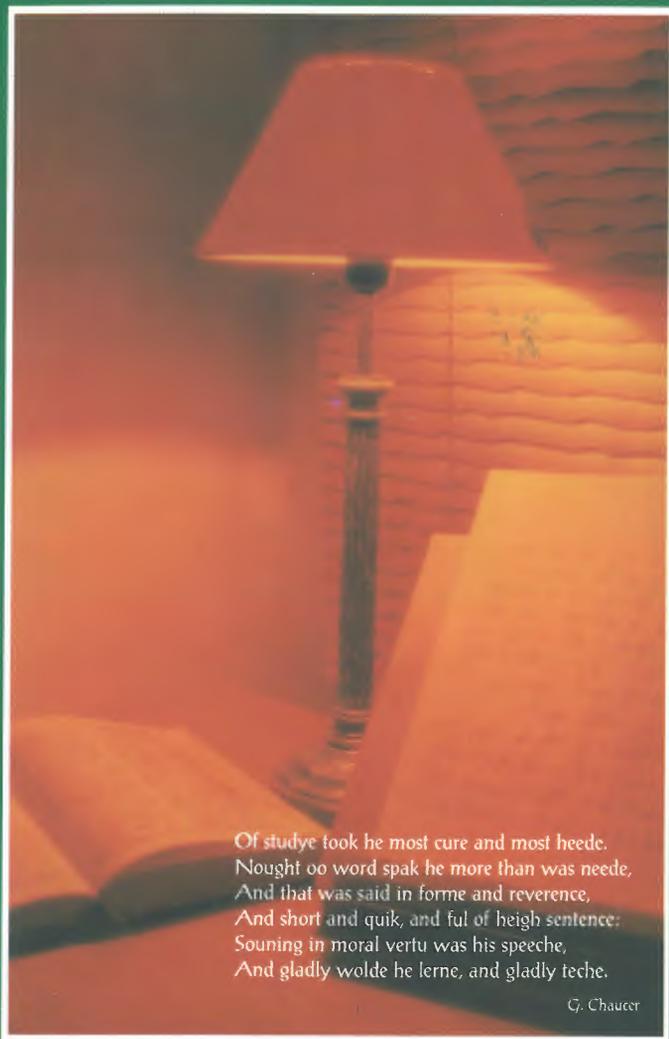


# Francisco Manzaneda Oneto in memoriam



E. A. Adams-A. Bueno González-G. Tejada Molina  
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UNIVERSIDAD DE JAÉN

# FRANCISCO MANZANEDA ONETO

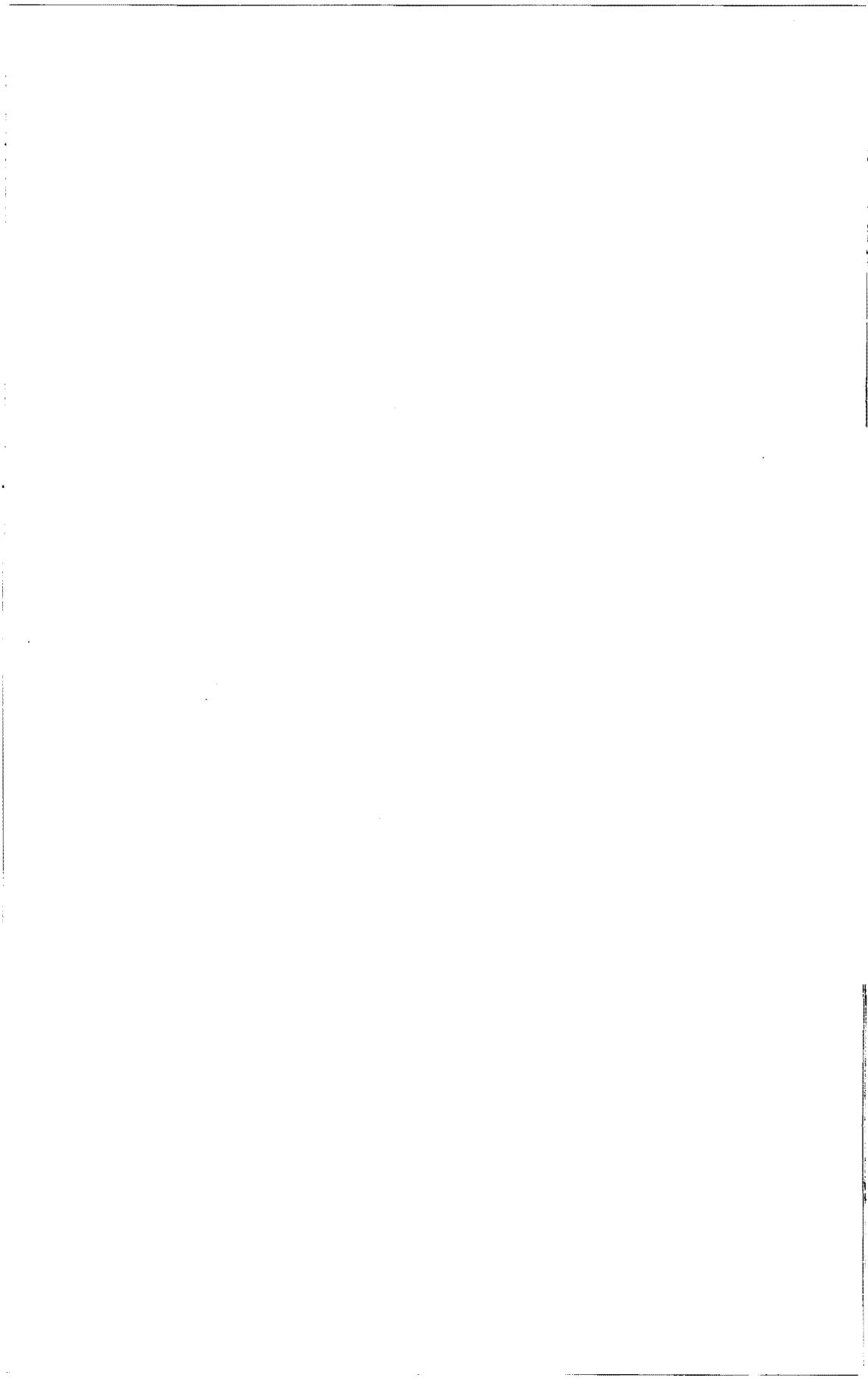
## IN MEMORIAM

*Of studye took he most cure and most heede,  
Nought oo word spak he more than was neede,  
And that was said in forme and reverence,  
And short and quik, and ful of heigh sentence:  
Souning in moral vertu was his speeche,  
And gladly wolde he lerne, and gladly teche.*

(G. Chaucer, *The General Prologue to  
the Canterbury Tales*, lines 305-310)

*Ponía en su estudio gran celo y gran cuidado.  
No había palabra vana en todo su tratado  
Y siempre a la sazón, en forma y reverencia,  
Y breve y con presteza y llena de sentencia.  
Sonaba gran virtud en todo lo que hablaba:  
De buen grado aprendía y de buen grado enseñaba.*

(Traducción de Luciano García García)



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1997

**FRANCISCO**  
**MANZANEDA ONETO**  
*IN MEMORIAM*

**ELIZABETH A. ADAMS**  
**ANTONIO BUENO GONZÁLEZ**  
**GABRIEL TEJADA MOLINA**

**EDITORES**

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*Antonio Bueno González*

*Gabriel Tejada Molina*

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## PRÓLOGO

*Francisco Manzaneda Oneto, la tinta se queda helada, la mano que sustenta el bolígrafo se paraliza. Hablar -escribir un prólogo que es más un epílogo- de una persona allegada y ausente es comenzar por mencionar su nombre. Al percibir que su nombre completo abre la puerta, la caligrafía se entorpece y el trazo se detiene.*

*Quienes compartimos trabajo y amistad lo recordamos con un solo vocablo Paco-Manzaneda. Y es que Paco aglutinaba en sí un modelo humanista y polifacético, digno de imitación. Era, por su nobleza y su talante, un verdadero aristócrata -en la acepción clásica del término-. Paco estaba entre los mejores, entre los escogidos, y no por la azarosa suerte, sino por méritos propios, por voluntad y entrega, por afabilidad y sencillez.*

*Paco era ese profesor de inglés que de un país, en continua transición desde que lo conocemos, trasciende sus fronteras hacia el universo. Es decir, al país de los Estados Unidos, a las Américas. Allí en San Francisco está Paco codeándose con las estrellas, - perdón- quiero decir con las flores de la liberación hippy - también las primaveras florecen, se marchitan y regresan- Pero dejadme soñar con Paco, con su Ulises, flotando sobre el océano añorando Europa -su Ítaca- con un ir y venir de anhelos, estrenando pantalones de pana, todo un héroe en plenitud de brío allende los mares océanos. Y con la otra orilla, donde Penélope teje y desteje, como las olas, como las mareas, como el amor. Y como tantos otros artífices del lenguaje, creando en inglés y en español, procreando espanglicismos, haciendo del idioma vehículo de comunicación, recreación y recreo, -¿qué es, si no, el lenguaje?-.*

*Podríamos hablar de la faceta lingüística de Paco, conocedor y hablante del inglés, lector y escritor. Lo conocía, lo gozaba, lo reía, lo palpaba, lo vivía, ... Pero no era el lenguaje, era él, era Paco, sí, Paco Manzaneda, don Francisco Manzaneda Oneto. Todo un señor Catedrático, por su docencia en enseñanza secundaria, y por su trayectoria universitaria, que estaba en camino. Nunca había dejado de estarlo.*

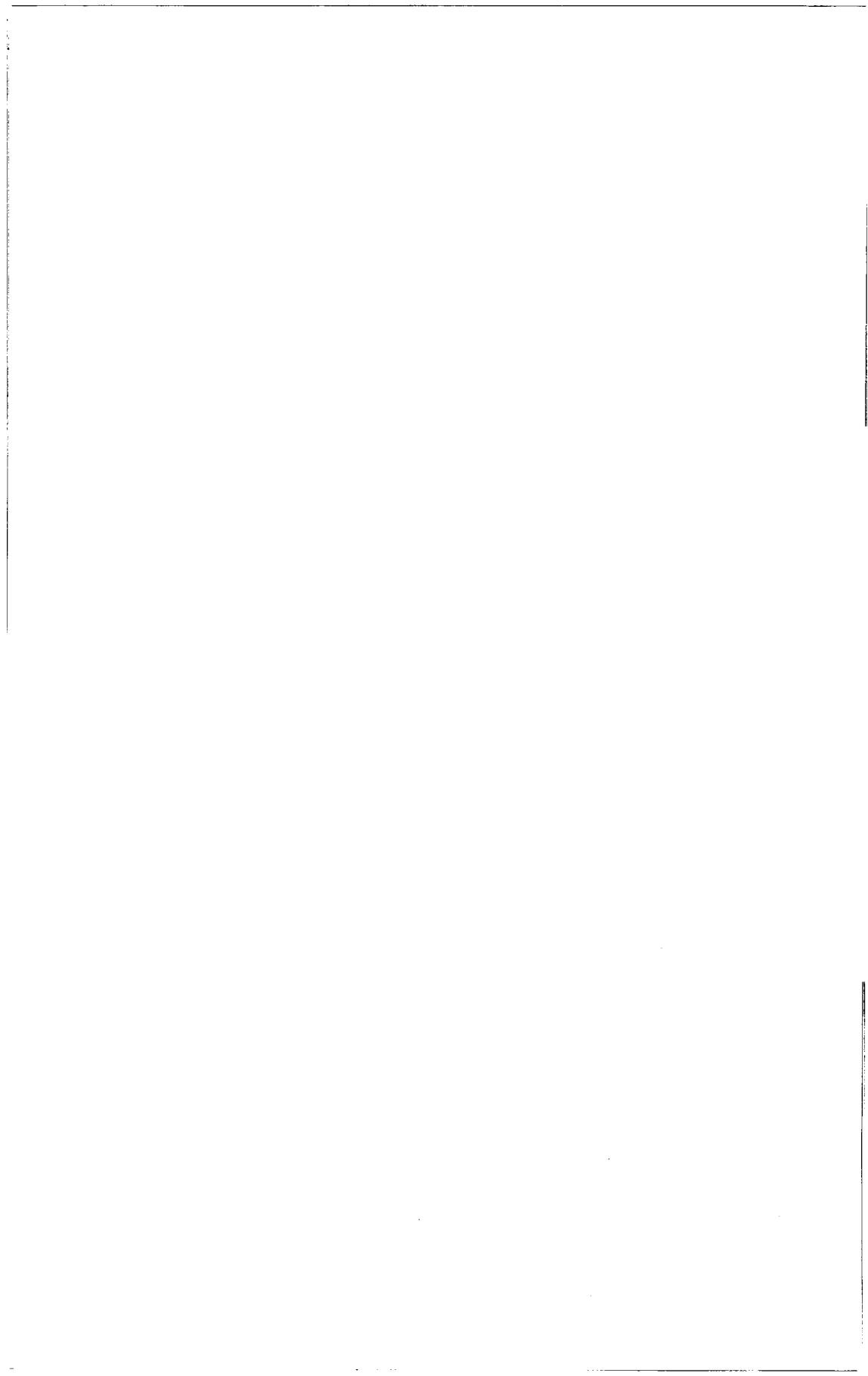
*Si cada día el arcén, el sudor, el aire libre y el paisaje de las sierras de Jaén - Jabalcuz, la Pandera, los Cañones, Aznaitín y Mágina - y los olivos eran testigos y escenario de sus carreras, no lo eran menos el humor, la sencillez, el trabajo, la dedicación, ... Mens sana in corpore sano, lo que decíamos -todo un hombre-. Lo humano acogía lo intelectual, lo social, lo fraternal, lo paternal, ...-¡qué poca gracia tienen esos adjetivos precedidos de un lo neutro y ambiguo!-. Paco era nuestro, nuestro compañero, nuestro profesor de Magisterio, nuestro padre -sobre todo para Fran y Cecilia-, nuestro hijo, nuestro hermano, nuestro amigo. -¿Se comprende ahora lo nefasto del lo?- Empujan las lágrimas, se desborda la emoción contenida y ese artículo neutro las enjuga, las cubre, las disimula.*

*Paco también era marido. Eran pareja. -¿Quién me iba a decir que yo sería confidente de su último sueño?- Allá por las laderas nocturnas de Los Villares, cerca del río, bajo la bóveda celeste plagada de astros y de enigmas, julio del 1994. Hablábamos del futuro, del transitar por la vida de la mano de alguien, del brazo, codo con codo, juntos, compartiendo llegadas y partidas, con-viviendo. Caminábamos. Nos parábamos a pensar en esas parejas de mayores, aún enamoradas, que saborean los postres de la vida con los viajes del INSERSO... -Paco, ¿llegaremos nosotros?- dijo ella. Reinaba el silencio. La respuesta era el silencio. Pero un silencio a la vez cálido y mudo. ¿Qué nos deparará el destino? ¿Qué importa? «Todo pasa y todo llega, pero lo nuestro es pasar. Pasar haciendo camino, caminos sobre la mar», como diría don Antonio Machado. Y pasó. Y seguimos haciendo camino. Y él sigue haciendo camino, porque su recuerdo está vivo y participa de la humanidad como del aire que respiramos.*

*Por ahí surgió la palabra arcén, -quitadla-. A la vera del camino, junto al asfalto, dos girasoles silvestres consiguen asomar a la vida. Nadie se explica cómo. ¿Quién ha podido plantarlos a la vera del camino?*

*Vamos en la velocidad y se nos presentan. Nos encontramos esas flores de corazón oscuro, violáceo, con corola de pétalos de un amarillo obsesivo. Una extraña corona de confusiones. Dos girasoles, doblados por su natural inclinación al sol, como la vida que declina. Dos girasoles con el corazón rebosante de semillas maduras, cargadas de futuro. Corazones henchidos de vitalidad. Cada vez que se me cruza en la carretera un girasol perdido me viene a la memoria el recuerdo de Paco. Ya no son los jóvenes de los sesenta o los setenta, con mochila y guitarra en bandolera -ligeros de equipaje como los hijos de la mar-, al borde de la free-way, silbando Blowing in the wind, -porque Vietnan era una guerra cruel, todas las injusticias son crueles-, los que hacen autostop. Se ven girasoles solitarios. Vagabundos. ¿Náufragos? Eran otros tiempos y ... The times they are a-changing. De Jaén a Granada había una carretera nacional sembrada de curvas y peligros. Iban los estudiantes a la Universidad, como fue Paco. Éramos jóvenes, somos jóvenes -tú también, Paco-, porque tu espíritu jovial vibra en el aire de esta nueva ciudad universitaria; tendrías que ver el Campus de Las Lagunillas de Jaén, cómo se va pareciendo a los anglosajones, a aquel de Berkeley. De vez en cuando hay una oleada, un revival de la moda gloriosa, que aromatiza de juventud y futuro este semillero de cultura, saber y progreso -palabras mayores-.*

**GABRIEL TEJADA MOLINA**



## PERFIL

*Resulta cuando menos difícil tratar de resumir en unas líneas toda una vida de dedicación y entrega a la docencia de un hombre con el que tuvimos el inmenso privilegio de compartir amistad y profesión. Las exigencias de espacio nos obligan a resumir lo que desde la óptica de la realidad -y, ¿por qué no decirlo?, del corazón- merecería un tratamiento más exhaustivo.*

*De la dilatada experiencia docente de Francisco Manzaneda Oneto como Catedrático de Bachillerato quedan -entre otras muchas cosas- el respeto y cariño de los que fueron sus compañeros y la admiración de sus alumnos, que le agradecen la buena preparación en inglés que de él recibieron (¡Cómo alegre y compensa tener en la Facultad alumnos que lo fueron de Paco en el Instituto!). Esta faceta de su vida le fue de inestimable ayuda en su labor docente universitaria y, de forma más concreta, en su investigación en el campo de la Didáctica del inglés como lengua extranjera.*

*Su inquietud y tesón le llevaron a participar activamente en Seminarios Permanentes (La utilización de medios audiovisuales en la enseñanza del inglés), a la elaboración de materiales didácticos en colaboración con otros compañeros -él estaba convencido de que el verdadero saber era el compartido- (Vídeo ENGLAND. Facts about) y a la asistencia a un buen número de cursos de perfeccionamiento del profesorado, jorna-*

*das pedagógicas, seminarios de formación continua, siempre relacionados con la metodología del inglés, organizados por instituciones extranjeras como la School for International Training (Vermont, USA), la Universidad de Liverpool (Curso Discourse Studies for English Language Teachers) o más cercanas geográficamente como TESOL Spain, el British Council en Madrid, Centros de Profesores y Asociaciones de Profesores de Inglés. ¡Con qué cariño recuerdo un curso que hicimos juntos un verano en Londres, en el que aprendí de él tanto o más que en las propias clases!*

*Más interesante aún, si cabe, resulta su labor como formador de profesores de inglés, en especial de Primaria y de Secundaria: sólo en el período comprendido entre el año 1990 y el 1994 (en Agosto de ese año se produjo el fatal accidente) fue ponente de ocho cursos, para beneficio de cuantos tuvieron la suerte de hacerlos, que siempre resaltaron su perfecto conocimiento de la realidad del aula y las sugerencias prácticas que tan provechosos los hacían.*

*Su faceta de investigador empezó con la participación activa en el diseño de un programa para C.O.U. (bajo los auspicios del Departamento de Filología Inglesa de Granada) y continuó en su proyectada Tesis Doctoral sobre aprendizaje del inglés como lengua extranjera. Dicho trabajo de investigación había cubierto la fase inicial de recogida de documentación y consulta de fuentes primarias y secundarias, y estaba previsto comenzar en el curso 1994-95 el estudio experiencial de observación en el aula, para lo cual se habían hecho los contactos oportunos con la Dirección del Colegio Público «Almadén» de la ciudad de Jaén. La experiencia del autor como profesor de inglés de Bachillerato y C.O.U., así como los cuatro cursos académicos impartiendo asignaturas en la Diplomatura de Magisterio en la especialidad de Inglés le avalaban como un destacado profesional de la enseñanza. A ello había que añadir su enorme capacidad de trabajo y su inquietud investigadora. Todo ello hacía presumir la finalización de una Tesis que, sin duda, hubiese sido de mucha utilidad para los profesionales de la enseñanza. Este esfuerzo investigador cuajó en la publicación de algunos artículos en revistas como Guadalbullón («Referencias a la ciudad de Jaén en la obra de tres viajeros románticos británicos: Murray, Scott y Widdrington», «Actitudes y*

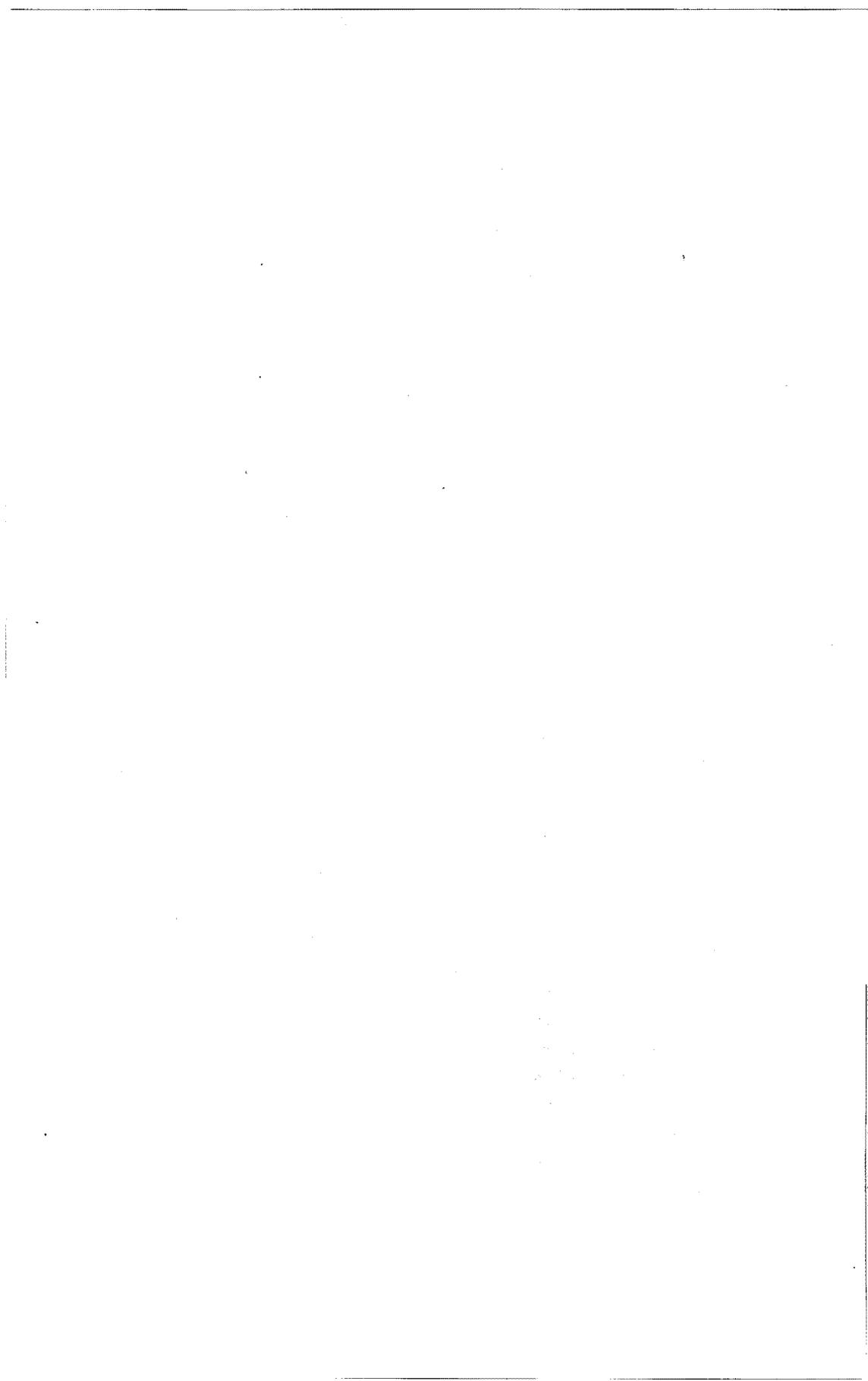
motivación en la clase de inglés»), *colaboraciones como traductor de artículos, y estaba a punto de tener un reflejo práctico muy importante con la publicación de Apuntes de Didáctica del Inglés, como manual universitario para la enseñanza de la lengua extranjera en Magisterio. Revisando el material que tenía preparado, con el dolor de no tenerle ya con nosotros, pudimos observar un muy alto grado de calidad, tanto en sus contenidos como en la exposición metodológica y pulcritud en la elaboración, presentación y ordenación. Es, igualmente, digna de mención la perfecta documentación en referencias bibliográficas, así como un exhaustivo banco de actividades, tanto propias como extraídas de fuentes autorizadas, que aparecen debidamente mencionadas. En suma, son los apuntes de un maestro que cuida con esmero hasta el más mínimo detalle, y que merecen ver algún día la luz; la plasmación impresa de sus enseñanzas, sin duda, contribuiría a que su obra perdurara en la memoria de los que nos dedicamos a la docencia y trascendiera en la formación de estudiantes universitarios, futuros profesores de idiomas.*

*Este breve revisión por su perfil docente e investigador apenas hace justicia a su altura humana y científica, a sus conocimientos y actuaciones. Cuando se produjo la fatal noticia de su muerte, sentimos que se nos iba el hombre y el meritorio filólogo. Esta publicación pretende ser un tributo póstumo a su labor.*

**ANTONIO BUENO GONZÁLEZ**



**DIDÁCTICA DEL INGLÉS COMO LENGUA EXTRANJERA**



## HUMANISTIC AND WHOLE-PERSON TEACHING REVISITED

Elizabeth Adams  
*Universidad de Jaén*

### **Resumen**

*El presente artículo contempla los conceptos de enseñanza humanística e integral, la justificación y creencias que apoyan los términos y algunas directrices de este enfoque en el proceso de enseñanza y aprendizaje de idiomas. También consideramos el modo en que estos enfoques conectan las teorías de aprendizaje más recientes y la trascendencia de dichos enfoques y técnicas en situaciones de enseñanza del idioma actual. Sugerimos algunas fuentes de inspiración para tales tipos de actividades que encarnan esa filosofía. Finalmente, reflexionamos brevemente sobre la importancia de esta línea de pensamiento con respecto al aprendizaje y enseñanza de idiomas.*

### **Abstract**

*This paper looks at the concepts of Humanistic and Whole-person teaching, the rationale and beliefs underpinning the terms and some leading exponents of this approach to the teaching and learning process in Foreign Language Teaching. We will also consider how these approaches link up with more recent learning theories and the relevance of such approaches and techniques in today's language teaching situations. We will suggest some sources of inspiration for those types of activities which embody the philosophy. Finally we will reflect briefly upon the relevance of this way of thinking about language teaching and learning.*

Foreign language teaching continues to witness the popularity of approaches and techniques, which for a while seem to bask in the limelight but then fade into the shadows. Sometimes they bring about changes in direction, or shifts in emphasis or the rethinking of existing thoughts on the teaching of foreign languages. At the time of popularity it often seems to be implied that such an approach might be the universal panacea for the teaching of foreign languages. Witness the all pervading use of the term the communicative approach which seems to say that before this approach achieved favour, language for communication not important. What generally takes place is that after an initial interest and enthusiasm, with much mention of the current approach in the literature and its appearance in teacher training courses, teaching tends to carry on much as it did before, with some elements of the fashionable new approach being absorbed into the teacher's repertoire, if they fit in with one's personal teaching style or can be accommodated with it, or if they are imposed on the teacher from above by the governing authorities. Sometimes their influence are assimilated and their sources forgotten.

### ***Humanistic and Whole-person Teaching; the rationale and some beliefs underpinning these terms and some of their exponents in the field of Foreign Language Teaching***

In the 1970's, perhaps as a reaction to some earlier rather impersonal behaviourist teaching methodologies which were based largely on the mechanical repetition of short segments of language, where drilling was an integral part of the foreign language lesson, and where the student was given little opportunity to express his or her own thoughts and ideas in the target language, apart from in a highly controlled and structured way, we were made aware of other movements in language teaching which paid as much attention to the learner as to the language to be taught. The idea of the student as an empty vessel into which information, in this case information about a language could be poured, still clearly dominates many teaching situations.

As in the teaching of a language, the subject, that is the language being taught, is also a means of communicating: asking for things, getting things done, expressing one's thoughts, ideas, feelings, opinions, and as

human beings do have to do such things and do experience such things, it seems clear that the learning the target language should include a two fold objective.

One of these objectives is to learn the new language, which involves learning about the language, how it works, its grammar and vocabulary, but also and equally important the other objective; that through that language, you can get things done, express your ideas to someone, find out how they feel and so on. This second language learning objective was felt to be of major importance as it became clear that we cannot always treat people as vessels into which information can be poured and over which teachers have the control and authority on deciding which new items of knowledge are to be instilled into the student, while, to a large extent, ignoring the student as a person.

Much of the tedium, the lack of interest and motivation incurred in learning a language which is imposed upon us, seems to be caused by a lack of involvement. When we have our own strong reasons for learning, having the freedom to select and study a language can bring about a degree of involvement not to be found when we have no choice in the matter. It does not necessarily, however, guarantee results. People for one reason or another do sometimes lose interest, and the will to carry on, witness the number of drop-outs, especially in evening adult institutes who started the year so full of enthusiasm and apparent commitment, only to disappear from classes as the course progresses.

However the idea, that by involving students in affective activities and setting up stress free situations where students might express things about themselves and things important to them, might be fruitful and lead to less problems in maintaining student interest does seem to be gathering strength in more and more teaching situations. It might also play a part in reducing disciplinary problems in areas where such problems prevail, and might improve the learning environment in general.

One of the most well known exponents of these so called *humanistic* teaching approaches in the 1970's was Gertrude Moskowitz. Her book, *Caring and Sharing in the Language Classroom*, which developed from her beliefs and ideas on teaching languages and the people on the

receiving end of such teaching, have had their influence on language teaching and if not taken on board by every one, have permeated their way into many classrooms, by one means or another. Here are some of the beliefs reflected in her work:

That traditionally, education has poured the content into the students, whereas effective education draws it out of the student.

That the personal development, and the self acceptance of the student, as well their acceptance by others is fundamental in a successful learning process.

How you feel about what you learn, influences how you learn.

Humanistic education takes into consideration that learning is affected by how students feel about themselves

Learning cannot be carried out in an emotion and value free environment, and personal growth and education cannot be carried out in a vacuum of information. The two should be one.

During the seventies many humanistic teaching programmes were developed, mainly in the USA. John Miller (1976), viewing affective teaching in terms of four models, defined them thus:

1. **The developmental model:** The teaching strategies are in keeping with the developmental stage of life in which the learner is. Erikson's eight emotional stages of man are useful in this work as is the work of Piaget.
2. **The self concept models-** Emphasis on enhancing the self esteem and knowledge of one's own identity. Such strategies involve discovering one's values and living according to them. The goal is to enable youngsters to live according to their own expectations and not only those of others; that is to gain control over their lives.
3. **The sensitivity and group orientation models -** These work on helping people become more open with and sensitive to others. Communication skills are stressed, as is empathising with others.
4. **The consciousness - expansion models -** Such models are intended to increase the imaginative, creative, initiative capacities. Producing a relaxed but alert state of mind is aimed at. Some components of

these models are: integrating the mind and body, sensory awareness, guided imagery, and achieving higher or deeper levels of consciousness. Emanating from Eastern psychologies, these models have been increasingly accepted by the Western world as the desirability of heightened awareness of oneself and the environment have been discovered.

Moskowitz (1978) draws upon those models and summarizes some of the key premises, diverse and eclectic, which underlie humanistic education and which she drew upon in compiling and presenting the materials in her book for use in the foreign language class:

1. A principal purpose of education is to provide learning and environment that facilitate the achievement of the full potential of students.
2. Personal growth as well as cognitive growth is a responsibility of the school. Therefore education should deal with both dimensions of human beings - the cognitive or intellectual and the effective or emotional.
3. For learning to be significant, feelings must be recognized and put to use.
4. Significant learning is discovered for oneself.
5. Human beings want to actualize their potential.
6. Having healthy relationships with other classmates is more conducive to learning.
7. Learning more about oneself, is a motivating factor in learning.
8. Increasing one's self esteem enhances learning.

Earl Stevick has demonstrated in his many publications a strong belief in the importance in the education of the *whole learner*. In *A Way and Ways*, he draws upon his own wide experience of both teaching and learning languages, influenced by different teaching methods such as Community Language Learning, The Silent Way and Suggestopedia. He shows how both in his own thinking and embedded in the philosophies of those methods is the belief that the physical, emotional and cognitive aspects of the learner, cannot in practice be isolated from one another.

What is going on in one of these areas inexorably affects what is possible in other areas.

He reminds us that many exercises we as teachers ask our students to perform, focus on the intellectual activity, but do little to occupy the other aspects of the whole person. which might make the learning experience more meaningful, memorable and rewarding for the student.

It is in those types of exercises and activities designed to follow up the presentation of new language that we have more options available to us but where we often resort to exercises or drills which constitute a kind of test for students. A test in which we seem to be implicitly communicating to the student that they should perform the task so that we can evaluate their performance. This confrontational and judgemental attitude seems to underlie much of language teaching and perhaps too many teachers and students take it as inevitable

Stevik, in his quest for learning materials for the whole learner identifies a list of five desirable criteria to be considered when we select teaching materials:

1. There should be something for the emotions, as well as for the intellect; perhaps beauty or humour, apprehension or controversy.
2. The materials should provide occasions for the students to interact with one another.
3. The materials should allow students to draw on present realities as well as future goals (exams, assessments)
4. The materials should allow the students to make self committing choices in the areas 1- 3 mentioned above.

If these criteria are embedded in classroom activities they will allow and encourage students to invest more of themselves than other materials may do. However, as we are all too well aware some students will welcome such opportunities, and others will not. The reasons for this may be more complex than simply not wishing to participate. The student may feel insecure, some may feel that linguistic errors will bring unpleasant consequences and will err on the side of caution by not speaking at all. The student may feel insecure within the class or group and she or he may not want to give anything away about her/himself.

Stevick suggests that making teaching materials relate more to the needs of the *whole person* does not always require specially designed materials, and that in text books many exercise and activities could be adapted. Materials can be used in many different ways which would avoid the confrontational, judgemental approach.

One way might be for more classroom activities to be carried out in small groups. At mention of this many teachers will hold their hands up in horror, claiming that getting students to work in groups is impossible, that left to work in groups, students will revert to their native language and that errors go unchecked and are compounded. Certainly where students are unaccustomed to working in small groups, this way of working has to be introduced gradually, starting with very short bursts of group activities with very clear instructions, and little by little getting students used to working with others.

There are some positive aspects of group work which are sometimes over-looked. For example ;

A group of three or four people are more likely to come up with informed responses than any one individual, when doing the kind of activity which involves choosing a correct solution out of a collection of alternatives.

Correction by a peer is more telling, coming from one with similar experience and not from one in authority and also it can be less threatening because the one who is correcting is not one who gives the grades.

Competition between groups is less threatening than between individuals, but still exhilarating.

Working together even for short periods of time can foster a degree of support and loyalty.

A good example of when group work can be useful and productive is in listening exercises, notorious for engendering panic in many students. If we allow students to compare their answers, put together and sift out possibilities, then many of the above points will be of positive benefit to students. And if students resort to the native language? This may be a

way of sorting their ideas out more efficiently and when the teacher conducts the feedback session then students will know that at this stage they will need to use English, but having already clarified their ideas, then the speaking task should be easier.

There are many other occasions when pair and group can work be used successfully whilst building student confidence and giving students the opportunity to generate ideas and responses together, which would fulfill the criteria for the selection of materials mentioned above, for it is not only in the materials we, as teachers select, but the ways in which we ask students to use those materials that learning is promoted.

### ***Humanistic and Whole-Person teaching links with more recent learning theories and the relevance of such techniques in today's language teaching situations.***

Although doubts have sometimes been expressed about the validity and viability of *whole-person* and *humanistic* techniques and exercises in the classroom, we do not have to look very far to find strong links between those approaches to teaching, and many more recent influences on what we know about how people learn, and how many educators, teachers and thinkers have tapped the knowledge gleaned from research or from their own experiences and awareness of how people react, behave and learn in different environments. A few of these factors are;

- that all learning involves both mind and body,
- an awareness and consideration of personal learning preferences.
- what we are learning about thinking and learning modes linked to the left and right hemispheres of the human brain.

### **All learning is Mind - Body**

We think not only with our brain, but with our whole body. Learning is a holistic process and the body must be involved if the brain is to respond and become fully engaged. It is known that the brain simultaneously operates on many levels and it seems to work best when it functions on many pathways at more or less the same time. The old

teaching model is teacher teaches - students memorize, but it has been shown that we learn and remember things better if elements such as motor learning, situation changes, music and rhythm are built into the learning situation.

### **Learning preferences**

We know that most people tend to favour different ways of learning. Some prefer to do it visually, some auditorally, some kinesthetically. We are all idiosyncratic learners and have our own blend of preferential learning modes, even though it is probably true to say that most people are not consciously aware of them. They might make their learning experiences more memorable and rewarding if they were.

### **Left / Right Brain Learning Theories**

We know that both sides of the brain are involved in most activities. It has been claimed that the right brain is the seat of the imagination, creativity, artistic awareness, and the left brain deals more with the logical, the verbal, sequential, analytical aspects. However, we are now reminded that we should not be too eager to assign such clear boundaries to the functions of the brain or such clearly different modes of response to one hemisphere or other, rather it is a question of degree. Nevertheless we should aim to include activities which encompass the more holistic, imaginative, creative functions as well as the logical and analytical in order to cater for individual differences.

Apart then, from any other insights we might have into the learning process, if we wish to consider the whole-person, the mind-body learning model, learning preferences and allow for experiences which involve the feelings, experience and emotions of individuals, bearing in mind that all learning is idiosyncratic, then teachers need to provide a variety of experiences, input and approaches for their students, which allow the learning experience to be as valuable for as many students as possible.

What is needed in teaching in general, and certainly no less in the teaching of languages, is a balance. Clearly, information about language

needs to be taught, but many and varied opportunities must be set up for students to assimilate the language, to try it out, to experiment with it, and use it for getting something across to someone, without fear of judgement and continual assessment.

### **Sources of inspiration**

If we wish to incorporate into our teaching these concepts and beliefs about educating the whole person, there is a wealth of ideas and resources available to us, which encapsulate the tenets of *whole-person* and *humanistic* teaching. Some are mentioned below. It is only a small selection of what is currently available and, it should be emphasized, is a personal selection which reflects the thinking and rationale that embody the criteria mentioned above and with which I personally feel an affinity with and strive to embody in my teaching.

### **Music and Song**

The use of music and song have endless exciting possibilities in the language classroom, which go across age and social barriers. From the very young, through the teenage years and onwards, music and songs, if sensitively selected, bearing in mind the people we teach, can provide a rich source of activities, experiences and opportunities to use in language teaching. Murphey (1992) clearly convinced of the power of music and song, gives many different, motivating ways in which they can be used in the classroom, and which clearly fulfill the *whole-person* teaching model.

### **The use of guided imagery**

In Granada at a Greta Conference a few years ago, I attended some sessions given by Henry Puchta on the use of imagery in the classroom. With the audience sitting with their eyes closed he took them on journeys led by his voice, modulated to create a calm and relaxed atmosphere, guiding thoughts and images, into worlds where the senses dominated leaving clear images behind, which drew on one's own experiences

juxtaposed with the unexpected. This kind of activity can be done in class and can lead to speaking and listening and real interaction, to the writing of stories, poems, personal experiences. Too often I have had it said to me by a young person of 15 or 16 years of age, or older, "Well, I haven't got any imagination". Whether their remark was true or meant to provoke I don't know, but it seems that often too much time is spent in "putting information in" and not enough given to encouraging the powers of the imagination, to bring about that balance previously mentioned. Gerngross and Puchta (1993) also show us how creative and affective activities can be used for the practice of grammatical structures.

### **Poems and Stories**

In other Greta conference sessions Alan Maley and John Morgan have shown with a selection of practical activities based on poems and short stories, how endless possibilities for valuable, creative and interactive experiences in the language classroom can be encouraged by the use of such materials..

### **Drama Techniques in Language Learning**

Maley and Duff in their *Drama Techniques in Language Learning* provide a wealth of ideas for use in the language classroom and in an excellent introduction explain their view of drama in the classroom, which has nothing at all to do with full blown theatrical performances which we might think of as Drama, but which, once again provide us with many types of activities to comply with our concept of teaching the *whole-person* and are *activities which give the student an opportunity to use his or her own personality in creating the material on which part of the language class is to be based*. They also remind us of something we tend to overlook that all too often *the foreign language is just another subject on the timetable, and is taught as a subject rather than as a language*. Drama does not let us define boundaries between subjects so easily, *it does not respect subject barriers, it may involve music, art, history, mathematics,.... anything, and forces us to take life as our starting point,*

*not language.* As an extra bonus, drama activities do not require any special, sophisticated equipment, just *a room full of human beings.*

## **Poetry**

Poetry is often looked upon by teachers and students alike as something *difficult* and *to be avoided at all costs.* The reasons for this are many and varied and not to be discussed here. But to avoid using poetry in the language classroom is to miss out on a large, rich area of material, in which there is always something suitable to the level and interests of students, although you may have to think carefully about your means of presentation to overcome initial resistance. Poetry provides many motivating activities and experiences which can be used very successfully in the language classroom and which again provides that balance between the intellect and the emotions. Maley (1989) Gives many examples of the ways in which poetry can be used in the language classroom. While poetry has the advantage in that it generally comes in small manageable packages, selected passages of literature can also be a great source of inspiration in the language classroom and one way of using them is to tap the imagery and associations triggered off for us, which may encapsulate something we have felt, but been unable to put into words for ourselves.

## **Affective activities for practising grammatical structures and notions**

Rinvoluceri (1995) gives lots of motivating grammar practice activities for the classroom in the form of games and game-like activities which practice grammatical structures and at the same time appeal to the senses and the emotions. In doing so they provide the important combination of both cognitive and affective learning activities.

## **One specific example**

One example which neatly combines the ideas outlined above and translates them into an affective classroom activity involving interaction, movement and practice in an often troublesome area for students of English, the use of the gerund, is to be found in Gerngross & Puchta

(1992). The stated aim of the activity is to make students aware of sensory areas and their own use of and preferences for certain of them. The activity calls upon the student to respond by drawing on his own experiences, to work in pairs or small groups and to practice, in contexts created out of the students' experiences. At the same time, it gives students a possible new perspective on their own learning and reminds the teacher that not everyone responds in the same way to the stimuli that we provide in the classroom and that we do need to provide variety in both material and approach. Much simplified, the stages of the activity are as follows:

- Students are provided with a grid headed with the categories ;

Word, Visual, Auditory, Kinaesthetic, Gustatory, Olfactory. The teacher calls out a word and students write the word and tick the column according to which response is triggered off for them by that given word. For example the word *bell*, may create a visual image for some, whilst others may *hear* the sound of the bell, others may *feel* the metal surface of the bell. For some it may be a combination of different senses.

- Students compare their results in groups or pairs and can be helped to focus their thoughts by being given questions, such as; From your results would you say you are the kind of person who experiences most through what you see, hear, can touch or feel ?  
How far do your findings agree with what you expected ?

- Students are provided with stem sentences , for example ;

*Listening to / Seeing etc. ... makes me think of ...*  
*... brings back memories of ...,*

which they complete and later read out.

- Students are presented with a short model skeleton (gapped) text, a simple poem would be ideal, and from a collection of slips on which the teacher has written words suitable for completing the text, and stuck on the walls of the classroom, they move around and search for the words they need to make the text complete. Students can then read aloud the texts they have created and know that there is not one right answer but many possible solutions, allowing them to express their own feelings in different ways.

In a follow up lesson the original completed version of the model text could be read to the students once, then, from a cut-up and jumbled text, they can sort out and order the text, and move on to the creation of a new text of their own, prompted by words on the board such as;

- Listening to ... / hearing ... watching ... and
- It also brings back memories of; etc.,

Students later present their texts together with a visual, (for example, a drawing, a collage) which seems to fit the written words and their associations, and the texts and the visuals can be displayed in class.

This rounded pair of exercises illustrate beautifully how the concepts mentioned above can be successfully and happily incorporated into a language learning activity for students of different levels of attainment, whilst providing a variety of activities and processes. It can even give the students themselves an insight into their own thinking and learning processes which might be useful in other learning situations.

### **Some brief reflections on the present language teaching and learning situation in Spain from humanistic and whole person teaching perspective**

More consideration for the *whole-person* in language teaching might lead to Spanish students of English having more confidence in their own abilities to use the foreign language for real communication and not only in the safer waters of the written language. Many have expressed their apprehension about travelling abroad and/or being put in situations where they may have to speak, before they feel they have attained the necessary amount of theoretical knowledge about the language, but no amount of theoretical knowledge will help them if they have not had that theory balanced for them, or have taken it upon themselves in some way, to seek out opportunities during their language learning experience, to practise and use the spoken language for real communication.

As Spain extends its commerce and companies move into the realm of international business, more and more people will be needed who can

speak and understand English, not only in the field of Business English, but who have the ability to communicate or get over what they want to say and be understood in many different situations.

We can make the learning experience more rewarding and meaningful by incorporating those kind of activities into our teaching which demand a response from the whole person, a whole person with feelings, ideas and opinions to express and in doing so bringing a commitment and involvement to the learning process that may be denied them in an approach which fails to balance the intellect and the emotions.

### **Conclusion**

As to the title of this paper «Humanistic and Whole-Person Teaching Revisited» twenty years on from some of the earlier publications mentioned, such teaching approaches are still going strong, or rather one might say that they are gathering strength and in fact never went away for us to revisit. Although presented to us in different guises and under different labels, they have stood the test of time and been consolidated by more recent research, thinking and teaching practices.

A big bonus, is that such approaches, as well as improving the learning environment for the student of languages, are also rewarding for the teacher, and can provide many insights into the learning processes of their students. Teachers may also find that they learn a lot themselves.

### **Postscript**

During the time that I was writing this paper, I happened to pick up and read the latest edition of *The Teacher Trainer*. One particular article by J. Rudiger (*The Teacher Trainer*. Vol.10 /1) jumped out at me and forcefully reminded me that although we may all have our own beliefs about how we think we should teach, and how we would like to teach, these do not always coincide with the teaching situations in which we may find ourselves. The article looked at the problems a female teacher working with an all male class in a European country encountered as a result of the students preconceived beliefs of what a teacher should do

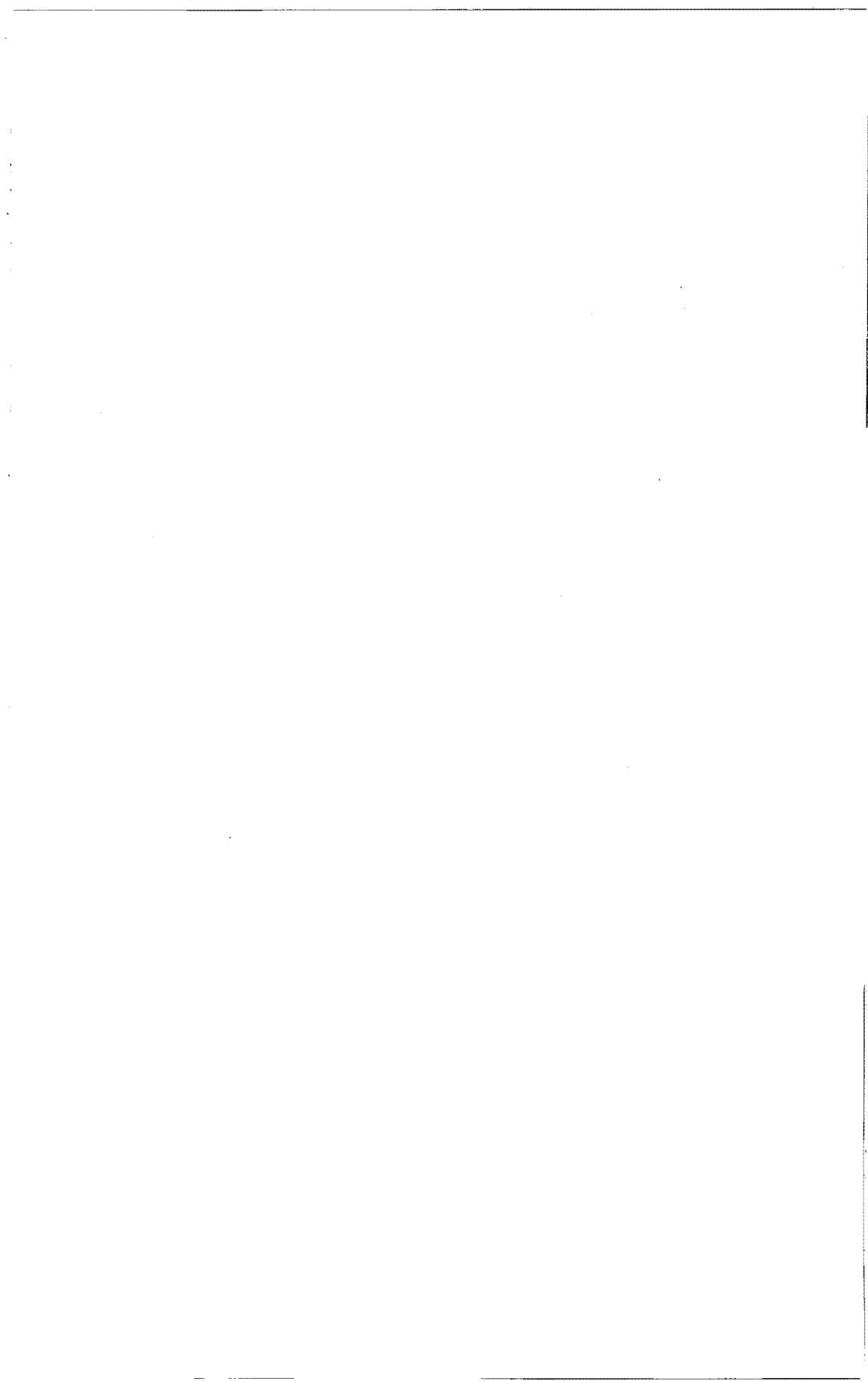
and be, and how these beliefs conflicted strongly with those of the teacher. Moreover the way she had been trained had led her to believe that the approaches and methods she had been taught would serve her in most teaching situations. They didn't, and she had to go away and rethink her whole approach to teaching in that particular situation.

Fortunately, most of us are not in this position and we can, if we wish and if we make the decision to do so, weave into our teaching the types of activities which we have outlined above which consider the learner in the light of a *whole-person* teaching philosophy.

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# LA RELACIÓN ENTRE EL INGLÉS PARA FINES ESPECÍFICOS Y SU PROCESO INSTRUCTIVO EN LA ETAPA DE ESTUDIOS UNIVERSITARIOS

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## **Resumen**

*La obra de Widdowson Learning Purpose and Language Use representa el ataque más directo y radical a la relación entre la enseñanza del inglés para fines específicos (ESP - English for Specific Purposes) y su carácter instructivo. Según Widdowson, la forma en que ESP concibe el significado del término fines refleja la restricción que esta rama del inglés ejerce en la concepción de la enseñanza, la delimitación de los objetivos, el uso de la lengua y la potenciación de las habilidades lingüísticas y comunicativas de los alumnos. En consecuencia, la enseñanza del inglés para fines generales y específicos se definen como dos áreas antagónicas situadas en extremos opuestos con respecto a la enseñanza del inglés. Sin embargo, nuestra posición al respecto pretende cuestionar si la restricción, como sinónimo de instrucción en el aprendizaje de una lengua, es el fin específico de ESP.*

## **Abstract**

*The work by Widdowson Learning Purpose and Language Use is one of the best known attacks on the relation between English for Specific Purposes and Language Training. According to him, the manner in which ESP (English for Specific Purposes) views the term purpose makes obvious the restrictions this acronym exerts on the basis of language teaching, the outline of objectives, the use of the language and the way to provide students with linguistic and communicative competence potential. Therefore, GP (General Purpose) and SP (Specific Purpose) English Teaching are defined as separate endowments, but our position seeks to question whether restriction, as a training equivalency, is the specific purpose of ESP or not.*

La obra de Widdowson *Learning Purpose and Language Use* es una búsqueda de las bases teóricas de ESP (English for Specific Purposes), argumentada a través de un doble interrogante: el significado de *learning purpose* y *language use* en el área del inglés para fines específicos.

Nuestro análisis se centrará en la posición de Widdowson ante el significado del término *purpose* de este acrónimo y su relación con el proceso instructivo, ya que aquélla representa el ataque más radical de la literatura al respecto.

Widdowson (1983:6) define la vertiente instructiva de ESP en los siguientes términos: '[...] *ESP is essentially a training operation which seeks to provide learners with a restricted competence to enable them to cope with certain clearly defined tasks.*'

Esta aseveración no refleja la realidad de la enseñanza de ESP en su generalidad ni los fines o fundamentos que le dan entidad. La especificidad de ESP no se basa en la instrucción de una lengua especial o específica ni, únicamente, está determinada por el contexto ocupacional o académico de los alumnos a los que se dirigen estos cursos. Entendemos el carácter específico de ESP en un sentido mucho menos restrictivo y su carácter instructivo en un sentido mucho más positivo.

Los cursos de ESP varían según los alumnos para los que se diseñan y si, en términos generales, la enseñanza del inglés para unos u otros fines específicos va dirigida a estudiantes adultos con una formación previa de inglés que tienen una inmediatez en el uso de la lengua en contextos ocupacionales o académicos determinados, cada curso está condicionado por el nivel de competencia lingüística y comunicativa de los alumnos, el carácter inmediato o no inmediato por el que realizan el curso de ESP, las características del contexto laboral y la adecuación entre este marco de referencia y el diseño de un programa que facilite el proceso de aprendizaje. Por todos estos motivos, la especificidad de ESP es sinónimo de enseñanza del inglés según las propiedades descriptivas de los alumnos y su vertiente instructiva estará determinada por estas propiedades, como veremos con cierto detalle más adelante.

Por otra parte, hemos delimitado la relación entre ESP y su proceso instructivo a la etapa de estudios universitarios por dos razones deter-

minantes: en primer lugar, porque al desarrollarse nuestra labor docente en este área en un contexto determinado, la Diplomatura en Ciencias Empresariales en la Universidad de Jaén, descubrimos que la vertiente instructiva de ESP también tiene unas connotaciones propias. Y en segundo lugar y, como consecuencia directa de la primera, porque la vertiente instructiva de ESP está determinada no por el contexto laboral de los alumnos, sino por el educativo. Si las características de nuestros alumnos no pueden hacerse extensibles a las de otros estudiantes de esta Diplomatura, la instrucción tampoco puede definirse de igual forma en todos los cursos de inglés para fines específicos para los negocios y el comercio, en particular, y de ESP, en general. Si retomamos la definición de Widdowson, podemos destacar que la enseñanza de ESP en la Diplomatura anteriormente señalada no tiene como objetivo restringir la competencia de los alumnos a las necesidades del contexto laboral de los mismos porque éstos han recibido una formación de inglés para fines generales en su etapa de estudios de Bachiller y porque las tareas que definen el contexto de los negocios y el comercio son profusas en la doble acepción del término, ya que nuestros alumnos compaginan sus estudios universitarios con un puesto de trabajo en un porcentaje que no es relevante. Sin embargo, la aproximación y conocimiento de los puestos de trabajo a los que acceden, así como su nivel de competencia de inglés podrían orientarse a una instrucción fundamentada en la potenciación de las destrezas del inglés esenciales en sus futuros contextos laborales. Todo lo señalado hasta el momento nos lleva a afirmar que ESP no puede reducirse a una fórmula del tipo:

ESP= Restricción de competencia + Instrucción en el desarrollo de ciertas tareas laborales que determinan el uso del inglés

Sin embargo, creemos que una equivalencia más adecuada para entender los fines que enmarcan la enseñanza del inglés para fines específicos podría ser la siguiente:

Enseñanza del inglés para fines específicos = Conocimiento del inglés para fines generales + Especificidad en la potenciación de las destrezas del inglés necesarias en el contexto ocupacional o académico de los alumnos

Widdowson establece la relación entre ESP y su proceso instructivo, esencialmente, a través de las confrontaciones entre *training/education*, *aims/objectives* y *competence/capacity*. Estas oposiciones binarias son la vía para evidenciar que la distinción entre GPE (General Purpose English) y el inglés para fines específicos no radica en el carácter específico de los fines, sino en la forma en que estas dos tendencias los asumen: '*GPE is no less specific and purposeful than ESP. What distinguishes them is the way in which purpose is defined, and the manner of its implementation.*' (Widdowson 1983:5). Esta posición coincide con la generalidad de las manifestaciones de la literatura al respecto, en las que descubrimos que de los términos *specific* y *purpose* del acrónimo ESP, este último es el que lo distingue (cfr. Kerr 1977, Mackay & Mountford 1978, Robinson 1991); en contraposición a las primeras definiciones de ESP en las que la 'S' parecía definir esta tendencia e, incluso, equivalía a *special*.

Compartimos la idea de que tanto GE (General English) como ESP persiguen unos fines específicos pero, sin embargo, no creemos que el carácter instructivo de los fines de ESP tengan que suponer una restricción, en el sentido peyorativo del término, en la enseñanza del inglés para fines específicos como defiende Widdowson a lo largo de esta obra.

