticos, ensayos y de estudios sobre su obra; a Congresos como el *XIV Simposio Internacional James Joyce* celebrado en la Universidad de Sevilla en 1994, o a los encuentros que anualmente viene celebrando en distintas Universidades la Asociación Española James Joyce; y, asimismo, a las distintas traducciones de su obra que recientemente se están llevando a cabo.

No son ajenos a este interés que la obra de Joyce suscita, los editores de esta monografía, que compaginan con envidiable dedicación ecdótica y rigurosa la investigación y la docencia universitarias. El Profesor García Tortosa, traductor de Joyce y autor de numerosos estudios sobre el mismo, es Presidente y fundador de la Asociación James Joyce, e impulsor y fundador, junto con el Profesor Alvarez Amorós, de la Revista *Papers on Joyce*; asimismo es promotor de numerosos estudios de investigación y principal valedor y animador de otras publicaciones que sobre este autor se están pergeñando. El Profesor de Toro Santos es autor de distintos estudios sobre Joyce, entre los que queremos destacar, por la novedad en España del medio empleado, dos excelentes videos: *Dedalus en Compostela* y *La música en el Ulysses*, publicados por la Universidad de la Coruña; promotor, asimismo, de numerosas actividades y publicaciones, así como de una línea de investigación joyciana vinculada con el mundo céltico, y con Galicia en particular, por medio de cuyos escritores se consolidaron en nuestro ámbito crítico las primeras interpretaciones y versiones de Joyce en una lengua peninsular.

Comienza la selección de trabajos y autores que podemos leer en este libro con el amplio estudio que Antonio de Marichalar publicó en la *Revista de Occidente* en 1924, "James Joyce en su laberinto". Empieza su autor, en un alarde de imaginación, recreando el impacto que supuso la aparición del *Ulysses*, "Los lores —cuenta la tradición— vendían sus tierras para comprar el *Ulysses*....". Y se refiere a los encendidos elogios que le tributó la crítica y que los escritores más prestigiosos del momento le rindieron. Continúa haciendo un recorrido por la obra y la vida de Joyce, en un tono fuertemente personal y con algunas apreciaciones discutibles y atrevidas, como cuando lo describe como un "asiduo cliente de las bibliotecas públicas en Roma,..., y acaso en Madrid, ...". Se refiere a las distintas aportaciones de Joyce, como el "monólogo interior" y otras técnicas y elementos utilizados por él. Se trata de un estudio extenso e interesante, que, además, por su temprana aparición en España (dos años después de la publicación del *Ulysses*) será punto de referencia e información inexcusables para los escritores y críticos de nuestro país.

Del eminente y hoy tan reivindicado escritor y crítico gallego Vicente Risco se nos ofrecen dos artículos, que vienen a sumarse al titulado

"Dedalus en Compostela", que ya apareció en el anterior volumen de *Joyce en España (I)*. El primero de ellos, publicado en 1928, es una reseña de la vida y la obra de Joyce, con curiosas apreciaciones personales como ésta: "Joyce es de los que se echan de cabeza al infierno sin remordimiento", y que termina refiriéndose a su irlandesismo. El segundo de los artículos se refiere a sus dificultades con la lectura del *Ulyssès* como explícitamente recoge su título "El *Ulysses* fue más fuerte que yo".

Sobre el *Ulysses* trata también el estudio del catalán Lluís Montanyà, aparecido en 1930, del que procede destacar su referencia al "superrealismo" literario, y una excelente descripción del monólogo final de Marion Bloom. Sigue un breve artículo, titulado "Ana Livia Plurabela", de Ramón Otero Pedrayo, que apareció en *El Pueblo Gallego*, en 1931, en el que, con la reseña de esta obra de Joyce, nos ofrece una gran profusión de imágenes, en las que resalta lo druídico y el mundo céltico en su conjunto al que Joyce y él mismo pertenecen.