En este sentido, Widdowson asocia *training*, *aims* y *competence* con la enseñanza del inglés para fines específicos y *education*, *objectives* y *capacity* con el inglés para fines generales:

ESP	GPE
training	education
aims	objectives
competence	capacity

Si, en primer lugar, analizamos la oposición *instrucción/enseñanza*, descubrimos que, según Widdowson, la concepción que ESP tiene de los fines de la enseñanza implican, exclusivamente, el uso de la lengua en las tareas que el contexto laboral o académico de los alumnos determinen y, de aquí, la relación que se establece entre el proceso instructivo y el inglés para fines específicos: '*In ESP, 'purpose' refers to the eventual practical use to which the language will be put in achieving occupational*

*and academic aims. As generally understood, it is essentially, therefore, a training concept.*' (Widdowson 1983:6). Sin embargo, el inglés para fines generales no tiene como fin entrenar y limitar la competencia del alumno, sino enseñar la lengua para, posteriormente, poder hacer uso de ella en cualquier situación futura: *'In GPE it is of course not possible to define purpose in this way. Instead it has to be conceived of in educational terms, as a formulation of objectives which will achieve a potential for later practical use.'* (p. 6).

Aunque asumimos la relación existente entre ESP y su vertiente instructiva, no creemos que la enseñanza del inglés para fines específicos sea reduccionista y que restrinja la competencia y uso de la lengua a una instrucción que adolece del uso creativo de aquélla y de una vertiente educativa.

En términos generales, los alumnos que realizan un curso de ESP son estudiantes adultos que, previamente, han recibido una enseñanza de inglés para fines generales en los estudios anteriores a la etapa universitaria. Esta circunstancia da sentido y valida el papel de ESP, que entendemos no como una entidad aparte de la enseñanza del inglés general sino como una prolongación y posible consecuencia de ésta y que, por lo tanto, puede dar respuesta al interrogante que Widdowson plantea: *'Over recent years, ESP has emerged as a particular sub-division of the general activity of teaching English to speakers of other language. [...] But what is so distinctive about it as to call for this institutional endowment of separate identity?'* (Widdowson 1983:5). Asimismo, en ESP convergen el contexto educativo y laboral o académico pero, si en la enseñanza del inglés para fines generales el aprendizaje de la lengua es un fin en sí mismo, en ESP la enseñanza de la lengua es un medio para la posterior actuación del alumno en un contexto laboral o académico. Por otra parte, reconocer el componente instructivo existente en la enseñanza de ESP no debe ser una asunción de culpabilidad o inferioridad de esta rama del inglés, sino todo lo contrario: si ESP profundiza en el contexto laboral o académico de los alumnos es porque el contexto de la clase y el laboral o académico están muy próximos. Es decir, existen unos fines inmediatos en el aprendizaje del inglés, mientras que en la enseñanza del inglés general los fines ocupacionales o académicos no lo son. De igual forma, creemos que si ESP explotara la vertiente instruc-

tiva, los cursos de inglés para fines específicos darían respuesta a las necesidades de los alumnos especializados y esto no siempre es así.<sup>1</sup>

Finalmente, pensamos que tanto *training* como *education* caracterizan a ESP y GPE, ya que en la enseñanza de GPE existe instrucción en la consecución de la competencia lingüística de los alumnos y la enseñanza del inglés para fines específicos tiene que partir de la enseñanza del inglés para fines generales para poder dirigirse a la instrucción en el uso específico de la lengua.

En cuanto a la confrontación entre *aims / objectives*, podemos destacar que ésta, asimismo, se fundamenta en una idea de restricción en el primer caso y de generalidad en el segundo; restricción en relación con ESP y generalidad con GPE. Widdowson justifica esta distinción en los siguientes términos: *[...] tasks constitute the specific purposes which the ESP course is designed to meet. The course, therefore, makes direct reference to eventual aims. GPE, on the other hand, is essentially an educational operation which seeks to provide learners with a general capacity to enable them to cope with undefined eventualities in the future.*' (p. 6).

Según esto, la enseñanza del inglés para fines específicos persigue identificar las tareas que definen el contexto laboral o académico del alumno, convirtiéndose éstas en la diana hacia la que se dirige la instrucción con el fin de delimitar la competencia necesaria para 'dar en el blanco'; mientras que en la enseñanza del inglés para fines generales el objetivo o punto de mira es todo lo que rodea la diana, la competencia

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<sup>1</sup> En la etapa de estudios universitarios la relación entre ESP y su proceso instructivo es, en muchos casos, nula porque, al igual que en la enseñanza del inglés para fines generales, el contexto laboral es una referencia imprecisa y lejana.

Si tomamos como ejemplo la enseñanza del inglés para los negocios y el comercio en el contexto de la Facultad de Ciencias Sociales y Jurídicas de la Universidad de Jaén, podemos destacar que es difícil que los fines de ESP puedan ser específicos porque nuestros alumnos no compaginan sus estudios universitarios con un puesto de trabajo. Es decir, ¿cómo puede existir una relación entre ESP y la instrucción si desconocemos las tareas en las que 'entrenar' a nuestros alumnos?

Con esta posición no pretendemos redimir a ESP de su posible relación con la instrucción que a éste se asocia, sino todo lo contrario. El carácter no inmediato de los fines y el desconocimiento del contexto laboral de los Diplomados en Ciencias Empresariales hace que la instrucción sea inoperante y que estos cursos sean 'fuzzy and imprecise' como señala Brumfit (1977:72) en relación con los cursos de GE. Por lo tanto, es difícil, aunque no imposible, llevar a fin los objetivos que se pretenden con la realización de estos cursos.

necesaria para poder acertar cualquier tiro. Así, en ESP se habla de *aims* y en GPE de *objectives*. Una vez más, la enseñanza del inglés para fines específicos parece estar mediatizada por los fines ocupacionales o académicos. Sin embargo, creemos que el conocimiento de estos contextos y de las tareas que los mismos determinan es el medio y no el fin que da sentido a los objetivos del contexto educativo en la enseñanza del inglés para fines específicos y que sustentan su metodología. En este sentido, Blackie (1979:266) señala: *'It is easier to know how to get somewhere if you know where you are going.'*

En último lugar, Widdowson fundamenta la distinción entre *competence / capacity* en el hecho de que la primera conlleva a la 'imitación de la lengua', mientras que la segunda hace posible la 'modificación de la lengua'. El carácter instructivo de ESP no sólo acota los objetivos del curso hasta reducirlos a puntos neurálgicos, sino que también limita el uso de la lengua a un patrón que se copia, mientras que los fines generales que caracterizan la enseñanza de GPE conllevan un uso de la lengua en cualquier contexto y posibilitan el uso creativo de aquélla: *'[... ] what [competence] <sup>2</sup> is referred to is a conformity to pre-existing rules of behaviour as if instances of language use were only tokens of types of knowledge structure. What the concept of competence does not appear to account for is the ability to create meanings by exploiting the potential inherent in the language for continual modification in response to change. It is this ability that I refer to in using the term 'capacity'.'* (Widdowson 1983:8)

Compartiríamos la visión reduccionista de Widdowson si la enseñanza de ESP se limitara a instruir a los alumnos en la ejecución de determinadas tareas sin que éstos tuvieran un conocimiento general de la lengua inglesa y, en consecuencia, siempre que el modelo para el que habían sido entrenados variara, su limitación de la competencia de la lengua inglesa les impidiera poder resolver la situación que se les planteara.

Un ejemplo evidente de ello son las primeras manifestaciones de LSP (Language (s) for Special Purposes): los libros de viajes y los cursos

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<sup>2</sup> El paréntesis es nuestro.

para las fuerzas armadas de diferentes países durante la Segunda Guerra Mundial (Strevens 1977:150) que, en ningún caso, son equiparables a la finalidad que ESP persigue en la identificación de las necesidades de los alumnos en el contexto laboral o académico para, posteriormente, definir una metodología que permita dar respuesta a las mismas.

Como podemos comprobar, ESP parece circunvenir la enseñanza a la instrucción, los objetivos a microobjetivos y la creatividad en el uso de la lengua al 'plagio' de la lengua. Sin embargo, entendemos que la enseñanza del inglés para fines específicos se dirige a alumnos cuyo contexto no es el de la clase sino el laboral o académico y, por lo tanto, su formación preuniversitaria les posibilita una especialización no sólo de la lengua inglesa, sino del resto de las áreas de conocimiento. Asimismo, si, hasta el momento, los objetivos que han determinado la enseñanza recibida se cimentaban en la adquisición de una cultura general en distintos campos, en la etapa de estudios universitarios aquélla puede y debe dirigirse a metas concretas, ya que estamos trabajando con alumnos especializados. Y, por último, creemos que es imposible superar el salto cualitativo del aprendizaje del inglés al uso del mismo en un contexto determinado partiendo de una restricción de la lengua. Todo lo contrario: el dominio o conocimiento de la misma es lo que posibilita su uso específico.

Todo lo señalado hasta el momento nos lleva a afirmar que es arriesgado entender la enseñanza del inglés para fines generales y específicos a través de relaciones dicotómicas. El mismo Widdowson señala al respecto: *'In pursuing my argument, I have drawn a number of distinctions [...] This is a common practice of mine and has attracted some criticism. An apology would seem to be in order -but an apology more in the sense of a justification than an acknowledgment of offence. It should not be supposed that these distinctions express the belief that the universe is divided up into neat binary oppositions, that truth is reducible to a series of simple dualities. [...] The distinctions I make are intended as devices of investigation, aids to understanding, and they are based on the principle of idealization upon which all systematic enquiry must depend. They do not represent reality, but act as points from which bearings on reality can be taken.'* (p.2).

Aun teniendo presente la justificación de estas oposiciones, éstas son restrictivas y drásticas, no la enseñanza de ESP y sus fines. Establecen una separación entre la enseñanza del inglés para fines generales y específicos en lugar de generar una aproximación entre ambas. Entendemos la enseñanza de ESP como un *continuum* que tiene su punto de origen en la enseñanza de GPE. Es decir, este último abre las puertas a ESP y, de esta forma, la enseñanza permite la instrucción, los objetivos generales posibilitan la delimitación de los mismos y la potenciación del uso creativo de la lengua hace posible que ésta se utilice en contextos específicos. Si la enseñanza del inglés para fines específicos tiene como infraestructura la formación del alumno a través de cursos de inglés con fines generales y orienta su superestructura hacia objetivos específicos debido a la interrelación existente entre el contexto educativo y el contexto laboral del alumno, la enseñanza del inglés para fines generales tiene tanto en su infraestructura como superestructura unos fines generales debido a que las necesidades del alumno están exclusivamente determinadas por el contexto educativo. Por este motivo, creemos que todas las dualidades a las que hace referencia Widdowson confluyen en la enseñanza del inglés para fines generales y específicos, aunque cada una de ellas con un énfasis diferente: *education*, *objectives* y *capacity* son la prioridad y el fin en GPE y se sitúan en un primer plano, mientras que *training*, *aims* y *competence* son un medio del contexto educativo, ocupando un segundo plano. Por otra parte, en la enseñanza de ESP *training*, *aims* y *competence* son su prioridad y fin y están en un primer plano y *education*, *objectives* y *capacity* ocupan un segundo plano en el sentido de que son su infraestructura, el medio que facilita la consecución de las anteriores. En consecuencia, *training*, *aims* y *competence* determinan el contexto educativo. La inmediatez del contexto laboral en la enseñanza de ESP y el período de tiempo que caracteriza la realización de estos cursos, como veremos más adelante, definen sus prioridades. Sin embargo, esto no reduce a ESP a un 'entrenamiento', ya que sus antecedentes se remontan a la enseñanza de GPE, su infraestructura. Por todo ello, defendemos que el contexto laboral del alumno es esencial en la enseñanza de ESP y es el que determina el contexto educativo, mientras que en GPE es el contexto educativo el que determina sus objetivos:

<b>GPE</b>	<b>ESP</b>
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<b>segundo plano</b> <sup>3</sup>	
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instrucción ( <i>training</i> ) <sup>4</sup>	enseñanza ( <i>education</i> )
objetivos específicos ( <i>aims</i> )	objetivos generales ( <i>objectives</i> )
competencia ( <i>competence</i> )	capacidad ( <i>capacity</i> )

**PRIMER PLANO**

enseñanza ( <i>education</i> )	instrucción ( <i>training</i> )
objetivos generales ( <i>objectives</i> )	objetivos específicos ( <i>aims</i> )
capacidad ( <i>capacity</i> )	competencia ( <i>competence</i> )

Asimismo, entendemos estas dualidades no como confrontaciones sino como progresiones. Si establecemos un símil entre la enseñanza del inglés y una escalinata, los primeros peldaños corresponderían a la enseñanza de GPE. Éstos tendrían una huella determinada por la duración de tiempo que caracteriza esta enseñanza y el carácter general de sus objetivos. Una vez remontados estos peldaños, los siguientes tendrán una huella inferior como consecuencia del carácter más limitado de la duración de los cursos a los que se puede acceder y la delimitación de los objetivos que implica la enseñanza de ESP. En consecuencia, la enseñanza del inglés para fines generales y específicos no pueden entenderse como tramos opuestos sino complementarios, ya que es imposible acceder a la parte más alta de una escalinata saltándose los primeros peldaños. Si esto fuera así, la enseñanza de ESP quedaría reducida a la instrucción pura y creemos que instruir sin enseñar es tarea difícil en el área del inglés para fines específicos:

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<sup>3</sup> El uso de la terminología *primer plano / segundo plano* no implica ninguna connotación peyorativa con respecto al segundo de los términos. En realidad, tienen su equivalencia semántica en los términos ingleses *foreground / background*, respectivamente. Por lo tanto, pretendemos a través de aquéllos denotar los aspectos que son el medio y el fin en la enseñanza del inglés para fines generales y específicos.

<sup>4</sup> Los términos que aparecen entre paréntesis se corresponden con las dualidades utilizadas por Widdowson en su análisis de la enseñanza del inglés para fines generales y específicos.

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competencia (*competence*)<sup>5</sup>

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objetivos específicos (*aims*)

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instrucción (*training*)

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**ESP**

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capacidad (*capacity*)

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objetivos generales (*objectives*)

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enseñanza (*education*)

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**GPE**

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El inglés para fines específicos no es la enseñanza de una lengua especial o específica, no se fundamenta en la instrucción a partir de una restricción en el uso de la lengua, sino que partiendo de un conocimiento general del inglés se dirige a las destrezas que son esenciales en el contexto laboral a partir de las tareas que definen los puestos de trabajo a los que acceden los alumnos de ESP. Los fines son específicos en el sentido de que son inmediatos, ya que ESP se orienta a estudiantes especializados que fluctúan entre el contexto educativo y el ocupacional o académico. ESP no enseña a través de la instrucción, la enseñanza del inglés para fines específicos fundamenta sus objetivos en la potenciación de las habilidades en la destreza o destrezas del inglés determinantes en el contexto laboral o académico.

Si bien la concepción de Widdowson acerca de la vertiente instructiva de ESP es tajante y restringente, no es menos cierto que también es

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<sup>5</sup> Los términos que aparecen entre paréntesis se corresponden con las dualidades utilizadas por Widdowson en su análisis de la enseñanza del inglés para fines generales y específicos.

conciliadora, en el sentido de que no sólo presenta ESP como un 'movimiento sistólico' y GPE como un 'movimiento diastólico'. Las dos acciones parecen confluír en ambas tendencias: '[...] *since language use cannot (except in certain unusual circumstances) be entirely a matter of conformity, nor entirely a matter of constrained freedom from convention, language education will always have a training aspect, and language training always contains some aspects of education. The problem for any ESP course design is to find its place on the continuum.*' (p. 11) .

En este sentido, creemos que el grado de especialización de los cursos de ESP no puede estar determinado por el nivel de especialización que determine el contexto laboral sino el contexto educativo, ya que éste es el medio que conduce al fin. El carácter instructivo de ESP es mayor cuanto mayor sea el nivel de competencia lingüística y comunicativa de los alumnos y, por el contrario, a menor competencia lingüística menor debe ser la relación entre ESP y sus fines instructivos<sup>6</sup>.

Además de las tres oposiciones binarias analizadas hasta el momento, Widdowson establece una cuarta dualidad referente a ESP y GPE respectivamente: *skills / abilities*. Parece obvio, que si ESP fundamenta sus fines en una metodología dirigida a microobjetivos que se alcanzan a través de la instrucción delimitando el uso de la lengua, esta instrucción potencie habilidades muy limitadas, conocidas como *skills*: *'The purpose of training is to impart a set of skills, which are, in effect, a repertoire of responses tagged with appropriate stimulus indicators, a set of paired associations [...] education is essentially a matter of developing abilities understood as cognitive constructs which allow for the individual's adjustment to changing circumstances.'* (pp. 17-18). Una vez más, no pretendemos eludir la relación entre ESP y su proceso instructivo, sino descubrir su carácter positivo al facilitar la enseñanza del inglés a alumnos que han recibido una formación previa de esta lengua

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<sup>6</sup> Lo que puede parecer una mera aseveración es una realidad en ciertos contextos universitarios donde se imparte ESP. En el caso de la Diplomatura en Ciencias Empresariales, el nivel intermedio de los alumnos conduce a que aquéllos que tienen una mayor competencia lingüística no vean diferencia entre lo aprendido en la etapa de estudios de Bachiller o de Formación Profesional y la etapa universitaria. Por el contrario, los que tienen un nivel no equiparable al de COU encuentran la asignatura difícil. Por este motivo, ESP y GPE apenas se diferencian y el grado de especialización del curso de ESP está determinado por el contexto educativo y no el laboral.

y que tienen unos fines inmediatos en el uso de la misma en contextos específicos. Conocer las tareas que definen los puestos de trabajo a los que acceden los alumnos que realizan un curso de ESP e instruirlos en las habilidades específicas que estas tareas determinan no supone 'entrenar' al alumno para que responda de forma mecanicista al modelo para el que ha sido instruido y, por consiguiente, se encuentre indefenso ante cualquier situación que se aleje del patrón establecido. Previamente, estos alumnos han realizado cursos de GPE y, por lo tanto, podrán hacer frente a las novedades que la realización de las tareas de su contexto laboral les plantee. Asimismo, creemos que ESP, lejos de suponer la instrucción en respuestas a estímulos establecidos, el entrenamiento en habilidades concretas, es la respuesta a los interrogantes que el contexto laboral les va a plantear a nuestros alumnos: ESP es la enseñanza para fines laborales o académicos específicos.

Como señalábamos anteriormente, el factor tiempo es determinante en la delimitación de las características de un curso de inglés para fines generales y específicos y, en consecuencia, condiciona los aspectos que son prioritarios en los mismos. En este sentido, vamos a establecer una última oposición binaria, siguiendo la argumentación de Widdowson, que es fiel reflejo de la realidad que define la enseñanza del inglés en la etapa de estudios de Bachiller o de Formación Profesional, de una parte, y universitaria, de otra: *cursos de larga duración* en el caso de la primera y *cursos de corta duración* en el de la segunda. El hecho de contar con un número relevante de horas de clase semanales en la asignatura de inglés durante la etapa de Bachiller o Formación Profesional favorece la *enseñanza* frente a la *instrucción*; la planificación de *objetivos generales* frente a *objetivos específicos*, la potenciación de *capacidad* creativa en el uso de la lengua frente a *competencia* específica y el desarrollo de *habilidades generales* en las destrezas del inglés frente a habilidades determinadas por las tareas que definen el contexto laboral. En consecuencia, el número limitado de horas que caracteriza los cursos de ESP en la etapa universitaria 'obliga' a la *instrucción*, a la delimitación de *objetivos específicos*, a la potenciación de *competencia y habilidades específicas* íntimamente dependientes del contexto laboral del alumno. Y, asimismo, esto es posible porque estos alumnos han recibido una ense-

ñanza continuada del inglés para fines generales en cursos de una duración muy superior.

Para concluir, creemos oportuno destacar que la relación entre ESP y su vertiente instructiva en la etapa de estudios universitarios será siempre positiva si los que trabajamos en este área no olvidamos que la aproximación y conocimiento del contexto laboral o académico de nuestros alumnos es un medio para definir las necesidades de los mismos en el contexto educativo.

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## FILM AND LITERATURE: REPRESENTATIONAL MATERIALS FOR THE DEVELOPMENT OF CREATIVE WRITING AND LITERARY AWARENESS

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Out of Africa (I. Dinesen/ S. Pollack)

Bram Stoker's Dracula (B. Stoker/ F.F.Coppola)

The adventures of Huckleberry Finn ( M. Twain/ S. Sommers)

Much ado about nothing (W. Shakespeare/ K. Branagh)

### **Resumen**

*Tanto la proyección de películas como la lectura de textos literarios pueden ser una inestimable fuente de material representacional para ser utilizada en el aula. Entre todas las posibilidades que ofrecen hemos seleccionado cuatro adaptaciones cinematográficas de tres novelas y una obra de teatro, y algunos extractos de estas obras literarias como herramientas para estimular el aprendizaje de la lengua inglesa, para desarrollar un conocimiento consciente del lenguaje y para fomentar una apreciación estética del cine y la literatura en estudiantes de Enseñanza Secundaria. Nuestra intención es dar una serie de sugerencias sobre cómo utilizar cada película para mejorar la redacción de nuestros alumnos de una forma clara, breve y, esperamos, efectiva. Cada película está pensada para ser la fuente de inspiración de cuatro tipos de escritura: la descripción de lugares, la descripción de personajes, la narración y el diálogo. Con la lectura de los fragmentos literarios propuestos haremos una introducción a la literatura inglesa y una primera aproximación al lenguaje literario. Creemos que las sugerencias expuestas aquí pueden ser adecuadas para estudiantes de un nivel preuniversitario, aproximadamente C.O.U., aunque también pueden servir para un nivel superior si queremos hacer un análisis estilístico más profundo de los textos.*

### **Abstract**

*Featuring films on video and reading literary texts provide a rich source of representational material for classroom use. Among all the possibilities they offer we have chosen four film adaptations of three novels and a play and some literary extracts from these books as a tool to stimulate language learning, to broaden language awareness and to foster an aesthetic appreciation of cinema and literature in secondary students. We will give some suggestions on how to use each film for writing development in a clear, short, and hopefully, in an effective way. Each film will be the source of inspiration of four different types of writing: describing places, describing characters, narrating events and writing dialogues. The reading of the extracts from the books will introduce EFL students to English literature and to an initial awareness of literary language. The guidelines presented here are intended to be used with students at a pre-university level, approximately C.O.U., although a higher level can also be considered if we attempt a deeper stylistic analysis of the texts.*

### **INTRODUCTION**

The use of films in the classroom has resulted in some articles and books suggesting ways in which teachers can exploit their potential. Various authors have stressed the use of segments of films rather than the complete film for skill-developing activities, for example Stoller (1988), Stempleski and Tomalin (1990a, 1990b). In particular, Visscher (1990) gives some ideas for exploiting the language-generating potential of short scenes. Voller and Widdows (1993) advocate for the use of complete films in class and give useful activities for the use of films for fluency development. They give a valuable review of bibliographical references, clear criteria for the selection of films and, finally, they exemplify their working methods with the worksheets and OHP material devised for the film *Stand By Me*. Gouat (1992) proposes the use of whole films to check oral and visual comprehension providing the students with questionnaires or answer-sheets of which he offers some examples. He also suggests the idea of viewing films as a prop for writing. Ricketts (1991) emphasizes the enjoyable experience of the use of films

in the classroom and proposes some general pre-viewing activities to be done with any film and some concrete post-viewing activities for the Hitchcock film *Psycho*.

Other writers have presented films as a way to explore culture (Duncan, 1989), and very often films have been seen as a way of teaching about literature (Uemichi, 1988). Ross (1991) gives a detailed description of a literature course in a school for interpreters and translators with the use of film versions of the works studied (*A Passage to India*, 1984, and *Sophie's Choice*). Critical analyses of both the film and the novel are the springboard for the development of mainly reading and speaking skills. Lazar (1994) suggests the use of clips from films to support the study of either whole novels or fragments of them. The comparison between the scenes in the film that correspond to the scene in the novel the students have just read are the basis for various activities.

The following pages propose the use of both the whole film and some selected segments from it, for a mixed combination of the proposals exposed above: films as a motivating support material for language teaching, and as a way to support the reading of some literary extracts with the initial goal to increase awareness of the uses to which language can be put and to promote the role of conscious readers on our students.

### **CINEMA AND LITERATURE: SOME BASIC CONSIDERATIONS FOR THEIR CLASSROOM USE**

It is well known that throughout the history of cinema, many films have been made from narratives that already existed in prose form. We must not forget, however, that in many ways techniques of film narration and prose narration have little in common with each other, apart from the fact that they both tell stories. As pointed out by Montgomery et al., (1992: 193 et passim), the similarities between them can be best revealed in terms of narration as they share most of the general characteristics of narratives: they consist primarily in the telling (by a narrator) of a sequence of connected events which have some relation between them and have a particular kind of beginning and ending. They also have similar roles for characters. The differences between film and prose rest

in the first place on the distinctive features of the two media: films are made of images while prose is made of signs. The film image has a more immediate relationship to what it depicts and is somehow a less demanding medium than the prose novel. The spectator's condition favours a high degree of projection of the self into the film whereas reading a novel asks for more control and attention on the part of the reader. The differences are also given by the fact that cinema is a highly commercial industry, which we undoubtedly have to bear in mind when considering the faithfulness of the films to the original texts. Apart from the personal interpretation that film makers make of novels, the commerciality of the cinematic industry is biased to profitable products whereas, by comparison, the novel as an institution of cultural production is not so capital-intensive or industrialized.

As for their use in the classroom, we can try to take advantage of both media combining the easier intelligibility of the films selected with the more individual and reflexive reading of the texts. It is also important to consider that cinema shares with literature some of the characteristics inherent in what McRae (1991) calls representational materials: their use in the classroom goes beyond the mere teaching of language. It represents a humanistic approach to language learning whose ultimate goal intends to help students become better readers of the world they live in (cf. McRae, 1991:19). Consequently, representational materials or texts (films are texts in the sense that they communicate a message) require active involvement, receptivity, and constructive enjoyment. They mainly encourage dynamic learning because by definition *"representational language is a language which, in order that its meaning potential is to be decoded by a receiver, engage the imagination of the receiver"* (McRae 1991: 3).

Many of these factors are clearly subjective, as is the reaction that any representational text is looking for. Once we have got this reaction on the part of the students, we have to facilitate the more objective response which can be evaluated in objective terms.

Films will surely provoke a personal experience which will give way to the individual responses we want to get from our students. Films are texts which communicate messages, many of them incontextual clues

and those who love cinema know that they are endless sources of imaginative powers, able to move thoughts and feelings. There is nothing easier than becoming involved in the human drama of a film or of a novel, but when we look for the "response" of our students, there is no need to say that, at a first approximation, cinema appeals more to their likes and interests than literature.

It is noticeable how, for some time now, students and young people in general have become more and more reluctant to read, immersed in an audio-visual culture that despises written texts. Anyway, let sociologists study that question and let us concentrate on the fact that cinema can still be regarded as a means to raise "instant satisfaction", one of the pillars on which modern culture seems to be settled. Let us take advantage of it and let's try to use films for meaningful teaching practice without forgetting that we can also foster a lasting love for cinema among our students. If that love or at least interest extends to literature in some of our students, our effort will have been worthwhile. We are almost sure that the cultural enrichment and personal enjoyment provided by film and literature can be easily communicated to others if the teacher feels enthusiastic about it.

We also know that a serious task on the part of the teacher is to break down the students' attitude of considering the viewing of a film "a bore" if they know they have to work on it and it is not a mere time-filling. This may happen because films are associated with entertainment rather than study. We can try and change this viewpoint by making videos a common teaching tool in our classroom practice, although perhaps not to be used too often because of time restrictions. We can also negotiate with our students and make it a matter of common sense. Let us take the course of C.O.U. as an example. Students of C.O.U. are usually asked to write compositions alongside the course as a preparation for the exam of "selectividad". So, why not write about the interesting and motivating stories films tell us instead of writing cold about some topics they have to think up altogether without any help but the dictionary? They may agree that their writings at least are given a content which they will have to express in their own words.

We therefore propose in this article some suggestions on how to use four particular films for four types of writing: describing places, describing characters, narrating events and dialogue. These more objective writings which mainly describe or tell what the students have seen in the films can be complemented with four more creative essays about the topics that the films will suggest. It will of course depend on our time, availability and on our student's competence. We should not forget that the work must always be related to our students' capacity.

As for the reading of literary extracts, our aims in perhaps their first contact with English literature are intended basically to assist the development of competence in the English language and to experience what we can call a use of English language "different" from the one they have been accustomed to in their course books. It will inevitably lead to an awareness of certain features of literariness that obviously will only be outlined in this first stage. We will also provide good models for writing with these short readings and we will try to encourage a habit for extensive reading, having the certainty that only a good reader makes a good writer. These texts will also be compared with the texts the students have written, not with the intentions of comparing "bad" texts with "good" texts, but to point to some features of literariness worth mentioning and to provoke a linguistic and aesthetic curiosity. We think that we will encourage the necessary dynamic interaction between reader and text if the students have previously played the role of being writers themselves. They will have more curiosity for reading about things they have had to write on before.

Bearing in mind that as far as language teaching is concerned, our objective is the use of films for writing, and not necessarily for understanding the language of the film, therefore one could object to the use of films in their original version, although there is no need to say that if our students' linguistic ability and practice allowed it, we could proceed to the viewing of the films in English, but I think that at not very advanced levels, students find it difficult and consequently demotivating to follow a film in English. It can prevent them from enjoying the film. The best possible solution would be to view the films in their original version with subtitles in English or even in Spanish, although I do not think we will betray our purposes here if we consider

it appropriate to see it in the Spanish version. There is also the possibility of the students having watched these films previously in commercial cinemas which would favour their understanding in case they see it in English.

I would not like to finish without saying that what follows are open-ended suggestions subject to be modified by the actual activities designed by the teacher or his/her particular class. For this, it is of major importance to take into consideration the age, maturity and proficiency in English of our students.

In particular, I would suggest that the writing of the follow-up essays should be aimed at more advanced students, due to the complexity of their themes.

The films and the novels are presented in order according to the language difficulty of the literary extracts, from the simplest to the most challenging.

## **OUT OF AFRICA: PHYSICAL DESCRIPTION OF PLACES**

Selected segments of the film: 42.23 - 43.08<sup>1</sup>

Selected fragments from the novel: Chapter 1 "The Ngong Farm", pp.13 - 16. Chapter 3 "Wings", pp. 204 -205.

**Aim:** To increase student knowledge of the language of description of external spaces.

### **Stages:**

1. Short presentation of the film and the novel on the part of the teacher. I would propose to comment on the following points:

- Its autobiographical nature: Karen Blixen's life in Kenya and her return to Denmark where she wrote the account of her experiences.

- Her sympathetic response to the landscape and animals.

- Her friendship with people of the area.

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<sup>1</sup> Approximate video counter numbers. Thompson V510, VHS

- A personal view of European colonialism and of a way of life already past.

- The love story between the author herself and Denys Finch-Hatton which is depicted much more deeply in the film than in the novel.

2. Warming-up: The students are asked to brainstorm ideas about Africa in order to give a brief visual image of how they imagine Africa: landscape, people... We note down unknown vocabulary.

3. We tell them to describe African landscape as featured in the film. We give them three base images for the description: the setting of the farm and its surroundings, the coffee plantation and the overall view of the landscape as seen from the aeroplane. We also give them some hints: pay attention to the colours of sunsets and sunrises, to vegetation, animals and people. This physical description should be blended with their personal impressions and feelings: Did it give you the impression of immensity, of beauty, of inhospitality, of danger...? Why do they say in the film that it is "a glimpse of the world through God's eyes"?

4. While watching the film, we repeat the selected sequences so that the students may write down some notes. Once the film has finished, they are allowed some time to interchange ideas with their classmates and finally they write their compositions at home.

5. Once they have written their compositions, we can proceed to the reading of the extracts from the novel that parallels the selected scenes in the film. We will do it preferably in the classroom to facilitate the understanding of unknown vocabulary. Then they can be asked to look for:

- Linguistic expressions of location and spatial relationships (mainly adverbials of location).

- Adjectival expressions that best reflect what they have seen in the film.

- Specific commentaries which show the writer's personal feelings about this landscape.

6. If time allows us, we can propose further compositions whose topic could be:

- European colonialism in Africa as featured in the film. Do you think it gives an accurate idea about it?

- Baroness Blixen's character: How would you describe this woman from the information you got from the film and the reading?

### **BRAM STOKER'S DRACULA: PHYSICAL AND PSYCHOLOGICAL DESCRIPTION OF CHARACTERS**

Selected segments of the film: 00.00 - 03.23; 07.18 - 10.17; 21.39 - 24.85

Selected fragments of the novel: Chapter 2, pp. 24 - 28

**Aim:** To increase student knowledge of the language of character description.

#### **Stages:**

1. Short presentation of the film and the novel. Some hints could be:

- The lasting myth of the vampire count Dracula and the many film versions made from it.

- Coppola's new perspective: the prologue of the film shows the historical past of the vampire that supposedly inspired Stoker's Count Dracula: the real Rumanian Prince Vlad Tepes who fought against the Turks in 1462.

- The romantic connotations of the myth of the vampire which are extremely outstanding in the film: for Coppola, Dracula hides a love story, and it is love that gives eternal rest to the vampire.

2. Warming-up: They are asked to say what they know about the figure of Dracula and how they imagine his physical appearance. They note down unknown vocabulary.

3. Before watching the film we tell them that three different human characterizations of Dracula appear in the film: the Rumanian Prince Vlad Dracul, the ancient Count Dracula and the young Count Dracula.

They will have to describe each of them and their description must include details about:

- Physical characteristics: the long hair, the very white skin, the hands, facial expressions and gestures...

- The clothing: three different ways of dressing for each characterization (baroque armour, sumptuous gowns, aristocratic suits...)

- Their different behaviour (brave, aggressive, menacing, pitiful, loving, sad...) which will display the psychological differences between them.

4. Students now view the film and then the selected segments which focus on these three characterizations. They take notes and write their compositions at home.

5. They read the short passage of the novel and they are asked to:

- Identify which of the three characterizations of Dracula depicted in the film is described in the passage.

- The differences and similarities between this description and the one in the film.

- The psychological effects the vampire has on young Jonathan Harker: fears, doubts, surprise, nausea...

6. Possible topics for a further essay:

- Dracula as a romantic hero.

- Immortality as the eternal condemnation.

## **THE ADVENTURES OF HUCKLEBERRY FINN : NARRATING EVENTS**

Selected segments of the film: 33. 22 - 35. 50

Selected fragment of the novel: chapter 29, pp. 263-273

**Aim:** to develop the ability to report events

**Stages:**

1. Short introduction about the film and the novel. Some points to comment on could be:

- Brief description of the plot: a boy of 13 or 14 that decides to run away from his father, his encounter with a runaway slave and their flight down the Mississippi.

- The autobiographical elements in the novel: Twain's own boyhood and adolescence and the influence of the river Mississippi on his mind.

- Childhood as a symbol of innocence as opposed to a "civilized" society corrupted by money and a repressive morality.

2. Students are reminded about some features of narrative:

- The sequentially ordered account of events.

- Verbal tenses (almost always in Past tenses).

- Sequencers (first, then, after that, finally...).

- Statements of reason and cause and effect.

- Adverbials of place, time and duration.

3. They are told to write a brief summary of the adventures and events occurring in the film, with a more detailed description of the episode they will read in the novel: when "the duke and the king" are discovered as frauds, masquerading as the dead Peter Wilk's brothers.

4. They watch the whole film and then the selected chunk of this event.

6. They will read the chapter from the novel which parallels this event just for the pleasure of reading it, and looking for:

- More specific information that the book provides and which is not in the film.

- Hulk's personal commentaries about his own feelings and impressions which are intermingled in the narration and the effect that this technique produces on the reader.

- The alternative uses of the Past and Present tenses when narrating events or when transcribing direct speech: Does it make the narration more vivid and personal?

7. Possible follow-up essays:

- Discuss ways in which people are deceived by salesmen, publicity, advertisements...

-Is childhood a paradise lost?

## **MUCH ADO ABOUT NOTHING: WRITING DIALOGUES**

Selected segments of the film: Claudio, D. Pedro and Leonato's dialogue: 16.90 - 18.02. Song: 15.08 -16.80.

Selected fragments of the play: Act II, Scene III; pp.136 -140. Song: p.135.

**Aim:** To help students to understand and interpret a dialogue in this play of Shakespeare and to reproduce it. To provide an enjoyable approach to Shakespeare's theatre by means of this film which otherwise may frighten the students due to its linguistic complexity.

**Stages:**

1. We make a short introduction to Shakespeare and to this play, telling them about its characters and plot. The main points to comment on could be:

- It is a romantic comedy depicting a courtly world set in Messina.

- Comic and serious plots are interrelated: the comic love story between Beatrice and Benedick and the serious one between Claudio and Hero.

- The presence of evil in the character of Don John, Don Pedro's bastard brother: his envy and jealousy towards Claudio and his tricks to hurt his image in front of Don Pedro, Prince of Aragon and to ruin his marriage to Hero.

- The happy ending in which all the intrigues are resolved and everything comes right again.

2. They watch the film. Once they have seen it, the selected dialogue and the song are played again.

3. This time the reading of the text will be prior to their writings. We read it in the classroom and given its major complexity, we will try to do it in the easiest way we can. Some hints could be:

- To facilitate the meaning of unknown and archaic words and expressions. The recognition of archaic forms can be an important part of language awareness.

- To introduce and explain the notion of "wit" as a substantial element in Shakespeare's comedies: "wit" as a way of playing games with words and showing intelligence. Benedick and Beatrice's "merry war" is mainly based on this word-play.

- We translate the song and comment on its meaning: it exemplifies Shakespeare's skill in adapting his lyrics to the theme. Deception is a leading theme in the play and "the fraud of man" against Hero will give her cause for sighing, although by the time the song is played she does not still know about it.

4. Working in groups of three they are told to reproduce the dialogue in current English and give it their personal way of expression.

5. Topics for further essays could be:

- Give your personal interpretation of the song.
- Jealousy as a destructive force.

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## CÓMO DISEÑAR UN TRABAJO DE INVESTIGACIÓN EN DIDÁCTICA DEL INGLÉS

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### **Resumen**

*Este artículo trata de presentar de forma breve e introductoria un posible marco para la investigación en el campo de la Didáctica del inglés, si bien puede ser aplicable a otros campos. Empieza con unas nociones generales sobre la investigación en la enseñanza y aprendizaje de lenguas para después centrarse en el desarrollo de un trabajo de investigación en Didáctica del inglés, deteniéndose en las distintas fases. Finalmente, se ofrecen sugerencias prácticas para la presentación de los resultados de la investigación. Está especialmente destinado a investigadores que se inician en este campo y pretende ayudarles en el diseño de su investigación<sup>1</sup>.*

### **Abstract**

*This is an attempt to present in an introductory and concise way a possible framework for research in TEFL, although it can also be applied to other areas. It begins with some general notions about teaching and learning research and continues with the development of a research project in TEFL, dealing with the different stages in some detail. Finally, practical suggestions are offered for the presentation of the research findings. It is especially aimed at beginner researchers in this field and tries to help them in the design of their research.*

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## 1. LA INVESTIGACIÓN EN LA ENSEÑANZA Y APRENDIZAJE DE LENGUAS<sup>2</sup>

### 1.1. ¿Qué se entiende por investigación?

Resulta acertado enfocar la investigación como un proceso natural de búsqueda. Así lo entienden Seliger y Shohamy (1989: 6) al principio de su interesante libro, al considerarlo parte natural de las actividades humanas: «we all carry out activities that have the basic characteristics and elements of research ... we seek answers to questions about phenomena that occur in our daily lives...». Es decir, después de muchas hipótesis llegamos al conocimiento de algo que no conocíamos antes. Esto les lleva a establecer los componentes básicos de cualquier investigación (v. p. 7):

- Algo no se entiende claramente, se observa y surgen dudas y preguntas, a las que se dan varias explicaciones posibles.

- Una - o más- de las posibles explicaciones se considera(n) la(s) más plausible(s) (hipótesis).

- Para comprobar esta(s) hipótesis y confirmarla(s) o rechazarla(s) se necesita recoger más datos, analizarlos e interpretarlos.

Así funciona el proceso inquisitivo (investigador) en la vida real, aunque muchas veces de forma inconsciente. Ello constituye sólo el primer paso de lo que podemos llamar «investigación científica». El sentido común y la intuición tienen un valor limitado y no pueden considerarse un fin en sí mismos, aunque sí un medio válido para la investigación científica. Así lo ven Seliger y Shohamy (op. cit.) al considerar que la investigación científica precisamente confirma o rechaza lo que nos dice el sentido común. Entwistle (1973: 14, citado por Freedman 1982) presenta las diferencias entre investigación e intuición de la siguiente forma: «the essential difference between research and intuition is that

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<sup>2</sup> Para el tema que nos ocupa dos referencias resultan de suma utilidad para el lector interesado: Seliger y Shohamy (1989) y Nunan (1992). Por su interés, ambas nos han servido de soporte para muchas de las ideas que siguen; de ahí que recomendemos encarecidamente su lectura para una visión amplia y completa.

research proceeds from step to step in a cautious systematic manner according to certain clearly defined rules, using well-tried techniques and procedures». Son estos requisitos los que la hacen «científica»; a ellos añadiremos algunos más en la siguiente sección.

La investigación siempre parte de la experiencia y la observación de hechos, como fuentes de conocimiento. Conviene, no obstante, señalar las posibles fuentes de conocimiento, pues no todas ellas tienen igual validez y fiabilidad y, sobre todo, no todas ellas permiten la misma aplicación posterior. Siguiendo a Seliger y Shohamy (op. cit., capítulo 1), podemos distinguir, al menos, cuatro tipos de conocimiento:

- Conocimiento como creencia: equivale a lo que conocemos por sentido común, sin que en muchos casos se haya sometido a comprobación empírica, por lo que comporta ciertos riesgos.
- Conocimiento según autoridad: se acepta por la fuente de la que procede, lo que también lo hace arriesgado.
- Conocimiento «a priori»: parecido al sentido común, pero normalmente basado en comprobación empírica previa.
- Conocimiento empírico: derivado de la observación, la experimentación y la experiencia de fenómenos reales; se recogen datos y se analizan cuidadosamente para llegar a resultados y conclusiones.

Aunque, evidentemente, los tres primeros proporcionan valiosas aportaciones a la investigación, es, precisamente, el cuarto el que se presenta como más científico y en el que nos vamos a centrar a lo largo del artículo, precisamente por su conexión directa con el campo de la Didáctica: observación de lo que ocurre en el aula, recogida de datos, análisis e interpretación de los mismos para su posible extensión y aplicación.

A modo de síntesis de lo dicho, podríamos definir «investigación» valiéndonos de las palabras de Nunan (1992: 3):

«... research is a systematic process of inquiry consisting of three elements or components: (1) a question, problem, or hypothesis, (2) data, (3) analysis and interpretation of data.»

## 1.2. Validez de la investigación

A menudo -y sobre todo al investigador novel- preocupa que la investigación que nos proponemos llevar a cabo o en la que estamos inmersos resulte válida, es decir, científica. Para ello, el primer requisito que debe reunir, según Freedman (1986), es que esté controlada, es decir, que se vigilen las variables que pueden tergiversar el resultado. A este requisito añade las siguientes consideraciones que conviene no olvidar: que esté basada en el sentido común como punto de partida, que anticipe posibles problemas y proponga soluciones, la forma en que se diseñen los posibles experimentos, el detalle con el que se analicen y presenten los datos, así como la propia organización de toda la investigación.

De forma muy resumida y clara lo presenta Oppenheim (1966): «the function of research design is to help us to obtain clear answers to meaningful problems», de donde podemos extraer dos condiciones más que ha de reunir una investigación para ser válida: que el tema sea significativo, es decir, que merezca la pena por su relevancia, y que se obtengan respuestas claras; lo contrario sería complicar aún más el problema.

Con frecuencia se habla de «fiabilidad» y «validez» como dos condiciones indispensables de la buena investigación. La primera se refiere a la consistencia de los resultados obtenidos en la investigación, es decir, el experimento produciría los mismos resultados si se repitiese en las mismas condiciones (lo que se conoce como «replicabilidad»). La fiabilidad puede entenderse en sentido interno (los procedimientos utilizados) o externo (estudios similares obtienen resultados parecidos). La validez ha de entenderse como la medida en que el experimento investiga lo que se propone y podemos distinguir validez externa (relacionada con los aspectos formales), interna (posibilidad de interpretación de los resultados) y de constructo (si refleja los constructos que subyacen en ella).

De nuevo, el seminal libro de Seliger y Shohamy (1989: 9-13) nos ofrece el marco más completo para caracterizar la investigación «científica»; de allí extractamos los requisitos básicos:

- Organizada, estructurada, metódica, sistemática y comprobable.
- Produce teorías tras la comprobación sistemática de hipótesis.
- Busca describir, identificar y controlar las relaciones entre los fenómenos.
- Permite llegar a una forma de conocimiento que no teníamos antes.

### 1.3. Tipos de investigación en Lingüística Aplicada a la enseñanza

Tomando como punto de referencia la revisión que hace Nunan (1991: 251-252 y 1992: 1-10)<sup>3</sup> de las tradiciones investigadoras más importantes en Lingüística Aplicada y de la que presentan Seliger y Shohamy (1989: 17-20), podemos establecer las distinciones que siguen, atendiendo a diferentes parámetros:

#### A. Según el marco general:

- **BÁSICA O TEÓRICA:** descripción lingüística abstracta dentro de una determinada teoría, o investigaciones del tipo «revisión del estado de la cuestión».
- **APLICADA:** el resultado de la investigación básica se aplica a un problema específico (muchos de los estudios de Lingüística Aplicada).
- **PRÁCTICA:** centrada en el aula y en los materiales didácticos (investigaciones didácticas, Análisis de Errores, Análisis Contrastivo, estudio de interlenguas).

#### B. Según la fuente de información:

- **PRIMARIA:** derivada de fuentes primarias de información, es decir, de los alumnos. Dentro de la investigación primaria podemos incluir los estudios de casos (centrados en uno o unos pocos individuos y normalmente longitudinales o diacrónicos) y los estudios estadísticos (normalmente sincrónicos, donde se incluyen los derivados de encuestas y cuestionarios y los estudios experimentales).

<sup>3</sup> En esta revisión Nunan se refiere a las siguientes fuentes: Reichart y Cook (1979), Chaudron (1988), Grotjahn (1987), van Lier (1988), Brown (1988), Larsen-Freeman y Long (1991).

- SECUNDARIA: utiliza fuentes secundarias, lo que se ha dicho o escrito sobre el tema, y, obviamente, implica búsqueda bibliográfica.

*C. Según el enfoque:*

- SINTÉTICA O GLOBAL: nos permite ver las diferentes partes de la investigación como un todo global, como pueda ser la destinada a mejorar la metodología de la enseñanza del inglés en general.
- ANALÍTICA: se centra en un solo factor o grupo de variables, la edad, por ejemplo.

*D. Según la finalidad:*

- HEURÍSTICA O INDUCTIVA: pretende derivar principios generales y teorías (como pueda ser una teoría de la enseñanza del inglés como lengua extranjera) a partir de la investigación de aspectos individuales.
- DEDUCTIVA: parte de una hipótesis o teoría y pretende justificarla o rechazarla con ejemplos concretos (por ejemplo, se parte de la hipótesis fuerte del Análisis Contrastivo «la lengua materna entorpece el aprendizaje de una segunda lengua» y, por medio de ejemplos, se confirma o refuta).

*E. Según los datos:*

- En cuanto a la forma de los datos la investigación puede ser CUANTITATIVA (controlada, objetiva, generalizable) o CUALITATIVA (subjetiva, global, relativa, no generalizable). Nunan (1992: 4) las llama respectivamente «hard» y «soft» y proporciona abundante información sobre ambas.
- Por lo que respecta al método de recogida de los datos, podemos hablar de investigación NO EXPERIMENTAL (asociada con lo que hemos denominado investigación secundaria) y (CUASI-)EXPERIMENTAL (basada en el aula en condiciones naturales o con una cierta artificialidad).
- Atendiendo al momento de recogida de los datos, distinguimos entre LONGITUDINAL O DIACRÓNICA (a lo largo de un período de

tiempo, normalmente con un solo sujeto, o unos cuantos) y SINCRÓNICA (en un momento determinado y con muchos sujetos).

- Según el método de análisis de los datos, podemos hablar de investigación INTERPRETATIVA (normalmente subjetiva) y ESTADÍSTICA (objetiva y sistemática).

Resulta evidente que en la clasificación que precede que, aunque exhaustiva, no pretende ser completa, existen solapamientos y que los términos con frecuencia no son recíprocamente excluyentes, pudiendo una investigación determinada responder a más de un calificativo, según los distintos parámetros. De hecho, encontramos combinaciones/asociaciones lógicas (cualitativa e interpretativa, cuantitativa y estadística, longitudinal y estudio de casos) y mezclando y emparejando los tipos podemos obtener variados paradigmas de investigación. Es aconsejable -nos atreveríamos a decir que preceptivo- que al diseñar una investigación y al presentarla se tuviesen en cuenta estos parámetros y, consiguientemente, se la identificase y clasificase para claridad del propio investigador y del lector.

#### **1.4. Investigación en el aula**

En el campo que nos ocupa -Didáctica del inglés- resulta especialmente relevante que la investigación se lleve a cabo con datos recogidos en el aula -fuente primaria de información- y por parte de los profesores que son los que mejor saben lo que en ella pasa (cfr. McDonough 1990 y Nunan 1991). Así queda definida la llamada «investigación-acción», que pretende resolver el aparente divorcio entre el investigador encerrado en su torre de marfil y la realidad del aula.

Kemmis y McTaggart (1988) hablan de tres rasgos que la caracterizan: la llevan a cabo profesores (a los que ellos llaman «prácticos de la enseñanza»), implica colaboración y pretende cambiar el estado de cosas. En la misma línea se sitúan Cohen y Manion (1985), quienes enfatizan su carácter situacional (identificación y solución de problemas en el contexto específico del aula). Nunan (1992: 18) cuestiona que la colaboración tenga que ser una característica definitoria o que este

tipo de investigación necesariamente implique un cambio y añada las siguientes características:

- Que se dirija a temas de interés para otros profesores (aunque reconoce que con frecuencia los profesores están más preocupados por solucionar problemas particulares e inmediatos de su lugar de trabajo que por llegar a resultados generalizables).

- Que genere datos.

- Que incluya análisis e interpretación de los mismos.

J. y S. McDonough (1990) parten de la convicción de que los profesores no siempre perciben la investigación como relevante para sus aulas y su trabajo, especialmente porque parece haber un divorcio entre la teoría y la práctica en lo que ellos llaman «a top-down approach»: los profesores aparecen como receptores, no como agentes de la investigación, que les llega como un producto terminado, a menudo sin conexión con la práctica. Curiosamente, Nunan (1991), analizando 50 investigaciones empíricas relacionadas con enseñanza y aprendizaje, concluye que hay comparativamente pocos estudios documentados en la literatura que deriven sus datos de aulas genuinas y que, sorprendentemente, sabemos poco de lo que allí pasa. Como alternativa necesaria, J. y S. McDonough (1990) proponen «a bottom-up approach», con el que nos identificamos, que parte de abajo, del aula y donde el papel del profesor es central para comprender el proceso educativo. Presentan la figura del profesor-investigador, implicado activamente en aspectos tales como la recogida de datos, el análisis de necesidades, el desarrollo del currículo, la observación en el aula, las estrategias de aprendizaje, el control del aula y la evaluación. Resulta evidente que los profesores son los que mejor conocen estos aspectos. La investigación, en este sentido, es de primera mano.

El cuestionario que diseñaron para explorar el concepto que de la investigación tienen los profesores resulta especialmente interesante para nosotros, entre otras razones porque 14 (de 34) eran profesores de una institución educativa en España. Los resultados son similares a los obtenidos por Nunan en el sentido de que parece haber un desajuste entre las demandas y oportunidades de los profesores y los investigado-

res. Los profesores confían más en lo que hay publicado sobre Lingüística Aplicada y Didáctica -tanto para sugerir temas de investigación como para abordarlos- que en su propia experiencia. Concluyen señalando la necesidad de que el profesor se dedique a la investigación, para lo que se necesita un cierto entrenamiento.

Antes de finalizar este apartado, habría que referirse también a lo que se ha llamado «investigación orientada hacia el aula» (destinada a profesores, pero no llevada a cabo necesariamente en el aula). Nunan (1991: 250) define este tipo de investigación utilizando las palabras de Seliger y Long (1983: v) «research that has attempted to answer relevant and important questions concerned with language acquisition in the classroom environment» y pasa a identificarla como «research that either derives its data from genuine language classrooms ... or that has been carried out in order to address issues of direct relevance to the language classroom». Nunan enfatiza de nuevo el papel del profesor-investigador, al que llama «self-directed teacher» (lo que implica la autonomía del profesor, paralela a lo que se ha dado en llamar «learner autonomy») y lo identifica como aquel que lleva a cabo investigación orientada hacia el aula o basada en ella.

## **2. DESARROLLO DE UN TRABAJO DE INVESTIGACIÓN EN DIDÁCTICA DEL INGLÉS<sup>4</sup>**

### **2.1. Fase preparatoria**

Son muchos los autores que coinciden en señalar que el primer paso consiste en establecer el campo general en el que se desea investigar. Seliger y Shohamy (1989: capítulo 3) señalan las posibles fuentes de las

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<sup>4</sup> Resulta evidente que muchas de las ideas que aquí -y en el resto del artículo- se contienen pueden aplicarse a la investigación en la didáctica de otras lenguas, de la enseñanza en general y -quizá de forma no tan clara- a otros campos de investigación. Esencialmente la bibliografía utilizada y nuestra propia dedicación profesional nos han llevado a centrarnos en la investigación en la didáctica del inglés, bien como segunda lengua o bien como lengua extranjera. Se anima al lector a hacer un uso crítico de lo que aquí se expone y aplicar aquello que considere de utilidad a su propio campo de investigación. De cualquier forma, no pretendemos ser originales; a lo sumo, hemos tratado de sintetizar lo más claramente posible lo que aparece en la literatura sobre el tema, pensando, sobre todo, en el investigador no iniciado.

que puede surgir ese tema de investigación: la propia experiencia o intereses personales, otros trabajos de investigación en ese u otros campos, lecturas que se han hecho o una combinación de todo lo anterior. De ahí que ellos -como también lo hacen otros autores- sugieran la conveniencia de llevar una especie de «diario de investigación», donde se anote cada tema o aspecto concreto que parece de interés para la investigación y para el que no se encuentra respuesta inmediata. Estas notas pueden perfilarse más adelante como un tema de investigación plausible.

El segundo paso consiste en delimitar, concretar y enfocar aspectos concretos del tema: objetivos, interés, factibilidad. Es el momento, según Seliger y Shohamy (op.cit.: 50- 56) de cuestionarse la propia preparación en el tema, la terminología específica, la posibilidad de suplir las carencias de conocimiento, la disponibilidad de tiempo, el conocimiento de las técnicas para el tratamiento de los datos, el gasto real de tiempo (y posiblemente de dinero), la dificultad para contar con sujetos para la investigación y para la recogida de datos, etc. Son aspectos que conviene abordar justo al principio.

## 2.2. El tema de investigación

Al principio del artículo establecimos como elementos básicos de una investigación el tema, los datos y el análisis e interpretación de los mismos. Nos ocupamos aquí del primero de ellos.

Según Nunan (1992: 211-216), el tema de investigación debe reunir, de entrada, estas dos características:

- Que tenga interés, es decir, que merezca la pena por su relevancia.
- Que el estudio del mismo sea factible.

No es extraño que haya que sopesar y establecer un equilibrio entre el valor del tema en sí y la posibilidad que tenemos de llevar a cabo la investigación. Igualmente, una vez identificada el área de investigación, es preciso pulirla y concretarla para que sea factible; con frecuencia, la revisión de la literatura ayuda a ello.<sup>5</sup>

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<sup>5</sup> Para ejemplos concretos de posibles áreas y temas de investigación sobre enseñanzas de lenguas, véase Nunan (1992: 212), donde él recoge algunos de los propuestos por sus alumnos de Postgrado.

Es, entonces, el momento de redactar el esquema de la investigación, algo parecido a lo que puede ser un Proyecto de Tesis en las Universidades españolas. Nunan (1992: 216, Fig. 10.1) nos ofrece el modelo que propone a sus alumnos con las siguientes secciones:

- General area
- Research question(s)
- Key constructs
- Justification
- Subjects
- Procedure and methods
- Type of data
- Type of analysis
- Outcome(s)
- Anticipated problems
- Possible solutions
- Resources required

Con algunas adiciones (como pueda ser la Bibliografía básica) o supresiones, el esquema puede adaptarse y ser válido para casi cualquier proyecto de investigación.

### **2.3. La revisión bibliográfica<sup>6</sup>**

Constituye, sin duda, uno de los pilares básicos de cualquier investigación. Así se desprende del sentido común y de las múltiples funciones que cumple. Extractando algunas de las que Nunan (1992) y Seliger y Shomany (1989) recogen, la revisión bibliográfica cumple los siguientes cometidos:

-Ayuda a seleccionar y acotar el tema de investigación (se comprueba a qué preguntas se ha dado respuesta y qué queda por resolver).