De muy interesantes podríamos calificar las reflexiones que la obra de Joyce suscita en dos textos pertenecientes a otros tantos poetas españoles de los más populares de este siglo, que también podemos leer en este libro. El primero pertenece a Antonio Machado y se enmarca dentro de su "Proyecto de un discurso de ingreso en la Academia Española", en el que se refiere a la obra de Marcel Proust y a la de Joyce: "Si la obra de Proust es el poema de la memoria, la de Joyce pretende ser el poema de la percepción". Allí mismo formula una serie de consideraciones sobre el *Ulysses* del que, entre otras cosas, dice que "es a su manera obra también de poeta". El otro texto al que nos referíamos pertenece a Juan Ramón Jiménez, en el cual enfoca la obra de Joyce jugando con dos recurrentes imágenes sobre los ojos del Guadiana andaluz y los ponientes universales.

Después de un artículo anónimo, aparecido en la revista catalana *Rosa dels Vents* en 1936, en el que se dan a conocer las obras de Joyce *Chamber Music* y *Dubliners*, se nos ofrece la opinión del escritor Ramón Pérez de Ayala. De este autor se plasman tres breves apuntes con sus impresiones sobre Joyce y el *Ulysses* en particular, en los que, aun reconociendo su importancia, se muestra agnóstico sobre su valor y crítico

con la opinión e información proporcionadas por algunos de sus eruditos lectores y, en particular, por Marichalar.

De excelente podemos calificar el extenso estudio de Domingo García-Sabell, originalmente en gallego, "James Joyce e a loita pola comunicación total", publicado en *Ensaio*s, en 1963, y que se presenta también traducido al castellano. En el mismo, su autor hace un recorrido completo sobre la vida y la obra de Joyce, ofreciéndonos una amplia lectura de *A Portrait of the Artist*, *Ulysses*, y *Finnegans Wake*. Esa línea de reflexión general sobre Joyce es la seguida por Benito Varela Jácome, quien en un trabajo algo menos extenso que el anterior, pergeña consideraciones puntuales sobre distintos aspectos de su obra, en una serie de epígrafes como las "epifanías", un esfuerzo lingüístico, sentido religioso, técnica contrapuntística, el monólogo joyciano, etc.

Del escritor Juan Benet consideramos el prólogo que escribió al libro de Stuart Gilbert, en su edición española, *El Ulises de James Joyce*. En él Benet se preocupa por lo que llama "moda Joyce", y nos va mostrando sus distintos desencuentros con su obra "aunque siempre con humildad". De Gonzalo Torrente Ballester podemos leer un artículo que publicó en la revista de literatura *Camp de l'arpa* en 1978, en el que nos cuenta su experiencia personal con la obra de Joyce, mostrando su entusiasmo por el *Retrato del artista adolescente*, traducido al castellano por Dámaso Alonso, del que nos dice que llegó a comprar más de diez ejemplares porque lo prestaba y no se lo devolvían, y por el *Ulysses*, del que afirma poseer su edición facsímil y otro ejemplar de la primera edición corregida de la mano del propio Joyce. De este mismo artículo queremos destacar sus referencias a su traducción parcial al gallego del *Ulysses*, la primera en una lengua peninsular, y a las dos versiones existentes hasta la fecha en castellano del *Ulysses*, tema que nos pone en contacto con el último de los artículos que aparecen en este volumen. Está escrito por Manuel de Pedrolo. En él su autor inserta una reflexión sobre las traducciones de Joyce desde su propia condición de traductor y de una propuesta que recibiría para realizar la versión al catalán del *Ulysses*.

En suma, se trata de un libro que nos ofrece una excelente oportunidad de encontrar agavilladas las distintas opiniones, favorables y desfavorables, que la obra del autor irlandés suscitó en escritores y críticos

de nuestro país. Consideramos esta recopilación como indispensable para conocer y comprender la influencia que la obra de Joyce ha conseguido en las obras de diferentes escritores españoles, algo de lo que ya se trató en el primer volumen. Saludamos, finalmente, con entusiasmo y nos congratulamos por esta nueva monografía sobre James Joyce, a la vez que agradecemos a la Universidad de la Coruña y a sus editores el esfuerzo que su publicación ha supuesto.

Nieto García, Jesús Manuel. 1995. *Introducción al Análisis del Discurso Hablado*. Granada: Servicio de Publicaciones de la Universidad, 1995. 154 pp.