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<sup>6</sup> Cfr. Nunan (1992: 216-218) y Seliger y Shomany (1989: capítulo 4) para una visión más completa de lo que en inglés se conoce como «literature review».

- Proporciona información básica sobre el tema.
- Identifica lo que otros han dicho y/o descubierto sobre ese asunto.
- Permite comprobar si la investigación que nos proponemos ya ha sido llevada a cabo de forma idéntica o similar.
- Nos hace descubrir posibles escollos y problemas que dicha investigación plantea.
- Amplía la visión y perspectiva de la investigación.

En definitiva, indica si ha habido hallazgos importantes en este área, si quedan aspectos por investigar, si nos permite aportar algo.

La revisión bibliográfica debe hacerse de forma continua a lo largo de toda la investigación: al principio para familiarizarse con el tema o incluso optar por él, después para profundizar en el mismo y, en todo momento, para comprobar y ampliar aspectos que van apareciendo en el desarrollo del estudio.

Avanzamos algunos consejos prácticos a la hora de seleccionar, leer y resumir la revisión bibliográfica.<sup>7</sup>

En primer lugar, conviene determinar la relevancia del material con objeto de acotar las lecturas. Para ello, el primer paso consiste en leer los resúmenes o «abstracts» que preceden a los artículos y descartar aquellos que no sean relevantes para nuestro tema. Tres criterios nos ayudan a ello: si el contenido está directamente relacionado con el tema, la fuente y el carácter más o menos reciente del material.

A la hora de recoger y resumir la información, conviene elaborar una lista bibliográfica por orden alfabético y escribir una reseña de cada referencia (especie de bibliografía anotada) preferentemente en una base de datos informática o en el formato tradicional de fichas. La idea es que sea fácilmente recuperable y manejable. Esta reseña o «abstract» debe contener la información más importante del escrito, las razones que lo inspiraron, las teorías que subyacen en él, procedimiento y metodología, principales resultados, lo que aporta de nuevo y un comentario crítico personal sobre su contenido, importancia o relevancia.

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<sup>7</sup> Cfr. Wiersma (1986), Nunan (1992: 217) y Seliger y Shohamy (1989: 78-81).

Otras sugerencias que pueden resultar útiles son las que siguen:

- Conviene concentrarse en los principales hallazgos, en especial qué han aportado esos estudios.
- Las referencias deben ser recientes. A la hora de consultarlas se aconseja empezar por las más cercanas y de ahí remontarse a las más lejanas en el tiempo.
- Hay que conectar los resultados de los distintos escritos de forma crítica y ver en qué varían y qué aportan cada uno de peculiar y de nuevo.
- Se debe citar siempre la procedencia, pero sin que se convierta en una lista de referencias. Para ello, es preciso organizar la información en apartados por temas relevantes y coincidentes, con indicación de la importancia relativa de los resultados y de forma que el hilo argumental de la revisión bibliográfica lo lleve el autor de la investigación y no parezca un «refrito» de citas. A las citas se recurre para apoyar o refutar algo que se está diciendo, pero nunca deben constituir el cuerpo principal del escrito.

Algunas de las sugerencias que acabamos de dar hacen referencia directa a la forma de presentar por escrito las ideas principales que se han sacado de la revisión de la literatura. Es lo que se conoce tópicamente como «estado de la cuestión» o «marco conceptual» y que debe aparecer en cualquier trabajo de investigación, en especial en Memorias de Iniciación a la Investigación y Tesis Doctorales. A la hora de organizar esta sección existen varias posibilidades<sup>8</sup>:

- Según las distintas cuestiones o hipótesis del trabajo.
- Según las variables específicas del estudio.
- Cronológicamente.
- Para temas controvertidos se puede organizar según las diferentes corrientes o escuelas de pensamiento.

La revisión bibliográfica bien puede formar parte de un primer gran apartado en un trabajo extenso, como pueda ser una Tesis Doctoral, detrás de la sección que contextualice el estudio y antes de presentar los

<sup>8</sup> Cfr. a este respecto Seliger y Shohamy (1989: 81-84).

supuestos teóricos que lo sustentan y los objetivos y esquema general de la investigación, es decir, este primer gran apartado podría quedar de la siguiente forma, aunque el enunciado no tiene por qué coincidir necesariamente:

- 1.1. Contextualización de la investigación.
- 1.2. Revisión bibliográfica.
- 1.3. Supuestos teóricos: justificación, necesidad y oportunidad del trabajo.
- 1.4. Objetivos y esquema general del estudio.

No podemos terminar esta sección sin dar noticia de las fuentes a las que podemos recurrir para información bibliográfica. De nuevo, Seliger y Shohamy (1989: 69-78) nos presentan de forma exhaustiva las posibles fuentes. A dichas páginas remitimos al lector y nos limitamos aquí a citarlas de forma esquemática:

- Fuentes de referencia:
  - Índices bibliográficos
  - Búsquedas en ordenador
  - Bibliografías de bibliografía
  - Conferencias, cursos y jornadas
  - Información no publicada que circula entre los profesionales («the underground press»)
  - Enciclopedias de temas de educación
  - Revistas que publican «abstracts»
  
- Material en sí:
  - Artículos
  - Colecciones
  - Reseñas
  - Libros

## **2.4. Recogida y análisis de datos**

Interesa, en primer lugar, dejar claro que no existe una superioridad intrínseca en que se utilice un tipo de investigación cuantitativa o

cualitativa. Obviamente, la modalidad que se adopte determinará la forma de recoger los datos y, especialmente, de analizarlos. En cualquier caso, hay que cuidar los principios que inspiran la investigación, la forma en que tales principios se ponen en práctica y las condiciones de fiabilidad y validez ya referidos.

Algunas recomendaciones parecen venir al caso:

- Si se opta por un tratamiento estadístico, conviene contar con un experto si uno no lo es.
- Si se quiere recoger material en el aula, se aconseja que se haga durante el primer trimestre.
- A la hora de recoger el material hay que tener en cuenta la forma en que se va a analizar, pues ésta determina el método de recogida. Anticipar esto ayuda y ahorra tiempo y esfuerzo.

Es importante ser realistas y señalar los posibles problemas con los que la implementación del trabajo de investigación puede encontrarse, tales como: falta de tiempo, falta de pericia por parte del investigador, dificultad para encontrar sujetos de la investigación o para acceder a las instituciones, el tema de la confidencialidad y la ética en cuanto a la recogida de datos, cómo presentar los resultados negativos, cómo presentar todo por escrito, etc. Nunan (1992: 219-220) ofrece algunas estrategias para hacer frente a estos problemas, junto con sugerencias prácticas para identificar y pulir un área de investigación (op.cit.: Tabla 10.2) y otros problemas y soluciones (op. cit.: Tabla 10.3).

### **3. PRESENTACIÓN DE LOS HALLAZGOS DE LA INVESTIGACIÓN<sup>9</sup>**

#### **3.1. Resumen y exposición de resultados**

Interesa presentar los resultados de la investigación con ayuda de tablas, gráficos, esquemas, diagramas, cuadros estadísticos, listas de

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<sup>9</sup> Cfr. Seliger y Shohamy (1989: capítulo 10) y Nunan (1992: 218-228).

porcentajes, etc., acompañados de comentarios más extensos que expliquen la frialdad de los datos y los hagan cercanos y comprensibles para el lector.

En la investigación cuantitativa, se hará especial hincapié en los resultados estadísticos y se ofrecerán datos y se manejarán conceptos propios de Estadística, tales como media, mediana, desviación típica, índices de frecuencias, matrices, etc. En la investigación cualitativa habrá que incluir descripción detallada de los procesos por los que se llegó a los resultados, acompañada de ejemplos, citas, posibles anécdotas y cualquier comentario que se considere relevante y los datos se presentarán en cifras y tantos por ciento.

En ambos tipos de investigación, conviene aportar información sobre las medidas que se tomaron para asegurar la fiabilidad y la validez de la investigación.

### **3.2. Interpretación**

La investigación quedaría incompleta si nos limitásemos a exponer los resultados. Hay que dar un paso más para poder ofrecer conclusiones, implicaciones y recomendaciones basadas en los resultados; esto es lo que se conoce como «interpretación» o, en términos ingleses, «discussion».

Al exponer las conclusiones, estamos discutiendo el significado de los resultados y tratando de generalizarlos a un contexto más amplio del de nuestro estudio. Las implicaciones son las consecuencias de los resultados y aquí entran las propias especulaciones e interpretaciones del investigador, por lo que puede suscitarse desacuerdo entre distintos investigadores. Por último, las recomendaciones suponen sugerencias en cuanto al uso, aplicación y utilidad de los resultados de la investigación. En el caso que nos ocupa - investigación en Didáctica del inglés-, las recomendaciones para el aula pueden muy bien constituir lo más jugoso de la investigación y permite a alumnos y profesores y a otros profesionales (autores de libros de texto, autoridades académicas, etc.) beneficiarse de la misma.

### 3.3. Formatos de presentación

En el contexto español, a menudo, el trabajo de investigación suele identificarse con la Memoria de Iniciación a la Investigación o con la Tesis Doctoral. Es cierto que ambas -en especial la segunda- constituyen un producto tangible de investigación profunda. Pero no son estos los únicos productos posibles. Con la ayuda de Seliger y Shohamy (1989: 250-253) nos referiremos a varios de ellos, empezando por la propia Tesis Doctoral.

La *Tesis Doctoral* supone la consolidación del grado académico avanzado (Tercer Ciclo, Grado de Doctor). Precisamente por necesitar el requisito académico de lectura y defensa delante de un Tribunal, resulta especialmente obligado que presente de forma clara y detallada las distintas fases de la investigación, junto con la exposición de resultados, conclusiones y recomendaciones. A modo de sugerencia, las secciones que debe incluir podrían ser las siguientes:

- Objetivo y relevancia del estudio
- Presupuestos teóricos que lo informan
- Revisión bibliográfica
- Contextualización de la investigación: sujetos, lugar, tiempo, etc.
- Instrumentos de investigación: pruebas, cuestionarios, encuestas, observación, etc.
- Metodología
- Procedimiento seguido para la recogida y análisis de datos
- Exposición de resultados
- Implicaciones didácticas
- Sugerencias para futuras investigaciones
- Bibliografía.

La *Memoria de Iniciación a la Investigación* con frecuencia antecede a la Tesis y puede presentar un formato parecido, aunque con considerable menor profundidad en toda su concepción.

El *Artículo* de revista profesional o de colección presenta de forma breve y clara los principales rasgos de la investigación y está destinado a profesionales tanto de la enseñanza como de la investigación. Con fre-

cuencia -aunque no siempre- su publicación está supeditada a la decisión de un comité de expertos. Nunan (1992: 22-23) estima que debe incluir las siguientes secciones:

- Abstract
- Introduction
- Rationale
- Literature review
- Hypothesis or research question
- Data collection instruments or methods
- Research procedure
- Subjects
- Data analysis
- Results
- Discussion
- Conclusions

El *Proyecto de Investigación*, similar a lo que es el Proyecto de Tesis, consiste en una breve descripción de la investigación que alguien se propone llevar a cabo, por lo que debe incluir las bases teóricas y la relevancia del estudio, una breve revisión de lo que se ha hecho sobre el tema, los pasos previstos y la posible contribución, una vez realizado. Conviene, asimismo, que se incluya Bibliografía básica.

El *Informe de Investigación* puede hacerse en el transcurso de la investigación, para indicar el momento en el que se encuentra o al final de la misma, para presentar los resultados. Con frecuencia se exige por parte de organismos o instituciones que conceden fondos para financiar la investigación o becas, como pueda ser el caso de las Becas de Investigación en Universidad, que requieren informes anuales y final. A menudo, debe ir acompañado del informe del Director del Proyecto.

La *Ponencia* puede tener una estructura similar al artículo, si bien está destinada a impartirse oralmente en congresos, coloquios o jornadas, por lo que debe ser más concisa, aunque completa en la información, y conviene que se presente con ayuda de recursos visuales, como puedan ser esquemas, transparencias o proyecciones.

El *Panel*, similar a una Mesa Redonda, implica a un grupo de especialistas que discuten un tema particular en público. Suele contar con la ayuda de un moderador que coordina las distintas contribuciones.

El *Poster* es relativamente reciente y consiste en la exposición visual en un tablón del resumen y los resultados de la investigación, a menudo con la presencia del autor en momentos determinados para atender a posibles preguntas, o al menos la dirección profesional del mismo para posibles contactos. Viene a resolver el problema de falta de tiempo para muchos ponentes en un congreso, por ejemplo.

El denominado «*Swap-shop*» (especie de «cambalache de ideas», si se nos permite el término), es -al menos para nosotros- de cuño aún más reciente. Se trata del intercambio de ideas, especialmente relacionadas con el aula entre profesores y/o investigadores y permite conocer lo que otros están haciendo en su práctica diaria.

Huelga decir que el formato clásico de *Libro* o *Monografía* sigue siendo aún la estrella para contener los prolegómenos, avatares y resultados de cualquier investigación.

### **3.4. Secciones que ha de incluir la versión final de un trabajo de investigación**

En las páginas anteriores se han ofrecido sugerencias acerca de los apartados que debe incluir un trabajo de investigación, con referencia a formatos concretos (e.g., artículo o Tesis). Queremos terminar esta contribución ofreciendo un modelo genérico amplio, basado en Seliger y Shohamy (1989: 252-253), que puede utilizarse en cualquier trabajo de investigación, no sólo ya en enseñanza de lenguas -para el que está en principio diseñado- sino que nos atreveríamos a decir que válido para cualquier campo. Esta es la propuesta:

- Introducción y descripción del tema
- Naturaleza de la investigación
- Antecedentes
- Objetivo(s)
- Relevancia

- Hipótesis
- Definición de terminología
- Revisión de la literatura
- Diseño y metodología
- Análisis de los datos / del material
- Discusión
- Presentación de resultados
- Implicaciones
- Recomendaciones y sugerencias
- Bibliografía
- (Apéndices).

Con lo que precede, si bien no original aunque sí documentado, seleccionado y sistematizado, esperamos haber contribuido a clarificar aspectos formales de la investigación en Didáctica del inglés y animar al investigador principiante a embarcarse en ella y, sobre todo, hemos pretendido rendir homenaje al amigo y al concienzudo profesor-investigador en este campo, Paco Manzaneda, cuya carrera, prometedoramente exitosa, la muerte truncó a edad tan temprana y en plena madurez investigadora.

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## VOCES INGLESAS EN EL LENGUAJE TÉCNICO DEL ESPAÑOL DE HOY

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### **Resumen**

*La presencia de préstamos lingüísticos en el idioma español y su familiaridad en el uso cotidiano nos ponen de manifiesto una dinámica de influencias y vitalidad que hace que las fronteras idiomáticas sean cada vez menos perceptibles. En este trabajo se recogen una serie de vocablos procedentes de los ámbitos de la telecomunicación, la economía y la informática. Se analiza su etimología y se comenta el nuevo valor semántico que incorpora tras su asimilación.*

### **Abstract**

*The presence of linguistic borrowings in the Spanish language and their frequent occurrence reveal their influence and vitality while at the same time the boundaries between languages become less and less perceptible. This paper looks at a series of terms derived from the fields of telecommunication, economics and computer technology. Their etymology is analyzed and their new semantic values since their incorporation are commented upon.*

A mi amigo Paco,  
... porque se fue...

## A MANERA DE INTRODUCCIÓN

Convivimos, nos es forzoso convivir, con los extranjerismos. Lo queramos o no, están ahí: en los letreros de los productos que consumimos, en los establecimientos y edificios de nuestras ciudades, cuando hojeamos tanto las revistas científicas y técnicas como las secciones especializadas de los diarios de información general. A veces, las encontramos en cursiva, como pidiendo permiso por la intromisión en una lengua que no es la propia, otras, y cada vez con mayor frecuencia y naturalidad, estos términos campan a sus anchas por cualquier parte en el apasionante mundo de la tecnología y de la economía, como si no hubiese vestigios de oposición organizada; porque, incluso cuando se dispone de palabras castellanas del mismo significado conceptual, avaladas y sancionadas favorablemente por nuestra Real Academia de la Lengua, la mayoría de los usuarios seguimos utilizando quizás por inconsciencia, pedantería o incluso necesidad estas voces extrañas. Y es que la técnica, que es el caso que aquí nos ocupa, posee un lenguaje que procede del interior de las tecnologías, tan propio y tan personal, como el de la música, la pintura o la poesía.

Los ciento veinticinco términos que a continuación presentamos como **corpus** del presente trabajo han sido extraídos de entre las seis mil palabras y expresiones procedentes de diversos idiomas y presentes en contextos españoles que aparecen en el *Diccionario de Palabras y Frases Extranjeras* de Arturo del Hoyo. Muchas de ellas han sido ya adoptadas por la R. A. E. y así se hace constar en cada caso mediante la abreviatura (Ac.)

Resultan por lo general, como podrá comprobarse, términos sencillos, eufónicos u onomatopéyicos, con abundancia de siglas, y es que hay que reconocer que la tecnología sajona, en el vértice del progreso y desarrollándose con vertiginosa celeridad, dado su pragmatismo, no encuentra tiempo para andar con disquisiciones semánticas etimológicas y crea a toda velocidad, a medida que las va necesitando voces sencillas y ex-

presivas que respondan con mayor o menor fortuna a los nuevos conceptos inventados de manera que así el equilibrio del binomio técnica - lingüística quede rápidamente restablecido y así sean aceptados y utilizados por todo el mundo sin necesidad de incurrir en inútiles discusiones bizantinas.

Las razones para la selección de los tres ámbitos escogidos no han sido otras sino las de su importancia y vigencia en nuestra sociedad tecnológica por un lado y la de la proximidad y relación con las materias impartidas desde el punto de vista del idioma objeto de estudio en nuestro campo universitario. Finalmente, añadir que hemos hecho uso de un orden alfabético para una mejor disposición y organización de los términos.

## A

A.B.C : Siglas de *American Broadcasting Companies*, "Compañías de Radiodifusión Americanas". Cadena de radio y televisión estadounidense.(TELECOMUNICACIÓN)

A.F.C : Siglas de *Automatic Frequency Control*. "Control de Frecuencia Automático". Ingenio, en los equipos de alta fidelidad, que mantiene perfectamente sintonizada la emisión radiofónica elegida. (Diario 16, 1979). (TELECOMUNICACIÓN)

ANTIDUMPING : "antidumpin". (1976: País) (ECONOMÍA) ("dumping": Palabra que se emplea para designar la venta a bajo precio de las mercancías de un país en otro, con lo que se ponen en desventaja las del mismo género de éste.)

AVERAGE: "Promedio", "Media". (1979 : Alzugaray) . (ECONOMÍA)

## B

BARTER: "bárter", "trueque (compensatorio)". Modalidad , regulada y legal , de compra- venta entre empresas mediante compensación. (1991: La Caja.). (ECONOMÍA)

BASIC : "básic", "básico". Siglas de "*Beginners all purpose symbolic Instruction code*" "Código de Instrucción simbólica de uso general para

principiantes” o “Código general de símbolos para principiantes”. Es un lenguaje de programación informática, ideado (1965) en el Darmouth College (EE.UU). (INFORMÁTICA)

BBC: Siglas de *British Broadcasting Corporation*. “ Corporación Británica de Radiodifusión “. De carácter público, estatal. (TELECOMUNICACIÓN)

BIT: “bit” (Ac. : 1992) “dígito binario”. Formada con la primera sílaba de “*binary*» y la consonante final de (*digit*), por el norteamericano J.W. Turkey en 1948. Unidad elemental de información que puede tomar dos valores distintos, generalmente 0 y 1; es decir, unidad discreta (*digit*) en un sistema binario (*binary*). (1982: L. Pancorbo.). (INFORMÁTICA)

BROKER : “bróker”, “bróquer”, “agente u operador financiero”, “intermediario financiero”. (1989: TVE) , “intermediario sin riesgo “ (País, Lest) ; literalmente : “intermediario” (1987: Países.). (ECONOMÍA)

BUROFAX: Híbrido. Compuesto de “buró” (del francés «bureau») y del inglés “fax”. Servicio de mensajes entre oficinas de correos y teléfonos, así como entre oficinas de correos y telégrafos y abonados de telefax, y viceversa. (1991: Real Orden). (TELECOMUNICACIÓN)

BUS : “bus”, plural “buses” (1985: P.Guirao) , pero plural “bus” (1994: D. Jalón Barroso). Abreviatura del latín “*ómnibus*” “vehículo colectivo”, literalmente : “para todos”. transporte o vehículo colectivo, esto es, línea de transmisión masiva de datos y señales, a gran velocidad, entre los componentes de un sistema informático. (1994: ABC.) (INFORMÁTICA)

BUSINESS: “Negocio”. (1905: Unamuno). (ECONOMÍA).

BUSINESS IS BUSINESS : “El negocio es el negocio”. (1987: País). (ECONOMÍA).

BUSINESS MAN : “Hombre de negocios”. (1906 : Fdo. Araujo.). (ECONOMÍA).

BYTE: “bait”, “octeto”. Conjunto de ocho *bits* que integran una unidad en el ordenador. (INFORMÁTICA)

## C

**CARTEL** : “cártel”. (Ac.), Acuerdo o unión temporal de empresas industriales o comerciales para imponer o regular precios o producir mercaderías. Aunque su origen remoto es francés fue introducido en EE.UU. por alemanes inmigrados en EE.UU., tras el Kartell (1870) de Bismarck. (1919 : J. Senador.) (ECONOMÍA)

**CASH FLOW** : “Flujo de caja”, “flujo de fondos”, “excedente de caja”, “movimiento de tesorería”, “ingresos menos costes”. (1976: País) (ECONOMÍA)

**CBS**: Siglas de *Columbia Broadcasting System*. “Sistema o Red de Radiodifusión de Columbia”, en EE.UU. (TELECOMUNICACIÓN)

**CHICAGO BOYS**: “Los muchachos de Chicago”. Grupo de jóvenes economistas seguidores de Milton Friedman , Premio Nobel de Economía, autor de “La libertad para elegir”, donde se propugna un neoliberalismo económico. (1982: País). (ECONOMÍA)

**CHIP** : “chip”, “chipe”, “microplaqueta”, “microprocesador”. Pequeño circuito integrado de la memoria de un ordenador. Inventado simultáneamente (1959) por Jack Kilby y Robert Noyce. (1979: Alzugaray). (INFORMÁTICA)

**CITIBANK** : Contracción de City Bank, “Banco de la Ciudad o Ciudadano “. Nombre actual del First National City Bank, “Primer Banco Ciudadano Nacional “. Con sede en Nueva York. (ECONOMÍA)

**CITY**: “Barrio comercial y financiero de Londres “. (1887 : A. Gaspar). (ECONOMÍA)

**CLEARING**: “Compensación”. Sistema de comercio internacional en que dos países se pagan mutuamente las importaciones con las exportaciones. (1966: A. Castillo). (ECONOMÍA)

**CNN**: Siglas de *Cable News Network*. “Red de Noticias por Cable”. Red o cadena Estadounidense de TV , fundada (1980) por Ted Turner, con sede en Atlanta (Georgia, EE.UU). Conocida mundialmente desde

el inicio (16 de Enero de 1991) de la guerra del Golfo Pérsico. (TELECOMUNICACIÓN)

COBOL: "Cóbol". Palabra formada con letras de Co(mmon) B(usiness) O(riented) L(anguage). "lenguaje para toda clase de asuntos", es decir, lenguaje de programación común para todo tipo de ordenadores. Concedido en 1959. (1979: Alzugaray.). (INFORMÁTICA)

CPU: Siglas de *Central Processing unit*. "Unidad Central de Procesamiento", siglas "UCP". *chip* que realiza y en el que confluye toda la información procesada. (1988: Tribuna.). (INFORMÁTICA)

CRACK: 1) "Sobresaliente", "futbolista excepcional", por transposición del lenguaje de la hípica, donde "the crack" es el caballo favorito. (1976: Informaciones.) 2) "droga formada con cocaína, levadura y agua", inventada en EE.UU. en los años 80. (1986: País) 3) "resquebrajamiento", "ruina", "gran crisis financiera". (1989: J. Corrales). (ECONOMÍA)

CRASH : "Bancarrota", "gran crisis bursátil"; pero "crack" en contextos españoles anteriores a 1987. (1987: R. Tamames.). (ECONOMÍA)

## D

DATAFAX : Palabra formada con el latín "data", datos y "fax", transcripción fonética de "fac(simile)". Sistema de transmisión facsímil de imágenes (gráficos, dibujos, firmas), utilizando las líneas de telecomunicación. (1981: Diario 16). (TELECOMUNICACIÓN)

DATA GLOBE: "Guante director", literalmente: "guante de datos" (1992: País). Compuesto del latín *data*, "datos" y del inglés *globe*, "guante". Este guante está dotado de sensores que le permiten dirigir un ordenador. Inventado (h. 1985) por el estadounidense J. Lanier. (1992: País). (INFORMÁTICA)

DIAL: "Disco graduado", "indicador", "indicador de emisoras" en muchos receptores de radio. Aunque literalmente significa "disco", en los receptores suele tener forma de cinta o rectángulo. (1979: Alzugaray.). (TELECOMUNICACIÓN)

**DIGITAL:** "Digital", "numérico". Se emplea en 1) informática y en 2) relojería electrónica. (INFORMÁTICA)

**DISKETTE:** "diskete", "disquete" (Agencia Efe). Se emplea en informática para recibir, conservar y reproducir información. (1988: Tribuna.) (INFORMÁTICA)

**DISPLAY:** "display", "pantalla de visualización" en un ordenador. (1990: País.). (INFORMÁTICA)

**DOS:** Siglas de *Disk Operating System*, "Sistema de Operación (o Explotación) con ficheros discos". Además, programa en lenguaje máquina que permite a la unidad central (CPU) recibir y guardar datos en su sistema de almacenamiento masivo de discos. (1985: P. Guirao). (INFORMÁTICA)

**DOW JONES AVERAGE :** "Promedio o índice de cotización media de Dow Jones". Es el índice de cotización media de acciones y obligaciones en Wall Street, que se publica en el "The Wall Street Journal", periódico editado por Dow Jones and Company. (ECONOMÍA)

**DUMPING :** "dumpin", "desplome", "abaratamiento anormal (Alfaro)" "a la baja". Es la venta de productos, principalmente en el extranjero, a precios más bajos de lo normal, por medios artificiosos, para destruir la competencia. (1904: Fdo. Araujo.). (ECONOMÍA)

## E

**ECU:** "ecu" (Ac. : 1992). Siglas de "*European Count Unit*", "unidad de cuenta europea", establecida el 13 de marzo de 1979, por la comunidad Económica Europea, como moneda suya, en función del producto nacional bruto de cada país de la CEE; su valor se fija diariamente ; finalmente se ha llegado a la interpretación "*European Currency Unit*" "moneda" o "unidad de cambio europea" (1989: Ag. EFE), "unidad monetaria europea", es decir, "unidad monetaria del SME o Sistema Monetario Europeo". (ECONOMÍA)

**EFTA :** "AELC". Siglas de "*European Free Trade Association*" Asociación Europea de Libre Comercio. Fundada en Estocolmo (4 de Enero

de 1960) por países Europeos no integrados entonces en el mercado común: Austria, Dinamarca, Noruega, Gran Bretaña, Portugal, Suecia y Suiza, adhiriéndose después (1961) como miembro asociado Finlandia, y como miembro de pleno derecho (1970) Islandia. En 1973 abandonaron la EFTA, para integrarse en el mercado Común, Dinamarca y Gran Bretaña. (1978: País). (ECONOMÍA)

ESPRIT: Acrónimo de *European Strategic Program for Research and Development in Information Technologies* "Programa Estratégico Europeo sobre Investigación y Desarrollo de Tecnologías de Información". (1989: Julián Marcelo.). (INFORMÁTICA)

EXCHANGE : "Cambio". Con referencia al cambio de moneda extranjera. (ECONOMÍA)

EXCHANGE : "Bolsa de Londres". Fundada en 1566 por sir Thomas Greham con el nombre de "The Royal Exchange ". (ECONOMÍA)

EXIMBANK : Palabra formada sobre *Export-Import Bank* "(of Washington), Banco de Exportación e Importación de Washington. (ECONOMÍA)

## F

FACTORING: "Factoreo". Del latín "*factor*", "factor", "agente". Gestión sobre solvencia de clientes, facturación, etc., que se hace para otras empresas. (1982: C.M. Rama.). (ECONOMÍA)

FAX: Abreviatura de "telefax", a la que va sustituyendo. (1989: País) (Ac.: 1992).(TELECOMUNICACIÓN)

FEEDBACK: "Retroalimentación", "retroacción", "realimentación", "reajuste", "autocorrección", en los ordenadores electrónicos. De *feed*, "alimentar" y *back* "atrás". (1978: R.S. Ferlosio.). (INFORMÁTICA)

FIFO: "Fifo". Palabra formada con las iniciales de "*first in, first out*". "primero en entrar, primero en salir ". 1) Valoración de existencias que tienen salida igual a la de las primeras existencias entradas. (1979: Alzugaray) ; 2) "Memoria de primero en entrar, primero en salir ", es

decir, memoria donde la primera instrucción introducida es la primera en salir. (1985: P. Guirao.). (INFORMÁTICA)

FIXING: "(Tipo de) cambio oficial (diario) al cierre (de la Bolsa)". (1982: Pueblo). (ECONOMÍA)

FM: Siglas de *Frequency Modulation*. "Modulación de Frecuencia", siglas "MF", conocida generalmente en España como "frecuencia modulada". Descubierta (1955), en EE.UU, por Edwin Armstrong sobre estudios anteriores (1934) de C. Fleming. (TELECOMUNICACIÓN)

FORT KNOX : Establecimiento militar situado en el estado de Kentucky (EE.UU), próximo a Louisville, y que alberga el U.S. Federal Gold Depository. "Reserva de oro federal de los EE.UU., desde 1936. (ECONOMÍA)

FORTRAN: "Fortran". Formada sobre *Formula Translation*, "traducción de fórmulas", es decir, "programación informática dedicada a problemas científicos". (1977: Alzugaray.) (INFORMÁTICA)

FUZZY LOGIC: "Lógica difusa" (1991: País), "lógica borrosa" (1991: Universidad Complutense). El adjetivo *fuzzy*, literalmente : "borroso", "difuso", "indistinto". Existe una Sociedad Española de Lógica y Tecnología *Fuzzy*. En virtud de esta lógica, los ordenadores actúan y establecen relaciones con conceptos intermedios o imprecisos. (1991: País.). (INFORMÁTICA)

## G

GATT: Siglas de "*General Agreement on Tariffs and Trade*", "Acuerdo general sobre Aranceles y Comercio". Establecido en la Conferencia de Ginebra (30 de Octubre de 1947) para desarrollar la Carta de la Habana (donde surgió la Organización Internacional de Comercio) en 1948. (1980: El País). (ECONOMÍA)

## H

**HACKER:** "Intruso (informático)", ilegal, en programas informáticos ajenos. (1990: M. Ruiz de Elvira.). (INFORMÁTICA)

**HARDWARE :** "Equipo material" o "dotación básica" de un ordenador, "soporte físico (1991: País, Lest.) realmente "herramienta", "instrumental" o "utillería" informática; literalmente : "ferretería". (1979: Alzugaray.). (INFORMÁTICA)

**HOLDING :** "Grupo". Abreviatura de "*holding company*", "grupo o compañía de empresas", que tiene el control (holding) de ellas; sometidas, pues, a una dirección o control único. (1972: Blanco y Negro.). (ECONOMÍA)

## I

**IBM:** Siglas de *International Business Machines*, (Sociedad) Internacional de Máquinas de Oficina" de San Francisco (EE.UU.). (INFORMÁTICA)

**IMPORT/ EXPORT:** "Importación- Exportación". (ECONOMÍA)

**INCOME TAX :** "Impuesto sobre los ingresos", "Impuesto sobre la renta". (1888: Galdós) (ECONOMÍA)

**INDEXAR:** Anglicismo. Calco del verbo inglés "to index", "ajustar automática y periódicamente los salarios, pensiones, etc., conforme al "*index*", "indicador del coste de la vida". (ECONOMÍA)

**INPUT:** "Entrada". 1) "Insumo", con referencia a los factores de producción en una producción dada. Es término específico de Leontieff, creador de las tablas de *input-output*, es decir, sobre las relaciones de insumo-producto. (1979: Alzugaray.) (ECONOMÍA) 2) "Aducto". Es término específico de la terminología lingüística de Noam Chomsky. (1975: C.P. Otero.) 3) "Entrada" (de documentos en un ordenador electrónico). (INFORMÁTICA)

**INTELSAT:** Formada sobre "*International Telecommunication Satellite Organization*". «Organización Internacional de Telecomunicación por Satélite», creada en 1960. (TELECOMUNICACIÓN)

**INTERFACE /S:** "interface", plural "interfaces". (Aunque País. Lest. propone: "interfaz ", plural "interfaces". Zona o límite o superficie (face) común de acción o conexión entre (inter) dos sistemas informáticos, es decir, "intersuperficie". (1976: Alzugaray.). (INFORMÁTICA).

**ITT:** Siglas de "*International Telephone and Telegraph Corporation*" Sociedad Telefónica y Telegráfica Internacional, con sede en Wobum, Massachusetts (EE.UU). (TELECOMUNICACIÓN)

## J

**JOINT VENTURE :** "(Sociedad de) riesgo (venture) mancomunado (joint) ", "empresa mixta". Cuando dos o más empresas se asocian temporalmente en capital y riesgo. (1988: El País) (ECONOMÍA)

## K

**KIO :** Siglas de "*Kuwait Investment Office*", "Despacho de Inversiones de Kuwait". Entidad financiera muy activa en España en los años ochenta, dependiente de la KIA. (ECONOMÍA)

## L

**LIFO :** "Lifo". Palabra formada con las iniciales de "*Last in, First out*", "la última que entra, (igual a) la primera que sale ". Valoración de las existencias entradas. (1979 : Alzugaray.) (ECONOMÍA)

## M

**MAIN FRAME:** "Mainframe". Compuesto de *main*, "principal", y *frame* "estructura". 1) Originariamente, "ordenador central", 2) "Unidad Central", o parte principal del ordenador, la cual comprende la unidad de tratamiento, la memoria y los interfaces a los periféricos. (INFORMÁTICA)

**MANAGEMENT** : “(Técnica de) gerencia o gestión (de empresas) “. (1992: Univ. de Deusto). (ECONOMÍA)

**MANAGER**: “mánayer”, vulg. “mánager” y “manáger”. (1984: Fred Galiana.) 1) “gerente “ de una sociedad mercantil. (1908 : Monos) 2) “Apo-derado”, “representante”, con referencia a artistas, boxeadores, toreros etc. (1909 : J.J. Cadenas.). (ECONOMÍA)

**MASER**: “máser”. Palabra formada sobre “*microwave by amplification stimulated emission of radiation*» “amplificación de microondas por emisión estimulada de radiación”. (1979: Alzugaray). (TELECOMUNICACIÓN)

**MIBOR**: «espanglis». “mibor”. Tasa interbancaria de Madrid. (1983: País). (ECONOMÍA)

**MODEM** : “módem”. Contracción de “Mo(dulator) dem(odulator), “*modulador- demodulador* ” In genio que hace compatibles dos sistemas diferentes de transmisión de datos. (TELECOMUNICACIÓN)

**MORSE**: “Morse”. Aparato telegráfico y código de señales (alfabeto Morse) nombrado con el apellido de su inventor (h.1838), el norteamericano Samuel Finlay Breese Morse (1791 1872). (TELECOMUNICACIÓN)

**MOTOROLA**: “Motorola”, “Teléfono móvil”. *Motorola* es el nombre de una compañía estadounidense, de Phoenix (Arizona), fabricantes de microprocesadores y teléfonos móviles. Coexiste “motorola” con “teléfono móvil” tal vez por haberse asociado con los vehículos de motor, aunque se halla en recesión ante “teléfono móvil”. (1993: Felic. Fidalgo). (TELECOMUNICACIÓN)

**MULTIMEDIA (SYSTEM)** : “Sistema de multimedios”, es decir, de varios medios, en el cual convergen la aplicación de telecomunicaciones e informática o que combina imágenes, sonidos y textos por medio de un ordenador. (INFORMÁTICA)

## N

**NATWEST**: Contracción de “*National Westminster Bank*” “Banco de Westminster Nacional “. Introducido en España en los años noventa. (ECONOMÍA)

NBC: Siglas de "*National Broadcasting Company*", Compañía Emisora Nacional en EE.UU. (TELECOMUNICACIÓN)

## O

OFFSHORE: 1) "En el mar, a cierta distancia de la costa". Con referencia a los pozos petrolíferos situados en zona marina. (1978: País). 2) "Al margen", "marginal". Se aplica a los países que permiten, al margen de la norma general, el establecimiento de sociedades mercantiles, con excesivas facilidades, por lo cual se les considera "paraísos fiscales". (1989: País). (ECONOMÍA)

OPEC: Siglas de "*Organization of Petroleum Exporting Countries*", "Organización de países exportadores de petróleo", "OPEP" forjada para controlar la producción y los precios del petróleo. Causa de la elevación de los precios de este producto y de la crisis industrial y económica de los años setenta y ochenta. (ECONOMÍA)

OS: Siglas de "*Operating System*", Sistema Operativo", siglas "SO", previo y necesario para que en el *hardware* funcione el *software*. (INFORMÁTICA).

OUTPUT: "Salida". 1) "Producto". Con referencia a los factores de producción en una producción dada. Es término específico de la terminología económica de Wasili Leontieff, creador de las tablas *input-output* sobre las relaciones insumo-producto. (1979: Alzugaray). (ECONOMÍA) 2) "Educto". Término específico de la terminología específica de Noam Chomsky. (1975: C.P. Otero.) (LINGÜÍSTICA) 3) "Salida (de datos)", con referencia a los ordenadores electrónicos. (INFORMÁTICA)

## P

P.C. "P.C.", "pecé" (1994: País). Siglas de *Personal Computer*, "Ordenador Personal", siglas "O.P". Del género microinformático. (1991: País). (INFORMÁTICA)

PER: Siglas de "*Price Earning Ratio*" "Proporción de ganancia sobre el precio", es decir, la cotización de un valor en Bolsa, dividida entre el beneficio por acción. (1978: Bol. Banco Central). (ECONOMÍA)

PIXEL: "pixel", "punto (icónico), "punto" (1992: Ruiz de Elvira). Compuesto arbitrario de *pix*, plural fonético (x por cs) de *pics*, singular *pic*, abreviatura de *pic(ture)*, "imagen", y de *el(ement)*, "elemento". Es el elemento o unidad más pequeña que puede ser mostrada individualmente en una pantalla. (1991: País). (INFORMÁTICA)

PLOTTER: "Plóter" (Se ve y se oye el derivado "plotear"), "mesa trazadora" (1985: P. Guirao), en la que se realizan trazos gráficos o diseños y textos complementarios bajo el control de un ordenador. (1993: País, anuncio.). (INFORMÁTICA)

POOL: "Agrupación". De empresas independientes unas de otras para imponerse, mediante acuerdos (pools) en precios, etc., en el mercado y dominarlo. (1933: Blanco y Negro.). (ECONOMÍA)

PRIME RATE : "Tipo de interés bancario preferente ". (1980: País). (ECONOMÍA)

PRIME TIME: "Tiempo Principal", el más importante y preferido por el público en la programación de TV. (1992: Ant. Albert.). (TELECOMUNICACIÓN)

## R

RAM: Siglas de «*Random Access Memory*», "Memoria de Acceso Aleatorio o Casual" o "Memoria de Acceso Directo" y "Memoria de lectura-escritura". Es la memoria central de un ordenador. (1988: Tribuna.). (INFORMÁTICA)

RATING: "Audiencia media" o "evaluación" del número de oyentes o televidentes en un momento determinado. (E. Sotillos.). (TELECOMUNICACIÓN)

RCA: "Siglas de "*Radio Corporation of America*", Corporación de Radiodifusión de América. (TELECOMUNICACIÓN)

## S

SELASER: "Seláser". Formada sobre "*selective light amplification stimulated emission radiation*", radiación emitida con estimulación y

amplificación luminosa selectiva. Dispositivo similar al láser, pero de mayor rendimiento. (Alzugaray, 1979). (TELECOMUNICACIÓN)

SHARE: "Cuota (de pantalla)", "porcentaje (de audiencia)", "fracción (correspondiente)". Contabilización del número de oyentes o espectadores que corresponde a una determinada emisora, programa de radio o TV (1991: País). (TELECOMUNICACIÓN)

SOAP OPERA: Expresión irónica, literalmente: "ópera de jabón". Designa emisiones de radio y TV, principalmente series, como las "novelas", "novelones" o "culebrones" etc., porque originariamente solían estar patrocinadas por productores de jabones, detergentes, etc. (1991: Cabrera Infante). (TELECOMUNICACIÓN)

SOFTWARE: "Equipo o dotación instruccional" de un ordenador electrónico, literalmente: "artículo (*ware*) blando (*soft*)". (1978: País.). (INFORMÁTICA)

SONAR: "Sonar" (Ac.) Palabra formada sobre "*sound navigation and ranging*" "navegación y situación (localización) por el sonido". Aparato para detectar mediante el sonido vehículos y anomalías submarinas (1976: País). (TELECOMUNICACIÓN)

SPEAKER: 1) "Portavoz" o "presidente" de la Cámara de los Comunes, en Inglaterra y del Congreso, en EE.UU. (1882: Pi y Margall.) 2) "Locutor de radio", "espíker" o "espíquer". Empleada hasta 1939 en España, cesando su uso poco a poco (1940: Jardiel Poncela) con la victoria (1939) de Franco, por anglofobia y ultranacionalismo lingüístico, a semejanza del nazi. (1926: Blanco y Negro). (TELECOMUNICACIÓN)

SPEECH PROCESSING: "Proceso de habla". Facultad de ciertos ordenadores electrónicos, capaces de hablar y escuchar. (1980: Diario 16.). (INFORMÁTICA)

STOCK EXCHANGE: "Bolsa de contratación de valores". De "*exchange*", "cambio", "contratación" y "*stock*", "capital", "valor". (1913: A. Nervo.). (ECONOMÍA)

SWAP : "Permuta", "canje" o "intercambio", acordado por las partes, en una determinada moneda, para contrarrestar la variabilidad de los tipos de cambios o interés. (1992 : A. Berges.) (ECONOMÍA)

## T

**TALKIE WALKIE:** "Emisor receptor de radio portátil". Surgió al final (1945) de la Segunda Guerra Mundial, literalmente: "hablador-paseante". Adaptación del inglés. de EE.UU "walkie-talkie".

**TELEFAX:** (Ac. : 1992). Formada sobre *telefac(simile)*, reduciendo el grupo fónico *cs* en su equivalente *x*. Es la comunicación de facsímiles a través de la red telefónica. Abreviatura: *fax..* (1981: *Diario 16*).

**TELETEXT:** "Teletex", "teletexto". Palabra formada sobre "*teletext*" analógicamente con "*telefax*". Es la intercomunicación de terminales que incorporan las funciones del teleimpresor, la máquina de escribir y los procesadores de datos. (1981: *Diario 16*).

**TELEVISION:** "Televisión" (Ac). Híbrido formado (1909) con el griego. "*tele*", "lejos" y el francés "*vision*", visión, difundido en España en los años cincuenta.

**TELEVISOR:** "Televisor" (Ac.). Nombre del aparato receptor de televisión concebido (1935) por J. L. Baird.

**TELEX:** "Telex" (Ac. : 1992). Nombre de marca de un teleimpresor (1985). 1) Sistema de telecomunicación inalámbrica directa ; 2) Mensaje enviado por este medio. (1976: *Interviú*) Esta voz es contracción de "*tel(eprinter)*", teleimpresor y "*ex(change)*", cambio, intercambio, es decir: comunicación o intercambio (de comunicados) entre teleimpresores.

**TELSTAR:** "Telstar", "telesat". Acrónimo de "*telecommunication star*", literalmente : " estrella de telecomunicación ", pero más bien, "satélite de comunicación". Es el primero (1962) lanzado al espacio; estadounidense. (1983: F. Umbral.).

**TRANSISTOR:** "Transistor". (Ac. : 1992). 1) Dispositivo electrónico descubierto en la Bell Telephone, en EE.UU, por John Bardeen, Walter Brattain y William Shockely, en 1947, por el cual obtuvieron el Premio Nobel de Física en 1956; pero el término fue propuesto por John Pierce, de la Bell Telephone, contrayendo "*trans(fer) (res)istor;*" 2) "aparato de radio pequeño", gracias al empleo de transistores.

**TRUST:** "Truste" (Ac.), "consorcio". Forma abreviada de "*trust company*", de «*company*», "compañía" y "*trust*," "(de) confianza". Fusión estable de empresas, sometidas todas a una dirección común, para dominar el mercado. (1896: Unamuno.). (ECONOMÍA)

## U

**UHF:** Siglas de "*Ultra High Frequency*", "Frecuencia ultraelevada". Se emplea en emisiones radiofónicas y televisuales (entre 300 y 3000 megaciclos). (TELECOMUNICACIÓN)

## V

**VHF:** Siglas de "*Very High Frequency*". Frecuencia muy alta. Se emplea para las emisiones radiofónicas y televisuales (entre 30 y 300 megaciclos). Los receptores de televisión suelen estar dotados para recibir VHF y UHF. (TELECOMUNICACIÓN)

**VIDEO:** "VÍdeo" (Ac. : 1992) ; del latín "*video*", "veo", vale tanto como "imagen electrónica" en contraposición a "imagen fílmica", empleada principalmente en TV. Establecida analógicamente sobre el inglés "*radio*" (como también analógicamente sobre "*radio*" y "*video*", el inglés "*audio*"). (TELECOMUNICACIÓN)

**VIDEOTAPE :** "Registro de sonido e imagen", para televisión mediante casetes electrónicas. (1976: País). (TELECOMUNICACIÓN)

**VIDEOTEXT:** "Video text", "videotexto". Palabra formada por el latín "*video*", «veo» y el inglés "*text*" texto, reducido a "*text*", por analogía con "*telex*", *telex*", etc. "Videotext" es la de nominación internacional de este sistema de información (excepto en Inglaterra: "*viewdata*"). Utiliza la red telefónica para aprovechar las posibilidades de los receptores de TV para convertirlos en terminales de datos e información. Se maneja con teclado semejante al del teléfono; se puede dialogar con un ordenador y recibir e intercambiar mensajes personales entre los usuarios. (1980: Diario 16). (TELECOMUNICACIÓN)

## W

**WALKIE TALKIE:** (Véase Talkie Walkie).

**WALKMAN:** Marca registrada por la compañía japonesa Sony para un casco microtransistorizado que permite oír emisiones radiofónicas mientras se anda; literalmente : “hombre (man) andante (walk). (1983: J. Cueto).

**WALL STREET:** “Calle del Muro”. Sinónimo de “Bolsa de Nueva York”, porque en dicha calle se halla dicha bolsa. (ECONOMÍA)

**WARRANT:** “Opción de compra (de acciones), “certificado de opción (para comprar acciones)», literalmente: “garantía”, “certificado”. (1989: País.). (ECONOMÍA)

**WINDOW:** “Ventana”, “Ventanilla”. Parte de una pantalla reservada para la visualización de determinada información. (1981: P. Guirao.). (INFORMÁTICA)

**WOOFER:** “Altavoz para sonidos graves, para bajas frecuencias”. De «woof», “gruñido (ronco y bajo) del perro”. (1982: País sem.). (INFORMÁTICA)

**WORD PROCESSING:** “Procesamiento o tratamiento de textos”. Conjunto de operaciones: registro, memorización, corrección y finalmente impresión, mediante aparataje adecuado (microelaborador, memoria magnética e impresora). (1983: País). (INFORMÁTICA)

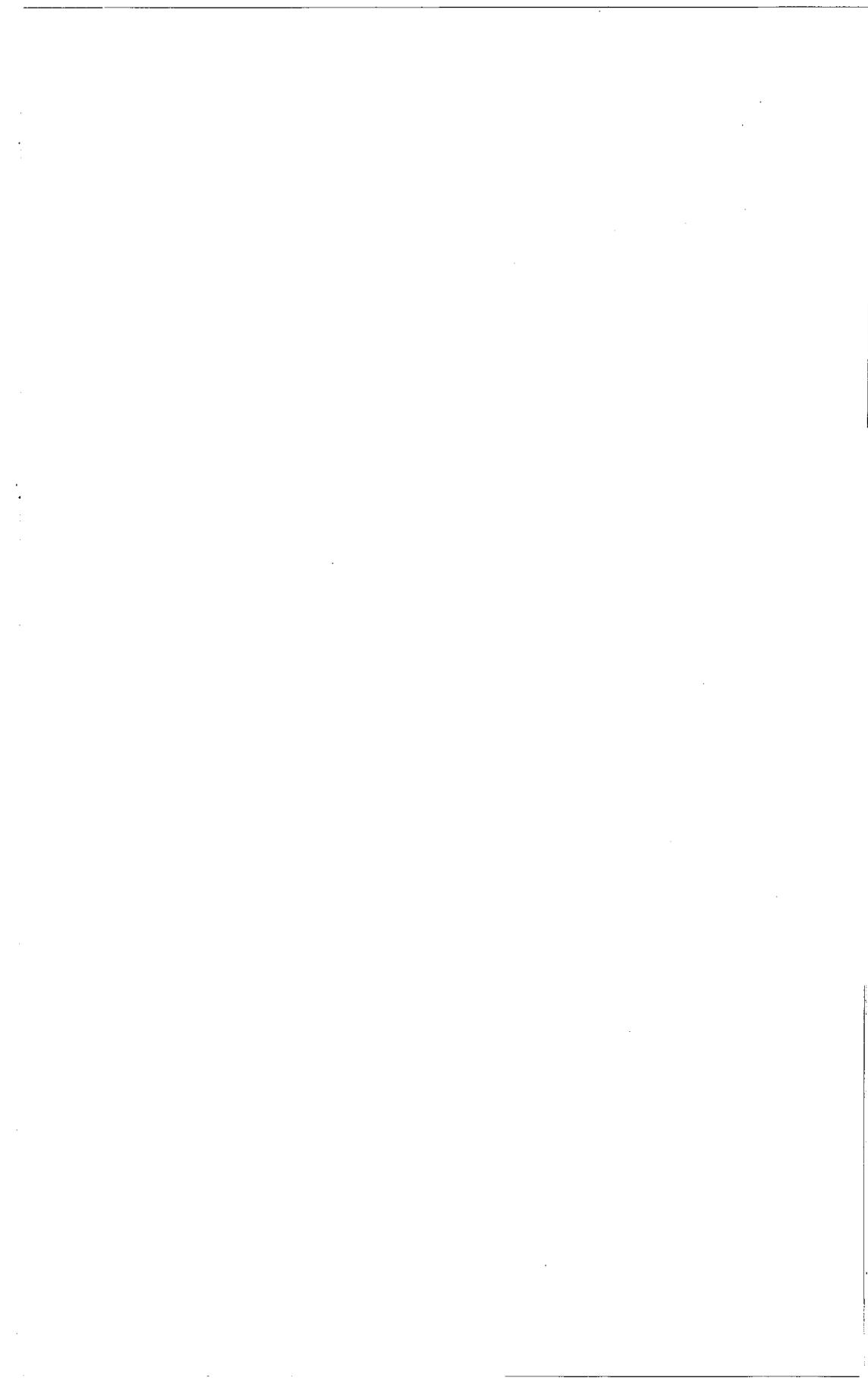
**WORD PROCESSOR:** “Procesador o tratador de textos”. (INFORMÁTICA)

## Z

**ZAPPING:** “zapin”, “zapeo” (Ac.), “cambio (de cadena o programa de TV mediante el mando a distancia), literalmente : “matar”, “disparar ” (contra alguien para matarlo) “. Se encuentran las adaptaciones “zapar” (1990: Haro Tecglen) y “zapa” (1991: Haro Tecglen). (1990: El Sol)

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# ESTRATEGIAS DE APRENDIZAJE DE UNA SEGUNDA LENGUA: DEFINICIÓN Y TIPOLOGÍA

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## **Resumen**

*En el presente trabajo se analiza el concepto de estrategia y los problemas de definición y clasificación inherentes al mismo. Diferentes perspectivas en el estudio o diferentes interpretaciones han dado como resultado conceptualizaciones y propuestas de clasificación diversas. También analizamos cuatro propuestas de clasificación y conceptualización de las mismas: (a) como procesos internos facilitadores de la interlengua, (b) del buen aprendiz, (c) estrategias como características psicológicas y (d) características generales a largo plazo del acercamiento de un individuo al aprendizaje. A pesar de los problemas existentes en la investigación, se concluye que la noción de estrategia es central en el aprendizaje.*

## **Abstract**

*This paper analyses the notion of strategy in Foreign language learning and the problems of definition and classification. Four are the perspectives discussed: (a) strategies as internal processes facilitating the development of the interlanguage, (b) strategies as good language learner characteristics, (c) strategies as psychological functions, and (d) as general characteristics of an individual's approach to learning. These differences are sometimes due to a different focus of research or to interpretations of the results. Despite the problems in conceptualization and classification, learning strategies occupy a central role in cognitive models of human learning.*

## 1. Introducción

La educación se ha visto envuelta en los últimos años en una serie de cambios que han propiciado el desarrollo e importancia de la noción de estrategia. Entre dichos cambios podemos destacar un giro en el objetivo de la investigación educativa, que ha pasado del estudio de la enseñanza al estudio del aprendizaje y del énfasis en el estudio de la conducta del profesor al énfasis en el estudio de la conducta del aprendiz, i.e., del énfasis exclusivo en la mejora de la enseñanza a una creciente preocupación por cómo aprenden los alumnos. La idea de que la responsabilidad del aprendizaje pertenece al aprendiz es cada vez mayor entre los especialistas (Norman, 1980; Weinstein y Mayer, 1986).

En las dos últimas décadas, psicólogos experimentales, evolutivos y de la educación han pasado, pues, del estudio de la conducta animal al estudio de la conducta y mente humanas; de estudios sobre el condicionamiento operante a estudios sobre aprendizaje significativo; de estudios realizados en laboratorio a estudios realizados en los ambientes pertinentes. Estos cambios se deben fundamentalmente al desarrollo de las teorías cognitivas del aprendizaje, las cuales sostienen que:

- el aprendizaje es un proceso dinámico en el que los individuos utilizan diversos modos de procesamiento estratégico;
- el lenguaje es una destreza cognitiva compleja;
- las estrategias de aprendizaje son procesos cognitivos que influyen sobre los resultados del aprendizaje positivamente;
- el aprendizaje de una lengua avanza en etapas progresivas que van desde la manipulación activa y consciente de la información y de los procesos de aprendizaje a la total automaticidad.

Desde que en 1975 Stern y Rubin publicaron sus respectivos trabajos sobre cómo los buenos aprendices gestionan y controlan la tarea de aprendizaje, la aparición de publicaciones orientadas al desarrollo de un mejor entendimiento del proceso de aprendizaje de una L2 ha sido incesante. Dichas publicaciones se han dirigido tanto al profesor como al aprendiz. Estos trabajos de investigación han estado buscando res-

puesta a los siguientes interrogantes: (a) ¿Qué hacen los aprendices para ayudarse a aprender? (b) ¿Cómo regulan estos esfuerzos? (c) ¿Qué creencias y/o conocimientos traen al proceso de aprendizaje de una lengua? (d) ¿Cómo se puede ayudar al aprendiz a mejorar y desarrollar las destrezas del aprendizaje a que hacen referencia las preguntas anteriores? En este trabajo nos vamos a centrar en las dos primeras preguntas, aunque alguna referencia se hará a las demás a lo largo del trabajo.

Los investigadores no han logrado llegar a un consenso en lo que se refiere a la conceptualización y definición de las estrategias. En la bibliografía es posible encontrar los siguientes términos para referirse a los trucos que los aprendices utilizan para facilitar el aprendizaje: "acciones específicas" (Oxford, 1990a), "pasos mentales" (Wenden, 1991), "operaciones" o "procedimientos" (Rigney, 1978), "pensamientos" (Weinstein y Mayer, 1986), "comportamientos planificados" (Monereo, 1990). En este uso indiscriminado de términos es posible observar el carácter elusivo de la naturaleza del término estrategia.

Como venimos señalando, este ámbito de la investigación educativa no está exento de problemas; problemas que impiden el avance de la investigación y de la aplicación plenamente satisfactoria en el aula de los resultados de la misma. La investigación en el campo de las estrategias recurre a diferentes técnicas de observación y elicitación de las conductas, ya que no todas son observables, por lo que el éxito o el fracaso de cualquier estudio depende también en gran medida de la disponibilidad y capacidad del estudiante para comentar y describir, introspectiva o retrospectivamente, las conductas internas utilizadas para facilitar la tarea de procesamiento de la información. También es interesante recordar que no todos los estudios tienen los mismos objetivos. Esta diferencia de metas en la planificación y análisis de los mismos conduce en ocasiones a resultados algo contradictorios.

## **1. Problemas de definición y clasificación del concepto de estrategia**

El concepto de estrategia no ha sido entendido de forma unívoca por los diferentes estudiosos del tema y sigue en la actualidad siendo objeto

de intenso debate entre los investigadores. Si hacemos un poco de historia es posible encontrar diferentes concepciones de la noción de estrategia. Es, pues, posible encontrar las siguientes concepciones del término "estrategia" en la investigación en el campo de lenguas añadidas:

- 1.- Estrategias como procesos internos facilitadores de la interlengua (Selinker, 1972).
- 2.- Estrategias del buen aprendiz (Rubin, 1975; Stern, 1975, Naiman et al., 1978).
- 3.- Estrategias como características psicológicas: metacognitivas, cognitivas y socio-afectivas (O'Malley et al., 1985a, 1985b, O'Malley y Chamot, 1990; Oxford, 1990a)
- 4.- Estrategias o características generales a largo plazo del acercamiento de un individuo al aprendizaje mediante el uso de una serie de conductas para la formación de hipótesis, personalización de asociaciones, etc. (Stern, 1983; Oxford y Cohen, 1992).

### **1.1 Estrategias como procesos internos facilitadores de la interlengua.**

El término estrategia fue utilizado por primera vez en el campo del aprendizaje de lenguas añadidas por Selinker (1972). En dicho trabajo reconoce que en psicología se sabe poco sobre qué constituye una estrategia. No obstante, Selinker propone la noción de estrategia como uno de los cinco procesos centrales en el aprendizaje de una L2. En este trabajo, Selinker define las estrategias de aprendizaje como un acercamiento identificable del aprendiz al material que se ha de aprender. Las estrategias determinan la estructura superficial de las oraciones de interlengua. La noción de estrategia en Selinker, como acabamos de comprobar, es bastante vaga e imprecisa lo que, según Manchón (1993), ha contribuido decisivamente a fomentar el interés por el estudio de las mismas.

Esta línea de trabajo ha sido continuada por Seliger (1991), quien además propone distinguir entre "estrategia" y "táctica". Para Seliger es posible definir las *estrategias* como procesos cognitivos a largo plazo,

constantes, abstractos y superordinados que son utilizados para la adquisición de conocimiento. Además, las estrategias, según Seliger, están determinadas biológicamente, por lo que es posible deducir que no son modificables en el aula. Mientras que las *tácticas* son procesos a corto plazo utilizados por el aprendiz para superar obstáculos inmediatos en la consecución del objetivo a largo plazo del aprendiz: la adquisición de la L2. La función de las tácticas es suministrar el material lingüístico sobre el que construir el sistema de interlengua. Las estrategias se utilizan para extraer, del material proporcionado por las tácticas, los principios gramaticales subyacentes que pasarán a formar parte de la gramática de interlengua. Entre las estrategias encontramos, según Seliger, la verificación de hipótesis, la simplificación y la hipergeneralización.

Wenden (1987) destaca que esta línea de investigación de las estrategias universales de procesamiento lingüístico no pretende presentar el proceso de aprendizaje de una L2 desde la perspectiva del aprendiz y tampoco ha examinado las estrategias utilizadas conscientemente por el alumno al completar una tarea de comunicación o de aprendizaje, a lo que podemos añadir la no inclusión o contemplación de ciertas conductas de índole socio-afectivo a pesar de su reconocida importancia en la adquisición de una segunda lengua (Gardner, 1985; Oxford, 1990a). Esta línea de investigación, a diferencia de otras, no ha tenido repercusiones pedagógicas inmediatas, lo que no significa que no pueda y deba tenerlas.

## 1.2 Estrategias del aprendiz ideal

Esta segunda línea de trabajo se caracteriza por una serie de estudios que rindieron diferentes taxonomías sobre la conducta del aprendiz ideal. Dos son los artículos que despertaron el interés por la investigación sobre las estrategias del "aprendiz ideal" Rubin (1975) y Stern (1975). Este último autor mantiene, en base a sus observaciones, su experiencia como profesor y aprendiz de lenguas y la bibliografía existente sobre el tema, que el "aprendiz ideal" utiliza las siguientes estrategias de aprendizaje:

- 1.- Un estilo de aprendizaje personal o estrategias de aprendizaje positivas.

- 2.- Un enfoque activo hacia la tarea de aprendizaje.
- 3.- Tolerancia y actitud abierta hacia la lengua extranjera y empatía con sus hablantes.
- 4.- Sabe cómo enfrentarse a la lengua desde un punto de vista técnico.
- 5.- Estrategias de experimentación y planificación con el propósito de construir un sistema estructurado de la lengua que está aprendiendo y de repasar el sistema progresivamente.
- 6.- Una búsqueda constante del significado.
- 7.- Predisposición a practicar.
- 8.- Predisposición a utilizar la lengua en la comunicación real.
- 9.- Auto-seguimiento de su aprendizaje y sensibilidad crítica hacia el uso de la lengua.
- 10.- Un deseo de progresar en el conocimiento de la lengua hasta llegar a pensar en ella.

Por otro lado, sobre la base de sus propias observaciones, Rubin (1975) se plantea el hecho de que todos los seres humanos aprenden con éxito su primera lengua, mientras que sólo unos cuantos logran aprender una segunda lengua con éxito. Rubin repasa las explicaciones de la diferencia de éxito según la bibliografía de la época rechazando la explicación tradicional de las diferencias individuales basada en la aptitud, motivación y oportunidad. Para Rubin las pruebas de aptitud dicen poco al profesor y al alumno de cómo mejorar la capacidad de aprendizaje, por lo que sugiere la necesidad de aislar lo que hace el "buen aprendiz" (sus estrategias) y enseñarlas a los aprendices con menos éxito.

Por estrategias Rubin (1975) entiende las técnicas y recursos que un aprendiz pueda utilizar para adquirir conocimiento. Rubin, aun reconociendo la falta de trabajo sistemático que establezca la conexión entre estrategias de aprendizaje y éxito y siendo consciente de que el descubrimiento de las estrategias del buen aprendiz acaba de comenzar, propone una taxonomía de estrategias basándose en sus observaciones en clase, entrevistas a profesores y observaciones de su propia conducta. Rubin concluye su caracterización sobre el "aprendiz ideal" advirtiendo la dificultad que entraña el descubrir estrategias de aprendizaje que

sean igualmente útiles para diferentes aprendices. Además, postula que las estrategias de aprendizaje varían según la tarea de aprendizaje, la edad del aprendiz, el estilo de aprendizaje del estudiante, el contexto de aprendizaje y el nivel.

Estas clasificaciones surgieron de estudios basados en la intuición y observaciones de los investigadores de que el éxito en el aprendizaje de una lengua extranjera no era únicamente atribuible a la aptitud innata.

Fue en 1978 cuando las clasificaciones de Rubin y Stern fueron confirmadas empíricamente por otro estudio muy significativo en este campo: el de Naiman, Fröhlich, Todesco y Stern (1978) quienes sobre la base de treinta y cuatro entrevistas identificaron seis estrategias como características del "aprendiz ideal", las cuales, a su vez, están relacionadas con otras tantas:

- 1- Identificación de las preferencias en lo relativo al aprendizaje y selección de situaciones que fomentan dichas preferencias.
- 2- Acercamiento activo al aprendizaje.
- 3- Consideración de la lengua como sistema.
- 4- Visión de la lengua como medio de comunicación e interacción.
- 5- Control de las demandas afectivas.
- 6- Control de su propia actuación.

Las investigaciones sobre las estrategias del aprendiz ideal muestran ciertos problemas, entre ellos el más importante quizás sea el que atañe a la base teórica que subyace a las mismas. La primera inconsistencia que se observa es la falta de una base teórica sólida lo que propicia la combinación de diferentes fenómenos y conceptos bajo el epígrafe de estrategia. En las diferentes clasificaciones es posible observar una marcada confusión conceptual que lleva a los distintos investigadores a agrupar bajo la denominación de estrategias: conductas, rasgos y fenómenos tan dispares como características de la personalidad, estilos cognitivos, fenómenos metacognitivos, técnicas de estudio, actitudes y estrategias, aunque probablemente haya que admitir que la conducta del aprendiz con éxito refleje todos estos diversos aspectos. Esta mezcla

de características ofrece, según Rubin (1975), una perspectiva de los procesos cognitivos que tienen lugar en la mente del aprendiz.

Los diversos estudios aquí mencionados han ayudado a estimular el interés de los investigadores por emprender estudios que contribuyesen a esclarecer algunas de las contradicciones conceptuales que se observan en las taxonomías presentadas. Y, como observan O'Malley y Chamot (1990), estos estudios colaboraron a desterrar la idea de que el aprendizaje de lenguas con éxito dependía del grado de aptitud, motivación o exposición a la lengua objeto de estudio, colocando en un lugar central el comportamiento activo del alumno, comportamiento que, según hemos dicho, es susceptible de ser modificado mediante la instrucción.

A medida que el concepto de estrategia fue delimitado, no se rechazó al "aprendiz ideal" como modelo, sino que se incorporaron estudios sobre el comportamiento estratégico de los aprendices con menos éxito con el fin de comparar y sacar las conclusiones pertinentes. Entre estas conclusiones destacan las diferencias cualitativas y cuantitativas en el uso de estrategias y ante todo destaca el mayor uso de funciones metacognitivas por parte de los aprendices con mayor grado de éxito. Oxford et alii (1990) y Oxford (1990b) enfatizan esta idea de que la diferencia entre alumnos con mayor y menor éxito en el aprendizaje es, a menudo, cualitativa y no sólo cuantitativa (Oxford et alii, 1990:199).

### **1.3 Estrategias como funciones psicológicas**

Este paradigma de investigación se diferencia de los demás en que toma como base teórica la psicología cognitiva, en especial las teorías del procesamiento de la información de Anderson (1983, 1985). Las teorías cognitivas enfatizan la idea de que el aprendizaje es un proceso activo, constructivo, orientado a la consecución de unas metas y dependiente de las actividades mentales del aprendiz. Las teorías cognitivas del aprendizaje se centran en las actividades mentales del alumno que llevan a una respuesta, y reconocen explícitamente:

- a) el papel de los procesos metacognitivos tales como la planificación propuesta de metas y objetivos;

- b) la selección activa de estímulos;
- c) el intento de los aprendices de organizar el material que están aprendiendo, incluso cuando no hay bases obvias para la organización en los materiales que se están aprendiendo;
- d) la generación o construcción de respuestas apropiadas, así como el uso de diferentes estrategias de aprendizaje (Shuell, 1986).

La primera definición de estrategia desde la perspectiva del procesamiento de la información la formuló Rigney (1978:165) de la siguiente manera: "... *operations or procedures that the student may use to acquire, retain, and retrieve different kinds of knowledge and performance.*"

Rubin (1981) como continuación a su estudio sobre el "aprendiz ideal" y los estudios emprendidos por otros investigadores toma como base esta definición de Rigney y distingue entre *procesos cognitivos* y *estrategias*. Por procesos cognitivos entiende una categoría general de acciones que contribuyen directamente al proceso de aprendizaje, mientras que por estrategias cognitivas entiende aquellas acciones específicas que contribuyen directamente al aprendizaje. Rubin (1981), sobre la base de su trabajo de observación en el aula y el estudio de diarios y protocolos verbales, propone distinguir entre estrategias que afectan directamente al aprendizaje: *clarificación, verificación, monitorización, memorización, razonamiento inductivo y deductivo, y la práctica*. La segunda categoría, que consiste en estrategias que contribuyen indirectamente al aprendizaje, incluye la *creación de oportunidades de práctica, el uso de trucos para la producción* (estrategias de comunicación). Posteriormente, O'Malley y su grupo de investigación (1985a, 1985b, 1990) mantuvieron la definición de estrategia en esta línea de procesamiento de la información, pero sin distinguir entre procesos o estrategias. Su propuesta de clasificación se basa en la distinción hecha en psicología cognitiva entre funciones metacognitivas, cognitivas y socio-afectivas. Las diversas propuestas de clasificación reflejan las estrategias que aparecieron en los diferentes estudios empíricos acometidos por los miembros de este grupo de investigación. Las funciones **metacognitivas** hacen referencia a aquellas conductas que implican regulación o control de la cognición. Bajo esta categoría incluyen conductas tales como: *la planificación, la atención selectiva, la monitorización, la evaluación, la auto-gestión, etc.*

Las funciones **cognitivas** son aquellas que permiten manipular la información mental o físicamente para facilitar su procesamiento e incluyen conductas tales como: *la traducción, diversas formas de elaboración, inferencias, agrupación, uso de recursos, la inducción, la deducción, transferencia, etc.*

Por funciones **socio-afectivas** entienden aquellas conductas que implican interacción con otra persona o control de las emociones. Entre las conductas aquí incluidas destacan: *el auto-refuerzo, la cooperación con otros, hablar consigo mismo y la petición de clarificaciones.*

Esta clasificación se caracteriza por representar los diferentes procesos cognitivos identificados en el aula, por mostrar observabilidad y mensurabilidad de los distintos elementos de organización cognitiva y por su integración de los diferentes fenómenos cognitivos (Prokop, 1989). Sin embargo, algunos investigadores critican la no diferenciación entre estrategia de aprendizaje y estrategia de comunicación en la clasificación propuesta. Oxford y Cohen (1992) argumentan en contra de esta clasificación la no profundización en las estrategias sociales y afectivas.

No obstante, si analizamos con detalle esta taxonomía y una de estrategias de comunicación es posible observar ciertas conductas incluidas en ambas. Entre las estrategias que aparecen en ambas taxonomías encontramos: *la transferencia, la traducción, la petición de clarificaciones, etc.* Esta observación no pretende, en ningún caso defender a ultranza la distinción de la clasificación de O'Malley et al. (1985a) entre funciones metacognitivas, cognitivas y socio-afectivas de algunas de las críticas lanzadas contra la misma. No obstante, más adelante nos referiremos al problema que plantea la distinción entre estrategia de aprendizaje y estrategia de comunicación.

Por su parte, Oxford (1990a) propone otra clasificación de estrategias de aprendizaje basada en la de O'Malley et al. (1985a), Rubin (1981), Tarone (1983) y Danserau (1978). A diferencia de O'Malley et al. (1985a) y otras clasificaciones similares propuestas por los componentes de este grupo de investigación, Oxford sí incluye en su clasificación las estrategias de comunicación bajo el epígrafe de estrategias de "compensación". Así pues, Oxford propone una distinción entre estrategias directas e indirectas<sup>1</sup> de aprendizaje.

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<sup>1</sup> Obsérvese que la distinción de Oxford entre estrategias directas e indirectas es diferente a la distinción de Rubin (1981).

La designación de directas se debe a que la activación de estas estrategias implica necesariamente, según Oxford, el procesamiento mental de la lengua. Las estrategias **directas** engloban: estrategias de *memorización*, las cuales ayudan al alumno a almacenar y recuperar nueva información; estrategias *cognitivas*, que capacitan al alumno para entender y emitir una producción variada; y de *cómpensación* que le permiten comunicarse a pesar de las deficiencias en su conocimiento de la lengua. Bajo el epígrafe de **indirectas**, Oxford (1990a) designa aquellas que sirven de apoyo y para regular el aprendizaje sin involucrar la lengua objeto de estudio. Éstas incluyen las estrategias *metacognitivas*, que permiten al alumno controlar su propio proceso de aprendizaje; *afectivas*, que ayudan a regular las emociones, motivación y actitudes; y *sociales*, que contribuyen al aprendizaje facilitando la interacción con otros.

Esta línea de investigación, como se habrá comprobado, se caracteriza por una mayor claridad conceptual que las anteriores y por presentar una definición del concepto de estrategia concisa que responde, a su vez, a un modelo teórico de cognición. Sin embargo, plantea algunos problemas como la no distinción entre estrategias complejas como la elaboración y las conductas menos complejas como la repetición, aunque cabe plantearse también si la supuesta distinción contribuiría a una mejor comprensión de las estrategias. Las estrategias como funciones psicológicas presentan las siguientes características:

- Son acciones concretas y no características generales del aprendizaje.
- Las estrategias de aprendizaje representan unidades individuales o concatenadas del funcionamiento cognitivo que son activadas para la facilitación de una determinada tarea. Las estrategias son "herramientas" que utiliza el aprendiz para resolver un determinado problema o conseguir un objetivo.
- Las estrategias de aprendizaje, según O'Malley y Chamot (1990), son parte del conocimiento procedimental y se representan en la memoria como sistemas de producción o relaciones causales del tipo lógico SI-ENTONCES. Al ser parte del conocimiento

- procedimental y presentar las características del mismo se habla de que las estrategias son conductas potencialmente conscientes.
- Dentro de la gama de estrategias hay conductas directamente observables y conductas no observables.
  - Parece ser que una estrategia es una secuencia de actividades más que un hecho simple<sup>2</sup>.
  - El uso de estrategias de aprendizaje está ampliamente determinado por el estilo cognitivo del sujeto (Ehrman y Oxford, 1988). Este hecho no significa que no se puedan enseñar estrategias que no coinciden a priori con el estilo cognitivo del sujeto.
  - Las estrategias son comportamientos o acciones susceptibles de ser modificadas y/o aprendidas, como cualquier otra destreza cognitiva. La adquisición de las mismas es gradual y pasaría por las diferentes fases de adquisición del conocimiento, a saber, cognitiva, asociativa y de autonomía (Anderson, 1985).
  - Las estrategias son las responsables de facilitar la asimilación de la información que llega del exterior al sistema cognitivo del sujeto, así como la recuperación y uso de la misma. Son, por lo tanto, acciones específicas emprendidas por el aprendiz para desempeñar funciones cognitivas, metacognitivas y afectivas o, lo que es lo mismo, son la base del comportamiento inteligente.

#### **1.4. Estrategias como características generales a largo plazo del acercamiento de un individuo al aprendizaje**

Oxford y Cohen (1992), un trabajo que marcará la investigación sobre las estrategias de aprendizaje, hacen un repaso de los principales problemas de conceptualización y clasificación y proponen una solución a cada uno de los aspectos tratados. El trabajo es polémico por varias razones que esbozaremos a continuación.

La primera y más importante de las aportaciones de este trabajo es la distinción entre estrategia y táctica tomando como base la distinción

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<sup>2</sup> Block (1992) distingue tres fases en la estrategia de monitorización, a saber, fase de evaluación, fase de acción y fase de comprobación.

entre ambos términos en la jerga militar y la distinción, en este mismo sentido, de Schmeck (1988) y la de Seliger (1991). Oxford y Cohen mantienen que al identificar estrategias con tácticas las diferentes taxonomías resultantes son excesivamente largas, ateóricas y mezclan diferentes niveles de comportamiento (inferencia y toma de apuntes, por ejemplo).

En este marco, los autores proponen la siguiente definición de estrategia: *“el arte de aprender a largo plazo más fácil y eficazmente mediante la utilización de una serie de conductas tendentes a la formación de conceptos y de hipótesis, verificación de hipótesis, personalización de conexiones, inserción de material en la memoria de largo plazo, entender el estado emocional, manipular el proceso de aprendizaje, y producir lengua, aun careciendo del conocimiento lingüístico adecuado.”* (Oxford y Cohen, 1992:4).

Las tácticas representan, pues, *“el arte de utilizar conductas o mecanismos específicos a corto plazo...para respaldar una o más estrategias de aprendizaje en el aprendizaje cotidiano.”* (Oxford y Cohen, 1992:4).

Entre las características de las estrategias destacan:

- Las estrategias son comportamientos conscientes, de no ser así no deben de ser consideradas estrategias.
- Las estrategias y las tácticas contribuyen directa o indirectamente al aprendizaje, por lo que se aboga por la inclusión de estrategias tales como las de comunicación olvidando si la contribución al aprendizaje es más o menos directa. Esto lleva a los autores a proponer la no distinción entre estrategias del aprendiz y estrategias de aprendizaje.
- Las estrategias contribuyen al establecimiento de conocimiento declarativo, a pesar de que son conceptualizadas como parte del conocimiento procedimental.

Si se repasa con detenimiento esta clasificación es posible percibir que el concepto de estrategia se corresponde con el objetivo que un supuesto aprendiz pretende conseguir mediante la utilización de ciertas tácticas; el problema que se plantea es saber cuántos de estos “objetivos” existen, i.e., ¿han cubierto los autores todas las estrategias? Nos tememos que habrá que esperar a que esta propuesta sea validada empíri-

camente antes de poder responder a la pregunta, pues la misma es el resultado de la experiencia y dominio del campo de las estrategias de los autores. La distinción entre estrategia y táctica la justifican recurriendo a la distinción hecha en el argot militar y al significado etimológico original de la palabra estrategia en griego.

Es importante comentar que tanto las estrategias como las tácticas retienen las principales características: acción consciente y activa hacia la consecución de una meta. El trabajo de Oxford y Cohen (1992) acomete una serie de problemas claves respecto de la conceptualización y clasificación de las estrategias de aprendizaje, aspectos que tienen que ser discutidos e investigados para lograr aclarar los mismos. El problema con el trabajo de Oxford y Cohen es que en ciertos aspectos supone una vuelta atrás. Por ejemplo, el problema de si las estrategias son comportamientos conscientes o no había quedado dilucidado por trabajos anteriores (Bialystok, 1985; Willing, 1989, O'Malley y Chamot, 1990). Estos autores, sin embargo, concluyen que para que un comportamiento de los que nos ocupa en este trabajo pueda ser considerado una estrategia éste ha de ser consciente, cuando escriben. *"We assert that language learning strategies are indeed conscious behaviours undertaken to improve language learning. If strategies are unconsciously and automatically used, the explicit strategy training makes little or no sense."* (Oxford y Cohen, 1992:12)

No creemos que las estrategias de aprendizaje tengan necesariamente que ser conductas conscientes. Más bien creemos que las mismas son planes coordinados y contextualizados para lograr ciertos objetivos. El concepto de estrategia implica atención, conciencia, intencionalidad, pero puede ser requisito de una estrategia eficaz el pasar de la deliberación y el control al automatismo en su ejecución. McLaughlin (1990) establece que la palabra "consciente" no es muy adecuada para referirse a este hecho, que es más adecuado utilizar el término "automático" porque carece de las connotaciones negativas asociadas a los conceptos de "consciente" e "inconsciente", términos precientíficos que deben ser excluidos de la teoría.

En este sentido, Willing (1989) asegura que muchos estudios de aprendizaje de segundas lenguas no llegan a reconocer el hecho crucial de que los procesos subconscientes (no atendidos) pueden actuar con un propósito y de manera efectiva. Mantener lo contrario sería olvidar que casi todo el funcionamiento mental ocurre cuantitativamente a nivel no consciente, algo que es obvio. Es difícil, lograr entender que la mente tenga y, lo que es más importante, pueda ser consciente de las diferentes estrategias y de las técnicas, además de ser consciente de la información que manipula también. De este modo, las funciones del procesamiento mental pueden ser ejercidas a varios niveles de consciencia, y el concepto de estrategia de aprendizaje puede, por lo tanto, ser aplicado adecuadamente en ambos niveles consciente e inconsciente. Nos alineamos al tomar esta posición con autores como White (1980) quien afirma que el aprendizaje se presenta como un proceso inconsciente porque simplemente no prestamos atención a muchos de los procesos conscientes que intervienen en el mismo.

Por otra parte, Dechert y Sandrock (1986), afirman que los informes verbales sobre el procesamiento lingüístico presentan el problema de que cuanto mayor es la competencia lingüística mayor es también el grado de procedimentalización de las destrezas lingüísticas, y, por lo tanto, dicha procedimentalización impide la observación del procesamiento lingüístico, puesto que la mayor parte de los procesos son activados automáticamente, y, en consecuencia, no entran en la memoria a corto plazo.

Por último, en el trabajo de Oxford y Cohen (1992) nos encontramos con cierta indefinición del término "estrategia" en contraposición con el término "táctica", parece como si los fantasmas del pasado se negaran a desaparecer, es decir, una vez hecha la distinción entre estrategia y táctica, los autores, en la discusión de algunos de los principales problemas, parecen olvidar dicha distinción, con lo que el lector, en numerosas ocasiones, no sabe si los autores, al utilizar el término estrategia, se refieren a esta nueva línea de concepción, o si por el contrario se refieren al concepto de estrategia según Oxford (1990). Tampoco queda todo lo claro que sería de desear si las estrategias y las tácticas comparten las mismas características o no, como es el caso mencionado anterior-

mente del problema de la consciencia que en el caso de las tácticas hay que interpretarlo, pues no se habla explícitamente del mismo.

### 1.5 Estrategias de aprendizaje y estrategias de comunicación

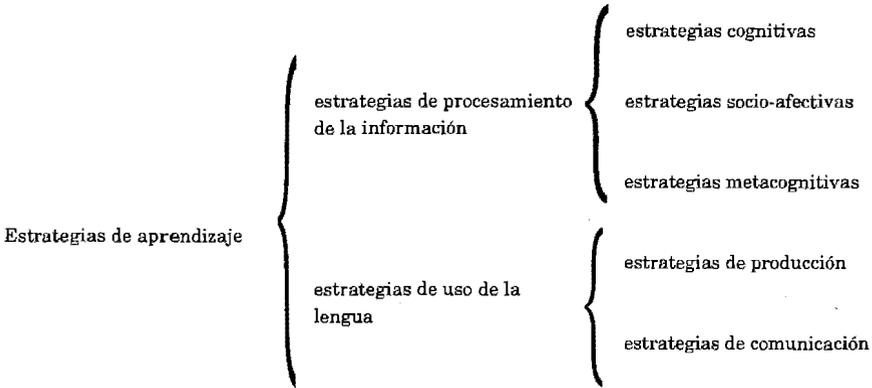
Este es uno de los grandes problemas que atañen a la investigación sobre estrategias. Los propósitos que llevan al uso de estas estrategias son diferentes: el objetivo de la utilización de una estrategia de aprendizaje es la comprensión, internalización y almacenamiento de información; mientras que la finalidad de las estrategias de comunicación es garantizar la transmisión y/o recepción de mensajes con éxito. El problema surge porque las dos realidades se solapan con frecuencia, sobre todo en el aprendizaje de una L2 en el aula. Algunos investigadores resuelven el problema recurriendo a la distinción entre estrategias de aprendizaje y estrategias del aprendiz<sup>3</sup>. Otros como Willing (1989) optan por no distinguir argumentando que el uso de una estrategia conducirá al aprendizaje en numerosas ocasiones. Según Tarone (1980), las estrategias del aprendiz son todas aquellas estrategias utilizadas por un aprendiz de lenguas. Tarone identifica tres tipos de estrategias del aprendiz: estrategias de aprendizaje, estrategias de producción, y estrategias de comunicación. Tarone (1983) asegura que es posible distinguir entre estrategias de comunicación y estrategias de aprendizaje si consideramos la motivación que subyace al uso de la estrategia. El problema, añade Tarone, reside en que no sabemos cómo medir dicha motivación. No obstante, existe una diferencia entre ambos tipos de estrategias, aunque, en ciertas ocasiones, no sea posible discernir qué tipo de estrategia está utilizando un aprendiz. Tarone (1983) establece que una estrategia de producción es un intento de un individuo por utilizar su sistema lingüístico con la mayor eficacia y claridad, y con el mínimo esfuerzo, mientras que una estrategia de aprendizaje es un intento de desarrollar la competencia lingüística y socio-lingüística en la segunda lengua.

En consecuencia, el problema de las estrategias de comunicación y su relación con las estrategias de aprendizaje podría solventarse mante-

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<sup>3</sup> Algunas de las clasificaciones de estrategias presentadas anteriormente, como es el caso de Oxford (1990), incluyen las estrategias de comunicación, aunque no en toda su extensión.

niendo la macrocategoría de estrategias del aprendiz. Las estrategias del aprendiz englobarían las estrategias de aprendizaje y las estrategias de uso de la lengua, integrando de esta manera los enfoques lingüísticos y los enfoques cognitivos de adquisición de segundas lenguas. Tanto las estrategias de aprendizaje como las estrategias de comunicación contribuyen al desarrollo del sistema aproximativo de interlengua del aprendiz en su proceso de acercamiento a la L2. Luego, la distinción propuesta sería una repuesta a las observaciones de algunos autores de la conveniencia de no distinguir si un tipo de estrategias contribuyen directa o indirectamente al aprendizaje serían tenidas en cuenta:



Esquema-resumen de las estrategias del aprendiz de una L2.

## Conclusión

A pesar de las diferencias entre las múltiples líneas de investigación y conceptualización, es posible observar cierto paralelismo entre los distintos estudios. Lo más importante es la coincidencia de las diferentes concepciones de estrategia como responsables de la manipulación del input para contribuir al desarrollo del sistema aproximativo de interlengua entre los diversos autores.

Las estrategias son planes coordinados y contextualizados para lograr determinados objetivos. Constituyen configuraciones o secuencias

de recursos y procedimientos que permiten un procesamiento adecuado de la información y un enfrentamiento eficaz con las exigencias de la situación. Las estrategias de aprendizaje capacitan al individuo para incorporar nuevas informaciones en la estructura cognitiva y recuperar dicha información cuando sea necesario. La noción de estrategia implica atención, conciencia, intencionalidad, no obstante, puede que sea un requisito imprescindible para un buen y eficaz funcionamiento de la misma pasar del uso deliberado y del control sobre dicha estrategia a cierto grado de automatismo.

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## **CLOZE REVISITED: A FEW METHODOLOGICAL SUGGESTIONS**

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### **Resumen**

*Probablemente la gran mayoría de los profesores de inglés como lengua extranjera conocen el modelo de actividad denominado cloze. Se ha investigado ampliamente y se ha utilizado como medida de diversos aspectos lingüísticos. Sin embargo, su potencial como instrumento de enseñanza no parece haber sido explotado tan profusamente. El presente artículo pretende ofrecer una serie de comentarios útiles para el empleo de la técnica cloze en la clase de inglés. Primeramente abordaremos su definición y caracterización, para seguidamente plantear una serie de consideraciones metodológicas. Finalmente, se discutirán algunas de sus posibles aplicaciones.*

### **Abstract**

*Most probably, the great majority of English language teachers are familiar with the model of activity known as cloze. It has been widely investigated and used as a measure of various linguistic aspects. However, its teaching potential does not seem to have been exploited in such a thorough way. The present article aims at offering a series of useful commentaries for the language teacher willing to use cloze in the classroom. We will review some of its constituent features, in order to characterize it briefly, and then will focus our attention on a number of methodological considerations. Finally, some of its possible applications will be discussed.*

## INTRODUCTION

Not many testing/teaching techniques have produced such an amount of literature and have aroused the interest of language teaching professionals in the way cloze has since its appearance in the field stage. It has been around for over 40 years now, which is quite a long time, and it has known both general acknowledgement and disdain.

Basically the cloze procedure consists in selecting a text and omitting systematically a number of words. In principle, this might appear to be a rather simple and straightforward definition. However, the fact is that a total agreement has not been reached along the years with regard to the actual boundaries that delimit what is, and what is not, a cloze. Variables such as the deletion method, or the kind of text selected for its construction, have proved controversial. As for ourselves and the purpose of the present paper, the definition above describes adequately the three main features what we deem to characterize a cloze exercise:

- i. It must be constructed using a text as the linguistic unit to mutilate. This should be cohesive, coherent and self-contained.
- ii. The omission of words, whatever the method adopted might be, needs to be systematic, in the sense that the words are eliminated following a specific pattern (position in the text, position in the sentence, word class, ...)<sup>1</sup>.
- iii. The unit to be deleted will be single words<sup>2</sup>.

Its origins date back as far as 1953, when an American psycholinguist, Wilson Taylor, presented it as a technique for measuring the difficulty that a reading material would pose to native speakers. The name constitutes a transgression -may it be said without any negative nuance- from the English verb «close», since the procedure was

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<sup>1</sup>Wallace (1992), for example, considers the fixed ratio deletion method as a defining requisite for cloze. We have preferred not to restrict the range of varieties in such a way, so that we also include those clozes that are constructed following a rational pattern of omission.

<sup>2</sup>This characterization does not intend to be the one and only, but simply that which we have thought to describe best the cloze procedure. It aims at establishing the basis on which we will develop our discussion, but, of course, the reader may hold a different view of the technique and be perfectly valid. Variety and flexibility are among the most outstanding features of cloze.

originated from the application of the Gestalt concept of closure to the linguistic field. Actually, Taylor justified it on the following grounds: people perceive different parts of an object, figure, thing, etc. as a whole, so that the human mind completes almost unconsciously and automatically what is, in fact, incomplete. This idea, which had mainly to do with visual and geometrical perception, was supposed to apply as well to the way an individual perceives a text in which some parts, that is to say, words, are missing.

The psychological foundation of cloze, at least the one that originated it, has long been refused as a sound and consistent explanation of the process(es) the student goes through while completing it. It is no longer feasible to compare the way in which a person perceives a geometrical shape visually, and the intricate mechanisms that are put into play when someone has to decipher a written message and, besides, has to recover bits of information that have been extracted from it. Undoubtedly, there is an extremely important psycholinguistic side in cloze, but far more complex than that which used to serve to justify it short after its inception.

From the very moment that it was presented by Taylor, it appealed to the interest of teachers and researchers in the field of language learning and teaching. As we said before, the first application proposed was as a measure of readability for native speakers. But soon after, it started to generate new uses, not only with natives but also applied to learners of foreign languages. In the late 50s, it was already being investigated in this field.

The number of uses of the cloze technique that have been postulated is considerably large. The vast majority of them have focused on cloze as a testing device. It has been proposed as a valid measure of readability, global language competence, reading comprehension, vocabulary, etc. Many studies have been designed to show its high correlations with other well-known and reliable linguistic tests and, as a result, many have advocated its use as proficiency, placement and classroom test.

However, this is by no means the only contribution of the cloze procedure to our discipline. The investigations devoted to the study of cloze as a testing device outnumber by far those dedicated to consider its teaching side. Nevertheless, many of the contributions that those

investigations have made may bear great relevance to its use as an activity in class. Given the close interrelationship between testing and teaching, somebody must have thought at some point in time that a useful instrument for measuring the linguistic knowledge of a group of students should also prove useful to teach that same knowledge. From this idea, studies started to proliferate which intended to investigate and show the possibilities that this method could offer as a teaching device. It is on this aspect that we would like to focus our attention in the present paper.

Our main purpose is not other than illustrating the potential and practical usefulness of the cloze technique for the foreign language teacher<sup>3</sup>. To do so, we will select a text and offer a variety of ways of exploiting it in class, always with cloze as the reference point. It is not our intention to present an exhaustive typology of uses and varieties of the technique, but rather to make explicit with practical examples some of the ways in which we teachers can benefit from it, leaving others just mentioned as further options for exploitation.

## CONSTRUCTION

Previous to any other consideration, we would like to make some comments about the selection of material. It is advisable to be very careful when choosing the text we will construct the exercise from. There is a number of factors that must be taken into account when you adopt a particular text and leave others aside. The following can be illustrative in this respect:

- i. the level of difficulty must be adequate to our students. It must always be either at or below their linguistic proficiency level, but never

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<sup>3</sup>Perhaps we should have reduced our last commentary to the English language, since this is the one that we will be dealing with in this paper. We did not do so with the intention of showing that this type of exercise can be successfully and productively applied to a wide range of other languages. Nevertheless, it is convenient to make clear that there exist significant differences among languages which may, in some cases, be very relevant as far as cloze is concerned. Let us only mention languages with graphophonological systems different to ours (Chinese, Arab, ...), or even others not so much far-fetched, but with distinct features that may have influence in the design and purpose of the activity (inflections, word formation processes, syntactic constraints, etc).

above it. Furthermore, there is a crucial factor about cloze, which is the fact that we present linguistic material which has been mutilated; this, as anybody can understand, makes it more difficult to read than the original version. As a result, we recommend to select materials which, un mutilated, are already below the students capabilities.

ii. the text must constitute a solid unit in itself, with a distinct linguistic and discursive structure. In other words, it must be self-contained. This is not to say that it needs to be complex, dense and hard to read. You can have a text constructed with very easy vocabulary and linguistic structures, and still convey a complete and coherent message.

iii. as to the topic, some authors have argued that the text should be *aseptic*, in the sense that it must not deal with questions which could create uneasiness or rejection on the part of some pupils (e.g., euthanasia, abortion, racism, ...), while others do not deem this to be a problem. Our position, as in many other cases, is not definitely for or against any of the options. The selection of a particular topic and its treatment in class may depend on the students, on the teacher, on their relationship, on their social and cultural environment, or on all of them. It can also be directly determined by the type of activity, so that, for example, a controversial point might result extremely productive in a pair, group or class activity, whereas another one which does not appeal so much to the students' feelings, opinions, beliefs, ... will probably fail to do so. In sum, it is important to bear in mind that some topics may create a certain affective conflict on some students and, therefore, should be dealt with carefully, but the choice, as always, is on the teacher's part and his/her analysis of the circumstances.

iv. again depending on the use, it is sometimes convenient to select texts which are long enough to allow a minimum of deletions. Otherwise, it might be the case that you ran out of words and did not have a representative sample of whatever class you wanted. Anyway, as Dangerfield points out, «There is no such a thing as an optimum length, since a number of factors will influence length» (Dangerfield 1985: 157), although this factor must be taken into account.

## SOME METHODOLOGICAL CONSIDERATIONS

The use of cloze as a teaching, and not a testing, instrument conveys a series of implications regarding the way in which it can be exploited that we consider necessary to comment on now briefly. Firstly, there is the question of the correction system. It is perfectly understandable that many authors have advocated for the exact word method (i.e., accept as correct *only* the actual word that the author used in a particular gap), since high correlations have been showed between this and the acceptable word model, and the former implies obvious advantages regarding the preparation of the exercise and the time employed in its correction. By contrast, when it is used as a teaching device, the alleged drawbacks of the acceptable word method become advantages. The main purpose of the activity in this case is clear: to (make the students) reflect about the linguistic material that they have in front of them. This should imply the analysis and discussion of each single gap and the consideration of various alternatives (the more, the better), which must help them decide which is/are correct, or more correct than the others. To reduce the activity to considering only the author's exact word as correct would be to deprive it of an enormous learning potential.

In addition to all this, our personal feeling is that the use of the exact word model of correction is, in essence and by definition, unfair with the students: it is something like telling them that they have done their job well, which is to provide a word that fits correctly in the gap, but unfortunately for them they are not going to get any credit for it, since it does not coincide with another word which, by the way, they are not obliged to know beforehand, unless they have a sort of supernatural gift<sup>4</sup>.

Secondly, and very closely related to what has been said in the previous paragraph, the ultimate aim of the activity is to train our students in making the most of the context the passage provides. To do so, the consideration of different alternatives for each gap and the

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<sup>4</sup>Let us make clear here that we are referring to those cases in which the word does not coincide with the original one, but is still perfectly acceptable. There may be cases in which, determined by the students' level of proficiency, the teacher may want to differentiate between various degrees of acceptability, and deem as correct answers that, strictly speaking, would not be so, because of some subtle semantic or stylistic nuance. The idea is that, up to a certain extent, an answer could be considered as correct when the students are not supposed to possess the knowledge that would allow them to reject it as incorrect.

reasoning and decision about their acceptability seems central. Therefore, it appears convenient to exploit the activity in such a way that the referred alternatives become explicit, so that they are there to be discussed, accepted or rejected. In this way, it is possible to focus on the actual process the individual goes through when trying to complete a cloze text, which may include different linguistic and even extralinguistic strategies.

One of the possible ways to manage this is to adopt a variety that we may call «class cloze», consisting simply in that all the people in the class get involved in completing the activity at the same time. The teacher's role is just one of guider or facilitator of the discussion, rather than just mere corrector and «conveyor of the truth». The exercise may be presented on the O.H.P., or by means of photocopies, or in any other way, but the important point is, obviously, that everybody must have access to the text simultaneously. The teacher proceeds to elicit possible alternatives for the different gaps, and the students will -hopefully- suggest various options, which will be written on the blackboard with no exceptions. The following step will be to consider all the suggestions one by one, and ponder their (degree of) acceptability. At this stage, it is extremely important that the students justify their elections, which will imply providing reasons for theirs and against the others. The resulting discussion, always guided by the teacher as he/she estimates convenient, but handing over the leading role to the students, must develop into a rich and useful reflection on how the language is designed and used. The final outcome will be the adoption of those alternatives that are generally agreed to be acceptable.

Another way of exploitation is just to postpone the teacher-class interaction till the correction stage. This means that the students complete the cloze activity individually and then the teacher, together with all of them, corrects it, following exactly the same process that we have just described.

We would recommend to make use of the first option previous to any other, as it seems to be the best way of presenting the students with a type of activity that could pose some problems if it was to be completed individually for the first time. It is reasonable to postulate that students

perform better and feel more confident if they are familiarised with the format of the activity they are asked to complete, and this seems to be an important aspect to bear in mind when talking about cloze. In our experience, some students have seemed somewhat lost and discouraged when they have faced a mutilated text for the first time. However, if they are shown how to proceed in its realization, and guided along the text and all the contextual information it provides through intensive and extensive practice, their results and, most important, the attitude with which they approach the activity may improve dramatically.

A further way of exploitation in which different alternatives to the same gap are explicit is the «multiple-choice (MC) cloze». This is just a variety of the standard version of the activity that consists in providing the students with an additional help, that is, a list of words for each gap, from which they will have to select the one that, in their opinion, fits in the gap adequately. As a consequence, their task is one of selecting, rather than really producing, the answer.

This variety, along with the standard version of the procedure, has been given much attention when used to test language aspects, but not so much applied to teaching. Authors like Jonz (1976) and Hale *et al.* (1989) have shown its validity and high correlations with the results of other reliable linguistic measures, while others like Soudek & Soudek (1983) and Carter (1988) have, at least, mentioned its application as a teaching instrument. One of its advantages is that the problem of adopting one method of correction or another is eliminated, as there is always one answer that is fully correct. Among its drawbacks, we could cite that the construction is not so simple and straightforward as just omitting a series of words. The constructor of the activity must be careful about his/her selection of the distractors (those words in the list which are not correct), so that they are not too overtly, or too covertly, so. This can be a hard work, and some authors have recommended to make use of the most common wrong answers in each gap to select the distractors. That is, the teacher collects completed clozes from a group of students and analyses their answers, so that the list of words that he/she provides in each gap will contain the right answer and, say, the three ones that have occurred in a larger number of occasions. Anyway, this is just a suggestion, and the teacher always has the choice of focusing on a given

linguistic aspect that is interesting to practise for whatever reasons, in which case he/she will design the answers according to his/her own criterion.

In spite of the extra effort on the part of the teacher to find plausible distractors, the potential of this model for the language classroom makes it worthy. Interestingly enough, Madsen (1983) makes the observation that this variety is especially suited to test -and, therefore, we would add, to work on- the students' passive linguistic knowledge, or rather, their passive vocabulary, that is, that vocabulary that they do not use but are able to understand. Their task, as we said above, is not one of guessing, but one of recognizing among several options, which is very different. This fact seems to favour the use of the M-C cloze as an intermediate step towards acquiring the skill of recovering meanings and words from context.

## **A HANDFUL OF USES**

As well as its applications, the number of varieties from the standard format of the cloze technique is considerable. To adopt one or the other is up to the user, as he/she knows which one suits his/her needs best. We have already commented on the use of the multiple-choice cloze format, which allows, on the one hand, to exploit the exercise in an alternative way from the usual one, and, on the other, to illustrate the range of options that could be encountered in each gap of the text and the differences between them. In the same way, you can think of the oral variety, or the use of pictures, or the employment of a target word instead of the usual gaps. Similarly, there is a wide range of options regarding its applications. In the following lines we intend to turn our attention to some of the numerous uses that can be made of the cloze technique.

Maybe the most obvious of its applications is to check and work on the students' degree of reading comprehension. It seems reasonable to postulate that the number of correct answers must have, at least, something to do with their actual understanding of the text. We are not going to deal with this aspect in depth for two reasons: in the first place, it is conspicuously useful and usable for any teacher who is not very

familiarised with the cloze procedure; in the second place, it is implicitly present in almost all the others, as we could not focus on, say, the author's use of this kind of vocabulary or the other if the students were not able to even understand what the text says.

Let us, therefore, turn our attention now to the first of the possible uses of this activity, which is vocabulary.

### **Vocabulary**

The author's choice of a given word or group of words is directly determined by his/her communicative intentions, that is to say, what he/she wants to express and how he/she wants to express it. As a consequence, the text as a whole, and each of its constituent features, will condition, and be conditioned by, this choice. Aspects like the cohesive structure of the text, its register and others, are conveyed by actual words that were selected while others were rejected. A cloze text provides the opportunity to focus on the particular choice(s) the author made when writing the passage.

The broadest distinction that can be made among word classes, attending to their meaning, is that between lexical and function words. When we speak about vocabulary, it is the first of these classes that we want to refer to, since they carry the fundamental part of the lexical content of the message, that is to say, what they convey is not (only) a grammatical function but, first of all, a lexical one. We are talking about four categories of words: nouns, lexical verbs, adjectives and adverbs. In our sample cloze text (see the appendix), the actual distribution of word classes is as follows:

<b>LEXICAL WORDS</b>	<b>31</b>	<b>64,58%</b>
NOUNS: 9 (gaps no. 3, 6, 7, 19, 20, 22, 24, 34, 38).		
VERBS: 10 (gaps no. 2, 10, 11, 12, 14, 15, 17, 30, 35, 44).		
ADJECTIVES: 4 (gaps no. 8, 37, 39, 48).		
ADVERBS: 8 (gaps no. 16, 18, 21, 29, 31, 40, 42, 43).		
<b>FUNCTION WORDS</b>	<b>17</b>	<b>35,42%</b>

The distribution of lexical and function words may change considerably from texts to texts, depending on a number of factors, like the style, the topic, the register, and so on. In our example, the former clearly outnumber the latter, which should always be taken into account when considering its actual application. In the event that this distribution should not suit the constructor's needs, the starting point of the deletions could be modified to see if the ratio changes, or a selective method of omitting words could be employed, or even the whole text might be changed for another.

In any case, there will always be a number of lexical words that will be deleted in a cloze and that will allow the teacher to work on them. We would recommend this technique to be used in the practice stage when working with vocabulary, since the students will feel more confident on their knowledge of the actual words they are learning. Otherwise, it would be frustrating, on their part, and unfair, on ours, to demand from them to recover words that they are not familiar with.

Whenever we employ the standard version of the cloze procedure, i.e., with no extra clues to help them, we will give credit to any answer that conforms to the contextual constraints of the gap. The fact that different students provide different answers for the same gap will allow us to make explicit the differences between the alternatives, and to discuss on their various degrees of acceptability. On the other hand, it is undoubtedly advisable to take into consideration wrong answers as well, since they will, most probably, yield to richer and more helpful commentaries regarding morphosyntactic, semantic and pragmatic considerations.

In real situations, words are rarely found in isolation. They always appear within a context, which may be exclusively linguistic but also extralinguistic. Cloze provides an excellent opportunity to deal with vocabulary in its natural environment, which is a text. As a self-contained and complete linguistic unit, any text usually contains words that are related to one another by means of their semantic content or even by their occurrence in that particular context. Since they are put together to form a bigger entity, they enter into a number of interrelations among them that allow the reader to perceive the text and its message as a

whole. In this way, the words acquire and express their full meanings. Carter (1988) refers to these intratextual relations between words as co-reference, co-classification and co-extension, which in turn give way to identity (same referent) and similarity (different referent) chains within the text. The former relies more on grammatical cohesion, whereas the latter is usually directly connected to lexical cohesion. To illustrate this point, we can consider the chain established in our sample text by those words that refer to the author's problem: «absentmindedness» (l. 1), «sense» (l. 7), «doubt» (l. 11), «sanity» (l. 11), «affliction» (l. 17), «unhinged» (l. 27), «wrestling» (l. 32), «distant» (l. 32), «blank» (l. 35), «sufferers» (l. 36), «remotest» (l. 37), «dawned» (l. 48). The cloze text allows both teacher and students to analyze and practise on, not just word meanings in isolation, but their full lexical charge in a real linguistic context; in Carter's words: «The use of cloze procedure in this instance is designed to direct the student's attention to the lexical constituents of his text and to underline the part played by particular items in its coherent organization» (Carter 1988: 170).

The choice between the fixed (every 'nth' word) and the rational deletion method will depend on the particular needs detected by the teacher and the use he/she wants to make of the activity. For intensive practice, it might be convenient to omit selectively (some of) those words that enter into the lexical chains referred to above. It would even be possible to differentiate among these items, attending to their degree of coreness or neutrality/expressivity. On the other hand, extensive practice with this technique will, most probably, provide enough opportunities to focus on this aspect without having to choose particular items. In any case, it is important to underline the great significance of discourse sensitivity in the use of the cloze procedure.

### **Genres/Registers**

In direct connection to this treatment of vocabulary is the question of developing and working on the students' awareness of different genres and registers and the linguistic markers that differentiate among them. Again, the fact that cloze is constructed from a whole text enables us to advocate for its advantages when focusing on this aspect in class.

It is well known that people speak and write in different ways depending on the person they are addressing to, or on the overall situation in which communication takes place. In the same way, the topic and the purpose of the message can determine up to a great extent the speaker's/writer's choice of a type of linguistic components or other. Consequently, these choices acquire their full and real value when used in context. Once again, the cloze procedure provides this contextualization, which makes explicit a series of interrelations among words and with their extralinguistic conditions. This is a much more valid and realistic way of dealing with differences between genres and registers than simply telling the students that such and such expressions are, say, formal or informal.

Consider, for example, gap no. 31 in our text. The missing word is part of a rather colloquial greeting expression, which, incidentally, is in direct connection with the fact that both characters «knew each other quite intimately» (l. 29-30). This could help illustrate its difference with any other more polite construction. Eventually, the teacher who was willing to work more in depth on this aspect could construct the cloze exercise from texts in the form of dialogues, in which these differences are usually more conspicuous and yield themselves to clearer and more common chances of comparison. Actually, this has been described as a variety of the technique, referred to as "conversational cloze" (Brown 1983), whose defining feature is that it is constructed from the transcripts of conversations.

With advanced students, the cloze procedure can also be used to work on and enhance the students' stylistic sensitivity in literature. The way of exploiting it with this application is roughly the same as when working with genres and registers. The activity gives the opportunity to compare among different alternatives for the same gap, all of which could be lexically and grammatically correct, to decide which one matches best with the text/author's/literary movement style. Once again, the discussion in order to make a decision is as important as, or even more than, the actual outcome of the activity.

## Cohesion

We have already dealt with the treatment that vocabulary can be given using the cloze technique. It has been shown that lexical words play their part, and usually a very important one, in the cohesive and coherent structure of a text. Now, we would like to have a brief look at the cohesive role that the other large type of words, i.e., function words, can fulfil. We are talking about auxiliaries, prepositions, conjunctions, pronouns and determiners.

The function of these words is primarily grammatical, although eventually they can also bear semantic implications. Theirs is an extremely important job, in order to create and maintain a logical and sequenced structure in the whole text. Some paragraphs above we commented on Carter's identity and similarity chains. Words like pronouns (gaps no. 9, 36) and determiners (gaps no. 13, 23, 28, 41, 47) -though not exclusively- are the ones responsible for the former, since they usually share referent with other word(s) within the same text. In turn, the prototypical function of prepositions (gaps no. 4, 5, 25, 32, 33, 45) and conjunctions (gaps no. 26, 46) is to join ideas or groups of ideas together, so that they are perceived to be parts of a whole. Therefore, the contribution of these elements is crucial in the construction of organized and self-contained texts.

Obviously, the reader, along with the writer, has to be aware of this, in order for him/her to be able to cope with the text. A cloze activity in which some of these words have been omitted can result very illustrative as to their textual function. Again, the constructor has the choice of omitting selectively only those words that he/she wants to work on, or he/she can make the deletions on a regular basis, taking care that the text selected will allow for enough omissions being relevant to the purpose of the activity.

Some authors have spoken about a variety called "discourse cloze". Levenston *et al.* (1984) argue that a text can be considered as a hierarchy of units at different levels of analysis, from word to discourse. The processing of these units involves the use of a series of strategies corresponding to those same levels. When the reader employs

higher-order skills, it can be presupposed that he/she is able to make use of the lower-order ones. They suggest a cloze model in which they only eliminate those words that mark, in one way or another, relations between propositions. In this way, the person completing it is obliged to make use of his/her higher-order language processing skills, which operate at a textual level. These authors focus their attention on the testing side of the variety, but mention the possibility of using it to create and/or enlarge the students' awareness of the macro-structure of texts and its linguistic markers.

In turn, Deyes (1984) criticizes this model on the basis that it describes a textual cloze, not an authentic discursive one. For this author, limiting the deletions to function words implies refusing to the discursive side of the activity, which depends mostly on what he calls «communicative units». These will not always be realized by single words, for which reason the constructor must no longer base the deletion system on words, but on whole communicative units, like subject, verb, object or adverbial group. Surely, some might have problems to admit this model within the cloze family, but its interest as a classroom activity is what counts above any other consideration, and that is why we have included it in our discussion (see note 5).

### **Inflexional system**

So-called inflexive languages are the ones that would benefit more from this application of the cloze procedure, which consists basically in focusing on word formation and derivation processes. English is not one of those languages, but it still keeps quite a rich inflexive system. The ability to identify formal markers in words, so that the reader can predict the class to which they belong, as well as their syntactic function, even though he/she had never seen that word before, can contribute considerably to the overall improvement of reading comprehension, as well as of some of the skills and strategies this depends on, like, for instance, anticipating or deducing meanings from the context.

Moreover, students have conspicuous problems to differentiate, and to make use of, words which share the same stem but belong to different

word classes. It is perfectly licit to provide the students with lists of stem words and their derivatives, as well as lists of affixes together with their meanings. But along with this, it seems necessary to give them enough practice in the identification and production of this type of items. Their occurrence within a text usually provides the contextual information that is necessary for the reader to become aware of both their morphosyntactic and semantic features.

The cloze technique can, again, be constructed and utilized in a variety of ways to practise the inflectional English system. It can be produced by the fixed ratio deletion method, so that it may give way to a reduced number of omissions that are significant in this respect; in this case, the teacher can comment on them as an additional point in the whole activity. We can also focus specifically on the omission of those words that are relevant because of their inflectional nature, and deal more in depth with their differences. Finally, some authors (Madsen 1983, Levenston *et al.* 1984) have also suggested what has been called the "inflectional cloze", in which you no longer omit full words but only their derivational part, that is to say, those linguistic elements that have been added to the stem to form a new word<sup>5</sup>. The words corresponding to gaps no. 10, 21, 24, 29, 39 and 48 in our sample text can be illustrative as to the use that we have just considered.

As we said at the beginning of the present paper, this is not an exhaustive typology of cloze applications as a teaching device. Our main intention has been to illustrate its potential in the language class by means of some uses and methodological suggestions. Both of them are by no means prescriptive, since the reader can adopt, adapt or reject (some of) them according to his/her personal feelings, preferences and circumstances. In fact, one of the positive arguments for the use of cloze in class is, in our opinion, its versatility and adaptability to different situations. It is up to the teacher to make the best use of it, choosing from the great range of varieties and applications the technique provides.

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<sup>5</sup>We are perfectly aware of the possible objections that some people might have to consider this last model -as well as Deyes' discursive cloze, which we treated some paragraphs before- to belong to the cloze family. We will not enter now into discussing or justifying one position or the other. We have included it here because we think it can be an illustrative and interesting model of activity, regardless what we call it or what it belongs to. As long as it works out well and conforms to the teacher's needs and expectations, it is sufficiently justified.

## APPENDIX

We constructed our cloze text by omitting every eighth word from the original on a regular basis, starting the deletions from the second paragraph, in order for the students to be able to get familiarised with the topic and the style of the text. It was taken from a textbook intended for students willing to achieve a First Certificate level of English. The actual result is the following:

“My absentmindedness, though constant and long-standing, has usually manifested itself in trivial ways. Brushing my teeth with shaving cream and wondering why the new toothpaste tasted so foul and made me foam at the mouth. Stopping in the middle of a veterinary round and  
5 trying to think where the devil I was going. Forgetting to put my dog back into the car after a country walk and having to dash back to the spot where, showing more sense than his master, he would be patiently waiting. Enclosing letters in the wrong envelopes with wildly embarrassing results.

10 However, there are two incidents which, though .....<sup>1</sup>..... world-shaking, may have caused certain people to .....<sup>2</sup>..... my sanity.

The first was when my .....<sup>3</sup>..... asked me to take the sitting-room clock .....<sup>4</sup>..... be repaired. With my two young children .....<sup>5</sup>..... the car I drove into the market .....<sup>6</sup>..... of our little town and, clock  
15 under .....<sup>7</sup>....., entered the shop. Only it wasn't the .....<sup>8</sup>..... shop: it was the butcher's. My children, .....<sup>9</sup>..... always delighted in their father's affliction, watched .....<sup>10</sup>..... as, with my thoughts far away, I .....<sup>11</sup>..... staring into the butcher's eyes.

I had .....<sup>12</sup>..... a customer for a long time and .....<sup>13</sup>.....  
20 good man smiled in anticipation as he .....<sup>14</sup>..... his cleaver in his hand and I .....<sup>15</sup>..... my clock. This went on for several .....<sup>16</sup>..... long seconds before I realised where I .....<sup>17</sup>..... . There is no doubt I should have .....<sup>18</sup>..... purchased a pound of sausages, but my  
25 .....<sup>19</sup>..... to the world was too sudden, the .....<sup>20</sup>..... of explanation too unthinkable. I merely nodded .....<sup>21</sup>..... and left.

The other man in our .....<sup>22</sup>..... who probably thinks I am unhinged is .....<sup>23</sup>..... Mr Craythorne. Some years ago he was .....<sup>24</sup>..... of Mead's grocer's shop, his children went .....<sup>25</sup>..... the same school as mine, and he .....<sup>26</sup>..... I knew each other quite  
30 intimately.

He .....<sup>27</sup>..... standing in the doorway of his shop .....<sup>28</sup>..... day when I passed, my brain, as .....<sup>29</sup>....., wrestling with some distant problem, my eyes .....<sup>30</sup>..... into space.