Marta Hidalgo Rodríguez

Si bien es cierto que tradicionalmente los textos hablados han estado relegados a un segundo plano con respecto a los escritos por ser aquéllos más difíciles de sistematizar, también es verdad que este desequilibrio se ha ido matizando durante los últimos cuarenta años. Así, la obra que aquí se presenta, uno de los últimos libros publicados por la Universidad de Granada, responde al auge que los estudios sobre el discurso hablado han venido experimentando en fechas recientes y nos ofrece un análisis exhaustivo no sólo de los elementos esenciales de la conversación y el diálogo sino también de las principales escuelas analíticas que operan en este terreno.

Como el mismo título apunta, la presente publicación contribuye a mostrar el amplio panorama que abarcan los estudios discursivos y tiene indudable valor para toda aquella persona que desee profundizar en este campo: centrando las principales aproximaciones y escuelas que se mueven en este ámbito, el lector se enfrenta a una disciplina extremadamente compleja y ramificada con una gran claridad de ideas y conceptos básicos a tener en cuenta, gracias a una encomiable labor de síntesis

llevada a cabo por su autor, todo lo cual contribuye a hacer de este breve, pero denso estudio, una pieza clave en la moderna aproximación a los estudios discursivos.

Por todo lo expuesto anteriormente, nos atrevemos a catalogar la obra que aquí nos presenta el doctor Nieto como uno de los manuales más serios e interesantes dentro de esta vertiente, resultando especialmente útil para aquellas personas que pretendan desarrollar su labor investigadora dentro de este apasionante y prometedor campo, aunque no por ello deje de ser accesible a todo lector mínimamente familiarizado con los estudios discursivos.

Como punto de partida, el trabajo recoge las definiciones, no siempre unánimes y fáciles de establecer, de varios conceptos básicos e imprescindibles a los que se va a aludir a lo largo de la obra (texto, discurso, conversación libre...) para, a continuación, mostrar a grandes rasgos el amplio panorama que estos estudios abarcan y pasar revista a las principales aproximaciones al tema. En este sentido, otro de los aciertos del autor ha sido el de ejemplificar el análisis con numerosos casos prácticos que ayudan a clarificar los puntos tratados.

Desde una perspectiva básicamente pragmática y funcional, se revisan los principales aspectos sociopragmáticos e informativos, etnometodológicos, de filosofía del lenguaje y del macroanálisis, así como algunas otras escuelas analíticas menores pero siempre con un gran rigor en el tratamiento y enfatizando la importancia que tienen tanto el contexto como la propia situación discursiva para la correcta interpretación de un mensaje determinado.

La principal fuerza del texto la encontramos precisamente en su lúcida exposición de las ventajas e inconvenientes de cada uno de estos métodos de análisis descritos, siempre huyendo de un simple planteamiento maniqueísta y dejando las puertas abiertas para que sea el propio lector quien determine cuál de ellos es el que se adapta mejor a sus necesidades.

En resumen, podemos concluir que el presente trabajo tiene un valor incalculable como una primera aproximación al estudio del discurso hablado porque no sólo nos proporciona un conocimiento general sobre

la historia de los estudios discursivos y un aparato descriptivo válido, sino también información de tipo referencial por medio de unas sólidas fuentes bibliográficas, esenciales para que el futuro investigador pueda aproximarse a los textos con espíritu crítico y profundizar en el estudio de aspectos concretos con paso más firme y seguro.

ROOM VIEWING QUADRANGLE

The feet move alone along
paths worn in the mind.
A tree, a rock, a stone.
In the eye the room is dark.
The room in the mind shone.
A tree, a rock, a stone.
The soul who knew the room
views through the room
A tree, a rock, a stone.

(Jefferey Simons, 1997)

WHAT IS A SYLLABLE

A pulse, a pop, a peep.
A beat, a bop, a boom.
A cool spurt of doom.
Fe-fie-foe-fumm,
a lip-loosed humm.
A tongue-sprung drum.
A tap, a tone, a tune.
A cool, pearl moon.
A soft touch of air.

(Jefferey Simons, 1997)

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