I heard his voice: 'Now .....<sup>31</sup>....., Mr Herriot,' and turned a  
35 blank gaze .....<sup>32</sup>..... him.

Only fellow sufferers will understand that .....<sup>33</sup>..... that moment I had not the remotest .....<sup>34</sup>..... who he was. To whom, I desperately .....<sup>35</sup>....., belonged this very familiar face? Then, as .....<sup>36</sup>..... floundered, I noticed the word 'MEAD' in .....<sup>37</sup>..... letters  
40 above the shop window.

'Good morning, .....<sup>38</sup>.....,' I cried heartily, giving him a smile .....<sup>39</sup>..... of friendliness and relief.

I had gone .....<sup>40</sup>..... a few steps before I realised that .....<sup>41</sup>..... greeting had been not only impolite but .....<sup>42</sup>.....  
45 arrogant. I turned back and addressed him .....<sup>43</sup>.....

'Good morning, *Mister* Mead,' I said.

It .....<sup>44</sup>..... only when I had turned the corner .....<sup>45</sup>..... the street and come to the surface .....<sup>46</sup>..... it dawned on me, too late, that .....<sup>47</sup>..... name was Craythorne and the time was  
50 .....<sup>48</sup>..... afternoon."

## List of words omitted:

- |              |              |                |
|--------------|--------------|----------------|
| 1. not       | 17. was      | 33. at         |
| 2. doubt     | 18. calmly   | 34. idea       |
| 3. wife      | 19. return   | 35. cogitated  |
| 4. to        | 20. prospect | 36. I          |
| 5. in        | 21. briefly  | 37. foot-high  |
| 6. place     | 22. town     | 38. Mead       |
| 7. arm       | 23. a        | 39. compounded |
| 8. right     | 24. manager  | 40. only       |
| 9. who       | 25. to       | 41. my         |
| 10. giggling | 26. and      | 42. somewhat   |
| 11. stood    | 27. was      | 43. again      |
| 12. been     | 28. one      | 44. was        |
| 13. the      | 29. usual    | 45. of         |
| 14. twirled  | 30. staring  | 46. that       |
| 15. clutched | 31. then     | 47. his        |
| 16. very     | 32. on       | 48. late       |

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# ACTITUDES Y MOTIVACIÓN EN LA CLASE DE INGLÉS (1° DE BUP)

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## **Resumen**

*En este trabajo se definen los constructos actitud y motivación desde un punto de vista cognitivo, se identifican los componentes básicos que los constituyen y se representan de forma interrelacionada tal y como creemos que actúan en la clase de inglés. Posteriormente, se exploran las opiniones y creencias de los alumnos de 1° de BUP respecto a algunos de esos elementos constitutivos por medio de cuestionarios abiertos y cerrados, que nos ofrecen datos de interés relativos a las percepciones de los alumnos respecto a: los agentes motivadores más relevantes, el potencial motivador del inglés como asignatura, las actividades de clase, el libro de texto, el profesor de inglés, la influencia del ambiente y la orientación de los alumnos (motivos por los que estudian inglés).*

## **Abstract**

*In this paper the constructs attitude and motivation are defined from a cognitive point of view and their fundamental components are identified and interrelated as we think they operate in the FL teaching and learning process. After that, we report on a group of Secondary School students' opinions and beliefs with regard to some fundamental attitudinal and motivational aspects and we offer data related to their perception as reflected in a set of open and closed questionnaires used to control the six following variables. The results obtained give us interesting clues about the most relevant motivational agents in the English class, the most and least attractive classroom tasks, the most motivating aspects of the English teacher and the textbook, the influence of the environment and, finally, the student's orientation, that is, his/her personal reasons for learning English.*

He aceptado con satisfacción la invitación que nos brindan los editores de este libro, en memoria de nuestro querido amigo y compañero Paco Manzaneda, pero al mismo tiempo con inevitable pesar y tristeza al pensar que ya no podremos realizar más trabajos en colaboración. Pero, a veces, la vida es así y así hay que aceptarla.

Además de cambiar impresiones con él en nuestras múltiples reuniones de Departamento, en 1992 tuve la suerte de coordinar y compartir varios seminarios de doctorado sobre la investigación de los factores motivadores en el aula de inglés, donde nuestro amigo Paco, a través de sus exposiciones orales y de sus comentarios, nos desveló aspectos muy interesantes de su vocación docente e investigadora en relación con la motivación. Aquel curso de doctorado culminó con un trabajo de investigación que presentó nuestro compañero junto con F. Pedrinaci en junio de 1992 (Véase *Guadalbullón. N°7*, pág:73-ss). Este artículo está basado en sus resultados y conclusiones, y lo hemos preparado como recuerdo y homenaje póstumo a una gran persona y excelente profesional que, sin duda, todos venimos echando de menos desde que se nos fue para siempre.

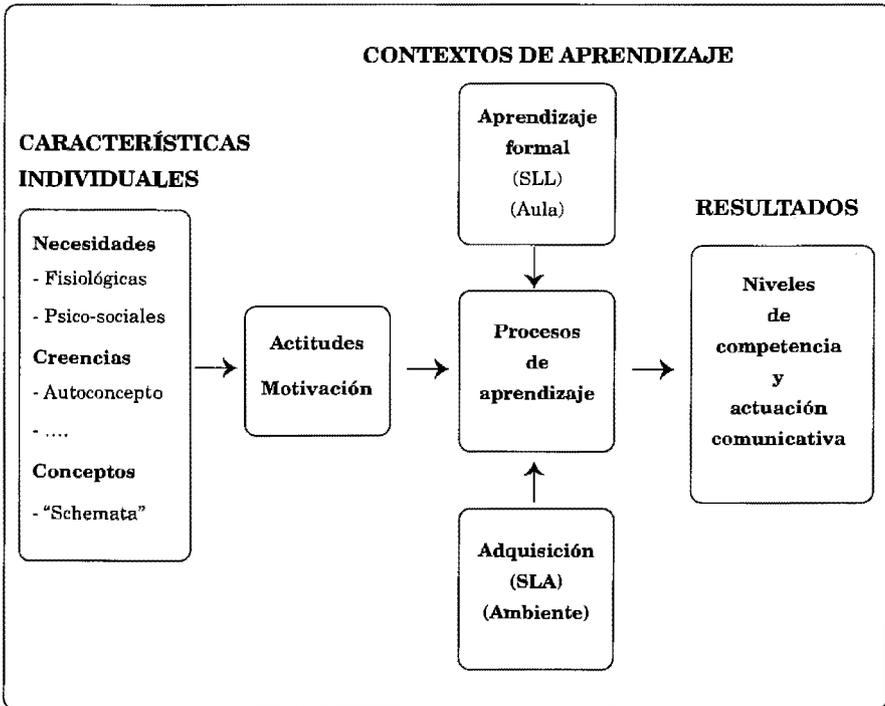
Después de esta investigación, nuestro compañero P. Manzaneda comentó que el tema le había «calado» y que deseaba profundizar en los aspectos motivadores del profesor de inglés para su futura tesis doctoral. Lamentablemente, el destino no le permitió pasar de aquí. Hemos perdido, sin duda, un gran trabajo y a un gran amigo.

## **Introducción**

En este trabajo se revisa la conceptualización de los constructos *actitudes* y *motivación*. Una vez definidos, se explora la opinión de un grupo de alumnos de 1º de BUP (del I.N.B. «Fuente de la Peña» de Jaén, donde P. Manzaneda trabajó durante varios años) sobre los factores actitudinales y motivacionales que ejercen mayor influencia en su comportamiento, en el aula de inglés.

Varios autores han resaltado la importancia de los factores motivacionales y su incidencia en los procesos de enseñanza y aprendizaje de las lenguas extranjeras (E/ALE) (cf. Jakobovits, 1970; Ames y

Ames, 1985; Gardner, 1985; Crookes y Schmidt, 1991; Madrid et al. 1993a, 1993b). Con frecuencia, el éxito o fracaso de los alumnos con la LE se suele justificar en base a sus actitudes hacia las actividades de aprendizaje, en el interés y en la atención que ponen, en el esfuerzo que realizan,... es decir en una serie de factores afectivos y emocionales que definen su estado motivacional. Varios trabajos de investigación han puesto de manifiesto que los **factores afectivos** (actitudes y motivación) desempeñan un papel fundamental en el proceso de E/ALE y condicionan el rendimiento de los alumnos (Gardner, 1985; Nicholls, 1985; Stipek, 1985). Su lugar en el proceso de la E/ALE podría representarse tal y como se muestra en la figura 1.



*Fig. 1 El lugar de las actitudes y la motivación en el proceso de enseñanza y aprendizaje de las lenguas.*

Los conceptos de *actitud* y *motivación* son complejos y difíciles de delimitar conceptualmente, ya que se suelen utilizar con varios significados. Con frecuencia se emplean juntos y casi como sinónimos, pero existen diferencias importantes que conviene aclarar.

## 1. LAS ACTITUDES

En la actualidad, se considera que una actitud es un concepto múltiple que engloba varios componentes:

- a) *cognitivo*: creencias del individuo y opiniones;
- b) *afectivo*: tono emocional, reacción emotiva;
- c) *conativo*: disposición hacia una acción determinada, tendencia a comportarse de una forma determinada hacia algo;
- d) *evaluativo*: valoración positiva o negativa.

Algunas definiciones han logrado incluir todos estos componentes, pero otras ofrecen una visión más parcial:

*«an attitude is a mental and neural state of readiness, organized through experience, exerting a directive or dynamic influence upon the individual's response to all objects and situations with which it is related» (Allport, 1954:45)*

*«... an evaluative reaction to some referent or attitude object inferred on the basis of the individual's beliefs or opinions about the referent» (Gardner, 1985:9)*

*«... a relatively permanent disposition towards another person or event in our lives» (Hayes y Orrell, 1995:9)*

De forma esquemática, los componentes fundamentales de la actitud podrían representarse así.

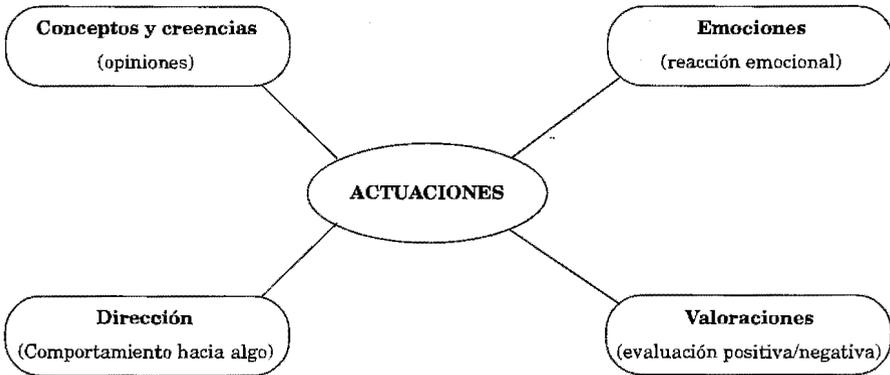


Fig. 2 Aspectos constitutivos de las actitudes

En el ámbito de las lenguas extranjeras, las actitudes de los alumnos se manifiestan mediante:

- a) un conjunto de *creencias* y opiniones sobre la enseñanza y aprendizaje de la LE;
- b) determinadas reacciones y *tonos emocionales* a lo largo de esos procesos de E/ALE;
- c) cierta predisposición o *tendencia* a comportarse de varias formas en las diferentes situaciones de clase;
- d) una valoración positiva, negativa o indiferente respecto a esas situaciones de E/ALE.

## 2. LA MOTIVACIÓN

El concepto de motivación también es muy complejo y se emplea con varios sentidos. El uso más frecuente se refiere al proceso interviniente o al estado interno de un organismo (individuo) que lo conduce hacia una acción determinada. En este sentido, la motivación se convierte en un activador de la conducta humana. Los estados motivacionales, lo mismo que los actitudinales, se generan por efecto de un conjunto de factores o variables que se interaccionan:

## 1) Las necesidades humanas

Existen a) *necesidades fisiológicas*, con base neurológica y bioquímica. Por ejemplo, las necesidades primarias: el hambre, la sed, el sexo, etc. y b) *necesidades psicosociales*: instrumentales, integrativas, de ocio y esparcimiento, educativas y formativas, comunicativas, etc. Las primeras teorías psicológicas que surgieron a principios de siglo se basaron en los instintos humanos y en las necesidades primarias para explicar la motivación de los individuos.

## 2) Las creencias, las opiniones y los valores

Desde el punto de vista cognitivo, las creencias y las opiniones de los individuos influyen en sus estados motivacionales. La teoría de la *atribución* (Kelly, 1967; Weiner, 1980) parte de que los individuos desean comprender y descubrir por qué nos ocurren determinadas cosas; es decir, tratan de buscar las relaciones causales de los acontecimientos, sobre todo, de los imprevistos y adversos. Estas causas pueden deberse a factores internos, tales como la inteligencia, la aptitud para las lenguas, etc. o a factores externos al individuo, procedentes del ambiente: dificultad de las tareas de clase, influencia de los padres, etc. La percepción del individuo respecto al mecanismo de control de esos factores, el hecho de que considere que ese mecanismo se encuentra en él/ella, interno, y depende de él/ella o que, por el contrario, se encuentra fuera de él/ella y lo que ocurre depende de otros factores que no se pueden controlar es de vital importancia. Esta dicotomía relativa al control interno o externo de la conducta humana es la base del constructo que Rotter (1966) llama «locus of control».

De especial importancia también es el autoconcepto del alumno, su autoestima, su sentido de eficacia y sus percepciones sobre sus capacidades para el aprendizaje de la LE.

La importancia de las creencias y de las valoraciones de los individuos no solo en su estado motivacional sino en su comportamiento en general, ha sido resaltada por Kelly (1955, 1963), cuando habla de los *constructos personales*. Según Kelly, cada uno de nosotros desarrollamos nuestro propio conjunto de teorías que usamos para darle sentido al mundo que nos rodea. Estas teorías son usadas para predecir el compor-

tamiento de la gente con la que nos interrelacionamos, dirigen nuestras acciones e influyen en nuestra conducta; por consiguiente, tienen una influencia directa en nuestra motivación.

En este sentido, cada uno de nosotros actuamos como «un científico» en nuestras actividades y experiencias cotidianas. No nos limitamos a aceptar lo que nos sucede, sino que construimos teorías sobre ello para comprenderlo e interpretarlo. Estamos continuamente desarrollando ideas sobre el comportamiento de los demás y las aplicamos a la hora de explicar los comportamientos. Por consiguiente, la exploración del sistema de creencias de nuestros alumnos y el análisis de sus percepciones sobre la E/ALE nos puede dar claves importantes para explicar su comportamiento: actitudes, motivación, rendimiento, etc.

### **3) El deseo y el interés por conseguir la meta**

El individuo motivado desea y quiere conseguir aquello por lo que se siente motivado; es decir, muestra un deseo, unas ganas y un interés manifiesto hacia la meta (el aprendizaje de la LE).

### **4) El esfuerzo por conseguir la meta**

El deseo para alcanzar la meta actúa como fuerza motriz de la acción y repercute en el trabajo, empeño y espíritu de lucha que se emplea para conseguir los fines. Un individuo motivado para aprender una LE trabaja, lucha y se esfuerza para aprenderla. Ahora bien, como señala Gardner, el *esfuerzo* en sí no es suficiente si no va acompañado del *deseo* de aprender y de *actitudes favorables*:

*« Effort alone does not signify motivation ... Many attributes of the individual, such as compulsiveness, desire to please a teacher, ... might produce effort ... When the desire to achieve the goal and favourable attitudes toward the goal are linked with the effort or the drive, then we have a motivated organism »*  
(Gardner, 1985:10-11)

### **5) La meta**

La meta o fin que se pretende conseguir actúa continuamente como estímulo que activa todos los componentes que se ilustran en la figura 3. El individuo, cuando está motivado, actúa en dirección a la meta. La

orientación del individuo hacia la meta se manifiesta a través de una serie de razones o motivos personales por los que se estudia la LE. A este constructo, Gardner (1985:54) lo denomina *orientación* de los individuos: «*Orientation refers to a class of reasons for learning a second language*»

En nuestro caso, la meta o fin que se propone el individuo es el aprendizaje de la LE. Ese movimiento hacia la meta está motivado por una serie de *necesidades y creencias* que influyen en las razones personales que tiene cada individuo para estudiar idiomas, es decir, en su *orientación*.

Aunque Gardner (1985) clasifica la orientación de los individuos en dos categorías muy generales, *orientación instrumental* (para disfrutar de mejores y mayores posibilidades de empleo, promoción, reconocimiento social, etc.) y *orientación integradora* (para comprender mejor a la comunidad extranjera e integrarse en ella) hemos optado por una clasificación que diferencie otros matices:

- a) *motivos profesionales*: para abrirse camino en el mundo laboral desde la comunidad de origen;
- b) *orientación integradora*: para buscarse la vida dentro de la comunidad extranjera;
- c) *motivos orientados al ocio y esparcimiento*: para viajar por el mundo y entenderse con otras gentes, entender los programas de TV y el cine en LE;
- d) *orientación comunicativa*: para relacionarse con los extranjeros que nos visitan o están establecidos en la comunidad de origen, entender mensajes en la LE, etc.
- e) *razones educativas y formativas*: para mejorar la educación del individuo.

## 6) Los factores emotivos

Según los resultados finales que consiga el individuo con el aprendizaje de la LE (meta), así experimentará mayor o menor grado de satis-

facción y su estado motivacional aumentará, disminuirá o se mantendrá creándose cierto sentimiento de éxito o fracaso. Es decir, la percepción de los aprendices respecto al grado de consecución de la meta afecta a sus *creencias* y *expectativas*, *deseo* de aprender, *actitudes* hacia el aprendizaje y *esfuerzo* para aprender. Por tanto, conserva, aumenta o disminuye su estado motivacional.

En resumen, los componentes fundamentales que hemos identificado en el constructo *motivación* son los siguientes:

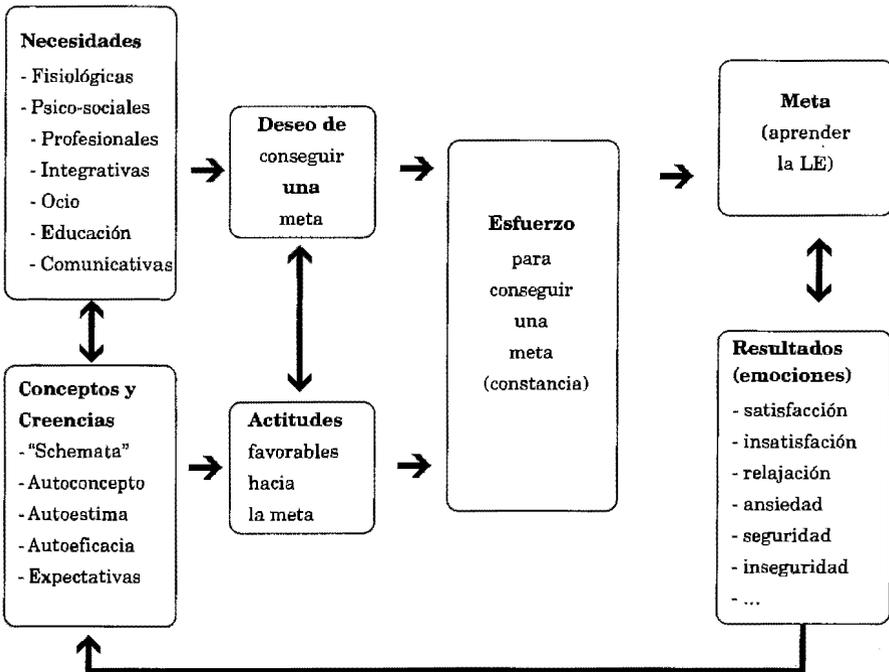


Fig. 3 Interrelación entre los factores que intervienen en el estado motivacional de los individuos.

### 3. VARIABLES CONTROLADAS

En este trabajo se controlaron solamente las creencias, opiniones y percepciones de los/as alumnos/as respecto a las siguientes variables:

## 1. AGENTES MOTIVADORES:

### 1.1. Aula de LE

#### 1.1.1. Libro de texto

### 1.2. Profesor de LE

### 1.3. Influencia del ambiente

### 1.4. Potencial motivador de la LE como asignatura

### 1.5. Valor instrumental de la LE

### 1.6. Deseo de integración en países de LE

#### 1.6.1. Actitud hacia los hablantes de la LE

## 2. MOTIVOS DOMINANTES (ORIENTACIÓN)

### 2.1. Profesionales

### 2.2. Integrativos

### 2.3. De ocio

### 2.4. Comunicativos

### 2.5. Formativos

## 4. CUESTIONARIOS APLICADOS

Las variables anteriores se controlaron mediante cuestionarios donde los alumnos expresaron su opinión, sus valoraciones y creencias respecto a los ítems siguientes. Es decir, hemos operado dentro del paradigma del *pensamiento del alumno* que concibe a los aprendices: «... como agentes activos cuyos pensamientos, planes, percepciones influyen y determinan su conducta» (Marcelo, 1987:13)

### *Cuestionario 1:*

Recoge las opiniones de los aprendices sobre la incidencia de 6 posibles *agentes motivadores* en su estado motivacional: 1) las tareas del aula, 2) la personalidad del profesor y su actuación en el aula, 3) la

influencia del ambiente, 4) la LE como asignatura, 5) el valor instrumental de la LE y 6) el deseo de integración en países que hablan la LE.

*Cuestionario 2:*

Con este cuestionario se recogió información sobre el potencial motivador de las siguientes asignaturas en relación al inglés: 1) Matemáticas, 2) Lengua y Literatura, 3) Idioma Extranjero, 4) Sociales, 5) Ciencias Naturales, 6) Dibujo, 7) Música, 8) E. Física y Deportes.

*Cuestionario 3:*

Informa sobre el efecto motivador de las tareas más frecuentes que se realizan en el aula.

*Cuestionario 4:*

Recoge la opinión de los alumnos sobre el libro de texto de inglés e informa sobre las actividades que agradan más y menos.

*Cuestionarios 5 y 6:*

Suministran claves fundamentales para conocer la actitud hacia el profesor de inglés, lo que agrada más y menos.

El cuestionario 5 es abierto y los alumnos pudieron informar sobre las conductas que aceptaban con mayor agrado. El cuestionario 6 era cerrado y se empleó para conocer las cualidades que más valoran los alumnos en los profesores de inglés, entre una relación de 40.

*Cuestionario 7:*

Con este cuestionario los alumnos expresaron su opinión sobre la influencia que creen recibir del ambiente.

*Cuestionario 8:*

Finalmente, se les preguntó por su orientación, es decir, en qué grado se sentían motivados para estudiar la LE por diversas razones.

## **5. CARACTERÍSTICAS DE LA MUESTRA**

El estudio que presentamos aquí se llevó a cabo con la muestra siguiente:

Centro: I.N.B. «Fuente de la Peña»

Población: Jaén

Curso: 1º de BUP

Número de alumnos: 36: 19 alumnos y 17 alumnas

Fecha: Abril de 1992

*Fig. 4 Características de la muestra*

## **6. RESULTADOS Y CONCLUSIONES**

### **6.1. Los agentes motivadores**

La opinión de los alumnos respecto a las fuentes de motivación que ejercen mayor influencia es la siguiente:

- 1º La importancia de los idiomas en la sociedad actual para abrirse camino en la vida.
- 2º El deseo de vivir en los países de habla inglesa e integrarse en la comunidad.
- 3º Las características de la signatura en sí, en comparación con las demás.
- 4º Las cualidades que manifiesta el/la profesor/a en la clase de inglés.
- 5º Las tareas que se hacen en clase.
- 6º La influencia de los padres y del ambiente familiar.

*Fig. 5 Principales fuentes de motivación en el aula de inglés.*

Posiblemente, la importancia que le dan los alumnos al inglés en la sociedad actual, esté reforzada por la influencia de los padres y de otros

factores ambientales: medios de comunicación, etc. De todas formas, queda claro que los alumnos, desde que comienzan el Bachillerato (e incluso desde la EGB: véase Madrid et al 1993a) son conscientes del valor instrumental del inglés como lengua universal.

## 6.2. El inglés como asignatura

El Inglés, por sus peculiaridades como asignatura que requiere cierta interacción entre profesor y alumnos para comunicarse en clase, la participación de los alumnos en las actividades orales y escritas, el uso de juegos canciones, dramatizaciones, etc. ejerce un efecto motivador frente a las demás asignaturas del curriculum, que lo sitúa en tercer lugar. Los cuestionarios aplicados en otros muchos centros nos han dado resultados muy similares:

1º	Educación Física y Deportes
2º	Ciencias de la Naturaleza
3º	Inglés
4º	Dibujo y Artes Plásticas
5º	Música
6º	Lengua y literatura
7º	Ciencias Sociales
8º	Matemáticas

*Fig. 6 Potencial motivador de las asignaturas*

## 6.3. Las actividades de clase

La opinión de los/as alumnos/as sobre los ejercicios de clase nos revela claves de gran interés sobre lo que gusta e interesa más y aquello que motiva menos. Es obvio que cuando se realicen tareas de bajo poten-

cial motivador los esfuerzos del profesor para motivar a los alumnos tienen que ser mucho mayores:

- 1° Salir a la calle y recoger datos: entrevistar a extranjeros, etc.
- 2° Ver grabaciones en vídeo adaptadas al nivel de los alumnos.
- 3° Realizar juegos lingüísticos en clase para el aprendizaje de la LE.
- 4° Trabajar por parejas y en equipo.
- 5° Comentarios socioculturales sobre la vida y costumbres de los anglohablantes.
- 6° Oír y cantar canciones en inglés.

*Fig. 7 Actividades preferidas en la clase de inglés*

Por el contrario, las actividades que resultan más aburridas y menos motivadoras son las siguientes:

- 1° Los ejercicios con posters y murales
- 2° Los ejercicios de Gramática
- 3° Los ejercicios que requieren consultar folletos en inglés, etc.
- 4° Las actividades de lectura de textos y diálogos del libro de texto
- 5° Los ejercicios de pronunciación/fonética
- 6° Los ejercicios de «listening»

*Fig. 8 Actividades que resultan menos atractivas*

De acuerdo con los resultados, parece que los seis ejercicios que gustan menos se suelen realizar con poca participación del alumnado, es decir son más pasivos que los de la fig. 7. Además, apenas fomentan la

socialización de los alumnos y resultan más aburridos. Evidentemente, la mejor forma de aumentar su efecto motivador sería intensificando las deficiencias que acabamos de mencionar, es decir, haciéndolos más activos y participativos, agrupando a los alumnos por parejas y equipos para su realización y realizándolos a través de algunos juegos y canciones.

#### **6.4. El libro de texto**

El libro de texto agrada cuando está adecuado en dificultad al alumnado, cuando los ejercicios son claros y entretenidos, y los textos, ilustraciones y dibujos son atractivos y variados. Gusta menos si tiene demasiados ejercicios, si los temas se repiten y reciclan demasiado (¡siempre estamos estudiando lo mismo!). Además no gusta si es complicado y su progresión no es adecuada.

Los ejercicios del libro que más gustan son:

- Los diálogos, que suelen ser «entretenidos y participativos».
- Ejercicios que requieren completar espacios en blanco: «son cortos, fáciles e instructivos».
- Traducción al castellano: «se aprende».

Los ejercicios que menos gustan son:

- Ejercicios de fonética: «son difíciles y aburridos».
- Ejercicios de gramática: «es difícil y aburrida».

#### **6.5. El profesorado de inglés**

En general, gustan aquellos profesores que:

- muestran buena capacidad metodológica
- tienen buen carácter y simpatía
- hacen las clases amenas
- se preocupan de los alumnos

Agradan mucho menos aquellos/as que:

- son exigentes y serios
- son aburridos y monótonos

En el cuestionario cerrado, se resaltaron las siguientes cualidades (cf. Madrid 1993b):

GENERALES	
1°	Alta capacitación didáctica
2°	Alto nivel de afabilidad, comprensión y empatía con el alumno
3°	Formación científica
4°	Cualidades físicas ( con una puntuación muy baja)

*Fig. 9 Cualidades generales del profesor que más valoran los alumnos*

DIDÁCTICAS	
1°	Explicar con claridad
2°	Tener buena pronunciación
3°	Ser justo en las calificaciones (y en los castigos)
4°	Ser activo y favorecer la participación de los alumnos

*Fig. 10 Cualidades didácticas que más valoraron los alumnos*

Los rasgos de personalidad del profesor que más valoraron los alumnos fueron:

1°	Trabajador y constante
2°	Original y creativo
3°	Seguro y firme
4°	Comprensivo, tolerante y flexible
5°	Amable, atento
6°	Alegre, optimista

*Fig. 11 Rasgos de personalidad del profesorado que más valoraron los alumnos*

### 6.6. Influencia del ambiente

Dentro de los factores ambientales, los que mayor incidencia tienen en el estado motivacional del alumnado son:

- 1º La música «pop»
- 2º La presión de la Escuela/Instituto
- 3º Los padres y familiares
- 4º El cine
- 5º Los nativos conocidos
- 6º La televisión
- 7º Los amigos
- 8º La prensa
- 9º Los vecinos
- 10º La parroquia

### 6.7. Orientación del alumnado: motivos dominantes

Los alumnos se encuentran motivados para estudiar inglés por razones diferentes. Mientras que en las investigaciones de Gardner (1985) con alumnos canadienses, las razones más fuertes eran de tipo *integrador*, es decir con el ánimo de integrarse en la comunidad de  $L_2$ , en el caso de los alumnos españoles los motivos son puramente instrumentales:

- |   |
|---|
| <ol style="list-style-type: none"><li>1º Conseguir un trabajo en España o en la Unión Europea</li><li>2º Disfrutar de una educación y formación más completa</li><li>3º Comunicarse con los extranjeros que nos visitan</li><li>4º Viajar por otros países y entenderme con la gente</li><li>5º Cumplir con el requisito académico de aprobar la asignatura</li></ol> |
|---|

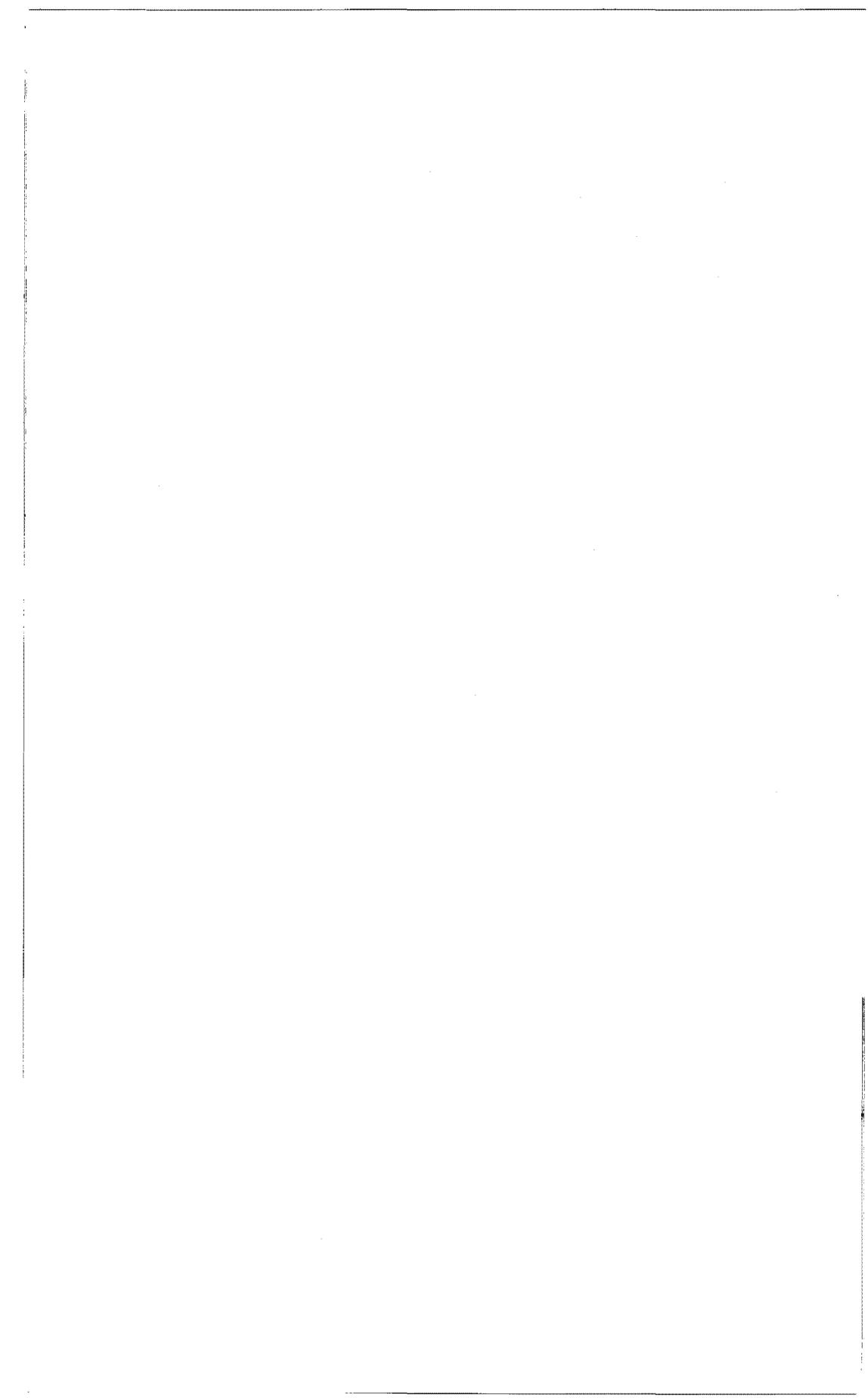
Fig. 12 Algunas razones por las que el alumnado se siente motivado para estudiar inglés.

Los resultados son lo suficientemente claros como para extraer conclusiones prácticas que puedan mejorar el proceso de la EA/LE. A pesar de la subjetividad de las opiniones y creencias que han manifestado los alumnos, si aceptamos la importancia de los constructos personales del alumnado (Kelly, 1963), la incidencia de sus expectativas y valoraciones en sus comportamientos, encontraremos suficiente validez en los resultados como para reconocer la necesidad de orientar la E/ALE en esa dirección, de lo contrario difícilmente podremos mejorar su calidad.

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## CONSIDERING POETRY AND SONG: PROBLEMS AND A PROPOSED METHODOLOGY

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### **Resumen**

*En este artículo el autor trata de la problemática inherente a la tarea de poner música a textos literarios en lengua inglesa. Después de ilustrar las opiniones al respecto de compositores y críticos británicos, se resumen los problemas relevantes junto con algunos de los recursos disponibles por el compositor. Finalmente se invita al lector a que considere las pautas a seguir en el análisis de la versión musical que Benjamin Britten hace del Soneto n° 43 de Shakespeare.*

### **Abstract**

*The present article deals with some of the tasks involved in the setting of English poetical texts to music. Views of this process are discussed, a summary of relevant problems and resources is provided, and the reader is invited to consider a series of suggestions for an analysis of Britten's setting of Shakespeare's Sonnet 43.*

## 0. Some personal words of introduction

The topic of the present paper and its presence in this volume may cause the reader some surprise. However, when reflecting on a possible subject I came to the conclusion that the most sincere and appropriate way of paying homage to such a warm and vital human being as Paco Manzaneda would be to write about what really, at bottom, matters to one most deeply: in my case, this means music, and literature. So, although it's a field I haven't worked on for some years, and with all the (possibly misguided) enthusiasm of the amateur, here goes.

## 1. Poetry into song: why a linguistic-musical approach?

Let us begin by taking as a point of disagreement some general remarks on the subject:

*'There is not much English poetry that is easy to set, apart from that of the Elizabethans. Far too much of it is obviously great, and much of it is in unsuitable form and metre; it needed Britten to teach composers how to set a sonnet, and even so, the greatest of English sonnets - those of Shakespeare and Milton, for instance - are out of the question (one fervently hopes). [...] The poetry of the German Lied, that of Goethe, Mörike, Heine, et. al., is lyrical without actually challenging music on its own ground (as so much great English poetry does), and in short verse forms of suitable length, without being superficial; and we know the result. It is profound in thought, whereas much English lyrical verse is musically sublime in a way that daunts, and often eclipses any musical setting.'* (Pirie, 1979:62)

The reflections which these remarks suggest might include the following:

- Exactly why, and how, does «great poetry» constitute an obstacle for the composer, and what are the resources open to him/her in his/her attempt at a musical treatment?

- «Much of it is in unsuitable form and metre». Why «unsuitable»? What are the real accentual and metrical problems which an English poetic text presents, and to what extent do they affect its conversion into a song?

- «The greatest of English sonnets .... are out of the question». Why? What are the characteristics of English sonnets which render them «unsettable»? It simply isn't true that they offer insuperable obstacles: it's rather a question of studying the resources available

- «It is profound in thought, whereas much English lyrical verse is musically sublime in a way that daunts .....». To what extent does the «thought» of a poem favour or impede musical treatment? What specific problems does poetry of a conceptual kind afford? How have composers sought to resolve these difficulties?

How, then, might we develop an approach to the question which would help to clarify the issue? At the conclusion of his paper 'Words into music: the composer's approach to the text', E. T. Cone remarks:

'Ultimately there can be only one justification for the serious composition of a song: it must be an attempt to increase our understanding of the poem.' (1957:15)

Though this formulation begs some questions, the issue underlying it is a central one, namely: precisely in what way does a modern musical setting of a literary poetical text enrich the reader's appreciation of the poem? This is obviously not the place to provide a comprehensive answer to the question here, nor even to attempt an account of the extent to which composers re-interpret the poems they set. My aim is a more limited one: to suggest a methodology for the linguistic-musical analysis of poem and 'poem-as-song' which I feel is an essential pre-requisite for any interpretative commentary. I will therefore be concerned with basic technical issues, discussing simply *how* English poetical texts may be set, what the problems involved are, and what kinds of resources are open to the composer.

The approach is called linguistic-musical since with a few exceptions commentary in the published literature on the problem of text and modern musical treatment has largely been undertaken by music critics.

Work by British musicologists (e.g. Routh, Northcote, Searle, Raynor, Whittall, Evans, Kennedy) has produced some extremely interesting and revealing analyses of the purely musical aspects of 20th century composers' poetry-setting, but these authors have rarely considered the text in detail as a linguistically ordered and analyzable piece of English, nor the consequences of this linguistic organisation - in its various aspects: semantic, syntactic, phonological, metrical - for the composer.

Thus, despite many separate 'aperçus', the text-music relationship tends to be reduced to formulations such as: 'the music and the words develop in true partnership' (Routh, 1972:142), or 'the music adds colour to the words' (ibid) or - somewhat more precise - 'the music reflects the intonation of everyday English' (Stein, 1952:130) . Or on a more comprehensive level:

*'Probably the most memorable Hardy settings ever made are Britten's Winter Words, in which the concentrated melancholia of many of the poems is matched by music of inspired simplicity' (Whittall, 1975:103)*

Exactly in what way is the poetry 'matched' by the music? one wants to ask. And, thinking of the previous quotations, exactly what *kind* of 'partnership' is established? What *shade* of 'colour' is added? What kind of 'intonation pattern' can be discerned in the music, and how precisely, by what technical means, is it established?

For surely, if the analysis of text and musical setting is to send one back to the poem in question with more insight into its meaning, these - and more - are the kinds of questions which have to be answered. And if we are to avoid as far as possible subjectivity and impressionistic statements, a rigorous methodology is required. This brief article is but a step in that direction. <sup>1</sup>

<sup>1</sup> A study planned on similar lines as those suggested here - a broadly linguistic-musical approach - is that by Stephen Ratcliffe: *Campion on Song* (Boston and London, 1981). The work deals, however, not with a modern composer but with a Renaissance one, and a special case at that. There are also several aspects of the analytical procedure with which I am in disagreement, though this is not the place to go into detailed discussion.

Before any total interpretation is attempted, we must know the elements of linguistic structure, syntax, phonetic and suprasegmental structure and metrics of the poetical text on the one hand, and the technical resources used by the composer in his word-setting - e.g. note-values used, time-signatures employed, use of musical intervals, rests and bar-divisions, etc. - on the other. Great emphasis, it seems, should be placed for instance on such elements as word-stress, musical accent, the duration of spoken and sung syllables and words, 'natural' and 'unnatural' accent and prominence, because it is important to get down to basics, to see «*how*» a text-setting means before we discuss «*what*» it means.

It might be thought that the opinions of modern British composers on the setting of poetical texts would cast considerable light on the problem with which we are concerned. To some limited extent this is so, but their remarks on prosody tend, unfortunately for our purpose, to be rarely very helpful:

*'The music of a song destroys the verbal music of the poem utterly'* (Tippett, quoted in Holst, 1968:98).

This assertion made by Michael Tippett - a very experienced setter of English words - represents an extreme view of the relationship between the accentual and metrical pattern of the original poem and the musical pattern imposed by the composer.

A less extreme view is put forward by another contemporary composer, Lennox Berkeley:

*'I like Auden because he is one of the most readable of the contemporary poets. He writes short lines. Great rhetorical complexity creates problems for the composer because you must decide how much of the original pattern to preserve in the music, and it's not easy to make excuses for ignoring it. Take Hopkins, for example. He has a fearfully elaborate metre. There's too much counterpoint in the words for the composer to get really excited by him. It's like music to begin with.'* (Berkeley, quoted in Schafer, 1963:90)

These remarks, though interesting, do not take us very far, since they remain imprecise. After all, there is an enormous range of metrical patterns between (and within) the 'short lines' of Auden and Hopkins's 'fearfully elaborate metre'. (It's interesting to note that Michael Tippett has in fact made a setting of Gerard Manley Hopkins's 'The Windhover', and that among Benjamin Britten's first poetry-setting attempts should be those of poems by Auden and Hopkins (op. 17), though the latter was unpublished and later destroyed (see White, 1970:33).

Arthur Benjamin (1893-1960) is again unhelpfully general:

*I am conscious of two things when composing the music to the text of my vocal works: keep the natural flow and rhythm of the text so that the meaning of the words will be clear; and give the melody continuity and shape. Sometimes these concerns may seem to conflict; the shape of the melody may not seem to correspond to the order of the words, but in reality every successful melody does correspond to the text it was composed for, because, even though every musical grace may not conform to every verbal grace, the spirit of the text is caught. I always strive to catch the spirit of a text or situation in the broadest terms. I think there can be a danger in insisting that all the details correspond; it is the general things that count. (Benjamin, quoted in Schafer, 1963:51)*

And finally, Benjamin Britten, by far the most sensitive and virtuoso of those modern British composers who have concerned themselves with the setting of poetry to music, on one occasion went so far as to say that the poetic prosody and the musical prosody of a particular setting were on two completely different levels:

*'I did not find it daunting to be tackling a masterpiece [Shakespeare's A Midsummer Night's Dream] which already had a strong verbal music of its own, since its music and the music I wrote for it were at two quite different levels.'* (Britten, quoted in White, 1970:203)

## 2. Some problem areas

### 2.1 Phonetic issues.

We will have to study among other things:-

2.1.1 The relationship between vowels and consonants in the text, and, more specifically, the connection between 'noise' and 'sound'. From the time of Thomas Campion (1567-1620) on, it has been a frequent complaint that the English language was «clogged» with consonants (see Pattison, 1970:130). The frequent occurrence in English of voiceless consonants, for instance - and especially when these are in a prominent position (for example as part of the rhyme scheme of a poem) may be an important constraint on the composer. Voiced sounds can be sung, whereas other means of dealing with voiceless ones must be found. How will the «noise» affect the rhythms? What influence will it have on the use of rests? Or of the positioning of certain notes (plus the words which they set) within the bar?

2.1.2 Duration in spoken and sung English. As W. H. Auden remarks in his interesting essay 'Translating opera libretti':

'The felt tempi of the spoken word and of musical notes is utterly different. [...] the two tempi in which I speak [a slow piece of verse and a very rapid piece] lie in what is in music the faster half of the tempo range. The tempo which in speaking verse is felt to be an adagio is felt in music as an allegretto' (1963:485-6)

2.1.3 Contributory factors to this:

- pitch range of the spoken voice
- pitch intervals
- volume
- specific measurements of sounds in speech (see, e.g. O'Connor, 1973)

### 2.2 Prosody: accentual patterns

2.2.1 Treatment of the syllable and of word stress. It has been claimed that the listener to a song perceives not *words* but merely *syllables*:

*'The question remains, however, whether the listener*

*hears the sung words as words in a poem, or, as I am inclined to believe, only as sung syllables. A Cambridge psychologist, P.E. Vernon, once performed the experiment of having a Campion song sung with nonsense verses of equivalent syllabic value substituted for the original; only six percent of his test audience noticed that something was wrong' (Auden, 1963:473)*

Whether or not Auden is right in his theory of perception, he suggests a fruitful line of enquiry with his remarks later in the same essay:

*'The poetic value of the words may provoke a composer's imagination, but it is their syllabic values which determine the kind of vocal line he writes. In song, poetry is expendable, syllables are not.'* (Auden, 1963:473)

Auden's provocative last sentence over-simplifies a complex issue, though as we saw above the relatively impressionistic opinions on prosody and poetry-setting expressed by some contemporary British composers do not help us very much either. However, the first sentence in this last quotation can lead us to a preliminary consideration of the connection between syllable and note in English poetry-setting. A word of warning, though, needs to be uttered as regards Auden's use of the word 'determine'. The reader may gain the impression that the musical line of the song *corresponds* to the syllabic (and accentual) structure of the original poem. This may, of course, be true on a given occasion; but it may equally well be true that the composer drastically changes the accentual pattern of the original to suit his expressive intentions. 'Determine' should therefore be understood in a broad sense.

A detailed discussion of this issue would take us beyond the bounds of this article, so we will simply mention as requiring analysis the two principal technical issues which have plagued British song-composers over the centuries, as far as syllable setting is concerned. These are:

a) To what extent should supposedly 'long' and 'short' syllables be set to correspondingly long and short notes? and

b) To what extent should the so-called 'one-syllable-one-note' rule be adhered to, and under what conditions is it permissible, advisable or desirable to set a syllable to several separate notes, with or without a pitch change between them? (for a fuller discussion, see McLaren, 1982:26-43)

### 2.2.2 Problems such as that of alliteration

Lexical repetition and alliteration naturally occur fairly frequently in poetical texts. Is there a comparable musical pattern or sound which can convincingly recur? Though this is not the place to attempt an argued account of this issue, we may suggest that the device of alliteration in poetry is capable of a more subtle application than any musical approximation would be. Not least of the problems involved is that of duration, since we should recall that (in general) spoken sounds are perceived as being much shorter than musical notes, and therefore can be repeated with certain frequency, thus carrying out their function of associating or contrasting relevant words or syllables, without becoming truly thematic.

### 2.2.3 Musical resources and natural accent

British composers of this century from Edward Elgar, Gustav Holst and 'Peter Warlock' to Ralph Vaughan Williams, Gerald Finzi and Benjamin Britten have used - within the system of tonal music - a series of musical techniques to produce a musical, and consequently a verbal accent in their settings of literary works. Among these resources are:-

- the use of different note values.
- the strategic use of rests (i.e. limited pauses).
- the use of bar-divisions, placing the notes before or after the bar-line, according to whether a certain syllable is to be set on the first (generally accented) beat of the bar, or not.
- the use of certain time-signatures, and the variation of time-signatures within a single song, to introduce a new rhythmic pattern.

- the use of musical intervals (either 'external' or 'internal': that is, whether between words or within the word) which have the effect of accentuating a particular word, syllable or part of a syllable.
- the effects of harmonic complexities on the way a syllable, word or line sounds in the song, and how it is perceived by the listener within the whole.

The analysis of the use of these resources in particular contexts would be an essential part of any serious methodology.

### **3. A proposed methodology**

For reasons of space, what follows is a mere list of the kind of steps which might be taken in such an analysis as that proposed.

#### **3.1 The poetic text.**

As a minimum, we will have to consider, then, the following:

- The context of the poem (in a collection, etc.)
- The title, the overall structure and the typography
- Clause and sentence structure
- Uses of «linguistic deviation»
- Lexical repetition (see, e.g. Hoey, 1991)
- Analysis of phonetic patterning
- Uses of rhyme
- Suprasegmental features
- Considerations of metre

### 3.2 The musical setting

- Its context (is it part of a cycle? what part? .....
- The nature of the score
- Vocal range, time and dynamics
- Treatment given to rhyme words
- Phonetic variations in the sung version
- Overall structure of the setting: use of musical repetition  
use of rests, etc.
- Word-stress and musical accent: note-values and accent  
use of bar-divisions
- Uses of musical intervals: external and internal intervals
- Musical patterns: repeated phrases  
the musical conclusion
- Uses of major and minor keys
- Use of harmony

### 4. «Comprehension questions» on an example for the interested reader

In conclusion, and by way of exemplifying very summarily the approach suggested in this article, let us consider some questions which might arise in a discussion of the setting by Britten of Shakespeare's sonnet no. 43. which he included as the last poem in his cycle *Nocturne* op. 60. (I'm afraid no «right answers» will be given!). The sonnet runs:

When most I wink then do mine eyes best see,  
For all the day they view things unrespected,  
But when I sleep, in dreams they look on thee,  
And darkly bright, are bright in dark directed.

Then thou whose shadow shadows doth make bright  
 How would thy shadow's form form happy show  
 To the clear day with thy much clearer light,  
 When to unseeing eyes thy shade shines so!  
 How would (I say) mine eyes be blessèd made,  
 By looking on thee in the living day,  
 When in dead night thy fair imperfect shade,  
 Through heavy sleep on sightless eyes doth stay!  
 All days are nights to see till I see thee,  
 And nights bright days when dreams do show thee me.<sup>2</sup>

The interested reader is invited to consider the implications of questions such as the following:

1. What might be the musical implications of setting a sonnet, especially as regards what to do with the concluding couplet?

2. Would the interjection '(I say)' in line 9 present any particular problems?

3. What are the predominating sounds in the rhyme words? What importance might the repetition of these particular sounds have?

4. Do the sentence boundaries coincide with the four main sections of the sonnet? How might this constrain the composer?

5. Are there any «run-on» lines in the poem? How might the composer reflect this, if he wants to? For example, what use might he make of rests? (In fact, there is in this setting a very conscious and insistent use of rests).

6. What is the syntax of the poem? What sense-groups can we find? How long are they? What is their predominant stress pattern? Does the composer attempt to «match» these in any way?

<sup>2</sup> Edition used: Booth, S. (ed.) (1977): *Shakespeare's Sonnets, edited with analytic notes.*, Yale University Press.

7. The poem is obviously rich in lexical repetition. Is this reflected in the music? If so, how? Is the effect of a repeated musical phrase the same as / similar to / different from verbal repetition? In general? In this context? What are the phonetic implications? Will the same combinations of sounds always receive the same musical treatment?

8. As regards the use of «linguistic deviation» in the poem, how might this sound in the song? For example the syntactic variation in lines 10-11:

«..... the living day,

When *in dead night* thy fair imperfect shade....»

9. Diphthongs are relatively frequent in this sonnet, especially the closing diphthongs /ei/ and /ai/. Would the (relatively) high finishing point of these diphthongs suggest anything to the composer?

10. What's the relationship here between natural accent and metre? Where/How is the tension felt most? What are the implications for the setting?

11. What may be the relevance of the fact that in Britten's *Nocturne* this setting is not only the *last* text in the set, but also the *concluding* one? Might the music need to be conclusive in two senses, closing both song and cycle?

12. The song is explicitly set for tenor voice and orchestra. This already suggest a richer set of harmonic and timbric than might have been available to the composer had he set the poem for voice and piano.

13. The initial tempo marking is «Slow (♩ = 72-80). How would the words «feel», set at this speed?

14. The dynamic range is wide, from 'ppp' to 'f'. Where are the dynamic markings made explicit, and why?

15. The placing of the rhyme-words within the bar is varied in this text, it is not simply the case of placing them on the first beat. How does this fit in with the regularly repeated rhymes in the verse?

16. In many song settings, composers repeat certain phrases, lines or even complete stanzas of the original poem. This does not happen in

this case. What is the effect? What other means - if any - does the composer use to emphasize certain parts of the poem?

17. With regard to note-values, in many of the polysyllabic word-settings in his song, Britten seems to actively go against the natural accent of the words, setting the stressed syllable to a *short* note, and the following unstressed syllable to a longer one. What are the effects of this? Has it got to do with the fact that the text of the sonnet is a product of the «Elizabethan» age, felt to be very distant in time? What other effects are achieved by «unnatural» word-settings, where the spoken stress is altered by the composer?<sup>3</sup>

18. The external musical intervals in the melodic line are far larger and more dramatic when they precede monosyllabic words in lines 1-12 than when preceding polysyllables. How does this affect the way we hear and register these words? And what kind of musical line is established.

I will not continue, since the risk of boring the patient reader is perhaps becoming too high. However, these are but some of the questions which one would have to consider in a full account of this setting. Those interested are simply invited to extend, modify, reduce or deeply disagree with the possible methodology outlined here. Finally, then, I should perhaps mention that it is no part of my proposal to imply that a dry, pedantic, remote form of analysis will lead us straight to the «meaning» of the song, or that sensitivity, intuition, and the mere «feel» of the music can be dispensed with. That would run against common sense. The proposal is simply that an analysis on similar lines to that suggested might clarify areas which seem to be nebulous, and therefore lead the

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<sup>3</sup> It may be interesting to note that Britten himself distinguished between the setting of *recitative* and of 'more stylized music':

'Good recitative should transform the natural intonations and rhythms of everyday speech into memorable musical phrases (as with Purcell), but in more stylized music the composer should not deliberately avoid unnatural stresses if the prosody of the poem and the emotional situation demand them, nor be afraid of a high-handed treatment of words, which may need prolongation far beyond their common speech length, or a speed of delivery that would be impossible in conversation.' (Britten, 1945:12)

interested reader-listener to a richer appreciation of both poem and poem-as-song.

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## LA LITERATURA EN LOS CURSOS DE EAP

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### **Resumen**

*Este artículo toma como punto de partida el papel que la literatura ha desempeñado, y sigue desempeñando, en un curso de lengua en el contexto de inglés para fines académicos.*

*Durante mucho tiempo, la literatura ha sido excluida de los programas de lengua como resultado de una supuesta falta de aplicación práctica a causa de su complejidad estructural, es decir, se suponía que la literatura no respondía a las necesidades del estudiante de EAP.*

*Se examina la literatura desde la perspectiva de la enseñanza de la lengua con fines comunicativos y se expone que es posible seleccionar textos literarios para el estudio de lengua acercándose a ellos desde el punto de vista de la construcción lingüística más que desde el aspecto literario propiamente dicho, de modo que los estudiantes consigan al mismo tiempo la eficiencia lingüística y los beneficios académicos, intelectuales y culturales que aporta la literatura.*

### **Abstract**

*This paper takes as its point of departure the part that literature has played, and plays, in the development of a language course in the EAP context.*

*For a long time, literature has been excluded from language programs as a result of its supposed lack of practical applications because of its structural complexity. In other words, it was believed that literature did not contribute to EAP students' practical goal.*

*This article examines literature in the light of communicative language teaching and shows it is possible to select literary texts for language study from the perspective of linguistic construction rather than purely literary concerns so that students achieve linguistic proficiency and the academic, intellectual and cultural benefits of the study of literature.*

## INTRODUCCIÓN

En etapas anteriores, la literatura desempeñó un papel fundamental en el estudio de la lengua considerándose que uno de los propósitos fundamentales de la enseñanza de la lengua inglesa era la habilidad de leer y apreciar el canon literario (Hirvela, 1990). Sin embargo, en los años que siguieron a la segunda guerra mundial, la literatura desapareció esencialmente de la enseñanza del inglés como lengua extranjera como resultado de una aparente falta de beneficios y aplicación práctica. Es decir, la literatura cayó en desuso cuando el centro de interés se trasladó a la lingüística, argumentando que la literatura presentaba una estructura demasiado compleja desde el punto de vista formal y no se adaptaba por completo a las reglas gramaticales estándar (Topping, 1968). Por otro lado, se consideraba que el estudio de la literatura contribuía poco, por no decir nada, a satisfacer las necesidades académicas u ocupacionales de los estudiantes; y además, no hay que olvidar que la literatura refleja una perspectiva cultural particular que la hace a nivel conceptual muy difícil para dichos alumnos (McKay, S. 1982).

La observación anterior resulta desproporcionada para determinados autores (Povey, 1967), ya que dicha dificultad lingüística queda paliada por el hecho de que los estudiantes pueden obtener algo positivo del texto literario en el terreno de las destrezas lingüísticas aunque no lleguen a obtener una comprensión total del texto. No hay que olvidar, por otro lado, los beneficios culturales que puede aportar el hecho de trabajar con este determinado tipo de textos. Aparte de los valores artísticos y lingüísticos, los estudiantes pueden apreciar en la literatura el resultado de la interacción de fuerzas sociales, económicas y políticas (Singer, H. & Donlan, D., 1989).

En otra línea, Widdowson (1975), sugiere que en lugar de limitar el uso de la literatura a una aplicación eminentemente lingüística o a su contenido cultural, sería más conveniente abordarla como discurso y estudiarla como ese particular modo del lenguaje que se usa para expresar una realidad distinta de aquella que se expresa por medios convencionales. Por consiguiente, aunque no proporcione modelos para el tipo

de discurso académico que los estudiantes necesitan, si es de gran utilidad para interpretar textos y valorar las relaciones lector- escritor.<sup>1</sup>

Los profesores deberían asumir que los estudiantes pueden estar interesados en otras materias distintas a las disciplinas que componen su propio currículum profesional<sup>2</sup> y que el tipo de interpretación que los estudiantes aprenden a hacer con textos literarios les es de gran utilidad para otras materias que demanden un razonamiento lógico y un análisis exhaustivo del texto.

## RELACIÓN LENGUA-LITERATURA

Las opiniones sobre la conveniencia de integrar textos literarios en las clases de lengua son muy diversas. Según Elliot (1990), la literatura se debe integrar con la lengua por dos razones. En primer lugar, los estudiantes de lengua avanzados necesitan material con alto valor de motivación, y por otro lado, al mismo tiempo necesitan sentir la lengua como algo vivo que son capaces de usar. En su opinión, este punto de vista no es válido para los alumnos de ESP EAP que no ven la lengua un objeto de estudio en sí misma, sino más bien un instrumento necesario para obtener éxito laboral y estudiar las disciplinas propias de su competencia académica, para esto propone que los estudiantes sean ayudados con el uso de glosarios que faciliten explicaciones de las palabras arcaicas y poéticas y mediante las anotaciones cortas proporcionadas por el escritor que se ofrecen para darle al texto contextualización.

Independientemente de lo anteriormente expuesto, el hecho de integrar actividades de lengua y literatura fomenta el desarrollo de la destreza lectora, es decir, se trata de explotar lo que Warren (1949) lla-

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<sup>1</sup> "If students read literary works and are then asked to consider nonfiction essays, or viceversa, they can become aware of different ways writers create texts to engage readers. An awareness of the difference between these two forms, particularly in the reader/writer relationship, is crucial to an understanding of why and how texts are put together". ( Spack, R. 1985, p. 706).

<sup>2</sup> "Therefore, because « it is in literature that the resources of the language are most fully and most skillfully used» ( Lee, 1970, p 1), students should have the opportunity to see how the language is used - and then to use the language- with the greatest possible skill and effect. The focus of their college education should not be limited to vocational skills, for such a program may impede the full development of the educated mind." ( Spack,1985, p 728).

ma características intrínsecas y extrínsecas del texto. Las primeras se ocupan de analizar la gramática, el léxico, la estructura y el contenido semántico del texto, y las últimas ayudan al estudiante a relacionar el texto con el contexto socio-cultural. De este modo, el estudiante consigue no sólo competencia literaria, sino que a su vez incrementará la competencia comunicativa (Brumfit, 1985).

La utilización de textos literarios es útil tanto en las clases de lengua como en las de literatura. Dependerá por completo del profesor el tipo de enfoque que se le dé a estos textos de acuerdo con los fines que desee conseguir<sup>3</sup>. Algunos autores consideran que el uso de la literatura en las clases para propósitos especiales puede tener consecuencias importantes tanto para el profesor como para los alumnos, viéndose actualmente la literatura más como un medio para mejorar las destrezas lingüísticas que como un fin en sí misma. Es decir, la atención se centra en el lenguaje de los textos literarios. Este acercamiento se basa fundamentalmente en el atractivo que tiene el discurso literario como herramienta de trabajo.

La literatura, por su naturaleza como un instrumento diseñado para reflejar la vida, recoge todos los usos y tipos de expresiones lingüísticas, convirtiéndose así en una amalgama de registros lingüísticos y funciones comunicativas. Precisamente son los que emplea el hablante de una lengua, incluidos los utilizados en inglés para propósitos especiales (Hirvela, 1990). Este uso peculiar de la literatura es lo que la hace recomendable dentro del inglés para fines académicos, a pesar de que éste sea considerado en la mayoría de las ocasiones como un acercamiento a la lengua inglesa que, basándose en las necesidades del aprendiz no permita desviarse de las materias e instrumentos específicos a los fines propuestos.

Hutchinson and Waters (1987) insisten en que el inglés para propósitos especiales no es un tipo de lengua o metodología en particular, ni

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<sup>3</sup>"The literature teacher...may choose it to accompany an anthology or an encyclopedic survey of some kind, whereas the language teacher may choose it to accompany an English language course book" (Gower,R. and Pearson,M.,1986).

consiste en un tipo especial de material de enseñanza<sup>4</sup>, por lo tanto, un curso de lengua no puede obtener su potencial lingüístico de una única fuente.

Elegir un modelo u otro depende básicamente de si la enseñanza de la lengua inglesa está orientada a conseguir unos propósitos bien definidos, con lo cual solo se utilizarán las estructuras seleccionadas para conseguir ese fin en particular o, por el contrario, se sigue un modelo de enseñanza más centrado en el proceso y en potenciar la capacidad de aprender que en adquirir unas estructuras lingüísticas determinadas para conseguir un propósito. Se permite de este modo más creatividad, lo que permite equipar al estudiante con mayor variedad de estructuras con las que generar su propio discurso.

Los estudiantes de inglés para fines académicos normalmente deben ocuparse de desarrollar una habilidad en inglés que les permita estudiar las materias que sean de su interés y otro tipo de materias. Debemos ver el uso de la literatura en este tipo de clases, desde la perspectiva de la construcción lingüística más que desde el aspecto puramente literario. Es decir, hemos de centrarnos en las peculiaridades del texto que son de utilidad para los requerimientos del inglés para fines académicos con el fin de aumentar la capacidad comunicativa del alumno. Se le acerca así al registro científico que el alumno debe manejar, y a otros registros con los que va estar en contacto en situaciones habituales. Este hecho hará caer al estudiante en la cuenta de que hay varios registros y éstos se pueden usar de diferentes modos según los distintos propósitos. Al mismo tiempo, aumentará el interés del alumno por el curso y fomentará la lectura recreativa, (Hirvela, 1990).

Spack (1985) sugiere a los profesores que hacen la objeción de que la literatura no proporciona un modelo adecuado para el modelo de discurso académico que los estudiantes necesitan para escribir, que comparen la literatura con otros discursos. El alumno puede apreciar como el escritor crea diferentes tipos de texto para atraer la atención del lector y

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<sup>4</sup>"ESP is not a particular kind of language or methodology, nor does it consist of a particular type of teaching material. Understood properly, it is an approach to language learning, which is based on learner need." (Hutchinson & Waters, 1987, p.19).

esto le permite distinguir los diferentes modelos de discurso, hecho crucial para comprender las diferentes formas de organización del texto.

El discurso literario difiere consistentemente de otro tipo de discursos. El escritor de ensayos normalmente quiere dar el mayor número posible de detalles para conseguir que su mensaje sea claro y directo. Sin embargo, el escritor de literatura en múltiples ocasiones da lugar a la conjetura y la imaginación. La literatura no tiene que ser estudiada necesariamente a través de críticas formalistas, en determinados contextos es preferible enseñar la literatura como una búsqueda de significado. El hecho de que nuestros alumnos sean estudiantes de áreas científicas particulares no debe hacernos pensar que estén interesados en temas de lectura relacionados directamente con estas materias<sup>5</sup>. Para que los textos literarios puedan ser utilizados en las clases de inglés para fines académicos deben verse inevitablemente desligados de su carácter eminentemente estético ya que en estos contextos las cualidades estéticas de la literatura tienen un valor secundario. El centro de estudio principalmente es cómo funciona un texto desde una perspectiva científica o lingüística. Es decir, hay que concentrarse en las porciones de texto que enlazan con los requerimientos de un curso en inglés para fines académicos.

El inglés para fines académicos es un acercamiento a la enseñanza de la lengua que pretende cubrir las necesidades del aprendiz. Por lo tanto es fundamental diseñar un curso y utilizar un material que responda a estas necesidades. Por esta razón, aún viendo la lengua como parte de un todo comunicativo, no podemos olvidar que el uso de dicha lengua muestra variaciones considerables dependiendo del contexto y de los diferentes tipos de textos. Es esta variación lo que nos capacita para distinguir el registro académico de los demás modelos de registro; aunque ciertos autores discrepen de esta afirmación, por no considerarla una base sustancial para la selección de materiales<sup>6</sup> (Coffey, 1984).

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<sup>5</sup>"The irony of the emphasis being placed on careers is that nothing is more valuable for anyone who has had a professional or vocational education than to be able to deal with abstractions or complexities, or to feel comfortable with subtleties of thought or language" (Cousins, 1978, p. 15).

<sup>6</sup>"In short, register cannot be used as a main basis for selection, because there is no significant way in which the language of science differs from any other kind of language" (Coffey, 1984, p. 9).

Si bien es verdad que el material de lectura seleccionado debe corresponder a los intereses de los alumnos, tampoco debemos olvidar que si esta selección se ha llevado a cabo de modo conveniente puede proporcionar al estudiante un estímulo para el aprendizaje. El buen material no sólo enseña sino que proporciona el modo de adquirir una gran cantidad de lenguaje. Hutchinson & Waters (1987) aconsejan evitar la monotonía en el material. Con tal fin, proponen evitar textos que estén exentos de interés humano, ya que -según ellos-, el análisis del discurso puede ser de gran interés para los lingüistas pero quizá resulte poco atractivo para los estudiosos de otras materias<sup>7</sup>. De este modo, aunque los cursos no tengan una orientación exclusivamente lingüística, no debemos olvidar que esta perspectiva afecta a la mayor parte de actividades que se llevan a cabo en un curso de lectura en inglés para fines académicos. Así pues, se tendrán en cuenta las necesidades de este tipo de aprendizaje.

Para el estudiante de EAP el acercamiento a la lengua inglesa no está basado en conocer ésta como tal. Es decir, no tiene como propósito fundamental conocerla por sí misma, sino más bien utilizarla como vehículo para acercarse a otras disciplinas que sean objeto de interés. Partiendo de este punto, ni la lengua como tal, ni el análisis del discurso propiamente dicho, son los objetivos fundamentales de estos aprendices. Si bien hemos de reconocer que el estudio de ambas materias pueden favorecer enormemente el acercamiento a otras disciplinas escritas en lengua inglesa.

Por otro lado, la palabra clave en los textos utilizados en EAP es autenticidad, aunque, no estaría de más señalar que este término ha generado numerosas discusiones de autores (Coffey, 1984) que se han negado a aceptar la manifestación de Widdowson (1976) de que era preferible elaborar los pasajes de lectura para obtener los propósitos deseados que obtenerlos de la literatura auténtica relacionada con dicha materia.

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<sup>7</sup>"Materials provide models of correct and appropriate language use... This is a necessary function of materials, but it is all too often taken as the only purpose, with the result that materials become simply a statement of language use rather than a vehicle for language learning. Language teaching materials should not be the kind of beginner's guide to Applied Linguistics, which is so prevalent in ESP. We, as linguists, may be endlessly fascinated by the analysis of discourse: it is our chosen specialist field. For the doctor, the secretary and the engineer language may have little such attraction." (Hutchinson & Waters, 1987, p. 108).

Los estudiantes no nativos necesitan leer material especializado en lengua inglesa como parte de su trabajo universitario. Esta tarea en ocasiones se ve dificultada en los textos científicos por la presencia de vocabulario especializado. Sin embargo, en nuestra opinión, las dificultades van más allá del mero aspecto semántico; es decir, podemos observar que el vocabulario no técnico puede llegar a crear más problemas que el vocabulario técnico propiamente dicho. En ocasiones, la presencia de estriba en la estructura del texto escrito o en la falta de información sobre los elementos retóricos del mismo, (Cohen et al., 1988). Por otro lado no siempre es fácil predecir con qué tipo de textos se va a encontrar un profesional; de tal manera que, en la medida de lo posible, hay que preparar a los futuros lectores con variedad de modelos, (Oláh, E. 1984)<sup>8</sup>. De ahí que, por el potencial cultural y lingüístico que supone para cualquier estudiante, hayan de incluirse textos literarios.

## CONCLUSIÓN

Teniendo en cuenta lo anteriormente expuesto, debemos reconocer que el inglés para fines académicos ha llegado a formar parte de una manifestación muy importante en el campo de las enseñanzas de la lengua y que en esta expresión caben diferentes alternativas y controversias; tanto en lo referente al campo de la metodología, como al de la selección de materiales para explotar en profundidad. Aún no olvidando que el inglés para fines académicos pretende satisfacer necesidades del estudiante -muy bien definidas en cuanto a sus orígenes y que van a verse cumplidas mediante la adquisición de técnicas y la utilización de materiales adecuados-, sin pretender restringir el campo de lecturas en ESP a la utilización de material literario, por no ser éste el campo de investigación de la lectura en inglés para fines académicos propiamente dicho, no podemos desechar lo que puede aportar de novedoso y motivador el uso de textos literarios en las clase de lectura dentro de un contexto de EAP. A nuestro entender, debemos abordar el texto como discurso, estable-

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<sup>8</sup>"Predictions about the texts a professional is likely to read are very difficult to make in social sciences. Therefore, teaching materials must be selected which are constructed to prepare future readers as well as possible for a great variety of reading tasks." (Oláh, 1984, p. 223).

ciendo entre el inglés para fines académicos y la literatura una relación similar, en cierto modo, a la existente entre ésta y la estilística, y evitando, en la medida de lo posible, el aspecto literario propiamente dicho.

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## IN DEFENCE OF THE PRACTICE OF SECOND-LANGUAGE WRITING

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### **Resumen**

*En este trabajo el autor presenta un estudio crítico de lo que cree que son las deficiencias en la metodología actual de la escritura en inglés como lengua extranjera (EFL) en las etapas de secundaria y en la universidad. Se considera la falta de relevancia de algunos principios básicos de la metodología comunicativa y su aplicación a la práctica de la escritura en EFL, en algunos contextos específicos. El enfoque se orienta hacia estudios universitarios de EFL. En él se exponen los argumentos a favor de una evaluación crítica del valor de la práctica de la expresión escrita para el estudio, más que para el aprendizaje, del inglés como lengua extranjera. El autor subraya algunas propuestas para la práctica de la expresión escrita en donde el procedimiento tradicional (lockstep) se ve reemplazado por el sistema de la comprobación de hipótesis y la manipulación directa del idioma que se pretende aprender.*

### **Abstract**

*In this paper the author presents a critical study of what he sees are the shortcomings in current EFL writing methodology at secondary and tertiary levels. Certain basic tenets of communicative methodology, and their application in EFL writing practice, are considered and found wanting in relevance to particular learning contexts. Focus is placed upon EFL at undergraduate level, and a case made for the re-assessment of the value of writing practice to the study, rather than the learning, of English as a foreign language at university. The author outlines proposals for the practice of writing whereby the traditional «lockstep» approach to the classroom teaching of EFL writing is replaced by hypothesis-testing and direct manipulation of the target language.*

A survey of what people currently understand by the term «learning a foreign language» might conclude that it is perfectly possible to be fluent in that language whilst being considerably less proficient in its writing than its speaking - or even without learning to write it at all. Some questioned might even add that such a description of linguistic performance would actually be desirable for certain target populations. Indeed, should we wish to compare the relative importance to the average EFL student of dominating the skills of writing and speaking, we might not be too surprised to find that EFL writing, whilst not wholly rejected as of intrinsic value to learning, would be unlikely to be seen as a priority to the majority of students of EFL. One might question, however, to what extent this view is a firmly-held belief of the student, and how far this bias against writing has been thrust upon him or her as a result of previous language-learning experiences. Guided principally by the perceived demands of a job market wherein greater store is set by oral communication than written communication in the foreign language, recent language teaching methodologies have inevitably tended to assert the primacy of speaking, above all for that student who is concerned to acquire what might be referred to as a communicatively-based competence.

To such a learner - desirous of reaching swiftly an acceptable level of communicative proficiency in the target language - it might seem obvious that a firm grasp is needed of both speaking and listening skills in those «everyday» receptive and productive situations where immediate response and feedback are seen to be paramount. A further considerable attraction to our hypothetical student might be the fact that speaking is perceived as being somehow easier, or more straightforward, in its learning. After all, mistakes while speaking are readily corrected by stopping and starting again, and a momentary misunderstanding or lack of comprehension on the part of the audience can be compensated by rephrasing. Furthermore, speaking is satisfyingly transient and a permanent record of error is unlikely to remain lodged in the ear of the audience - unlike the all-too-manifest evidence left for the eye on the piece of paper. Importance may also be attached to the fact that the presence of the audience in the act of speaking, together with the verbal and non-verbal feedback received, facilitates interaction considerably,

not least because the speaker thus has the advantage of being able to observe, and control for, reactions in his or her production.

So it would appear that all the advantages for our foreign language student are, indeed, on the side of speaking. I wish to argue, however, that a pernicious consequence of teachers and methodologists highlighting these perceived benefits of speaking a foreign language is that we may thereby be inadvertently blinding students to certain advantages which writing can bring them. Indeed, one of the more worrying consequences of comparisons that aim to judge the value of giving precedence to one or other skill in foreign language learning, seems to be the implicit assumption that writing is somehow the poorer companion of the two productive skills. That is to say, writing and speaking may both be posited to serve the same productive ends in EFL but, in practice, with unequal benefit for the student. Such a supposition, if eventually reflected in course structure and course books, as well as teaching methodology, may go some way to explaining the custom of allocating writing practice a secondary, or at least more restricted, role in the more extreme, yet influential, interpretations of notional/functional syllabi (cf., Johnson and Morrow, 1978; Brumfit, 1979).

In what sometimes appears to be an unconvincing justification of the place of writing practice in communicative methodology, one notes a striving to highlight in textbooks what are seen as the communicative elements of writing. The limited extent to which secondary-school pupils are actually going to need the writing skill strictly to communicate is often implicitly acknowledged by text-book writers who struggle to weave some kind of pseudo-communicative writing practice into a teaching unit. A casual glance through several textbooks currently in vogue in secondary schools in Granada reveals students being encouraged, amongst other tasks, to write postcards to other class members, to write down telephone messages, make up shopping lists, leave written

messages for classmates on the noticeboard, write narrative or opinion compositions, job application letters, and letters to relatives thanking, apologising, suggesting or, indeed, any other functional device which happens to be being practised within the unit in question. It is difficult to imagine how «real», or communicative, these tasks would be for the students in the mother tongue, let alone in the foreign language.

Part of the problem seems to lie in the generalised assumption in much EFL teaching material that all learning contexts are similar enough to warrant like treatment in the teaching of language-learning skills. Experience tells many teachers otherwise. Whilst the reasons for being able to speak a foreign language, together with the objectives of its learning, can be assumed to be fairly homogeneous throughout many learning contexts, the same cannot be said for the skill of writing.

Many text-book interpretations of communicative doctrine do not adequately represent the importance and practice of writing nowadays in all L2 learning situations. It would not be correct to single out here particular textbooks for criticism. Rather, I wish to suggest that preoccupation with writing as mainly an adjunct to speaking in the pursuit of strictly communicative aims has meant that little recognition is made of its somewhat unique place in certain contexts of foreign-language learning. Specifically, I wonder how far the pursuit of the communicative ideal has led both teachers and textbook writers to believe that writing is, or should be, equally susceptible to communicative exploitation as other language-learning skills and, thus, open to such exploitation in all foreign-language learning contexts in a similar way (i.e., with communicative necessity being the rationale behind its teaching and use)?

Yet writing, even in the mother-tongue, is (or should be) much more than merely a way of putting one's immediate needs into appropriate words. We need to get away from the idea of making necessity the mother of all communicative invention. By relegating writing to the status of, at best, a somewhat purposeless exercise in using a rather more formal lexical register or, at worst, a mere reinforcement activity of previously-taught and orally-practised communicative functions, we may be inadvertently further strengthening the idea in many students' minds

that writing is principally to be used as a support to speaking and then only to serve specific communicative ends.

Confronted by such a scenario for teaching, the difficulties facing the EFL writing instructor at advanced or undergraduate level can be considerable. Moreover, in many learning contexts, the teaching and practice of writing in the mother-tongue may not have received a high priority in secondary-school curricula. As a result, potential student interest in practising and improving their EFL writing might be considerably diminished by the time they arrive at the level of any serious study of the foreign language. Furthermore, when they are faced with the task of writing at undergraduate level, some students might form the opinion that what we call «personal» writing, wherein the learner attempts to convey his or her own thoughts and creative being in written form, is somehow more difficult, irrelevant, or, ultimately, a uniquely scholarly activity, and one in which their intellectual contribution would be, at best, unsuited and, at worst, inadequate and inferior.

I defend the importance of exploiting a different need for writing in specific foreign-language learning contexts. Rather than the perceived «requirement» of achieving a communicative aim, however, this need is one which assigns to writing a much more motivating and, at the same time, more practical application as a language-learning tool. Our starting-point is to recognise a quality of foreign-language writing which distinguishes it from the use to which it is often currently put by text-book writers and to allocate it a much more productive role, in strictly language-learning terms, than the mainly instrumental character which the skill seems to have acquired in many communicatively-based courses.

For many target populations the attraction of a narrow interpretation of the purpose of foreign-language writing is understandable, particularly in terms of acquiring what might be referred to as sufficient «survival knowledge» of the target language to satisfy most perceived communicative needs. Doubtless, the many private fee-paying students of EFL who register on short courses in order to achieve such knowledge would be more than satisfied to see the aims of such a course fulfilled. However, we might also envisage other populations, or indeed other situations for the above population, wherein

both a more thorough knowledge of the target language and greater linguistic awareness was called for. In such a scenario, the student would require sufficient linguistic competence to enable him or her to produce and receive the target language with more attention both to the accuracy of the message and the range, appropriateness and adequacy of the language and structure with which the message has been constructed. Such situations are often the terrain of overseas university first-degree courses of English Language, where there is a continuing emphasis in courses both on the practice **and** study of EFL.

In emphasising the importance of consolidating competence in our teaching situation, I do not intend to advocate a return to the kind of methodological dogma which professed the prime importance of accuracy at the expense of fluency. Nor do I wish to seek in the skill of writing a means of encouraging students to be preoccupied about accuracy and over-concerned with the word unit as the most important tool in writing. Indeed, it is easy for the student to read this into the traditional ESL writing course wherein there might be a conscious over-concern for the correction of inflections, word order, spelling and punctuation whilst aspects of fluency development in writing, such as the development of a range of grammatical constructions and vocabulary, remain more in the background. Over the past decade, in part as a reaction to the over-reliance on form in the teaching of writing, and in part under the influence of ESL writing schools, the impetus in the teaching of ESL writing has been towards promoting what might be referred to as its «creative function»: using writing to find out what we want to say and, in so doing, accepting the need for constant revision of form and content as the principle means of discovery.

Nevertheless, the cause of our hypothetical EFL student writer is helped little by these advancements. Of the greatest importance to, and influence on, the ESL learner in the United States, indeed on any learner in a strictly second-language context, would be the fact that the target language is omnipresent in the everyday life of the student. We might assume this would have an appreciable effect on what the learner receives in terms of «comprehensible input» (Krashen, 1985), and what use the learner might be able to make of this input in his or her writing practice. The average EFL student at a similar stage of studying English Language

and Literature at overseas universities finds that his or her learning context requires a much more conscious study of the target language, obliging the student more to create the opportunities for studying that language. Indeed, in some learning contexts, these opportunities may be all too scarce. As a result, our hypothetical EFL student may have little scope for receiving adequate «comprehensible input» in his or her learning situation. Consequently, much of the range of lexis and syntax so ubiquitously available to the ESL student for possible future use in his or her own written production, is lacking for the EFL student. Furthermore, in a context where such opportunities are greater, instructors can afford to emphasise the priority of precision in content over accuracy in form, confident in the knowledge that surface correctness may be assumed eventually to be acquired by practice.

Secondly, EFL coursebooks often seem to overlook the fact that in such target-language deficient contexts there will be little or no opportunity to practice speaking English. For whatever reason, be it lack of opportunity or lack of sufficient native-speakers, the EFL student may often find him- or herself in the position of being unable to tap the abundant resources of the target language available in other learning situations. In such a scenario, the opportunity afforded by being able to write in the target language may often represent the only means of practice available to the learner, the only method of putting into productive use the new language and structures acquired receptively in the learner's studies.

Finally, and arguably more insidiously, the current reality in many contexts of tertiary education abroad obliges our teaching methods and objectives to adapt to the academic EFL context. The tendency in many of these situations is towards ever-larger student intake. One of the consequences is that instructors can expect to be confronted by large classes of heterogeneous foreign-language ability and, consequently, wherein there often remains a general need for sound EFL teaching and learning prior to more profound study of the subject. Nevertheless, whilst it is desirable that a certain amount of «learning» the language in the strictest EFL sense be continued throughout the advanced/university course, our objectives should be to help our learners to study the language,

consolidating linguistic competence rather than concentrating on purely performance factors and/or the learning of novel elements.

If our students are, indeed, to practise and study the language in their courses, it is of paramount importance that adequate provision be made for them to apply what they have learned to productive use. Because of its susceptibility to in-process and post-process revision, it is in writing, rather than speaking, wherein the student - particularly one working principally on his or her own - should feel encouraged to experiment and reflect on the target language being produced, and thereby appreciate the value of writing as an aid to fluency. If only for these reasons, the practice of writing is particularly apposite to learning situations where opportunities to make use of the target language are few, and where students thus value some tangible evidence that they are, indeed, making progress.

The practice of writing I advocate for this level of study promotes attention to what I refer to as the linguistic «tools» of writing. These tools or elements would be graded for perceived utility to the EFL practising writer at this level, rather than in terms of any assumed grammatical difficulty. A principal aim would be to provide the student with the instruments to practise the target language when other opportunities for practice are scarce. Thus, the production of formal full-length compositions would not be seen as the be-all-and-end-all of EFL writing at this stage. Rather, teaching would concentrate on a particular syntactic «level» (e.g., «Pre-sentence», «Sentence», etc.), demonstrating, within each level, the principal tools available to the student writer in order to present content, encouraging recognition of these forms in short texts and, finally, production by the student (Porte, 1997). In consonance with the importance of providing hypothesis-testing practice in foreign-language writing, particular emphasis would need to be put upon encouraging students to experiment. In particular, at the level of pre-sentence and sentence skills, students need to become aware of the importance and usefulness of modification and coordination. They should, for example, be prompted to modify and coordinate subject, object, noun and verb phrases in order to see how lexical knowledge they have acquired in their studies can thereby be activated, as well as be able to appreciate the quality of the outcomes. In broad terms, the accent

throughout would be on channelling current awareness of English into productive use and, in particular, widening the **range** of vocabulary and grammatical structures that can be applied to the expression of thought, rather than merely adding to a non-specific **sum** of new vocabulary or structures to be learnt by the student. In this way, students are prompted to use new language acquired in their learning in different contexts and in combination with novel items.

Where opportunities to interact with the target language are few, I argue that the more students are free to work with that language, the better they learn about it and gain confidence in its use. We might see a parallel here in the kind of improvements that are often appreciated in speaking a foreign language as a result of an extended stay in a target-language country. A student in this situation is free to use or misuse the target language as much as he or she wishes. Once out of the classroom, the student gradually becomes conscious of the fact that there will be no restriction imposed on the amount or type of English received, nor external limits placed on what he or she says or how it is said. The amount and type of feedback received from native-speakers may vary, of course, but the point is that the student begins to perceive that the opportunities to experiment are limitless, and that these can be increasingly taken advantage of as the student's confidence grows. The positive outcome of all this is often a general consciousness-raising on the part of the student, who begins to care more about the target language and the uses to which it can be put. Rarely is foreign-language writing given a similar status, yet it is susceptible to the same treatment.

In many general EFL textbooks at this level of study, grammar instruction and practice precedes any writing practice and, at times, even seems to be presented as a prerequisite to the practice of writing. Whilst there can be no doubting the importance to good foreign-language writing of acquiring a sound grammatical base, there is little evidence to suggest that digesting abstract principles of grammar has any direct relationship to applying those principles to writing. A wider field of vision needs to be encouraged whereby students become more aware of how certain tools of writing are best employed accurately and fluently in their subsequent practice -rather than have students be so obsessed

by questions of accuracy that these effectively dictate or delimit what and how they write.

I have tried in this paper to indicate certain difficulties that I see in the learning and teaching of EFL writing and hypothesise possible causes of failure as a result of shortcomings in our current methodologies. How we might cope with these problems in teaching English as a foreign language at secondary and tertiary levels is another matter. The suggestions I have given aim to release the practice of foreign-language writing from the straitjacket in which I feel it is currently trapped and wherein it serves too often as a mere reinforcement activity in language learning, or an adjunct to speaking. By so doing I aim to restore to writing one of its more traditional services in the mother tongue - that of providing the writer with the tools to raise his or her consciousness and experiment with the language. In such a way we may particularly help those students in areas where opportunities to interact with the target language are scarce, or those from first-language backgrounds where writing is not considered a learning priority. The act of writing encourages the writer to think about and, ultimately, nurture, the tools he or she is using to put thoughts into words. These words, phrases, clauses or sentences are as permanent as the writer wants them to be and are subject to endless improvement and refinement. Above all, it is this that our student needs to appreciate. Amongst its many virtues, writing is essentially a recursive activity in any language which, because of this recursiveness, rewards constant review and provides an ideal tool for the foreign-language student to practise with increasing confidence and experiment without fear.

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## **EL PERÍODO SILENCIOSO: APORTACIONES EN TORNO A UNA EXPERIENCIA DIDÁCTICA**

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### **Resumen**

*El propósito de este artículo es exponer el desarrollo del Período Silencioso de un grupo de alumnos de 7 y 8 años (2º y 3º de Primaria) antes de pasar a la fase productiva en la adquisición del inglés como lengua extranjera. Hemos recurrido a un estudio experiencial de Investigación en la Acción cuya primera fase ha aportado interesantes datos, válidos en línea con un planteamiento cualitativo. Hemos observado las diferentes etapas a lo largo del curso 1995/96 desde una perspectiva de la comprensión hasta llegar a la producción oral. Nuestros objetivos han sido lograr y mejorar la adquisición de un primer Código Comunicativo Básico. Los resultados están siendo muy favorables y satisfactorios en relación a cursos anteriores. Hemos observado que a los niños la lectura les resulta más fácil y reconocen las palabras más rápido. Al mismo tiempo, la pronunciación es mucho más correcta que en otros casos ya que se han limitado a imitar lo que sus oídos captaban del profesor. Si todo esto ya son grandes ventajas, lo más sobresaliente es la capacidad de comprensión.*

### **Abstract**

*Our aim is to discuss the development of the Silent Period of a group of 7-8 year-old EFL pupils (2<sup>o</sup>-3<sup>o</sup> Primaria) before going into the Oral Productive Stage. We have referred to our own study of Action Research, which, in its first phase, has revealed interesting data with a qualitative approach. We have been observing the different stages during the 1995/96 course from the perspective of Comprehension. Our objectives have been to improve the acquisition of a first Basic Communicative Code in relation to previous years. We are now obtaining more satisfactory results than in other courses. We have observed that pupils find the reading skill not as difficult as before. At the same time, the pupils' pronunciation of the English language is more correct since they have imitated the teacher's pronunciation. However, the most noticeable observation is their ability to comprehend verbal information.*

## 1. INTRODUCCIÓN

Algunas de las estrategias que vamos a tratar en el presente artículo son *Total Physical Response (TPR)* e *Incubation Period o Período Silencioso*. La producción se retrasa de modo natural hasta que el alumno es capaz de comprender lo que escucha y se encuentra preparado para producir oralmente (Richard-Amato 1988:71). En cuanto a la técnica de respetar un período inicial de silencio o Incubación - debemos recordar que ya Palmer hablaba de ella -un gran número de unidades conceptuales se adquieren de forma natural (sonidos, combinaciones de sonidos y valores semánticos) (Palmer 1925, en Blair 1969:41). Hemos estado haciendo uso de estas técnicas durante años con diferentes grupos de alumnos, todos principiantes absolutos y con edades que oscilan entre los 7 y los 10 años. Para nosotros, los resultados son tan satisfactorios que nos gustaría exponer a continuación, y de forma breve, el proceso enseñanza.

## 2. EL PERÍODO DE INCUBACIÓN PASO A PASO

El temor a lo desconocido, es decir, a adoptar innovadoras técnicas de enseñanza, hace que en muchas ocasiones se opte por volver a utilizar los mismos métodos convencionales para no correr riesgos. No ha sido ése nuestro caso. Decidimos cambiar de metodología, dado que no estábamos satisfechos con los resultados al finalizar los cursos anteriores. Hemos de reconocer que no ha sido una incorporación de nuevas técnicas de forma absoluta, sino que paulatinamente ha existido una combinación de técnicas novedosas con otras tradicionales. Tras unos primeros intentos, llegamos al convencimiento propio de implantar un período silencioso de unos tres meses, antes de entrar en la fase productiva. De su puesta en funcionamiento se ha comprobado que la fase productiva se halla más aventajada que en cursos anteriores.

Veamos a continuación una breve memoria de cómo se ha llevado a cabo este periodo silencioso y a la misma vez de «incubación»:

El grupo de alumnos en el que decidimos implantar el período Silencioso estaba formado por 4 niños de 2º y 5 niños de 3º de Primaria (7 y 8 años) que partían de nivel 0 de inglés. Su asistencia a clases

extraescolares era de dos horas semanales, lo cual supuso 23 horas de período silencioso (15 septiembre-22 diciembre).

El objetivo general fijado era llegar a manejar un Código Comunicativo Básico (CCB) (Tejada 1994) que incluyera: a) la comprensión de instrucciones muy variadas, b) la comprensión de preguntas y enunciados simples, c) reconocer una amplia gama de vocabulario (sobre centros de interés del entorno infantil) hasta llegar a que el alumnado se encontrara en un terreno cómodo y cercano a la realidad.

### 3. OBSERVACIÓN EN EL AULA

Los alumnos llegan sin saber exactamente lo que les espera, recelosos, temerosos. La avalancha de sonidos totalmente nuevos les va a desconcertar e incluso cohibir. Hasta ahora, nuestro error había sido incitarles a producir desde el primer momento, y pretender que lo hicieran correctamente. No tenían elección para decidir si estaban preparados para hacer frente a tal amalgama de sonidos, distintos a los de su lengua materna. Pues bien, ahora la van a tener. No producirán en la lengua extranjera hasta que ellos mismos se sientan cómodos y seguros de hacerlo. La primera clase consiste en una toma de contacto entre todos los componentes del aula: alumno-alumno, alumno-profesor, y alumno-inglés. Para romper el hielo, el profesor debe explicar en la lengua materna del alumno el propósito de estas clases (es una buena idea mostrarles un mapa como referencia visual). Un factor importante, sobre todo con alumnos de tan corta edad es la disposición de los pupitres en la clase: facilita mucho que los alumnos se sitúen en forma de semicírculo alrededor del profesor. De esta forma los alumnos ven con claridad todo lo que el profesor realiza y viceversa, es decir, se propicia un ambiente interactivo. A continuación el profesor debe dejar a un lado la lengua materna del alumno e intentar, dentro de lo posible, hablar en inglés. Cuanto más parecida a un juego sea la clase, más motivador y positivo será el ambiente de todo el proceso adquisitivo. Las presentaciones son un buen comienzo, ya que, además de necesarias, pueden resultar divertidas para los niños. Un ejercicio que resulta muy útil consiste en lanzarse una pelota a medida que cada alumno va diciendo su

nombre hasta memorizarlos. A partir de aquí, la clave es gesticular corporalmente todo lo posible para evitar tener que utilizar el español, y que los alumnos entiendan lo que el profesor les está pidiendo que hagan. En primer lugar, él mismo va realizando las acciones que dice para que el alumno se fije y sepa lo que después tendrá que hacer, siguiendo este modelo de input:

PROFESOR: (Pointing, touching and holding) 'O.K., *this is a table. See? Table. And this is a window, win-dow. Table, window. Well, and this is a chair, you see, a chair. Chair. So, table, window and chair. Look at my mouth. Look. Table, window and chair. Can you POINT to the table? POINT to the table, Rocío. Very good! and now, POINT to the chair, David. Excellent!!*'

A medida que una orden parece controlada por los alumnos, se introduce otra que se va intercalando con las anteriores. El vocabulario nuevo se irá añadiendo a medida que los alumnos hayan retenido el anterior. Las primeras clases se completan con las siguientes órdenes referentes a acciones elementales como *stand up, sit down, point to, touch, take, walk, run, stop, jump, put* y *draw*. Igualmente se familiarizan con el entorno: *window, door, chair, table, desk, board, book, pencil, rubber, pen, ruler, sharpener, colours*.

Al comenzar una nueva clase, en primer lugar es necesario comprobar lo que son capaces de recordar de la clase anterior. Así nos aseguramos de que se encuentren en un terreno conocido y cómodo para ellos. No olvidemos que los primeros minutos de cada clase son cruciales para hacer que rompan con una lengua con la que viven siempre y se incorporen a la lengua extranjera sin temor ni inseguridad. Es necesario partir de algo que ya conocen para ir introduciendo órdenes y vocabulario nuevo de forma progresiva. Se recomienda introducir tres o cuatro órdenes nuevas y un grupo monotemático de vocabulario en cada sesión.

En este punto del proceso adquisitivo, el profesor debe probar a hacer combinaciones del lenguaje sin demostración previa. Es admirablemente sorprendente ver cómo, tras unos segundos de desconcierto y reorganización de ideas, los alumnos son capaces de llevar a cabo las instrucciones por propia intuición.

Una vez que se ha comprobado la habilidad que los alumnos poseen para combinar la lengua rápidamente en su memoria, podemos sacar mucho más partido del contenido asimilado, mediante la recombinação de ideas.

En las clases siguientes se introducen los animales comunes, domésticos y salvajes, mediante *flashcards* y los números del 1 al 10 al mismo tiempo que las preposiciones de lugar (*on, in, under, between, behind* y *next to*). Con la ayuda visual de grandes números de cartulina, fuimos repitiendo los números una y otra vez hasta comprobar con las órdenes *touch* y *point* que se habían asimilado.

En sesiones posteriores se completan los números hasta el 20. Una vez que éstos se han adquirido con soltura, el llegar hasta el 100 en una sola sesión no debe ofrecer mayor dificultad. Del mismo modo se llega hasta el número 1000 en un par de clases más, enfatizando de forma especial los sonidos diferenciadores de las terminaciones.

Poco a poco el vocabulario se va ampliando. El apoyo visual es de suma importancia, por lo que recomendamos siempre el uso de *flashcards*, *realia* e incluso dibujos en la pizarra de todo el vocabulario. Los alumnos deben trabajar con estas palabras, tenerlas en sus manos, hacer cosas con ellas (cuanto más variados los tipos de actividades mejor), en una palabra, encontrarles utilidad.

El Período Silencioso no es aplicable por igual en todos los casos. Cada grupo de alumnos responde de modo distinto, dependiendo de factores como son el nivel socio-cultural, la motivación y la edad. En el caso que aquí nos ocupa, al finalizar las 23 horas lectivas del Período Silencioso los alumnos adquirieron los siguientes conceptos con multitud de combinaciones:

**INSTRUCCIONES:** *look, listen, be quiet, talk, stand up, sit down, walk, stop, point to, touch, go to, go out, come in, give, draw, write, open, close, jump, hop, turn around, take, put, say, hold (up), show.*

**VOCABULARIO POR TEMAS:** El entorno inmediato, colores, partes del cuerpo y cara, animales, adjetivos calificativos, números cardinales del 1 al 1000, preposiciones de lugar, alfabeto, la casa

(habitaciones y mobiliario), la familia, calendario/estaciones, comida, fruta, bebidas, transportes, juguetes.

Al final del Período Silencioso, notamos que muchos de los alumnos querían y estaban preparados para comenzar a producir oralmente con respuestas simples de YES y NO. Incluso, los más impacientes se aventuraban a producir palabras sueltas de sobra conocidas:

PROFESOR: «*Are you Alberto?*»

ALUMNO: «*Yes.*»

P: «*Are you eight?*»

A: *No. Seven.*

P: «*Is this a banana?*»

A: «*No. Strawberry*»

P: «*Is it red?*»

A: «*Yes*»

P: «*Alejandro, is your book ON your head?*»

A: «*No! On (the) table*»

Éste fue el comienzo de la etapa productiva, que se está desarrollando más satisfactoriamente que en años anteriores, en los que no se ha llevado a cabo el período de comprensión. La pronunciación es más correcta, ya que los sonidos, entonación y acento les son del todo familiares.

#### **4. ACTIVIDADES Y JUEGOS PARA EL PERÍODO DE COMPRENSIÓN**

##### **4.1. *Jungle***

Esta actividad (Tejada 1994) consiste en trasladarse imaginariamente a la selva donde los pequeños exploradores encuentran numerosos animales y deben identificarlos. Son guiados por un lí-

der que, al principio, será el profesor y al que los propios alumnos podrán reemplazar más adelante.

Por experiencia propia, ésta es una de las actividades que los alumnos piden constantemente al profesor, ya que implica mucho dinamismo, un poco de arte dramático e imaginación. Al mismo tiempo, nos brinda la oportunidad de practicar multitud de acciones verbales y nombres de animales.

#### **4.2. Dibuja a Tommy**

Esta actividad consiste en practicar las partes del cuerpo y la cara. Se dibuja a Tommy en la pizarra a partir de un círculo (la cabeza) que previamente ha dibujado el profesor. Lo divertido e interesante es no seguir orden alguno en la creación de Tommy. La actividad termina cuando Tommy está totalmente creado.

#### **4.3. Dictado de Símbolos**

Consiste en completar un gráfico siguiendo las instrucciones y explicaciones del profesor, mediante el dictado de 10 ítems de objetos, números, letras o colores. Se dejan de 10 a 15 segundos entre uno y otro para dibujar. (Tejada, 1994).

#### **4.4. Enredos**

Es una forma divertida y eficaz para utilizar las preposiciones de lugar que tanto trabajo cuesta asimilar. Podemos distinguir dos variantes de «Enredos», dependiendo de lo que queramos practicar. La primera consiste en ir moviendo a los alumnos de tal forma en la clase que al final formen una maraña de niños.

*PROFESOR: «Alejandro, stand up and come to the middle of the room. Alberto, come next to him. David, go behind alejandro. Ana, opposite David. Rocío, in front of Alberto. Mónica, go between David and Alejandro»*

Cuando todos los alumnos han salido, continuamos moviéndolos cada vez más rápido. Otra forma de realizar la misma actividad es utilizar la mesa del profesor, vacía, para situar a los niños *ON, UNDER, NEXT TO, BEHIND, IN FRONT OF, OPPOSITE*.

#### 4.5. *Simon Says*

Es un juego divertido y dinámico que permite desarrollar la capacidad de comprensión de forma amena al introducir un elemento distractor. El nombre del juego es «*Simon Says*». Consiste en hacer aparecer en escena a Simon, el amigo invisible de la «*teacher*» que le va diciendo al oído lo que los alumnos deben realizar con el fin de consolidar los contenidos de esa clase. La orden es «*Simon says: Point to the window*», Y solamente deben obedecer a las órdenes de Simon, ya que si la «*teacher*» da una instrucción sin que Simon se lo haya ordenado (omitiendo «*Simon says*»), y los alumnos la llevan a cabo, van quedando eliminados del juego. Es una variedad de las técnicas de respuesta corporal total -TPR- ya indicadas.

#### 4.6. Escenificar la historia contada

Esta actividad/representación teatral está dirigida a alumnos con un grado de comprensión medio/alto. No se requiere el entendimiento de todos los elementos lingüísticos, pero sí el seguimiento continuado, apoyado por el contexto visual. Todos los alumnos participan en la representación, haciendo tanto de personajes animados como de inanimados (a los que ellos se encargarán de darles vida). Unos harán de ventana, otros de puertas, otros de ascensor, frigorífico, reloj y, por supuesto, de personas. Una vez que cada uno ocupa su lugar, el profesor comienza a relatar una historia sencilla y cotidiana. A medida que la historia avanza, todos los personaje animados e inanimados van entrando en acción, realizando lo que el narrador cuenta:

*«It's Monday morning and Ana is sleeping. Suddenly, the alarm clock rings (un alumno hace de despertador y lo imita). So, Ana gets up and goes to the toilet. She washes her hands and face and then*

*she goes to the kitchen. She opens the fridge and has a glass of milk. Then she gets dressed, takes her schoolbag and goes out. Now she's waiting for the lift, the doors open, she goes in, presses the button and goes down. The school bus comes and she gets in. At nine o'clock, they get to school and go into the classroom».*

El profesor puede adaptar o inventar cualquier otra historia según sus necesidades. Lo interesante es que todos los alumnos participen e intercambien sus roles en cada representación.

#### 4.7. Vídeo

¿Creemos que el nivel de nuestros alumnos es demasiado bajo después de tres meses de aprendizaje como para comprender la proyección de un vídeo en inglés? No los subestimemos. En primer lugar depende del material. No sirve cualquier proyección, aunque esté diseñada para niños. Las hay especialmente realizadas para niños y representadas por niños, cuyo objetivo es consolidar lo adquirido con anterioridad. Son interactivos y se asemejan mucho a la vida real. Es otra oportunidad de comprobar que la lengua que están aprendiendo es real, útil y usada por otros niños día a día.

#### 4.8. Canciones

Se dice que la música relaja y estimula. ¿Cómo podemos hacer uso de canciones dentro del período silencioso? Muy sencillo: representando mediante mímica la letra de la canción a medida que va sonando. Sin darnos cuenta, los alumnos la van aprendiendo y la cantarán fácilmente en la fase productiva. En esta fase hemos hecho uso de canciones como *Head and Shoulders*, donde repasan las partes del cuerpo; *I'm a Little Teapot*, que incluye adjetivos calificativos; *One Banana*, para repasar los números y las comidas; *1, 2, Buckle my shoe*, donde se realizan diversas instrucciones; y la canción del alfabeto en inglés, donde tienen que ir señalando las letras que van apareciendo. A los niños les encanta reconocer lo que la canción va diciendo y poder realizar gestos que se relacio-

nen con ello. Pero no nos engañemos: que sean capaces de realizar los gestos correspondientes a la canción no quiere decir que ello forme parte de su competencia comunicativa, sino que reconocen contextualmente el significado de las canciones.

#### 4.9. Reflexion final

Antes de finalizar, nos gustaría repasar algunas ideas útiles que el profesor debe tener en cuenta si decide incorporar el *Período Silencioso* en su diseño curricular:

- a. Los alumnos adquieren mejor la lengua extranjera si lo hacen jugando.
- b. Cada actividad no debe durar más de 10-15 minutos para mantener la atención del alumno.
- c. El profesor debe adoptar una actitud dinámica, incluso infantil si es necesario. Jugar con los tonos de voz facilita la atención del alumno.
- d. Cada clase debe comenzar con un repaso de los conceptos que ya le son familiares al alumno en un sentido cíclico.
- e. El lenguaje nuevo se debe introducir paulatinamente, siempre relacionándolo con conceptos ya conocidos.
- f. Cada alumno adquiere la lengua a un ritmo distinto.

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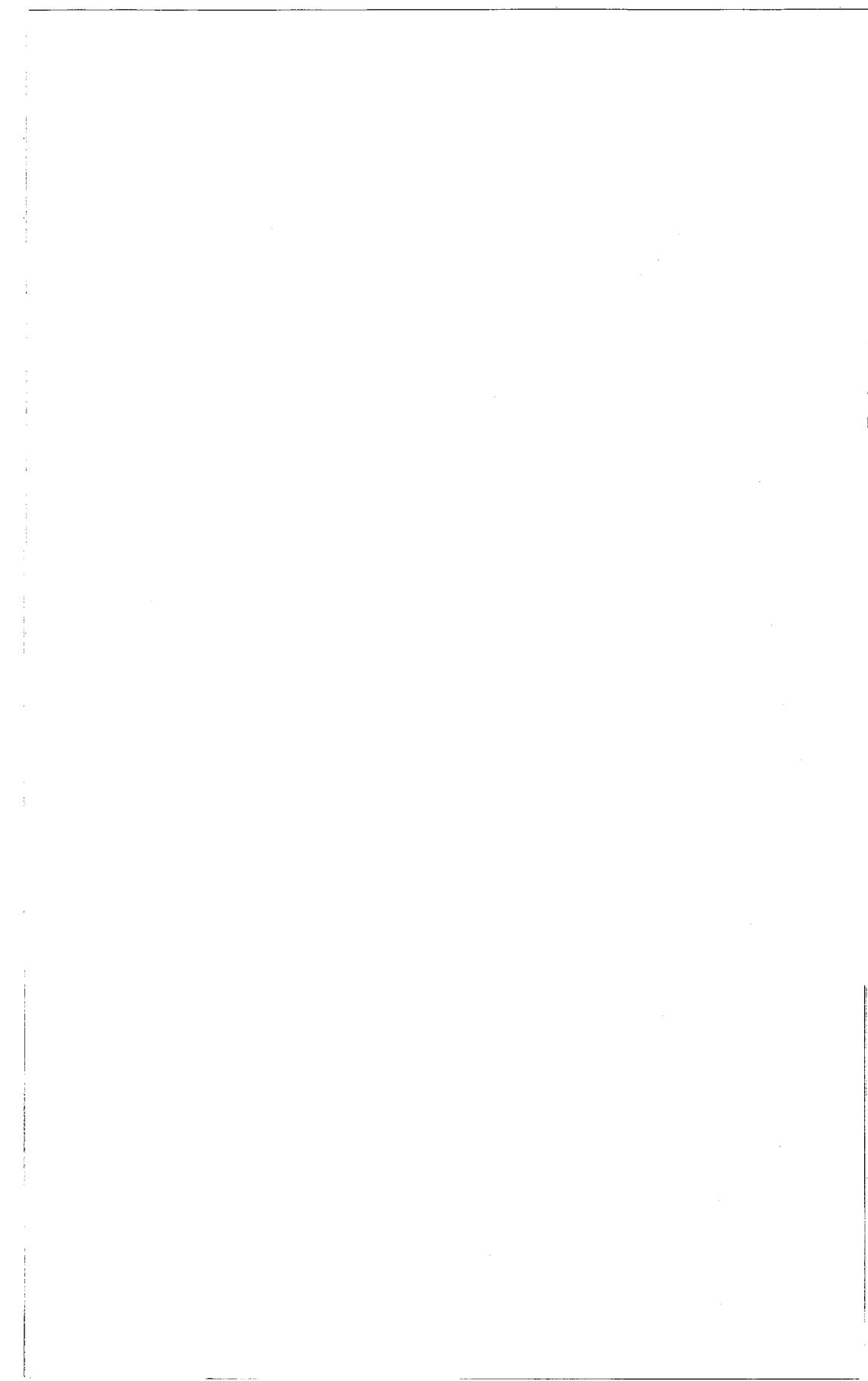
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## **LITTLE RED RIDING GRAMMAR WENT TO SCHOOL or MIXING CODES, SKILLS AND NOTIONS IN DISCOURSE**

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### **Resumen**

*El presente artículo intenta poner de manifiesto la necesidad de ampliar el ángulo de mira y de armonizar diversos puntos de vista sobre los que fundamentar teóricamente la enseñanza de idiomas. El logro de la competencia gramatical ha ejercido una influencia tan fuerte en la enseñanza de idiomas que el resto del proceso de aprendizaje -tras el estudio de la morfología, la sintaxis, el léxico y la fonética- se ha dado por supuesto. Desde una posición descriptiva del lenguaje, también han de incluirse los aspectos textuales de la materia en estudio. Todos estos factores verbales, a su vez, han de combinarse con las destrezas de aprendizaje y recursos expresivos de los que el alumno pueda hacer uso. Ha llegado el momento de la síntesis, de forma que el aprendizaje sea el resultado de la integración, la creatividad y la cooperación. Se aporta un ejemplo derivado de la teoría.*

### **Abstract**

*This article attempts to show the need to enlarge the scope and to harmonize viewpoints on which the teaching of foreign languages can be theoretically founded. Achieving grammar competence has exerted such a strong influence on L2 teaching that the rest of the whole learning process -after studying morphology, syntax, lexis and phonetics- is taken for granted. On the linguistic descriptive side, textual dimensions of the subject matter must also be included. All these verbal factors are to be combined with the learning skills and expressive resources the pupil can make use of. Time for synthesis has come so that learning is the result of integration, creativity and cooperation. A sample of how theory can be applied is given.*

*Que tenemos que hablar de muchas cosas,  
compañero del alma, compañero...*

(M. Hernández)

### **Rationale: Sentence and text from a cognitive perspective**

The applied attempts to convert linguistic theoretical-descriptive models into notions to be taught have led us to the conclusion that language is a substantial being for its own sake. Thus learners were supposed to handle and grasp language contents as any other concrete object. It must be asserted that words and structures, as such linguistic elements, are just abstractions, and therefore they represent pure concepts.

Language is mainly communication. Thus, in dealing with formal entities, the meaning and function that signifiers display are to be always taken into account. Sometimes a risk is taken when considering linguistic units and relations as well as material labels and strings connecting these isolated units. The reference to linguistic frozen elements made by formal linguists is not useful at all for applied linguists or language teachers.

The psychological dimension of the learning process must be present as well. There is a long and tedious path from the starting point of the presentation of linguistic contents to the ending position in which learners become users and genuine communicators. Before contents of the curricular design can be employed in a teaching situation, let us include those factors related to perception, memorization, automation and cognition.

In the teaching of English, or any other foreign language, the conversational discourse, as a textual framework of reference where oral language develops, must also be treated from the psycho-linguistic point of view. Thus verbal devices are to be considered mainly from the textual structure within which they are embedded. Their facet, as the result of both a complex cognitive process and a high level of automation -internalization or acquisition-, when performing them in order to become effective tools of interaction, must also be pinpointed.

Different kinds of units and relations appear along the conversational frame development: a) Discursive devices. b) Isolated lexical items, such as words and morphemes. c) And groups, such as phrases and clauses referred to the sentence structure.

Those elements with a mere discursive function included in the first group are organizational resources belonging to a supra-sentence or text structure. Thus, elements for attracting attention, turn taking, interruption and clarification requesting, to mention just the most relevant, are the rails on which the whole of utterances run along. They display a clear discursive value for calling attention and getting the channel open. Furthermore, some show a deictic value as to speakers, time and space, which is necessary to fix and organize the interactive flux of information. The following verbal exponents might be a good sample of the first units to be included as notions:

- *Your attention, please; Listen; Be quiet; Look*
- *Excuse me; Pardon; Repeat; What? Sorry*
- *Children, everybody, boy /s, girl /s; teacher, (names)'*
- *Me?; Who me?; You*
- *Well; You know*
- *Here; Now, then; Wait.*

From a psycholinguistic point of view, learners must achieve a good level of automation to use verbal tools according to the cognitive and conversational structures. To do that, data must be successfully transferred so that children can provide their listener with new information and feedback.

Some teachers frequently refer to the L2 units from an «abusive» grammatical position, -we admit it to have been our own position-. They seem to understand only but the formal morpho-syntactic system in a meta-linguistic manner. Our viewpoints as adult speakers of the target language, and our training on grammar, vocabulary, literature or phonetics have led us to an upper perspective. Since that point of view the form is the queen which rules the L2 teaching process. Most of the times, this influence is implicit in the way contents are selected,

sequenced, presented, practised and assessed. Thus we may assert that there is a kind of **hidden** curricular design affecting teaching procedures and methodology.

This approach faces us with the learning of oral foreign languages as a result or summit derived from a great toil of conscious knowledge and tedious memorizations of lexical items, based on written materials before the conversational training is undertaken. Within that pseudo-rational position students are expected to read aloud texts and always to have written references as a previous step to be taken towards oral language development. It is on those foundations where new information on conversational features and facts -most of the times selfdiscovered by the learners- will be added in order to make the old formal notions become appropriate devices of conversational value. Let us consider a frequent example. Students who are supposed to have learnt the negative *I do not know*, -as a structure where each morpheme can be substituted after a conscious effort- must contrast *do + not*, eliminate an element *I*, and modify the pronunciation -transcripts included- in order to understand or say just *don't know*. Everyday language is full of these kinds of samples, for example, *He don't care* or *She go yesterday* heard by our students in rock songs.

In our opinion, those attitudes and convictions influence negatively the access of young pupils to oral language development. Both grammar and discourse competence, as organizational competence, according to Bachman (1990:87), should go hand in hand. This proposal implies that a psycholinguistically solid perspective is needed to insert each new syntactic structure or any other lexical item. Audiolingual practitioners, as early applied linguists and psychologists, understood that the question could be solved just by changing deductive exercises and insisting on the formation a series of verbal habits. So *drills* and intensive oral practice of *mim-mem* techniques would be a compensating solution for the obsolete amount of notions. The lack of sense within appropriate dialogues has made this methodology a failure. On the other hand, the reaction against a habit formation theory based on empty forms -applied behaviourist and structuralist theories- has led teachers to cognitive procedures inspired on notional-functional contents. However, very often the previous isolated concept of sentence has been kept on the idea of

function as an entry of an up-to-date catalogue organized on communicative criteria. Therefore, we find different labels for the same grammatical and lexical contents, presented according to the purposes aimed. The discursive perspective is still missing. Although the audioligual method dealt with dialogues -something which seemed to be a step forward onto the conversational text structure-, a need of meaningfulness was felt. As far as the psychomotor and cognitive dimensions of both psycholinguistic approaches are concerned a synthesis of conclusions is to be designed from a wider humanistic perspective.

Linguistic notions, also discursive elements, must be inserted within the progressive and dynamic communicative competence development. It means that learners will incorporate grammar notions to a series of communicative experiences which show the cognitive and psychomotor habituation skill. Thus formal notions will adapt to the ability to interact, not the other way round. The study of grammar cannot be reduced to an exquisite abstraction exercise, although teachers, seated in the ivory tower with a huge linguistic formation, enjoy and fascinate the metalinguistic complexity and richness of the foreign language. Teachers are invited to share their valuable knowledge with the cognitive and emotive world of the pupils. This humanistic student-centered approach will provide better results.

These insights have made us come to the following samples or *applied* proposals. In this case we will focus on beginners. Participation, memorization and construction of *dialogues* derived from the simplest kinds of encounter are suggested. Just a question/answer (Q/A) set will be the kernel relation to expand the language. It can be illustrated by this example:

Q/A set: > *What's your name?* / < *David / Sara*

From this Q/A set a series of possible lexical units will follow to promote feedback to interaction:

> *-Hello; You, boy, girl*

< *-Me? Who me?; Sorry*

> *-Yes, please + Q*

< *-Pardon, repeat; My name?*

- > -*Yes, of course; My name's Paco + Q*  
 < -(David/Sara)
- > -*Pardon; (David/Sara?)*  
 < -*Yes; My name's David / Sara*
- > -*O.K.; Thank you*

In this expansion example the Q/A nucleus appears to be the psycholinguistic core of the conversational structure. This pragmatic consideration includes the speakers playing the roles of addresser and addressee. Several lexical units are presented so as to make conversation work. Each isolated block must be known and acoustically understood by the pupils before they are asked to utter productively. This checking of listening skills is in relation to the importance of receptive processes (Krashen 1985). These lexical phrases, some of them *open formulae*, can be combined and exploded in interaction before carrying out the real sentence structure development. Similarly, psychomotor habituation skills are expected of more advanced learners in order to make conscious notions integrate in the communicative competence system.

With reference to this specific example, for the utterance *My name is David / Sara* to be produced by the pupils, these considerations must be taken into account:

- a) They must understand accurately the fragment *My/Your name* as a whole and as a simple noun phrase to indicate the topic nomination on which a comment will be added.
- b) They must be familiarized with the possibility of the noun phrase *My name?* as a strategic question for clarification and confirmation.
- c) It is after the pupils feel confident enough to understand and converse by exchanging these kinds of units, by practising analyses of chunks into morphs (Klein 1986:59-78) and by making global perceptions in order to obtain a better acoustic comprehension, that the effective sentence construction process will take place in harmony.

Thus, oral skill integration is proposed and consequently grammar notions and conversational development are also inserted into a dynamic, cyclical and participative L2 learning process.

### **Proposal: How to make comics**

The proposed sequence model allows the inclusion of other means of expression within the web. As far as beginners are concerned, easy comics can supply the visual and graphic context of a series of conversational performances. Thus, illustrations of fictitious beings may represent the written forms that learners can understand and produce orally in L2. A way to integrate reading proportionally in balance with the rest of skills within the suggested conversational and meaningful L2 acquisition task. To do that, not only is a comprehensible context provided, but also the basis on which further descriptions and narratives are derived and grow consistently in an appropriate orational written mode.

Comic-making is also a procedure to initiate writing in children's own mother tongue. It is an opportunity for global learning to take place. Both L2 and L1, as real communicative vehicles, live together, although each one develops its rate according to different starting points and representational functions. Logically, their mother tongue is the most appropriate to carry out the sentence model based on written discourses. On the other hand, initial L2 utterances occupy their place in a wider cognitive and linguistic frame as can be tested in the following sample. Some commands in the L2 can be included to make reading communicative as well. The story is also ready to be acted out. Children will enjoy once more language learning. English and Spanish share the same meaningful experience where notions, skills and codes are creatively integrated in discourse.

**Activity: «El Gusano y la Mariposa»**

- (1) «Éranse una vez un lindo gusano y una mariposa llena de colores que se encontraron en un parque».

- HELLO

- HELLO

- DO YOU LIKE FLOWERS?

- YES (I DO)

COMMAND: (Draw grass and colour the animals. Colour the sky blue).

- (2) «La mariposa, que tenía hambre, se fue. El pobrecito gusano se quedó muy triste».

- COME HERE!

- BYE-BYE

- DON'T GO

- SEE YOU!

COMMAND: (Draw the sun and colour the flower yellow).

- (3) «Al rato, la mariposa volvió. Había una lágrima en la cara del gusano. Estaba triste».

- DON'T CRY

- WHY NOT?

- LOOK, AN APPLE-TREE

- AN APPLE-TREE?

COMMAND: (Draw apples in the tree. How many? Four. Colour the apples red).

- (4) «Ahora el gusano estaba más contento».

- DO YOU LIKE APPLES?

- YES. (I LIKE RED APPLES) RED APPLES.

- (GREAT!) (LET'S) GO TO THE GARDEN

- O.K.

COMMAND: (Draw flowers in the garden. What colour? Blue and yellow).

- (5) «Se hicieron amigos. El gusano se instaló en una hermosa manzana y la mariposa se echó sobre una flor cargada de polen».

- APPLES FOR YOU AND FLOWERS FOR ME

- (ARE YOU) HAPPY?

- YES (I AM)

- ME TOO

COMMAND: (Colour the apple red. Colour the flower yellow).

- (6) «Así acaba la historia del gusanito y la mariposa que fueron tan felices en el jardín».

COMMAND: (Draw a happy face)

### **Suggested complementary activities:**

a) Spelling in Spanish as mother tongue: «Vez/ces, llena, hambre, tenía, pobrecito, volvió, había, lágrima, ahora, más, así, hicieron, instaló, echó, acaba, historia, felices/z, jardín.

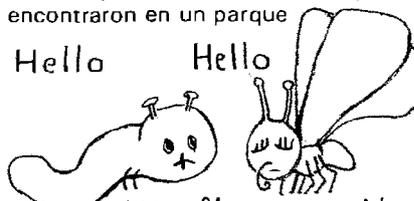
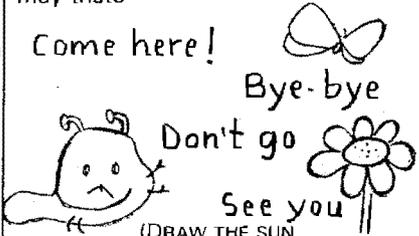
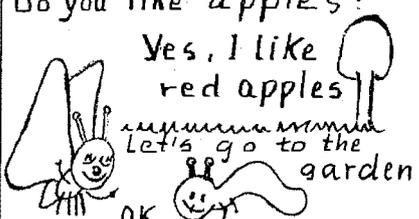
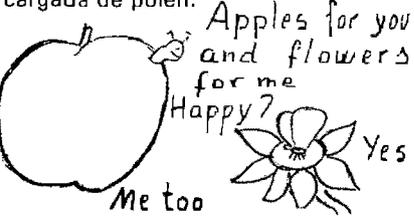
b) Natural Sciences: Insects

c) Social habits: Nature care

d) Role-play:(Characters: Narrator, butterfly, worm, flowers, apples, trees)

e) Maths: Numerical concepts: dozen, half a dozen, multiplication.

### El Gusano y la Mariposa

<p>Éranse una vez un lindo gusano y una mariposa llena de colores, que se encontraron en un parque</p> <p>Hello Hello</p>  <p>Do you like flowers? Yes</p> <p>(DRAW GRASS AND COLOUR THE ANIMALS. COLOUR THE SKY BLUE)</p>	<p>La mariposa, que tenía hambre, se fue. El pobrecito gusano se quedó muy triste</p> <p>Come here!</p> <p>Bye-bye</p> <p>Don't go</p> <p>See you</p>  <p>(DRAW THE SUN AND COLOUR THE FLOWER YELLOW)</p>
<p>Al rato, la mariposa volvió y vio una lágrima en la cara del gusano.</p> <p>Don't cry</p> <p>Look, an apple tree</p> <p>Why not?</p>  <p>(DRAW APPLES IN THE TREE. HOW MANY? FOUR. COLOUR THE APPLES RED)</p>	<p>Ahora el gusano estaba más contento.</p> <p>Do you like apples?</p> <p>Yes, I like red apples</p> <p>Let's go to the garden</p>  <p>OK</p> <p>(DRAW FLOWERS IN THE GARDEN WHAT COLOUR? BLUE AND YELLOW)</p>
<p>Se hicieron amigos. El gusano se instaló en una hermosa manzana y la mariposa se echó sobre una flor cargada de polen.</p> <p>Apples for you and flowers for me</p> <p>Happy?</p> <p>Me too</p> <p>Yes</p>  <p>(COLOUR THE APPLE RED. COLOUR THE FLOWER YELLOW)</p>	<p>Y así acaba la historia del gusanito y la mariposa que fueron tan felices en el jardín.</p> <p>THE END</p>  <p>(DRAW A HAPPY FACE)</p>

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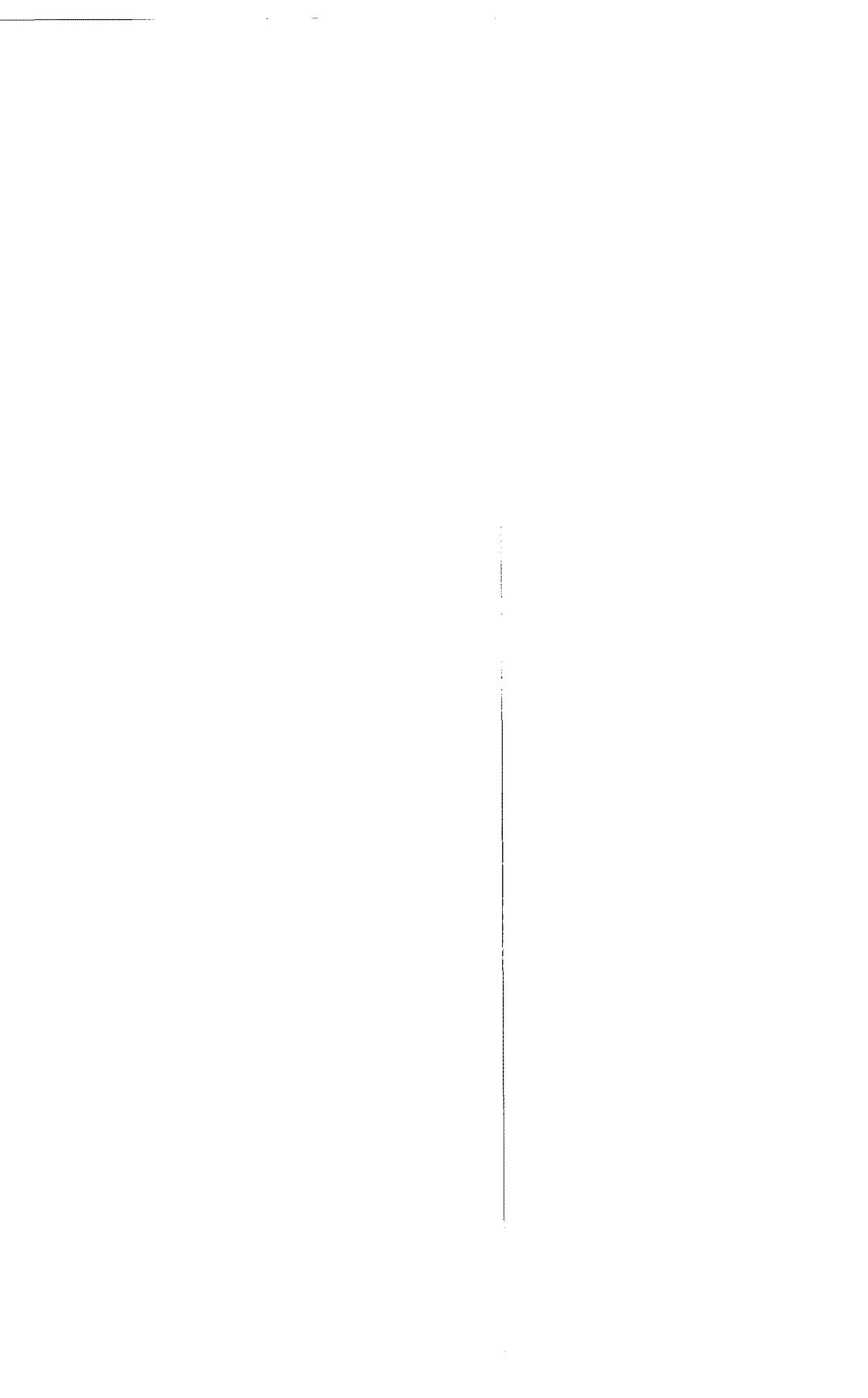
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**ÜÍSTICA INGLESA**



# INTERNET RESOURCES FOR A "HISTORY OF THE ENGLISH LANGUAGE" COURSE<sup>1</sup>

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## **Resumen**

*Este artículo pretende servir de guía introductoria a los recursos en Internet para la asignatura de Historia de la lengua inglesa. Recoge las direcciones de Internet de servidores de textos electrónicos, páginas web de profesores de Historia de la lengua inglesa o de Inglés antiguo, servidores de información relacionada con estas asignaturas, grupos de discusión, sociedades e instituciones lingüísticas, editoriales, bibliotecas, bibliografías, información sobre congresos, así como servidores en los que se pueden llevar a cabo búsquedas de todo lo anterior.*

## **Summary**

*This article purports to be an introductory guide to Internet resources for a History of the English Language (HEL) course. It provides the Internet addresses of repositories and online servers of electronic texts, teachers' web pages dealing with their HEL or Old English courses, HEL-related sites and facilities, discussion groups, linguistic societies and institutions, online journals and publications, book publishers, libraries, bibliographies, conference information, as well as addresses of servers and sites where searches for all the preceding items can be conducted.*

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<sup>1</sup>"History of the English Language" is an optional one-year subject in the present curriculum of the University of Jaén's degree in English Philology but has become obligatory in the new curriculum introduced in October 1995.

## FOREWORD

The aim of this article is to provide students and fellow teachers alike with information on the ever- expanding Internet resources for a History of the English Language (HEL) course and related academic research. The reader need only have some basic working knowledge of the Windows interface and Windows Internet navigation browsers<sup>2</sup>. Naturally (s)he must have access to Internet, whether that be provided by his/her University or by a private company<sup>3</sup>.

I set off on my voyage of discovery<sup>4</sup>, aboard the Netscape Navigator browser, from a safe harbour, called **Old English Pages**, which is a home-page<sup>5</sup> created by C. Ball (cf. 2.2.2, 3.1 and 3.2). However, the starting search point for HEL information may very well have been any other site on the web<sup>6</sup>, such as **The Labyrinth Homepage** (cf. 2.2.1), Michigan University's **Medieval Institute Homepage**, or **Internet Resources on the Anglo-Saxon World** (cf.3.2)<sup>7</sup>. This is something the unseasoned reader should bear in mind. The old dictum "All roads lead to Rome" is nowhere truer than in Internet, but, since one *must* go to Rome by Internet, some kind of proviso like "You are sure to get lost at some stage, though" or "all roads lead everywhere" should be added. The reason for this caveat is that most web documents are written in

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<sup>2</sup>For example Netscape. I assume that most readers have not used Internet. I shall therefore explain Internet-specific terminology and acronyms in footnotes.

<sup>3</sup>Internet navigation being a recent boom in Spain, current issues of computer magazines are supplying a wealth of information about private Internet dealers in Spain. Telephone charges have recently been sharply reduced thanks to the INFOVÍA service created by the Spanish telephone company, Telefónica. The reader is again referred to computer periodicals.

<sup>4</sup>All the Internet sites found in this article were accessed in March 1996.

<sup>5</sup>A "home page" is the initial document that one reaches on typing an address in the "location" box of the browsing programme. This initial page will send the browser off to other documents and sites.

<sup>6</sup>web = www = world wide web = the Web.

<sup>7</sup>Naturally, the reader would want to know where I learnt about these sites in the first place: other more general take-off sites or searching machines, such as **Yahoo** (<http://www.yahoo.com/>), **Infoseek** (<http://www2.infoseek.com/>), **Whole Internet Catalog Select** (<http://nearnnet.gnn.com/gnn/wic/wics/index.html>), **Webcrawler** (<http://webcrawler.com/>), **Open Text Web Index** (<http://opentext.60m.8080/omw.html>) ...

HTML<sup>8</sup>, that is, they are **hypertexts**. What this means is that documents are not only made up of text, image and, less often in our field, sound, but that any part of the document may be a **hyperlink**<sup>9</sup>. Naturally all subsequent documents contain further links so that hyperlink overlapping abounds. After a while on the road, it is extremely easy to lose track of how one did get somewhere in the first place<sup>10</sup>. At the same time, all this cross-referencing will fortunately allow the reader to find yet more resources than are to be found in this article. Hidden corners are certain to open onto wide unexplored highways.

On these pages, the reader will find comprehensive coverage of the different types of resources on the Internet: where to find electronic texts, what the teaching resources available are (teachers' homepages, courses, related resources and sites), which discussion groups there exist dealing with HEL issues, what linguistic societies can be found on the Internet, what publications can be reached, how to access libraries' catalogues, where to find bibliographies, where to access information about forthcoming conferences, and where to look for digitalized images of historical relevance.

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<sup>8</sup>HTML = Hyper Text Markup Language. This is the most widely used tagging language to create the hypertext documents we shall find on Internet. Suffice it to say that these texts contain hidden tags to indicate our browsing software which parts of the document contain an image, a sound, a hyperlink to another part of the document or to another computer, etc. In order to view these tags, the document can be saved in "htm" format. This will also show the addresses the hyperlinks point to. However, saving the document in "txt" format will make reading it later more easy.

<sup>9</sup>These are highlighted words or phrases which, by the click of the mouse, send the traveller off to another part of the document being viewed on screen, to another directory in the computer one has accessed, or to another computer anywhere in the world.

<sup>10</sup>However, Netscape offers useful bookmarking and a-history-of-locations-visited options.

## I. ELECTRONIC TEXTS (ETEXTS)

### A. REPOSITORIES OF ETEXTS<sup>11</sup>

The **LINGUIST Network** has a **Texts** section giving the addresses of various corpora which can be obtained on the net as well as hyperlink access to them. Its URL<sup>12</sup> address is *http://engserver.tamu.edu/files/linguistics/linguist/texts.html*.<sup>13</sup>

- **ICAME: COLLECTIONS OF ENGLISH LANGUAGE CORPORA.** ICAME is an international organization of linguists and information scientists working with machine-readable texts. The aim of the organization is to collect and distribute information on English language material available for computer processing and on linguistic research, to compile an archive of English text corpora in machine-readable form, and to make these materials available to research institutions. The archive mentioned resides at the **Norwegian Computing Centre for the Humanities (NCCH)** in Bergen, Norway, which acts as a distribution centre for computerized English-language corpora and corpus-related software. The NCCH's homepage URL address is *http://www.hd.uib.no/index-e.html* and it contains hyperlinks to **Text Corpora ICAME**, **Distribution list CORPORA**, **Corpora list archive (www)** and **List of Conferences in the Humanities**. Among the corpora that can be purchased is the **Helsinki Diachronic Corpus**<sup>14</sup>. For further information on these corpora, cf. *http://www.lib.virginia.edu/etext/icame.html*.

<sup>11</sup>"etext" = 'electronic text'. A "repository" is a storage service of etexts, which are distributed by FTP, email or by post.

<sup>12</sup>URL = Uniform Resource Locator. In order for navigation programmes to be able to access different services homogeneously, it is imperative that the different resources be identified in like manner, i.e. it is necessary for Internet addresses to be written in the same way. The different parts of an address are the following: a) the type of access protocol to be used (HTTP, FTP, Gopher, etc.); b) the name or number of the "host" where the server is to be found; c) the directory or file where the information being required is located. HTTP is the method of accessing world wide web or hypertext servers.

<sup>13</sup>American universities have "edu" at the end of the initial part of their web address. It is short for "education". I would recommend taking off the rest of the address, except the crossbar, and visit the universities' homepages.

<sup>14</sup>It is sold on CD-ROM, along with other large corpora and concordancing programmes.

- **OXFORD TEXT ARCHIVE (OTA).** The Oxford Text Archive is a facility supplied by the Oxford University Computing Services. It provides scholars with world-wide free archival and dissemination facilities for electronic texts. The Archive contains electronic versions of over 1,500 literary works in many languages, including English, Old, Middle, Early Modern and Present Day. It has copies of texts and corpora prepared by individual scholars and major research projects all over the world. There are over 60 Old and Middle English titles. OTA also supplies the **Toronto Complete Old English Corpus** (Catalogue no. U-163-E) and the **Helsinki Diachronic Corpus** (Catalogue no. A-1477-E). The Archive's URL address is <http://info.ox.ad.uk/~archive/ota>. Its homepage contains a hyperlink to the **order form** and another one to its **catalogue of etexts**. The initial homepage gives information about text formats, copyright restrictions, and the catalogue codes concerning text availability, size and access. This catalogue lists all the texts in the Archive but not all of them are available by HTTP. Some are available by anonymous FTP<sup>15</sup> at <ftp://ota.ox.ac.uk/pub/ota>. The Archive's email address is [archive@vax.ox.ac.uk](mailto:archive@vax.ox.ac.uk).
- **THE ONLINE<sup>16</sup> BOOK INITIATIVE (OBI).** This ftp server<sup>16</sup> supplies the **Anglo-Saxon Poetic Records**, a selection of over 50 poetic (hyper)texts edited by Dr. Duncan Macrae-Gibson, of Aberdeen University (Scotland, U.K.), works by **Chaucer** and **Shakespeare**, and a **diplomatic e-text edition of Beowulf**. A list of the texts may be obtained from [http://www.georgetown.edu:80/cball/oe/old\\_english/html#texts](http://www.georgetown.edu:80/cball/oe/old_english/html#texts). The Online Book Initiative's URL address is <ftp://ftp.std.com/www/obi/>.

<sup>15</sup>anonymous FTP = anonymous File Transfer Protocol. This is the protocol used to transfer, i.e. copy, files from one computer to another without restrictions.

<sup>16</sup>The term "online" means that the user can actually open files and use software in the computer accessed.

## B. ONLINE BROWSING AND SEARCHING

### 1 - THE LABYRINTH LIBRARY<sup>17</sup>

The URL address is <http://www.georgetown.edu/labyrinth/library>.

- **OLD ENGLISH LITERATURE.** In order to get the list of Old English titles available, the URL address is <http://www.georgetown.edu/labyrinth/library/oe/oe.html>. This page is divided into **Poetry, Prose, Runic Texts, and Reference Works**. By clicking on one of the titles, the text itself can be browsed. The following titles are available: **Beowulf & Judith, The Junius Manuscript, The Exeter Book, The Vercelli, The Paris Psalter, The Meters of Boethius, Other Poems (Minor Poems), Index of Poems In Alphabetical Order by Editorial Titles, The Anglo-Saxon Chronicle. The Laws of Alfred and Ine, The Tribal Hidage and Ruthwell Cross Inscriptions**. Also on the page is a hyperlink to Virginia University to browse **The Complete Corpus of Old English in Machine Readable Form** (<http://www.lib.virginia.edu/etext/oec.html>). The Reference Works are: **Bibliography of "Beowulf" Criticism, 1970-94**, by Robert Hasenfratz, U. Connecticut (<http://spirit.lib.uconn.edu/Medieval/beowulf.html>) and **Anglo-Saxonists from the 16th through the 20th Century. A Bibliography of Scholars and Scholarship**, by Carl Berkhout, U. Arizona. (<http://aruba.ccit.arizona/~ctb/saxon.html>). Finally, the page has a hyperlink to another web page called **Anglo-Saxon Culture Resources** at <http://www.georgetown.edu/labyrinth/library/oe/anglo-saxon.html>.
- **THE MIDDLE ENGLISH BOOKCASE.** The URL address for the index to the **Middle English Bookcase** is <http://www.georgetown.edu/labyrinth/library/me/me.html>. The Labyrinth Library is being developed with hyperlinks to other servers. Most of the 28 titles

<sup>17</sup>The LL homepage was created in June 1995 by M. Irvine et al. M. Irvine (email [irvinemj@gusun.georgetown.edu](mailto:irvinemj@gusun.georgetown.edu)) is co-director of the Labyrinth Library and belongs to the Department of English, at Georgetown University.

have been prepared by the University of Virginia E-Text Center (cf.2.2.2). Those which are quite large (over 125K), and which can therefore take their while to reach our computer, have been cut up into parts, so that we may choose which section(s) of the texts we wish to download. In actual fact, most of the texts in the Bookcase are downloaded from the University of Virginia E-Text Center, the only text really housed in the Labyrinth Library being Chaucer's *The House of Fame*. Apart from **browsing** the texts, word or phrase **searches** can also be conducted. This is done by means of the Glimpse HTTP WWW search engine in the case of Chaucer's *The House of Fame*. To browse or search the rest of the texts, the user is sent to the University of Virginia E-Text Center. The URL address for this search feature is *http://etext.virginia.edu/patbin/pat2www?specfile=/lv4/PREP/mideng/mideng.p2w*. Words or phrases can be searched either in the whole corpus or in individual works. When the search is finished, the results are downloaded onto our screen and can be saved on disk. The results show the word or phrase surrounded by the immediate context, with information on the particular work each example is excerpted from.

## 2. ELECTRONIC TEXT CENTER AT VIRGINIA UNIVERSITY

The Center's URL address is *http://www.lib.virginia.edu/etext/ETC.html*. It houses an online archive of thousands of electronic texts, whose address is *http://etext.lib.virginia.edu/uvaonline.html*. The address for English texts in particular is *http://etext.lib.virginia.edu/english.html*. The Center's email address is *etext@virginia.edu*.

- **OLD ENGLISH.** The E-Text Centre holds **The Complete Old English Corpus from the Dictionary of Old English Project, University of Toronto**. This corpus contains over 3000 different texts, that is, all the texts written in Old English, except variants. Outsiders are not allowed to carry out searches, but they may **browse** the texts. The initial page contains an alphabet. By clicking on any one letter, another page shows up with names of authors or, in the case of anonymous texts, with titles starting

with the letter selected. For example, by clicking on "a", there appears an alphabetically arranged list of 329 items, such as "Alfric: *The Martyrdom of Saint Vincent: Skeat II, 326-42*" or "*Additional Glosses to the Glossary in Alfric's Grammar. Dictionary of Old English transcript, edited from London, British Library, MS Cotton Faustina A.X, fol. 101*". By clicking on any of the items, the actual text eventually appears on our computer screen. The address of the index to the Corpus at the E-Text Center is <http://etext.lib.virginia.edu/oec.html>.

- **MIDDLE ENGLISH.** The EText Center holds a **Middle English Collection** (26 titles), holding most of the titles supplied to the **Labyrinth Library Middle English Bookcase**. The texts can be both **browsed** and **searched**, unlike the Complete Old English Corpus, which can only be browsed. The address of the Middle English Collection is <http://www.lib.virginia.edu/etext/ETC.html>. The Center's email address is [etext@virginia.edu](mailto:etext@virginia.edu).
- **MODERN ENGLISH.** The **Modern English Collection (AD 1500 - present)** comprises 1,027 titles, including 1,796 manuscript and book illustrations. These texts can be both **browsed** and **searched**, although outsiders may only access public domain texts. The address at which to retrieve the entire author/title list is <http://etext.lib.virginia.edu/modeng/modeng.browse.html>. That to retrieve the author/title list in alphabetical sections is <http://etext.lib.virginia.edu/modeng/modeng0.browse.html>. There is also **King James Version Bible**, which can be **browsed** or **searched** by all users. The address is <http://etext.lib.virginia.edu/kjv.browse.html>. Another corpus is the **British Poetry 1780 - 1910 Hypertext Archive**, for all users, to be found at <http://etext.lib.virginia.edu/britpo.html>. Besides, the E-Text Centre provides all users hyperlink access to submit queries to the **Michigan Early Modern English Materials**, a 16-megabyte & 50,000-record computer file compiled by R. W. Bailey, J. L. Robinson, J. W. Downer, with P. V. Lehman. The file itself is available via ftp from OTA, catalogue number A-1693-E (original, untagged files are A-171-E). To submit a query, the web page at the following URL

address should be reached: <http://etext.virginia.edu/memem.query.html>. Finally, the Center also holds other collections, whose access is restricted to the University or Library Members: **The English Poetry Database** (AD 600 - 1900), **The English Verse Drama Database** (AD 1300 - 1900), and the **Shakespeare First Folio and some Quartos**.

### 3 - OTHER SITES

- **ATRIUM**. Atrium is a server of links to etexts sited elsewhere on the web. Its homepage address is <http://www.honors.indiana.edu/%7eatrium/>. On this page we have links to further pages: **Medieval and Renaissance Texts**, (Modern) **English**, **Anglo-Saxon & Old English**, and to other etexts repositories. An alphabetical list of period texts may be found at <http://www.honors.indiana.edu/%7eatrium/script/>.
- **GOPHER<sup>16</sup> AT THE UNIVERSITY OF PENNSYLVANIA**. This Gopher's URL address is <gopher://ccat.sas.upenn.edu:3333/11/EarlyModern>. It provides access to its collection of **Renaissance and Early Modern English Texts**, containing works by Francis **Bacon**, John **Bunyan**, John **Milton** and William **Shakespeare**. **King James Version Bible** and some other texts are also served. For example, by clicking on "Shakespeare", the following menu shows up on the screen: "Read Me First // Comedies // Histories // Poetry // Roman // Romances // Tragedies // Word Glossary". By clicking on each type of work, we get an alphabetical list of the works. By clicking again on a particular work, we can see yet another page with the numbers of the acts and scenes. Eventually we get the actual text and we can browse it. The Word Glossary contains a list of Shakespearean "false friends", as it were. This Gopher also has a **Medieval section** (just write "Medieval" instead of

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<sup>16</sup>Gopher is the forunner of the World Wide Web. It is a simple method of packaging information. When a gopher is accessed, there appears a hierachically arranged menu which, in turn, contains further submenus or documents. It is being steadily replaced by WWW. It is a more basic type of hypertext page.

“EarlyModern” at the above address), which contains a translation of *Beowulf* and Chaucer’s *The Canterbury Tales*.

- **INDIVIDUAL TEXTS.** The OE poem **The Ruin**, both the text and some alternative translations may be downloaded from <http://www.ccc.nottingham.ac.uk/~aczsjm/wap/angsp.html>, while Catherine Ball offers a hypertext edition of *Apollonius of Tyre*. The URL address to browse and download this text is <http://www.georgetown.edu:80/cball/apt/apt.html>.
- **INTERNET WIRETAP.** The Wiretap’s catalogue can be reached at <http://wiretap.spies.com>. Among other items, the following can be downloaded: **Shakespeare’s works** (<http://wiretap.spies.com/ftp.items/Library/Classic/Shakespeare>) and **Beowulf**: (<http://wiretap.spies.com/ftp.items/Library/Classic/beowulf.txt>.)
- **ONLINE MEDIEVAL AND CLASSICAL LIBRARY (OMACL)**<sup>19</sup>. Its URL address is <http://sunsite.Berkeley.EDU/OMACL/>. The **OMACL** is an archive being assembled at Berkeley Digital Library SunSITE as a service to the Internet. The purpose is to provide a free and easy way for the average computer user to access some of the most important literary works of Classical and Medieval civilization. Douglas B. Killigns is responsible for the project. Most of the texts are public domain in the United States, but may not be so in Europe. Among the texts relevant for HEL, I have found the following: **Codex Junius 11**, Chaucer’s **The Book of the Duchess**, **The House of Fame**, **The Parliament of Fowles**, **Troilus and Criseyde**, Gower’s **Confessio Amantis or Tales of the Seven Deadly Sins** and Robert Henryson’s **The Testament of Cresseid**. There exists an FTP site for downloading these texts at <ftp://ukanaix.cc.ukans.edu/pub/history/europe/medieval/translations>.
- **PROFESSOR TINKLER’S HOMEPAGE.** John F. Tinkler’s ([tinkler@midget.towson.edu](mailto:tinkler@midget.towson.edu)) homepage is sited at <http://www.towson.edu/~tinkler>. The page contains information about his course as well as hyperlinks to **Renaissance Texts** and

<sup>19</sup>The OMACL homepage is maintained by the SunSITE Manager ([manager@sunsite.berkeley.edu](mailto:manager@sunsite.berkeley.edu)).

**Renaissance Resources**, among several others. The **Renaissance Texts** page is intended as a (growing) collection of links to Renaissance texts (and related resources), with a special emphasis on the English literature of the period. It is intended as an aid for his courses in Renaissance Literature in the English Department at Towson State University. The URL address is <http://www.towson.edu/~tinkler/bookmark/rentext.html>. As for the **Renaissance Resources** page, it is intended as a (growing) collection of links to resources dealing with the Renaissance, with a special emphasis on the English literature of the period. Its URL address is <http://midget.towson.edu/~tinkler/bookmark/renaissance.html>. Among the hyperlinked sites on the page, the following stand out: **Project Aldus** (an electronic archive, located on Jhuniverse, at the Johns Hopkins University in Baltimore, Maryland, for source and secondary materials related to the study of the English Renaissance/Early Modern Period), **The Milton-L Homepage** (Milton Texts on the Internet; <http://www.urich.edu/~creamer/milton.html>), the **Voice of the Shuttle** (on Renaissance and 17th c English literature; <http://humanitas.ucsb.edu/shuttle/eng-ren.html>), the **Early Modern Literary Studies Homepage** (for early Modern English literary etexts; <http://unixg.ubc.ca:7001/0/e-source/elms/elmstxt.html>), the **17th c Resources Gopher** ([gopher://rsl.ox.ac.uk/11/lib-corn/hunter/Browse%20Alex/Browse%20by%20Date%3a%201600s](http://rsl.ox.ac.uk/11/lib-corn/hunter/Browse%20Alex/Browse%20by%20Date%3a%201600s)), and the **Edmund Spencer Homepage** (<http://darkwing.uoregon.edu/~rbear>).

- **TEAMS MIDDLE ENGLISH TEXTS.** The TEAMS Middle English Texts are published for TEAMS (The Consortium for the Teaching of the Middle Ages) in Association with the University of Rochester by Medieval Institute Publications, Western Michigan University, Kalamazoo, Michigan. The General Editor of the series is Russell Peck of the University of Rochester. The texts are made available here by permission of the Executive Committee of TEAMS and The Medieval Institute at Western Michigan University. The goal of the **TEAMS Middle English text series** is to make available to teachers and students texts which occupy an important place

in the literary and cultural canon but which have not been readily available in student editions. The focus is upon literature closely related to that normally in print, which teachers need in compiling the syllabuses they wish to teach. The editions maintain the linguistic integrity of the original works but within the parameters of modern reading conventions. Its homepage URL address is <http://rodent.lib.rochester.edu/camelot/tmsmenu.html>. Another project at the University of Rochester is **The Camelot Project**, a collection of Arthurian texts, images, bibliographies and basic information. The address is <http://rodent.lib.rochester.edu/camelot/CPHOME.html>.

- **THE DILS PROJECT.** The DILS Project is a database of liturgical manuscripts written or owned in Anglo-Saxon England before 1100 a.d. The material has been gathered and is maintained by Sarah Keefer. Among other texts, the following may be mentioned: **The Lord's Prayer**, the **Creed of Nicena**, the **Agnus Dei**, and the **Magnificat**. The URL address is [gopher://gopher.epas.utoronto.ca/11/cch/disciplines/medieval\\_studies/keefer](http://gopher://gopher.epas.utoronto.ca/11/cch/disciplines/medieval_studies/keefer).
- **THE TECH.** Shakespeare can also be **browsed** or **searched** at the Tech., either the whole corpus or just individual works. **The Complete Works of Shakespeare**, prepared by Jeremy Hilton, is sited at <http://the-tech.mit.edu/Shakespeare/works.html>. The original electronic source for this server is The Complete Moby Shakespeare, which is freely available online from <ftp://gatekeeper.dec.com/pub/data/Shakespeare/>. The page contains further hyperlinks, such as **Funeral Elegy** by W.S., **Shakespeare discussion area**, **Search the texts** (<http://the-tech.mit.edu/Shakespeare/search.html>), **Shakespeare resources on the Internet** (<http://the-tech.mit.edu/Shakespeare/other.html>), **A chronological listing of plays**, **An alphabetical listing of plays**, **Bartlett's familiar Shakespearean quotations** and **About the glossary**.

## II - HEL TEACHING RESOURCES

### A. INSTRUCTORS' HOME PAGES AND COURSES ONLINE

- **ANTHONY ARISTAR'S "HISTORY OF THE ENGLISH LANGUAGE COURSE" PAGE.** Anthony Aristar (*aristar@tam2000.tamu.edu*), of the Department of English at Texas A&M University, has created a homepage for his **History of the English Language** course, aimed at his actual or prospective students. The URL address is *http://engserve.tamu.edu/files/linguistics/ling410/*. As usual, the highlighted phrases on the page hyperlink to other documents or information resources somewhere else on the Internet. The hyperlinks are **The Syllabus** (*http://engserve.tamu.edu/files/linguistics/syl410*), dealing with the nature and the aims of the course; **The Changing State of English** (*http://engserve.tamu.edu/files/linguistics/nativity.html*), a document with three versions of a Nativity text (10th c. Old English, 14th c. Middle English and from the 17th c King James version); the **instructors notes** for different parts of the programme; **homework, assignments and examinations**.
- **C. BALL'S *HWAET!* PAGE.** This an electronic hypertext book purporting to introduce beginners to Old English. It contains small excerpts of texts written in Old English, whose level of difficulty has been kept at a minimum in order that "beginners" may start reading and understand OE without having to resort to a grammar and / or a dictionary. Bibliographical information on the texts is given at the end of the "book", as well as brief descriptions and references to paper editions and translations. Its URL address is *http://www.georgetown.edu/cball/hwaet/hwaet.06.html*. The homepage shows a subject index of the texts (taken from the Toronto Old English Dictionary Corpus): **Greetings, The Body, Counting, Nature, Naming, Months, and Animals**. The choice of texts reflects the author's wish to show actual instances of words belonging to these lexical fields. There is also a Glossary, where, instead of synonyms or translations into Present Day English,

pictures are to be found. The developer of this web-page electronic book is Catherine Ball (email [ball@guvax.georgetown.edu](mailto:ball@guvax.georgetown.edu)), Assistant Professor at the Department of Linguistics of Georgetown University (Washington, USA) and Director of the Computational Linguistics Program. The pedagogical basis underlying *Hwaet!* is that students can guess the meaning of words through previous knowledge of the subject, through seeing them in context, and through cognates and reflexes. That is why she has included titles to the texts as well as hyperlinks to documents describing the texts, to the picture-glossary and to sound files. She decided to call her page *Hwaet!* because “hwæt” is the very first word of *Beowulf*<sup>20</sup> and has been translated into Present Day English as “Lo”, “Listen”, “Hear me”, and “Yes”.

- **LEARNING OLD ENGLISH.** This is an introductory **Guide to Old English Grammar, with Exercises**, developed by Tony Jebson (email [aj@wg.icl.co.uk](mailto:aj@wg.icl.co.uk)). The URL address is <http://www.to.icl.fi/~aj/learn-as/contents.html>. The initial page shows a table of contents, each item being a link to the relevant document: **The Origins of Old English, Orthography and Pronunciation, Conjugation and Verbs I, Case, Inflection and Pronouns, Nouns and Adjectives I, Phonology and Basic Sound Changes, Nouns and Adjectives II, Principal Parts of Verbs, Verbs II, Word Formation, Syntax**. There are three appendices: **Summary: Nouns and Pronouns; Summary: Verbs; Glossary**.
- **SNAKE’S HOME PAGE.** Professor Edwin Duncan (email [duncan-e@toe.towson.edu](mailto:duncan-e@toe.towson.edu)), from the Department of English at Towson State University (Maryland, USA), has also created his own homepage dealing with the courses he teaches. The URL address of Snakes’s Home Page is <http://midget.towson.edu/~duncan>. The initial page contains hyperlinks to other documents and sites. The first three links are called **Resources on the Internet, On-Line Word and Phrase Search Programs and On-Line Library of Literary Texts**. The vast majority of these

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<sup>20</sup>Naturally, when it comes to reading *Beowulf* in the original, *Hwaet!* proves clearly insufficient and students must needs use grammars and dictionaries. However, *Hwaet!* is entertaining, original and useful at initial stages.

hyperlinked sites are referred to at different places in this article. The initial homepage also shows the names of the subjects Prof. Duncan lectures on. One of them is **History of the English Language**. The title itself is a hyperlink to other web pages where relevant information can be found concerning **Course Materials**, **Electronic Texts**, **Electronic Forum** and **Online Research**.

**Course Materials** provides information about the course, aimed at his students: classroom, timetable, tutorials, obligatory textbook, description of the course, course objectives, assessment and exams, general advice on the behaviour expected from students, attendance, warnings about cheating at exams or with assignments, and, last but not least, information about the contents of his course, net-available handouts, etc. These handouts are: **The Seven Distinctive Features of Germanic**, **Foreign Influences on Old English**, **Vocabulary**, **Borrowing in Middle English**, **Inkhorn Terms**, and **Humorous HEL**. The **Electronic Texts** and **Online Research** links again mention etext repositories already known to the reader. As for the **Electronic Forum** link, it basically recommends the **History of the English Language List**. (cf. 4)

#### B. HEL-RELATED WEB RESOURCES AND SITES

- **ANSAXDAT**. This is a searchable database of materials generated by the **ANSAXNET discussion list**. To reach it we have to access the Memorial University homepage at *gopher://cwis.ucs.mum.ca/*. Once there, the following options in the successive menus must be chosen: 3 (Memorial University of Newfoundland [MUN] Campus Information), 10 (Research at Memorial University), and 1 (ANSAXDAT).
- **HEL HOME PAGE**. The History of the English Language Home Page's address is *http://www.ebbs.english.vt.edu/hel/hel.html*. It provides information about how to subscribe to the HEL-L (cf. 4) discussion list, about ANSAXDAT (cf. 3.2), repositories for etexts

and online etexts, information about and links to HEL teachers (e.g. Anthony Aristar's and Edward Duncan's).

- **INTERNET RESOURCES FOR THE ANGLO-SAXON WORLD.** The URL address is <http://www.ccc.nottingham.ac.uk/~aczkd/asresource.html>. This web page contains links to all kind of disciplines related to the Anglo-Saxon world and well deserves a visit. The hyperlinks are grouped under several headings: **Anglo-Saxon History and Archaeology**, **Anglo-Saxon Language and Documents** (containing links to translations, electronic texts and etext repositories mentioned elsewhere in this article), **The Electronic Beowulf Project** at the British Library (cf. 11.5), **Teaching Resources** (all the items thereof being described in this paper), **Other Resources** (history, recipes, ISAS (cf.5.1), ANSAXNET (cf.4)).
- lila home page. LILA web page address is <http://www.cohums.ohio-state.edu/german/sgp/links.html>. The page is called **LILA Links to Language and Linguistics Resources on the World Wide Web**. The page contains precisely what its title says.
- **OLD ENGLISH PAGES.** The URL address is [http://www.georgetown.edu/cball/oe/old\\_english.html](http://www.georgetown.edu/cball/oe/old_english.html). This page is another must and it was here I decided to initiate my search for HEL resources on the Internet. The page is a long series of links to Old English and Anglo-Saxon sites: **Electronic Texts** (collections, corpora, repositories, teaching resources, translations), **Manuscript Images**, **Historical Contexts**, **Discussion Groups and Organizations**, **Fonts**, **CD-ROM and Audio Recordings**, **Instructional Software** (both online and offline<sup>21</sup>), **Courses**,

<sup>21</sup>C. B. Heatt, B. Shaw & D. Macrae-Gibson, *Old English: An Elementary Grammar for Use with Computerized Exercises. An introduction to OE grammar, with exercise disk (PC)*. Published as Subsidia 21 (1994) of the *Old English Newsletter*.; D. Macrae-Gibson, *Learning Old English: A Progressive Course with Text, Tape and Exercises*, 3rd. ed. Published by the author (University of Aberdeen), 1984; *The Beowulf Workstation*. HyperCard-based software with text, translation, lexical tools, etc. developed by P. Conner (U. of West Virginia); available on diskette from the author; *The Dream of the Rood*. A Poetry Shell hypertext edition, developed by N. Trimbell & D. Snowling (Oxford University); *Cædmon's Hymn*. A Guide 3.1 edition, with background information, exercises and a bibliography. Developed by P. Cavill & S. Wright (U. of Nottingham). Available from the authors.

**Dictionaries and Grammars, Miscellaneous Links, and the author's Wishlist.**

- **ONLINE DICTIONARIES AND ENCYCLOPEDIAS.** The following sites provide either information about where to access online dictionaries. Also on the list are the addresses to two particular dictionaries.

**Dictionaries: A Dictionary Site for Linguists:** *http://www.buckwell.edu/~rbeard/diction.html#english*

**Encyclopedia Britannica Online:** *http://www-Pf.eb.com:189/*

**LOGOS:** *http://www.logos.it*

**The Brown List of Dictionaries<sup>22</sup>:** *http://www.brown.edu/Departments/Cog-Ling-Sci/Lingdir/dictionary.html.*

The **Oxford English Dictionary online** is offered by the University of Virginia but only to the Library's members. The address is *http://www.lib.virginia/oed.html.*

**Webster's Dictionary:** *http://c.gp.cs.cmu.edu:5103/prog/webster.*

- **TEXAS MEDIEVAL ASSOCIATION HOME PAGE (TEMA).** The URL address is *http://.../tmahome.html.* The home page of the Texas Medieval Association provides information on the association as well as a list of academic networks that deal with medieval studies with information on how to join them. Also included are links to some research aids and further information sites that medievalists may find useful.

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<sup>22</sup>Here are to be found not only dictionaries of acronyms, but also general archives, such as the Penn-Helsinki Corpus (*http://www.cis.upenn.edu/~mideng*) (restricted access), and other corpora.

### III. ELECTRONIC LISTSERVERS OR DISCUSSION GROUPS <sup>23</sup>

A good place to start from is the document **Academic Discussion Groups - What they are & How to join in Snake's Homepage** (<http://midget/towson.edu/~duncan/acahome>; cf. 3.1). A **general catalogue** of existing listservers can be obtained by sending an email message to [mail-server@nisc.sri.com](mailto:mail-server@nisc.sri.com) reading "send net info/interest-groups". The catalogue will thus be automatically sent into one's email box. For a more complete list of **linguistics listservers** the reader is referred to **LoLL, the List of Linguistic Listservers**: <http://www.indigo.ie/egt/lnglst1d.txt>. For **language lists** see: <http://info.ox.ac.uk/departments/langcentre/langlists.html>. Here follows a list of HEL-related discussion groups:

- **ANSAX-L:** (Anglo-Saxon Studies): [listserv@wvnm.bitnet](mailto:listserv@wvnm.bitnet), [listserv@wvnm.wvnet.edu](mailto:listserv@wvnm.wvnet.edu)<sup>24</sup>. This is the discussion group for ANSAXNET, the Anglo-Saxon Network. It has over 600 members from many different countries. The volume of mail is very high. The main discussion subjects are Old English language and, especially, literature. However, Anglo-Saxon archeology, history, philosophy, and art are also discussed. There are also calls for papers, conferences, courses, job listings, announcements of new journals, new computer services, and the like.
- **CHAUCER:** (Chaucer and Medieval Literature): [listserv@uicvm.bitnet](mailto:listserv@uicvm.bitnet); [listserv@uicvm.uic.edu](mailto:listserv@uicvm.uic.edu). This is the discussion group for CHAUCERNET and, like Ansaxnet, the volume of mail is quite high. Although it deals mainly with Chaucer, other 14th c works are also discussed.
- **GERLING:** (Germanic Languages): [listserv@uiucvmd.bitnet](mailto:listserv@uiucvmd.bitnet); [listserv@vmd.cso.uiuc.edu](mailto:listserv@vmd.cso.uiuc.edu). This is a discussion group for older Germanic languages studies, but there is little mail on it.

<sup>23</sup>This is an email system whereby messages can be distributed to people interested in a particular subject. Messages are sent to a listserv address which redirects to message to the members of the list. These members can do likewise to answer the message, thereby originating a fruitful exchange of ideas. Some listservers have a moderator who filters the messages.

<sup>24</sup> Where two addresses are given, the first is bitnet, the second Internet.

- **HEL-L**<sup>25</sup>: (History of the English Language): *listproc@ebbs.english.vt.edu*; <http://ebbs.english.vt.edu/hel/hel.html>. This is a discussion group devoted to studies in the history of the English language from its onset in 450 a.d to the present. It is primarily but not exclusively pedagogical. The volume of mail is irregular but normally low. Its moderator is Prof. Dan Mosser of Virginia Tech., and its membership consists of professors, graduate students, undergraduates from all over the world. The following two documents, concerning HEL-L, on **Snake's Homepage** are recommended: **How to subscribe to HEL-L** and **Listprocessor Commands for HEL-L** (<http://midget.towson.edu/~duncan/subhell.html> and <http://midget.towson.edu/~duncan/listpro2.html>, respectively).
- **HISTLING**: (Historical Linguistics): *listserv@univscvm.csd.scarilina.edu*. This list is administered by Dorothy Disterheft (*disterh@univscvm.scarolina.edu*), of the University of South Carolina, where she works in the Linguistic Program. This discussion group was founded to foster discussion about linguistic change.
- **LILA**<sup>26</sup>: *listserv@lists.acs.ohio-state.edu*. This is the mailing list for **LINGUISTS IN ENGLISH AND FOREIGN LANGUAGE DEPARTMENTS**. It was founded to promote discussion of professional issues pertaining to this group, and to provide a forum for ideas and approaches most readily associated with the practice of linguistics outside of linguistics departments. Possible topics include, but are not limited to, contrastive grammar, descriptive linguistics, linguistic approaches to literature, corpus linguistics, translation theory, philology, historical linguistics, paleography, foreign language pedagogy, English as a Second Language.
- **LINGUIST-LIST**: (The LINGUIST Network List). *linguist@tamvm1.tamu.edu*. The list is administered by A. Aristar (A&M University) and H. Dry (Eastern Michigan U.). LINGUIST is an electronic network maintained at Texas A & M and Eastern Michigan Universities. It serves as a research and discussion facility for the linguistic academic community through an electronic mailing list and its World Wide Web sites.

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<sup>25</sup>HEL also has a homepage on the web. Cf. 3.2.

<sup>26</sup>LILA also has a homepage on the web. Cf. 3.2.

- **MEDTEXTL**: (Medieval Languages and Literatures): *listserv@uiucvmd.bitnet*; *listserv@vmd.cso.uiuc.edu*. This is the discussion group for medieval languages and literature. Mail is high. Unlike ANSAX-L and CHAUCER, it has more postings for continental languages, literature, and the arts.

#### IV. SOCIETIES ON THE WEB

##### A. HEL AND LINGUISTIC SOCIETIES

A good place to locate linguistic societies is **The Linguist Network** homepage at <http://engserve.tamu.edu/files/linguistics/linguist/associations.html>, which shows an alphabetically arranged list of associations, the name of each one being a hyperlink.

- **INTERNATIONAL SOCIETY OF ANGLO-SAXONISTS (ISAS)**. This Society was founded in 1983 to foster studies related to Anglo-Saxon. It is funded by the Belgian and Canadian governments, through the Royal Academy of Belgium and the University of Toronto, and by the Center for Medieval and Renaissance Studies at the University of California, Los Angeles. Most of the papers read at the Society's bi-annual meeting dealt with Anglo-Saxon literature and culture, rather than with historical linguistics. The Society's URL address is <http://www.as.wvu.edu/english/isas/>. The editors of the homepage are P. W. Conner ([pconner@wvnm.wvnet.edu](mailto:pconner@wvnm.wvnet.edu)) and W. Schipper ([schipper@morgan.ucs.mun.ca](mailto:schipper@morgan.ucs.mun.ca)).
- **SOCIETY FOR GERMANIC PHILOLOGY (SGP)**. It embraces all areas of and approaches to Germanic linguistics and philology, from formal syntax and phonology through historical linguistics to textual editing and includes scholars interested in Modern German, Netherlandic, Yiddish, Old English, Scandinavian, Gothic ... The Society's web homepage address is <http://www.cohums.ohio-state.edu/german/sgp/>. This homepage contains a hyperlink to its **newsletter** (cf. 6.2).

- **ASSOCIATION FOR THE HISTORY OF LANGUAGE.** The URL address is *http://adhoca.ypk.arts.unimelb.edu.au/Dept/Linguistics/nsn/Work/ahl.html*.
- **AMERICAN PHILOLOGICAL SOCIETY.** The URL address is *http://scholar.cc.emory.edu/scripts/APA/APA-MENU.html*.
- **DICTIONARY SOCIETY OF NORTH AMERICA:** The URL address is *http://www.csuohio.edu/dsna*.

## B. MEDIEVAL INSTITUTIONS

The addresses to scores of medieval institutions, linguistic, literary and historical, may be gathered from the Labyrinth's homepage (*http://www.georgetown.edu/labyrinth*).

## V. ONLINE JOURNALS AND PUBLICATIONS

### A. SEARCHING FOR PUBLICATIONS

- **ANSAXDAT.** The URL address is *gopher://cwis.ucs.mum.ca*. This gopher menu contains an item called **Libraries and Electronic Publications**, which can be reached directly at *gopher://cwis.ucs.mum.ca:70/11/Libraries%20and%20Electronic%Publications*. The new gopher page contains links to other databases, libraries and journals & electronic publications, on the Internet, as well a log-in link to the Memorial University Library. By clicking successively on **Electronic Books and Journals**, **ALEX** (a Catalogue of Electronic Texts on Internet) and **Catalogue**, we get a Browser Menu by author, date, host, language, subject and title. The database contains over 7000 titles. The address is *gopher://gopher.lib.ncsu.edu/11/library/stacks/Alex*.
- **ASSOCIATION OF RESEARCH LIBRARIES' Directory of Electronic Journals, Newsletters, and Academic Discussion Lists:** *gopher://arl.cni.org/11/sccomm.dir*.

- **ENGLISH SERVER AT CARNEGIE MELLON UNIVERSITY: Directory of On-line Journals and Periodicals:** <http://english/hss.cmu.edu/Journals.html>.
- **JOURNAL ONLINE NEWS:** <http://toltec.lib.utk.edu/~jon>. This is a www page sited at the University of Tennessee Libraries.
- **LIBRARY OF CONGRESS Directory of Electronic Texts and Publishing Resources:** <http://lcweb.loc.gov/global/etext/etext.html>. This is a outstandingly complete page from which to start searching for all kind of scholarly publications.
- **THE LABYRINTH LIBRARY Scholarly Publications Page:** A good place to start looking for publications and for other similar servers is to be found at this address: [http://georgetown.edu/labyrinth/professional/pubs/scholarly\\_pubs.html#monographs](http://georgetown.edu/labyrinth/professional/pubs/scholarly_pubs.html#monographs). The Page Manager is R. Allen Shoaf Manager ([exempla@nervm.nerdc.ufl.edu](mailto:exempla@nervm.nerdc.ufl.edu)), Alumni Professor of English at the University of Florida. This page offers a list of online journals and reviews useful for medieval studies.
- **THE LINGUIST NETWORK:** It also offers information on Journals and Newsletters on the web: <http://engserver.tamu.edu/files/linguistics/linguist/journal.html>.

## B. PUBLICATIONS ONLINE

- **ÆSTEL, A Journal of Medieval and Renaissance Studies**, edited by James McNelis, of the University of Washington, Seattle. The URL address is <http://weber.u.washington.edu/~mcnelis/AEstelindex.html>. It deals mainly with literature, though there are occasional articles on language. *Æstel* is a printed journal, but this web site provides the text of several articles and reviews from the first three volumes. The page shows the Table of Contents of the last three issues (1993, 1994 & 1995), the available articles being indicated by links.
- **ARTHURIANA:** The URL address is: <http://dc.smu.edu/Arthuriana/>. The name itself is self-explanatory.

- **MEDIEVAL LIFE:** URL address: <http://www.demon.co.uk/past/medievallife>. This journal is mainly devoted to cultural issues.
- **OLD ENGLISH NEWSLETTER:** The URL address is <http://www.wmich.edu/medieval/oen/oenhome.html>. The Director of the Newsletter is Prof. P. E. Szarmach ([paul.szarmach#wmich.edu](mailto:paul.szarmach#wmich.edu)) from the Medieval Institute at Western Michigan University at Kalamazoo. OEN is published for the Old English Division of the Modern Language Association by the Richard Rawlinson Center for Anglo-Saxon Studies and Manuscript Research at the Medieval Institute at Western Michigan Univ. The Old English Newsletter's homepage has a number hyperlinks to documents about the **type of information published** quarterly (**conferences** and the like on OE, **paper titles** of OE sessions at the MLA annual meetings, **new books, reports for the Dictionary of Old English ...**), **subscriptions** (email to [MDVL\\_NEWS@WMICH.EDU](mailto:MDVL_NEWS@WMICH.EDU)), the **Subsidia** bibliography, and **The Sources of Anglo-Saxon Literary Culture (SASLC)** project.
- **SOCIETY FOR GERMANIC PHILOLOGY NEWSLETTER:** The society has an Internet version of its newsletter, which includes an electronic book of guests, information on the SGP Conference and on the society's journal, and links to **other conferences and related Internet sites**. Members automatically receive the newsletter either by email or by connecting via Internet. The Society's web homepage (<http://www.cohums.ohio-state.edu/german/sgp/>) has a hyperlink to the **Newsletter**.
- **THE AMERICAN JOURNAL OF GERMANIC LINGUISTICS AND LITERATURES:** The URL address is: <http://www.cohums.ohio-state.edu/german/sgp/ajgll.html>. This is the journal of the Society for Germanic Philology.
- **THE LINGUIST NEWSLETTER:** The URL address is <http://www.emich.edu/~linguist/issues/html/>. This web page offers links to **Reading LINGUIST issues, Using its facilities, Datasources in Linguistics** (software, corpora, programmes, personal pages ...), **Subject Line Search, Job Listings, Calls for Papers, Archive sites, Contributing to Linguist**.

## VI. BOOK PUBLISHERS, BOOKSHOPS, CD-ROM SHOPS ADDRESSES

- Blackwell's Linguistic Bookshop: <http://www.cityscape.co.uk/bookshop/cat22.html>.
- **Blackwell's Books and Journals:** <http://www.blackwellpublishers.co.uk>.
- **Blackwell's Bookshops:** <http://blackwell.co.uk/bookshops>.
- **Cascadilla Press University Titles:** <http://www.shore.net/~cascadi/linguistics.html>.
- **Harvard University Press:** <http://128.103.251.49/>.
- **Indiana University Press:** <http://www.indiana.edu/~iupress>
- **Oxford University Press:** <http://www.oup.co.uk>
- **Princeton University Press:** <http://aaup.pupress.princeton.edu:70/1/books/presses/princeton>
- **Routledge online:** <http://www.routledge.com/routledge.html>
- **Cambridge University Press:** <http://www.cup.org/>
- **Edward Arnolds:** <http://www.bookshop.co.uk/ARNOLD>
- **CD-ROM Shop on the Web<sup>27</sup>:** <http://www.cdromshop.com/cdr/desc/p.A0145.html>.

## VII. LIBRARIES

### A. SEARCHING FOR LIBRARIES

- **OPAC:** The URL address where all Spanish libraries with online catalogues are to be found is <http://rediris.es/recursos/mapas/OPAC/BNE.html>.

<sup>27</sup>This is a commercial firm selling CD-ROMs. A particular title is mentioned on its homepage which may be of interest to HEL students and teachers, called THE ANGLO-SAXONS, also recommended by Cathy Ball.

- **DIRECTORY OF LIBRARIES on the World Wide Web:** *http://www.lib.washington.edu:80/~tdowling/libweb.html.*
- **LIBRARIES WITH WEB INTERFACES (Forms and Searchable Indices):** *http://www.lib.ncsu.edu/staff/morgan/alcuin/wwwed-catalogs.html.*
- **HYTELNET<sup>28</sup>: Master Index of Connections to On-Line Library Catalogues:** *http://www.georgetown.edu:80/labyrinth/library/library\_catalogues.html#hytelnet.*
- **THE LINGUIST NETWORK:** Its homepage (*http://engserve.tamu.edu/files/linguistics/linguist/*) has a bibliographical section that helps find libraries and catalogues: *http://engserve.tamu.edu/files/linguistics/linguist/bibs.html.*

#### **B. ACCESS ADDRESSES TO LIBRARY CATALOGUES**

- **Cambridge University Library:** *telnet://ipgate.cam.ac.uk.*
- **Cambridge University Library www homepage:** *http://www.cam.ac.uk/Libraries/index.html.* By clicking on the **Gateway Services** hyperlink on this page, a number of very useful links are given to many other bibliographical services worldwide.
- **Columbia University Library:** *telnet://COLUMBIANET.COLUMBIA.EDU/.*
- **Harvard University Library:** *telnet://HOLLIS.HARVARD.EDU.*
- **Library of Congress telnet access:** *telnet://locis.loc.gov/.*
- **Library of Congress WWW Home Page:** *http://lcweb.loc.gov.*
- **University of California Melvyl Library System:** *telnet://melvyl.ucop.edu/*
- **University of Michigan Library:** *telnet://HERMES.MERIT.EDU/*

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<sup>28</sup>Hytelnet is a database, with hypertext format, with a list of over 1000 addresses of public servers, such as library catalogues, databases, Gopher and Archie servers, www systems, etc.

- **Washington University's World Window Server:** *telnet://library.wustl.edu*
- **Yale University:** *telnet://umpg.cis.yale.edu:06520/*
- **The British Library WWW server: PORTICO:** *http://www.bl.uk*. The address of the list of catalogues is: *http://www.bl.uk/nbs/catalist.html*. External access to the Library's catalogues is for the most part subject to commercial terms. An online catalogue is accessible through the Network OPAC (Online Public Access Catalogue on the Internet), currently available in the BL reading rooms and in UK academic libraries on a trial basis, or via the Internet directly. This page contains hyperlinks to a list of **printed catalogues**, a list of **CD-ROM catalogues**, the list of **BLAISE-LINE online catalogues**, a list of **Network OPAC and Internet catalogues**.

## VIII. SEARCHING FOR BIBLIOGRAPHY

- **ABELL:** The address is *http://www.cam.ac.uk/Libraries/MHRA/ABELL/*. This bibliography is published by **The Modern Humanities Research Association**. ABELL's homepage contains information hyperlinks about ABELL in print, **ABELL online**, **subjects covered by ABELL**, **contact details**, and **ordering information**. On 6 March 1995, the most recent volumes of ABELL were made available for searching on-line. The database currently holds more than 30,000 entries from the articles, dissertations, books and reviews which appear in the volumes for 1991, 1992 and 1993. The records for the volume for 1994 - currently being compiled - will be loaded by July 1996. The publishers are investigating the possibility of making forms-based searching of ABELL available over the World Wide Web. The database is available only to subscribing institutions on the basis of a site licence agreement, not to the public. For further information email to *abell@ula.cam.ac.uk*.
- **BUBL WWW SERVER:** The URL address is *http://www.uko/n.bath.ac.uk/BUBL/*. By clicking on the **Humanities** link item

in the Subject List, an alphabetically arranged list of sites is reached that provide bibliographical and documentary information.

- **ONLINE BOOKS PAGE:** The URL address is *http://www.cs.cmu.edu/web/books.html*. This server is a useful place to look for an index of over 1300 online books, and for common repositories of on-line books and other documents. The page contains hyperlinks to search by author or title, browse by author or title, browse new book listings, browse a subject listing. It also has hyperlinks to many other well-known repositories too.
- **ON-LINE BOOKSTORE:** The address is: *telnet://books.com*. Book Stack Unlimited is an online bookstore which carries over 650,000 titles. Once reached, one may browse the shelves and/or search for books by author, title, or subject. After making one's selections, one may order and purchase over the computer. Some electronic texts are available.
- **THE CHAUCER ON-LINE BIBLIOGRAPHY:** The address is *http://telnet/utsaibm.utsa.edu*. It is a database for publications on Chaucer studies, provided by M. Allen. Searches can be done by author, title, subject, or keyword. The years currently available are 1983-1992, but the long-term goal is to incorporate all entries going back to 1975, while updating new entries annually. This site is located at the University of Texas at San Antonio. When requested to enter the application request, one must type "library", then "local", then "chau". Once in the Chaucer Bibliography, search can be conducted by following the instructions on the screen.
- **UNCOVER:** This is a service provided by **CARL**, the **Colorado Association of Research Libraries**. It is an excellent method of locating journal articles written since 1987 or 1988. The Tables of Contents of recent issues of journals can be scanned. Copies of articles are available at *http://telnet pac.carl.org*. Looking at **Table of Contents** involves entering the browse function, typing the name of the journal and then selecting the issue one wants to scan.
- **THE WWW VIRTUAL LIBRARY:** This is a distributed subject catalogue, with an alphabetically arranged list of subjects. The URL address is *http://www.w3.org/hypertext/DataSources/bySubject/Overview.html*.

## IX. CONFERENCE INFORMATION

There exist a number of Internet sites which supply information on forthcoming conferences on linguistics and HEL worldwide. Information is also available in the the societies' newsletters and online publications reviewed in this article.

- ICAME's Hyperlink: This hyperlink on the NCCH's homepage is called **List of Conferences in the Humanities**. The address is *http://hd.uib.no/konferanser.html*.
- NLLIA: This service is provided by the server of the **Language and Technology Centre of the National Languages and Literacy Institute of Australia Ltd.**, at the University of Queensland. Its URL address is *http://cltr.uq.ox.au:80000/nllia/conf.html*. Scholars wishing to publish or advertise conferences may email a message to *peterw@lingua.cltr.uq.oz.au*.
- LINGUIST LIST: This discussion list also provides up-to-date information on forthcoming conferences on linguistics. Its URL address is *http://ing.ohio-state.edu/conferences/index.html*. The LINGUIST Network's homepage also provides extensive information about conferences at *http://engserve.tamu.edu/files/linguistics/linguist/conference.html*.

## X. OTHER RESOURCES AND SITES

### A. AMERICAN ENGLISH

- AMERICAN DIALECT SOCIETY WEB PAGE: *http://www.msstate.edu/Archives/ADS*.
- AMERICAN ENGLISH ONLINE provide the files from the Linguistic Atlas of the Middle and South Atlantic States. The URL address: *http://hyde.park.uga.edu*.
- AMERICAN ENGLISH: The address is *http://www.dur.ac.uk/~dgl3djb/ukus\_text.html*.

- **BRITSPEAK HOME PAGE:** The address is <http://pages.prodigy.com/NY/NYC/britspk/main.html>. It is a non-scholarly, jocose page on English as a foreign language for Americans.

#### **B. LESS COMMONLY TAUGHT LANGUAGES GOPHER**

This gopher page is sited at the University of Minnesota. The URL address is [gopher://lctl.acad.umn.edu/](http://lctl.acad.umn.edu/). After successively clicking on **Languages, O, and Old English**, a document is loaded containing a list of American universities where there exist courses on Old English. Information is given about course levels and availability and the person to be contacted.

**C. VIKING HOME PAGE:** The URL address is <http://control.chalmers.se/vikings/>.

**D. BATTLE OF HASTINGS HOME PAGE:** The URL address is <http://www.demon.co.uk/dmc/1066ad/hasting.html>.

#### **E. DIGITALIZED IMAGES AND MANUSCRIPTS**

- **LINDISFARNE GOSPELS:** A page of the gospels housed at the British Library can be seen at <http://portico.bl.uk/access/treasures/lindisfarne.html>.
- The **CAEDMON MANUSCRIPT** from the Bodleian Library can be viewed at <http://rsl.ox.ac.uk/macat/in02.html>.
- Images from the **BAYEUX TAPESTRY**, which document the end of the Anglo-Saxon era, are found at [http://schriber.history.rhodes.edu/bayeux\\_tapestry.html](http://schriber.history.rhodes.edu/bayeux_tapestry.html).
- **JUNIUS 11:** A page from this manuscript can be viewed on the screen by getting at <http://vsl.ox.ac.uk/imacat/in01.html>.
- **THE BEOWULF PROJECT.** This is a British Library-sponsored project to digitalize the Beowulf original manuscript and related manuscripts and printed texts. Major additions will include images of contemporary manuscript illuminations and material culture, and links with the **Toronto Dictionary of Old English Project** and with the comprehensive Anglo-Saxon bibliographies of the **Old English Newsletter**. The project has been developed by The

Library with two leading American Anglo-Saxon experts, K. Kiernan, of the University of Kentucky, and P. Szarmach, of the Medieval Institute, Western Michigan University. Professor Kiernan is editing the electronic archive and is producing a CD-ROM electronic facsimile that will draw together in an easy-to-use package all the different types of image being collected. Some of the digitalized images are available on the web by clicking on the appropriate hyperlinks on this page. The addresses are: <http://portico.bl.uk/access/beowulf/electronic-beowulf.html> and <http://www.uky.edu/~kiernan/BL/kportico.html>.

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## THE COMMUNICATIVE APPROACH TO CONTRASTIVE LINGUISTICS

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### **Resumen**

*En este trabajo se enfoca el estudio contrastivo desde un punto de vista macrolingüístico, englobando aspectos supra-oracionales en distintas áreas macrolingüísticas: actos de habla, análisis discursivo y conversacional, incluyendo significados culturales. El enfoque enfatiza el contraste desde una consideración funcional del significado, teniendo en cuenta que el estudio contrastivo busca encontrar diferencias interlingüísticas desde un trasfondo de una similitud compartida (tertium comparationis), que puede ser formal o funcional, y que requiere una previa delimitación de criterios de comparatividad, correspondencia, congruencia y equivalencia. En el trabajo se expone esta perspectiva macrolingüística y se ilustra con ejemplos del inglés y español.*

### **Abstract**

*In this paper contrastive study is viewed from a macrolinguistic standpoint, including supra-sentential aspects in different macrolinguistic areas: speech acts, discourse and conversational analysis, including cultural meanings. This focus emphasizes the contrast from functional consideration of meaning, bearing in mind that contrastive study seeks to find interlinguistic differences from a background of shared similarity (tertium comparationis), which can be formal or functional and which requires a prior delimitation of comparativity, correspondence, congruence and equivalence criteria. In this paper the macrolinguistic perspective is examined and demonstrated with examples in English and Spanish.*

It is an agreed upon fact that the theories and procedures of classical contrastive analysis failed to grapple with a number of important aspects of language description and language behaviour. Classical Contrastive Analysis, as expounded and carried out by pioneering pedagogically-oriented contrastivists in the US back in the 50's and early 60's (C. Fries and R. Lado, primarily) was almost exclusively concerned with code-oriented studies, in particular the structural differences in grammatical structure between native and foreign languages, their ultimate goal being that of drawing a series of applications and implications for overcoming learning difficulties in language teaching. The pioneering pedagogical contrastivists went by the theory that structural difference equals learning difficulty, or, alternatively, that it is possible to predict the errors of L2 learners on the basis of scales of difficulty arrived at after contrasting the differences between the languages in question; such contrastive statements enabled the analyst to undertake the task of devising teaching techniques, sequencing and grading of materials, etc, that were supposed to help overcome and remediate the «pull of the mother tongue». In their naive conceptualisation of language learning, the early contrastivists found themselves buoyed in allied partnership by the behavioristic learning theorists of the 50's such as Skinner, Thorndike, etc., resulting in the marriage of taxonomic structuralism to behaviorism, thus shaping the dominant strand of paradigmatic research in linguistics, psychology and pedagogy in the US in the 50's and 60's. As has become clear looking at it with hindsight, this early contrastive work overlooked and slighted a number of serious problems, amongst which there stands out the problem of meaning and language, in particular, the problem of meaning and language use and behaviour and the various linguistic aspects of communicative interaction, discourse and conversation.

One reaction to this early meaning-neglecting stance was the attempt to develop the semantic component of contrastive grammars, made possible especially by the advent of a more mentalistic climate in psychology and in theoretical linguistics, thanks to a large extent to the chomskyan revolution, and helped along by the retreat and demise of taxonomic-oriented models of language description, as well as the phasing in of semantics-based models in the late 60's and early 70's

such as Case Grammar and Generative Semantics. For instance, the aim of Generative Contrastive Grammars such as the one developed by the Polish linguist T. Kreszowski (1976) was to capture the bilingual speaker's intuitions about the semantic equivalence of syntactic paraphrases. The semantic equivalence of such sentences was captured in the model by positing a deep structure underlying the surface structures of both the native and the target language. In Kreszowski's model the deep structures are fairly abstract constructs quite removed from the actual realisation and linearization of sentences. At the same time, it was thought that the posited deep structures were a kind of universal, semantically-based cognitive linguistic primitive structure underlying all or most languages (the «universal base hypothesis»).

Despite the progress that such semantically-based models clearly represented and the valuable insights they offered, one criticism that has been leveled against the generative semantic contrastive models is that their view of meaning is still based on traditional semantic theories, which maintain that, roughly speaking, meaning is only a cognitive phenomenon that operates in propositions. In this sense, the posited deep semantic structures only provide information about a range of possible interpretations in certain plausible contexts. In other words, these models still had as their object of inquiry the isolated, decontextualised sentence. Yet isolated decontextualised sentences or propositions (and objects or concepts) are of little help for the description and analysis of the complexities of communicative behaviour. Clearly, this view of meaning was a direct spin-off of the chomskyan conception of grammatical competence, which was thought to be divorced from actual performance. For code-oriented formalist linguists such as Chomsky, linguistic competence is the abstract knowledge speakers possess which enables them to pass acceptability judgements on the well-formedness of strings of words, the kind of knowledge which is the sole concern of linguistics (that field of inquiry which aims at producing theories of the formal abstract properties of such knowledge through appeal to intuition, plus the idealisation of actual data (regularisation and standardisation by an ideal speaker) -- as such, the actual performance would lie outside linguistics proper, and would belong in the field of psycholinguistics (concerned especially with the production and perception of speech, slips

of the tongue, hesitations, false starts, etc) or sociolinguistics and pragmatics (concerned with the relationship between speakers, situations, intentions, etc). Some linguists working with a pragmatic model adhering to the chomskyan programme characteristically hold a narrow view of pragmatics: for them, pragmatics should not be the study of the communicative intentions of participants in communicative exchanges, or the illocutionary force of the speech acts they are trying to get across, but merely the logical pragmatic properties of the verbal code which sustain the force of messages (i.e., reference, deixis, scope of negations, quantification, etc). From this vantage point they distinguish between 'pragmalinguistics' (grammar-affecting, discourse-bound logical relations) and 'socio-pragmatics' (social patterning of discourse as influenced by social interaction).

In this paper such distinction will not be upheld; we will henceforth retain the term pragmalinguistics to refer simply to all aspects pertaining to the characterisation of meaning in discourse and conversation, including the deployment of structural and logical elements of the verbal code to convey meaningful acts in context.

In the face of the criticism against the decontextualised view of meaning and the narrow-minded, though wider, logical-pragmatic one, linguists reacted by turning away from meaning as represented in deep, decontextualised semantic propositions, and by investigating it instead as it manifests itself outside or beyond sentences, that is, in discourse, conversation, interactive communicative events, etc. The focus of this pragmatic approach, therefore, is not on the theories, models and data of linguistic structures alone, or the decontextualised interaction of form and meaning, but rather on the social patterning of discourse and grammar, the interaction of formal structures and interpersonal communicative intentions. Hence the communicative-oriented approach to language description, which starts with the assumption that meaning is to be viewed as a corollary of symbolic social behaviour (G.H. Mead). This pragmatic approach emphasises the ways in which participants in a communicative act or event create, organise and realize utterances, thus relating social meaning and cognitive mediation. For the pragmalinguist, then, it is language functions, discourse and textual strategies, the communicative act in context, which make up the central

concern of his investigation. The pragmalinguist starts not with the chomskyan distinction between competence and performance, but rather with the ethnolinguist's notion of 'communicative competence' (Dell Hymes). Hymes's concept of 'communicative competence' and his criticism of the chomskyan competence-performance distinction, plus the influence of social anthropological theories and the ethnography of communication have convinced most linguists that linguistic competence is but a component of a wider thing: socio-cultural competence, that is, the ability to communicate verbally as well as non-verbally in culturally-restricted contexts. This notion enables the analyst to undertake cross-cultural comparisons at all levels as part of the ethnography of speaking.

By way of illustration of the different goals separating the code-oriented study of meaning and the pragmatics-oriented one, consider for instance a sentence such as (1):

(1) There is a hut at the top of that hill

Whereas the code-oriented linguist would probably be interested in studying how the cognitive propositional meaning underlying sentence (1) (perhaps something like (2)),

(2) Predicating Existence of an exemplar of a class of entity (x) located at a particular deictic point in space (y): i.e.:  $E(x) \ \& \ AT(x,y)$

gets to be realised semanto-syntactically by means of: existential predicates, deictic markers, referential-identity markers, locative prepositions, etc, the pragmalinguist, in contrast, is interested in (1) as a sentence-type expressing an utterance-token rather than just as encoding an underlying cognitive-semantic proposition. That is, he wishes to study the communicative import of the utterance in a given context, and not an isolated propositional sentence; he wishes to delve into the utterance as the expression of a communicative intention, i.e., an illocutionary force-carrying speech act. For example, he might offer an interpretation of (1) as an expression uttered by, say, a group of hikers (who may have got lost in a mountain trail) encoding the suggestion of a possible course of action («Thank God! We have been lucky! Let's go there and take shelter!»), i.e., «Expression of emotion, plus suggestion of course of action».

Having set the stage, we can now define pragmalinguistics as the study of all the variables involved in the implementation of communicative competence. These variables may be studied more in-depth by disciplines such as sociolinguistics, speech act theory, linguistic anthropology, discourse analysis, textlinguistics, psycholinguistics, etc.

Without aiming at exhaustiveness, we can name some of the variables such concerted effort would have to take into account:

- 1) Psycholinguistics variables such as information and communication models;
- 2) Sociolinguistic variables such as situations, settings, social roles, social functions, conventions, etc;
- 3) Linguistic and paralinguistic encoding and decoding variables such as new-old information packaging, presupposition and implicatures, language functions, functional sentence perspective, kinesic and conversation management devices, rhetorical and interpersonal principles of text and conversation organization, etc;
- 4) Sociocultural variables such as cooperation maxims, politeness maxims, felicity conditions of speech acts, relevance theory, etc.

There is little doubt that a full-fledged contrastive pragmalinguistics model would have to minimally draw on the above variables and disciplines for a proper account of the dynamics and products of communicative competence from a cross-linguistic viewpoint. This line of contrastive analysis was in fact hinted at, if not fully developed, by the pioneering work of R. Lado in the early stages of contrastive analysis (cfr. his *Linguistics across Cultures*. 1957). Later, in the 60's, H. Gleason (1968) proposed a model of Contrastive Discourse Analysis, and more recently, Hartmann (1977), Enkvist (1984), Oleksy (1984), Janicki (1980), Riley (1980) and others, have made valuable contributions to this line of contrastive work.

Although eclectic in general, the model we have chosen to illustrate the principles and practice of contrastive pragmalinguistics draws heavily on the one developed by Philip Riley (1980) at the University of Nancy (France), but it incorporates notions from Sajavaara and Lehtonen's

English-Finnish contrastive discourse model (1981), as well as G. Leech's *Principles of Pragmatics* (1983), especially his 'politeness theory'. The model is made up of four basic components:

1. **Illocutionary Component:** it defines the illocutionary structure or communicative force of speech acts in terms of their intentional value.

2. **Interactive Component:** it defines the sequencing of interactions, or conversational exchanges, transitions and regulators of moves (conversational management devices: kinesics, turn-taking signals, etc.).

3. **Interpersonal Rhetoric Component:** it defines the principles, conventions and maxims (Grice) which under felicity conditions (Searle, 1969) apply in particular socio-cultural settings as part of interactive exchanges.

4. **Formal-Functional Component:** it defines the set of message-bearing units with substance, or formal realisational units and elements deployed to render illocutionary force effective, such as: (a) verbal linguistic units: word order, expression rules, theme-rheme correlations, textual cohesion, etc.; (b) verbal paralinguistic units: intonation, key, tenor, etc; (c) non-verbal units; proxemics, orientation, body language, etc.

It would be well to see the model at work. To this end we will provide a sample illustration involving the following conversation exchange (see Riley, 1981). Mr and Mrs X wish to ask the way to a particular place in a town; they approach a stranger; the following conversation ensues:

- (1) Mr X: Excuse me, could you tell us the way to Buckingham Palace, please?
- (2) Mr Y: Are you on foot?
- (3) Mrs X: Yes, we are
- (4) Mr B: Then you just go straight ahead and then turn left at the corner there
- (5) Mr X: Thank you very much

#### 1. Illocutionary Structure:

- (1) apology + requesting information

- (2) requesting information
- (3) informing
- (4) informing
- (5) thanking

2. Interactive Structure:

- (1) opening/proffer

exchange

- (2) response/proffer

transaction

exchange

- (3) satisfy
- (4) satisfy
- (5) closing

	1	2	3	4	5	
Mr X	S	A	H	H	S	S = speaker
Mrs X H	H	S	A	H		A = addressee
Mr Y	A	S	A	S	H	H = hearer

3. Interpersonal Rhetoric: tact-maxim (marking of politeness and cooperative principle)

4. Formal-Functional Structure: verbal, non-verbal, para-verbal features (questions, statements, directives; proxemics, kinesics, intonation patterns, etc)

The above itemisation of the four major components of the model should not lead us to overlook the fact that these components interact in important ways. Two points are worth making with regard to the relationship between formal and illocutionary components:

(1) The illocutionary force of a communicative act has no direct link with its formal realisation. That is, in different contexts, a given grammatical structure may realise a range of functions;

(2) The other way round, the same function may be realised by a wide range of different grammatical structures. So, structures and functions are not in a one-to-one relationship.

For instance, consider these two cases:

(i) Same form, different functions:

Example: «You're not going out»

Given the appropriate context and felicity conditions, the above string of words could be taken to mean an act of:

- prohibition,
- threat,
- confirmation,
- surprise,
- etc

(eg. prohibition: if said by a father to his ill son).

(ii) Same function, different forms:

Example: «Agreeing»

- Linguistic realisation: (a) performative: «I agree». «I accept your point», etc. ; (b) clichés: «Sure». «Right». «Fine». «O.K.», etc.

- Non-linguistic realisation: body language (e.g. nodding of the head).

When talking about the same form or realisation we are referring to identity at one level of description only, the morpho-syntactic level. It is precisely because there will be many differences at other levels (paralinguistic, non-verbal, situational) and because these differences will result in differences of meaning, that we must go beyond the semanto-syntactic level and into the pragmalinguistic. Put more bluntly, the differences are not purely grammatical. Another point is that we must include non-verbal behaviours as elements of realisation of illocutionary

structure: other examples might be: shake of hand (e.g. 'disagreeing'), wave of hand (e.g. 'greeting'), hand over cup (e.g. 'declining'), etc.

With regard to the point made above about the lack of correspondence between illocutionary force and formal structure, it is important to note that there is a tendency for some acts to be realised more generally or commonly by particular structures. Some linguists (e.g. Leech 1983) suggest a distinction between:

- 1- Sentence types: declarative, interrogative, imperative
- 2- Semantic types: proposition, question, command
- 3- Utterance type: assertion, asking, imposition, etc

The first category is the concern of syntax: here we must include the study of the status and formal properties of sentences. The second category is a semantic one: typically, declarative sentences have a propositional sense, interrogative ones have a questioning sense, etc; The third type belongs in the domain of pragmatics proper, for it establishes the illocutionary force. Typically, an assertive sentence is any utterance whose illocutionary goal is specified by Leech as:

«To cause H to be aware that p»

Again, an utterance of asking is one whose illocutionary goal is:

«To get H to cause S to be aware that p»

Assertives and askings contrast in tense, modality and polarity. But the class of imperatives, commands, impositives, etc. is not as straightforward as that of declarative-proposition-assertion, or interrogative-question-asking. The imperative, formally speaking, exhibits no modality or tense contrast, but it does exhibit polarity. Again, the imperative syntactic category cannot be associated with any particular illocution such as an order, nor even with a general illocutionary type, such as impositives. Any pragmatic generalization about the use of imperatives has to be broad enough to cover such illocutionary intentions as the following:

- Offer (e.g. «have a good time»)
- Invitation (e.g. «make yourself at home»)

- Curse (e.g. «go to hell»)
- Petition (e.g. «say it again»)
- Directive (e.g. «go straight ahead»)
- Threat (e.g. «say that again and I'll --)
- Command (e.g. «stand at attention»)

Often a given label such as that of 'impositives' covers a broad gamut of more subtle distinctions: direct mands, entreaties, tactless/tactful requests, petitions, hints, etc, all of which conjure up some state of affairs envisaged as unfulfilled and presented as a desirable course of action to a H.

Drawing on Riley's work, in what follows I will attempt to suggest some areas of pragmalinguistics which offer avenues or applications and implications for contrastive studies between English and Spanish.

1. We can compare the range of functions which a structure in one language can realise with the range of functions a similar structure in another language can realise. As an example, consider the string of words (1) below (cfr. Riley 1981):

(1) Conditional Element + Clause

Looking at some Spanish and English corpus of data, we can assign an illocutionary value to each sentence:

A. Spanish

- a. «Si lo sabe ya no le importará» (hypothesis by logical implication)
- b. «¿Si lo sabe ya?» (echo-request for confirmation)
- c. «¡Si lo sabe ya!» (correction remark)
- d. «¿Y si lo sabe ya?» (concerned apprehension)
- e. «(Que) si lo sabe ya» (indirect reporting for confirmation)
- f. «¿Y si lo hacemos ya?» (suggested course of action)

### B. English

- a'. «If he already knows, he won't come»
- b'. \*«If he already knows that?»
- c'. \*«If he already knows that!»
- d'. «What if he already knows (about it)?»
- e'. \*«That/whether he already knows»
- f'. \*«What if we already do it?»

Analysis of the data would lead to a mapping of (1) those structures which preserve a formal-semantic correspondence (e.g. Spanish (a) and (b) English (a') and (b')); (2) those structures which share a formal correspondence but lack semantic correspondence, thus potentially causing interference errors (negative transfer) (e.g. a (potentially) pragmatically-deviant English sentence such as (e') «Whether he already knows» for an indirect report for confirmation as such as Spanish (e) above) (= «He asks if he already knows»); (3) those structures sharing a formal correspondence but lacking the same semantic correspondence, or requiring alternative textual or contextual elaboration (eg. Spanish (b) and English (b')); to preserve textual equivalence, we need to add something like : «...is that what you want to know?»; cfr. also the amendment of Spanish (c), rendered in English as «But he already knows!»), and of Spanish (f), rendered as; (4) those cases of outright formal-structural deviancy disallowed in either language (e.g. English (f')), the nearest equivalent being «How about getting around to doing it?»)

2. We can reverse the process explained above: we can take one particular function (say, 'Suggesting a course of action') and study some of the various types of clause and sentence realisations which can occur in the two languages to convey the given functional meaning (Riley); for instance:

### A. Spanish

- a. «¿Vamos al concierto esta noche?»

- b. «¿Que te parece si vamos al concierto esta noche?»
- c. «¿Y si vamos al concierto esta noche?»
- d. «¿(No) te gustaría ir al concierto esta noche?»

...

#### B. English

- a. «How about going to the concert tonight?»
- b. «I tell you what, let's go to the concert tonight»
- c. «Why don't we go to the concert tonight?»
- d. «I wouldn't mind going to the concert tonight

This type of functional mapping has of course been very useful for the development of notional-functional syllabuses, as a conceptual basis for communicative methodologies, the ultimate origin of these being the impact of sociolinguistic and pragmatic theories in linguistics, in particular, the need for taking into account aspects of language functions and language varieties (register, dialect, etc) in language teaching.

A research question to be raised is whether there are functions which may be realised in, say the verbal component of one language, but which are realised in the paralinguistic component of another language (eg. intonation, etc)

3. Instead of taking sentences/functions in isolation, we can compare them in sequence, of course, in keeping with a contextualised view of meaning in communicative events, as, for instance, in the study of sequences of illocutionary structure of conversational exchanges. For example, it seems that in Spanish, unlike English, thanking someone after receiving a compliment may be a bit contrived, or at least may slip into irony if care is not exercised; hence in Spanish one would have to control more carefully the intonational and contextual nuances so as to avoid misinterpretations, faux pas, etc.

4. We can compare the interrelation between certain socio-cultural norms (e.g. politeness conventions) and certain rhetorical maxims (e.g.

'tact') and study how they may affect the type of illocutionary force, illocutionary structure as well as the formal realisation deployed to convey them, with a view towards exploring products and processes involving pragmatic transfer, cross-cultural errors, situational interference, cultural misunderstandings, etc. (see Volk, 1988; Bonvillain, 1993; Merrill Valdés, 1986; Ting-Toomey & Korzenny, 1989).

A case in point might be 'impositive expressions', in which we can note a scale of imposition (from a direct, tactless «mand» to an indirect, polite or tactful request), according to cultural and social conventions governing the rhetorical and interpersonal principles and maxims involved (see Hartmann, 1981). A cross-cultural comparison of L1 and L2 may help to isolate potential areas of cultural missteps, pragmatic failures, and cultural misunderstandings arising from negative transfer of such interpersonal rhetoric maxims or cultural-pragmatic conventions. It is an agreed upon fact that social structures, social perceptions, and social norms influence the type of interactivity, speech event, speech act, as well as other verbal, non-verbal, para-verbal and extra-verbal parameters of communication (Sajavaara and Lehtonen, 1981). Likewise, social interactions do not operate in a vacuum. We are bound to encounter in any human encounter the presence or absence or neutralisation of (a) a 'power' relationship, and (b) an 'intimacy' or 'familiarity' relationship regulating a number of conventions which are part and parcel of an ethnography of speaking (Hymes, 1970); Bonvillain, 1993): who may speak to whom, on what topic, when, where, how and why. Such regulations and maxims influence the manipulation of interactional structures via the use of strategies. In other words: given a social hierarchy operating inside any structured social organisation, there will always be different rights and obligations to decision-making and compliance. This leads to different cultural requirements for meaning-negotiation and communicative style. For example, cultures may vary in regard to the strategies speakers deploy to try to attain their communicative intentions and goals: by anticipating, discrediting, combating, etc. the interlocutor's reactions in advance through illocutionary functions such as 'sweeteners', 'grounders', 'disarmers', etc. (Faerch and Kasper, 1984). Again, such maxims as 'tact' and 'politeness' are also strategically deployed depending on the degree to which a

speaker takes the hearer into account and suits what s/he says and how s/he says it to what s/he believes the hearer's reactions might be (Brown and Levinson, 1987). (A well-known and documented instance of this type of interactional strategy is found in studies of 'telephone conversation'; see Sifianou, 1989; Hopper, 1989). One way to account for these facts has been suggested by Edmonson and House (see House, 1984), who posit a 'transcultural principle' based on the notion of sharing and distributing social needs: in interactional behaviour, humans will tend to make sure that their interlocutor(s) minimally cooperate(s) with them if they themselves are to reach their own goals. Such principles become relativised in different cultures and subjected to different degrees of focus, neglect or emphasis. For instance, with regard to the above-mentioned area of 'impositives' and 'requesting behaviour', it can be argued that in the case of (British) English and (Castilian) Spanish, there exists a 'scale of imposition' (which reflects other cultural parameters explicit and implicit in the two cultures (such as positive and negative politeness, high or low message content, individualism vs communitarism, orientation values, etc). Thus, the possible scale of impositives given below (from highest imposition and most tactless request down to the lowest imposition and most tactful request) can be regarded as a reflection of differences in emotive sensitivity, expressivity, territoriality, intimacy and privacy rights, etc. Apparently at least, the British impositive scale seems to hinge more on sensitivity to other people's feelings, which would account for its higher degree of intricacy, complexity and development, as well as its more marked social importance:

A. Spanish

- a. Le ordeno que me lleve a casa
- b. Lléveme a casa
- c. Lléverme a casa, por favor
- d. Llévame a casa, por favor
- e. Llévame a casa, si quieres
- f. ¿(Me) quiere(s) llevar(me) a casa?
- g. Le/te importaría llevarme a casa?

h. ¿Podría(s) llevarme a casa?

i. ¿Puede(s) llevarme a casa?

.....

B. English

a. I order you to take me home

b. Take me home

c. Take me home, will you?

d. Take me home, please

e. Will you take me home?

f. Would you take me home?

g. Would you mind taking me home?

h. Could you (please) take me home?

...

## CONCLUSIONS

Contrastive Linguistics has long been wedded to a microlinguistic orientation. However, the enrichment of contrastive levels of analysis requires moving up to a macrolinguistic orientation through which functional and cultural aspects of equivalence may be accounted for free of the reins of code-oriented descriptions. Contrastive Pragmalinguistics offers contrastivists a broad area of study into which may be made to converge, under an interlinguistic perspective, concepts and methods from discourse analysis, conversation analysis, and pragmatics, thus helping analysts achieve more fine-grained ways of establishing interlingual correspondences between the languages compared.

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# RELEVANT FEATURES IN THE DESCRIPTION OF THE ENGLISH VERB IN SOME 18TH AND 19TH CENTURY GRAMMARS

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## **Resumen**

*En este artículo se estudian las distintas descripciones que del verbo inglés se han hecho en la gramáticas de los siglos XVIII y XIX. El objetivo fundamental del estudio es analizar cuál es la postura que estos gramáticos toman en relación con la posición que los verbos auxiliares y los sufijos flexionales ocupan dentro del sistema verbal inglés. El artículo trata de demostrar que la posición de estos gramáticos acerca de este problema no es tan equivocada ni tan latinista como normalmente se nos ha querido hacer ver, ya que estas gramáticas frecuentemente utilizan criterios morfosintácticos en su explicación de las distintas categorías verbales.*

## **Abstract**

*This article analyses the way English grammars of the 18th and 19th century describe the English verb. In the article, the central issue will be the way these grammarians study the position which auxiliary verbs and inflected endings occupy within the verbal system to form what has traditionally been called the different modes and tenses. In this article we want to show that, in some way, their position is not as inaccurate and Latinist as many critics want us to believe, since these grammars frequently take morphosyntactic criteria into account.*

There is general agreement in qualifying English grammars of the 18th and 19th century as Latin-oriented, prescriptive and relying too much on meaning.<sup>1</sup> Our position, however, is closer to Algeo's than to these former approaches. Algeo thinks that:

"The dependence of early English grammars on Latin models has been somewhat exaggerated. Most of the first English grammars recognized the considerable structural differences between Latin and English and accounted for them, often in innovative and perceptive ways, albeit within the overarching requirement that English be described with the general categories of Latin." (Algeo, 1986:309)

In general, 18th and 19th century grammarians sought to describe English grammar on its own terms, and, although meaning is quite often the basis of their analysis, they also consider form and function more extensively than has traditionally been recognized.

In relation to the analysis of the verb, which is our topic here, we want to point out that one of the most important theoretical problems, widely discussed both by these 18th and 19th century grammarians and by those modern grammarians who have analysed their work, has been the definition of the real position which inflected endings and auxiliary verbs occupy within the verbal system to form what has traditionally been called the different modes and tenses. Most modern descriptions of English accept that the structure of the English verb phrase is that of *auxiliary + main verb*. But, as far as we are aware, no serious attempt has yet been made to define and limit the scope of this auxiliary element. Most people mistakenly identify the auxiliary element with auxiliary verbs.<sup>2</sup> However, Quereda (1993) has proved that the auxiliary element in the English verb phrase is not only formed by auxiliary verbs (*have*,

<sup>1</sup> Examples of this are:

The effect of such an approach [that in which Latin grammar represented the «grammar»] can best be seen in the various treatments of ... verbal tense, a category in which the surface structures of Latin and English were so obviously unlike ... (Robins, 1986:300).

The category of mood illustrates ... how closely the English grammarians had tied themselves to the Latin tradition. (Michael, 1970:426).

<sup>2</sup> In this respect, we disagree with positions such as that shown in Quirk *et al.* when it is said that:

It might be equally claimed that there is no need to distinguish form from function in the verb phrase: that auxiliary verb and main verb will satisfy both requirements. (Quirk *et al.*, 1985:64 §2.29).

*be, do, may, etc.*), but also by semi-auxiliary verbs (*is to, is going to, have to, etc.*), inflections (*-s, -ed<sub>1</sub>, -ed<sub>2</sub>, -ing*) and by some free morphemes such as *to* and *not*, besides phonological features such as *intonation, emphasis, etc.* We shall study in this paper the position of these grammarians in relation to this problem and attempt to show that, in some way, their position was not as inaccurate and Latinist as many critics want us to believe.

In these grammars we find two radical positions. In the first place, there were grammarians, a small minority, who thought that inflection was the only possibility in the English verbal paradigm: to recognize a «tense» or a «mode» in English, the verb needs to suffer some change by means of the addition or dropping of some kind of inflection. In the second place, there were other grammarians, the great majority, who considered that the English language required the help of some auxiliaries to form such «tenses» and «modes». These two positions, surprisingly, have always been presented as contradictory, when, as we shall see, those who accepted tenses and modes realized by auxiliaries never rejected the idea of «tenses» realized by means of inflections. And probably, what is less understandable, grammarians who have defended the second position have always been accused of trying to impose Latin moulds on the English language. We shall now analyse both positions and the problems related to them.

Some grammarians saw inflectional variation as a prerequisite for the consideration of tenses and modes. One of the first grammarians to defend this theory is Wallis.<sup>3</sup> He is followed, among others, by Priestley. Priestley is the most emphatic advocate of the view that English had only two tenses. Unlike all the earlier grammarians except Wallis he sees that the fundamental question is how the term *tense* is to be interpreted:

“The only natural rule for the use of technical terms to express time, &c. is to apply them to distinguish the different modifications of words; and it seems wrong to confound the account of inflections, either with the grammatical uses of the combinations of words, of the order in which they are placed, or of the words which express

<sup>3</sup> «Verbs have only two tenses - *present*, and *imperfect past*.» (In Kemp, 1972:331).

relations, and which are equivalent to inflections in other languages ... A little reflection may, I think, suffice to convince any person, that we have no more business with a future tense in our language, than we have with the whole system of Latin moods and tenses; because we have no modification of our verbs to correspond with it." (Priestley, 1762), added in the 2nd ed. 1768, pp vii and viii).

In America, it is Brown (1823),<sup>4</sup> although perhaps in a more timid way, who defended this position.

The first explicit repudiation of mood<sup>5</sup> is made by James Greenwood, in 1711.<sup>6</sup> Greenwood is followed by Loughton (1734), Collyer (1735) and the *New English Accidence* (1735). Lynch is of the same opinion since he admits:

"No more modes should be admitted in a language than there are different inflexions of the verb for expressing the various manners of mental affirmation." (Patrick Lynch, 1796:39).

Priestley would have liked to deny English any moods but was too honest to do so. In 1762 he goes so far as to say:

"English has none ... except if I **be**." (Priestley, 1762:98).

Grammarians opposed to the consideration of periphrastic forms (*ie.*, «uninflected forms») as modes and tenses argued that meaning was not a good criterion to follow. Priestley, for example, claims that:

"It is easy to see that, upon these principles, moods might have been increased almost ad infinitum: since the ways a sentence may be modified, or vary from a direct assertion, are innumerable: for instance, for the same reason that a wish constitutes a mood, an interrogation might constitute one, a permission another, and so on without end." (Priestley, 1762:100).

<sup>4</sup> «The verb has two tenses; namely, present; as, *write*, past perfect as *wrote*.» (Brown, 1823:141).

<sup>5</sup> cf. Michael (1970:426).

<sup>6</sup> «In English there are no moods, because the verb has no diversity of endings.» (Greenwood, 1711:119).

These authors, however, found themselves in an awkward position when having to classify all the other verb-forms. By restricting English tenses to two, they had to classify those parts formed by auxiliaries not in terms of tense or mood, but in terms of the 'rest' of the verb. This, indeed, is not theoretically tenable. Thus, for example, Wallis, at the end of his study of the English verb, gives, without any further explanation, a list of the forms which English had to render Latin moods.<sup>7</sup> The problem of such a list is twofold. In the first place, we do not know what the real relation between the two English tenses and all the other forms is. And secondly, since these forms are neither tenses nor modes, we do not really know their role within the system.

This, and not the Latin influence, was probably the reason why most of the 18th and 19th century grammarians considered that there was nothing wrong with accepting the combination of auxiliaries and main verb as real English «tenses» or «modes», and that, therefore, both inflectional variation and combinations with auxiliary verbs should be considered as possible English tenses or moods. Although none of them overtly declares his position in relation to this point, most of the 18th and 19th century grammarians follow this line in some way or another. Greene, for example, says:

“Mode is indicated chiefly by auxiliary verbs.” (Greene, 1874:59).

Ash clearly distinguishes between «tenses» realized by means of inflections and those by means of auxiliaries:<sup>8</sup>

<sup>7</sup> Wallis's words are:

In this way we easily dispense with all the various moods and tenses which are found in Latin. *I love, I do love* (Latin present indicative), *I loved, I did love* (Latin imperfect indicative), *I have loved* (Latin perfect indicative), *I had loved* (Latin pluperfect indicative), *I shall / will love* (Latin future indicative), *love thou* (Latin present imperative), *I may / can love* (Latin present subjunctive), *I might / could / should / would loved* (Latin imperfect subjunctive), *I should / will have loved* (Latin perfect subjunctive and future perfect indicative), *I should / would / could / might have loved* (Latin pluperfect subjunctive), *to love* (Latin present infinitive), *to have loved* (Latin perfect infinitive), *of loving* (Latin genitive of gerund), *in loving* (Latin ablative of gerund), *to love* (Latin accusative of gerund), *to love* (Latin supine in -um), *to be loved* (Latin supine in -u), *loving* (Latin present participle), *being to love* (Latin future participle), *loved* (Latin passive past participle), *being to be loved* (Latin gerundive). The same is true of the passive voice, in forming which the auxiliary *am, be* is used together with the passive participle. (In Kemp, 1972:345).

<sup>8</sup> Brown also maintains this same idea:

The moods and tenses are formed partly by inflections, or changes made in the verb itself, and partly by the combination of the verb or its participle, with a few short verbs called *auxiliaries*, or *helping verbs*. (Brown, 1823:59).

“The verb itself has but two terminations respecting time: as, *love*, and *loved*; which last may be called the Inflexion of the preter or past tense.” (Ash, 1785:47).

“Other tenses, as well as modes, are formed with the auxiliaries *to, do, did, have, had, shall, will, may, can, must, might, would, could and should*.” (Ash, 1785:45).

Most of us would agree with the following argument offered by Bullions in relation with all this controversy, which we cannot refrain from quoting, despite its length. Bullions says:

“Some grammarians are of the opinion that no more moods or tenses ought to be assigned to the verb in English, than are distinguished by difference of form in the simple verb. This principle rejects at once the whole passive voice; and in the active, retains only the present and past tense of the indicative mood, and the present of the subjunctive. To carry out this principle to its full extent, we should reject also the plural number of the tenses that are left; for this is always in the same form with the first person singular. This certainly reduces the English verb to very narrow limits, and renders it a very simple thing; so simple, indeed, as to be of little use, being capable of expressing an action or state only in two relations of time. This simplification of the verb, however, tends only to perplex the language; for though it reduces the number of moods and tenses, it does not, and can not, reduce the number of the forms of speech by which the different times or modes of action are expressed. It is certain, for example, that we have such forms of speech as, «I have loved», «shall love», «might love,» &c. ... This theory has its foundation in the supposition, that a tense, or mood must necessarily mean a distinct form of the simple. This supposition, however, is entirely gratuitous. There is nothing in the meaning of the word *mood* or *tense*, which countenances it. A verb is a word which expresses action; *tense*, expresses the action connected with certain relations of time; *mood*, represents it as farther modified by circumstances of contingency, conditionality, &c.; but whether these modifications are expressed by a change in the form of the simple verb, or by its

combination with certain auxiliaries seems to be a matter perfectly indifferent. Indeed, the generally received opinion is, that the different forms of the verb, denominated *mood* and *tense*, in Latin and Greek, are nothing more than the incorporation of the auxiliary with the root of the simple verb. If so, why should not the uniform juxtaposition of the auxiliary with the verb, to answer the same purpose, be called by the same name? If a certain auxiliary, connected with a verb, express a certain relation of time, properly denominated the future tense: what essential difference can it make, whether the two words combine into one, or merely stand together? On the whole, then, there is nothing gained by the proposed simplification: Indeed, on the contrary, much, even of simplicity, is lost; and it moreover deprives our language of the analogy which it has in mood and tense with other languages, modern as well as ancient; and if adopted, instead of smoothing the path of the learner, it would tend only to perplex and obscure it." (Bullions, 1846:37- 38)

This approach is sounder than that of the defenders of inflectional variation, since the position of both forms within the system is clearly stated: a «principal» verb can be modified not only by inflections but also by auxiliary verbs. This position, nevertheless, entails another difficult problem in English grammar, one which is crucial for an accurate description of the English verb: that of clearly defining those elements which can be considered auxiliary verbs in English and those which cannot, or in other words, that of establishing the principles controlling the delimitation of the forms that constitute the auxiliary element in English, those principles underlying the decision to consider *may go* and *should go* as mood forms (grammatical modifications), but *be able to go* and *advise someone to go* as modal expressions (semantic or lexical modifications), or *is working* and *have worked* as tenses, and *begin to work* and *finish working* as aspectual catenative structures.

Therefore, the problem in English grammar is not whether or not to accept moods and tenses by periphrases. The problem is to decide which of the many periphrases that we find in English can be given grammatical status and which cannot. Once this question is solved, the possibility suggested by Priestley (1762:100)<sup>9</sup> of increasing the number of moods

<sup>9</sup> see p. 3, above.

and tenses *ad infinitum* would no longer be feasible. The consideration of these problems will, of course, take us to the famous discussion, quite in vogue in transformational literature in the seventies, about the definition of auxiliary verbs as main or as auxiliary verb. It is in fact this problem what Bullions had in mind when he said:

“It is certain, for example, that we have such forms of speech as, «I have loved», «shall love», «might love,» &c. Now since these and similar forms of speech only express different relations of time and manner of the one act, «to love,» it certainly does seem more easy and simple to regard them as different moods and tenses of the verb *to love*, than to elevate the auxiliary to the rank of a principal verb and then to combine them syntactically with the verb *to love*. Indeed, to dispose of them in this way satisfactorily, is not a quite easy or simple matter. For example, in the sentence, «I have written a letter,» it is easy enough to say that *have* is a verb transitive &c. and *written* a perfect participle; but when we inquire, what does *have* govern? what does *written* agree with? A correct and satisfactory answer will not be so easily found. This example will perhaps show that it is much easier, and quite as satisfactory, to rank the expression as a certain mood and tense of the verb «to write»”.

In this respect, the position of most of the 18th and 19th century grammarians should be considered in a way as descriptively correct. The «tenses» and «modes» which they proposed, whether intuitively or not, were formed with what they thought grammatical, and not semantic or lexical, elements. The auxiliary verbs which they suggested are, in fact, those which we normally accept nowadays as pure auxiliaries. None of the grammarians here studied suggested any optative mode formed with *wish* or *want* + *to infinitive* or any perfective tense formed by the combination of *verb* + *completely*.<sup>10</sup> The tenses and modes which most of

<sup>10</sup> Ash explains in his analysis of the meaning of the different tenses, that:

These Formations of the several Tenses seem to have Respect *both* to the *Time* and *State* of the Action signified by the Verb. The *present* Tense denotes the Time that *now is*, and the Action *unfinished*: as, *I write*; or, *I am now writing* the Letter. The *Imperfect* denotes the Time *past indeterminately*, and the Action *to have been completed* at any past Time that may be specified: as, *I wrote the Letter*; or, *I began or finished the Writing of the Letter*, this Morning, Yesterday, a Week ago, &c. The *Perfect* denotes the Time *just past*, and the Action *fully completed*: as, *I have written the Letter*; or, *I have just now finished the Writing of the Letter*. The *Pluperfect* denotes the Time *past*, and the Action *to have been completed prior to some other Circumstance* specified in the Sentence: as, *I had written the Letter*; or, *I had finished the Writing of the Letter before you came in*. The *Future*

them suggested were all combinations of the main verb with the auxiliary verbs **have, be, will, shall, can, may, must, would, should, might, or could** and the inflections **-ed<sub>1</sub>, -ed<sub>2</sub>, -ing** and **-s** (as, *I write; I am writing; I wrote; I have written; I had written; I will write; I was writing, I have been writing, I had been writing, I will be writing, etc.*). Auxiliaries were neither chosen at random nor as an attempt to pay service to Latin. Lowth is clear in this respect:

“As far as grammar is concerned, there are no more modes in any language, than there are forms of the verb **appropriated** to the denoting of such different manners of representation.” (Lowth, 2nd ed. 1763:48n). (Our emphasis).

Murray also seems to have in mind a syntactic criterion for the consideration of auxiliary verbs, affirming that auxiliary verbs, in contrast to full verbs, are always dependent verbs which can never be used by themselves.<sup>11</sup> As a final piece of evidence, it is also worth pointing out the controversial position of *let* as an auxiliary verb in these grammars. Although some grammarians accept it as «a sign of the imperative», most of them reject such a possibility.<sup>12</sup> This is a clear

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denotes the *Time to come* and the *Action to be completed* at any future Time that may be mentioned: as, **I will write the Letter; or, I will begin and finish the Writing of the Letter**, to-night, to-morrow, &c. (Ash, 1785:39-40, Note 42). (Our emphasis).

We are not sure here if Ash is simply paraphrasing the verb form to make its meaning clearer or if he is suggesting that forms such as *I began or finished the Writing of the Letter, I have just now finished the Writing of the Letter, I had finished the Writing of the Letter, or I will begin and finish the Writing of the Letter* are alternative tenses. Since this type of paraphrases never appears in the typical conjugation tables, we prefer to think that they are just paraphrases.

<sup>11</sup> Murray's words are:

The learner will perceive that the preceding auxiliary verbs, *to have* and *be*, could not be conjugated through all the moods and tenses, without the help of other auxiliary verbs; namely, *may, can, will, shall*, and their variations. **That auxiliary verbs in their simple state, and unassisted by others, are of a very limited extent; and that they are chiefly useful, in the aid which they afford in conjugating the principal verbs:** will clearly appear to the scholar, by a distinct conjugation of each of them, uncombined with any other. (Murray, 1824:87). (Our emphasis).

<sup>12</sup> Lowth, Dilworth and Murray are some of the grammarians who accept *let* as a sign for the imperative. In contrast, Bullions, Ash, Alexander, Greene, or Smith do not accept it. Ash gives the following explanation:

*Let*, commonly called a *Sign* of the imperative Mode, is *properly* a *Verb* in that Mode, as, in the Example, *let him Love*, the Meaning is, *permit or suffer* him to love, *Let*, therefore seems to be a *Verb* of the *imperative* and *love* of the *infinitive* Mode, the *Sign, to*, being understood, though not expressed. (Ash, 1785:45).

indication that there was some discussion about «auxiliaryhood» at that time.

Furthermore, most of these grammarians were concerned to give a formal description of the different tenses and modes. In this way, it was the normal practice to identify moods and tenses with a formal marker. Bullions is a good example of this attitude:

**“The indicative mood** may be known by the sense, or **by its having no sign except in asking a question ... The potential mood** has **for its signs the auxiliaries *may, can, must, might, could, would* and *should* ... The subjunctive mood** has usually **for its signs the conjunctions *if, though, unless, except, whether* and *lest* ... The infinitive mood** has usually **for its signs the word *to* ... The imperative mood** may be distinguished **by its always being in the second person ... The present tense** has **for its sign the first form of the verb ... excepting the occasional use of *do***. The imperfect tense has no auxiliary for a sign, **except *did***, which is sometimes used ... The perfect tense has **for its sign the word *have* ... The pluperfect tense** has **for its sign *had* ... The first future** has **for its sign *shall* or *will* ... The second future** has **for its sign *shall have* or *will have*.”** (Bullions, 1846:73). (Our emphasis).

The recognition by many of the 18th and 19th century grammarians of a potential mode has also been considered as a sign of the Latin influence in English grammar.<sup>13</sup> However, in our opinion, the decision to include the potential mode is not necessarily a point which has to be related to Latin. The inclusion of modal verbs - which were the «signs» of the potential - in the English verb system may contribute to a better understanding of the way English expresses modality. We do not mean, of course, that we agree with the way they presented it. But that modal verbs constitute a grammatical system, which covers the semantic sphere of non-factuality, and which can be opposed to those other forms with no modal verb, and which express factuality. In this respect, we entirely

<sup>13</sup> Although most of the grammarians here studied accept the potential mode, there are some who reject it. Webster, for example, was not convinced that English verbs have a potential mode. In the Preface to his *Dissertation on the English language*, he disagrees with those who say there is such a mode.

agree with Alexander when he clearly establishes a distinction between verb phrases with modal verbs and verb phrases without them:<sup>14</sup>

“This mode [the potential], or form of the verb, does not, I think, in any case coincide with the indicative. It always has some respect to the power, will, &c. of the agent, by which, even when conditionality is out of the question, it is distinguished from the merely declarative form: «The one declares the action done, or to be done, without any further consideration; the other declares not the action done, or to be done, but the *ability, inability, &c.* of the agent to perform that action, and is therefore properly styled the *potential mode*». (Alexander, 1795:21).

Murray is of the same opinion as Alexander:

“Some grammarians have supposed that the Potential Mood, as distinguished above from the Subjunctive, coincides with the Indicative. But as the latter «simply indicates or declares a thing,» it is manifest that the former, which modifies the declaration, and introduces an idea materially distinct from it, must be considerably different. ‘I can walk,’ ‘I should walk,’ appear to be so essentially distinct from the simplicity of ‘I walk,’ ‘I walked,’ as to warrant a correspondent distinction of moods.” (Murray, 1824:71).

<sup>14</sup> Palmer, in contrast, clearly disagrees with this:

As the use of the term *modality* is intended to suggest, these do not correspond to any clear grammatical distinction. Indeed, some uses of the modal verbs, e.g. *can* to express ability (*He can run a mile in four minutes*) or *will* for willingness (*He won't do as I ask*), are not really expressions of modality at all. (Palmer, 1976:149)

The position of Quirk *et al.* is, as usual, ambiguous:

**Verb phrases introduced by modal auxiliaries are normally classified as indicative**, but it is worth pointing that not only semantically, but syntactically, they resemble imperatives and subjunctive. They lack person and number contrast and also (to some extent) tense contrast. (Quirk *et al.* 1985:150) (our emphasis).

This position is clearer than that of many modern grammarians whose treatment of modal verbs within the English system is ambiguous, because, despite classifying them as pure auxiliaries, they do not consider modal verbs within the category of mood.<sup>15</sup>

Just to finish we would like to say something about the subjunctive. As happens nowadays, the 18th and 19th century grammarians differed in opinion respecting the form and extent of the subjunctive mood. Some deny the existence of a subjunctive form altogether, and consider what is called the subjunctive as only an elliptical form of the future or potential. Ash is the best representative of this line of thought. These writers rightly assert that the verb shows no formal distinction from the indicative, and that a conjunction added to the verb gives it no title to become a distinct mood. However, most grammarians do not agree with this, and accept a subjunctive mood in which one can find a combination of proper subjunctive forms together with both indicative and potential forms.

The acceptance of a subjunctive mood cannot be disputed as long as there is some formal distinction. In this sense, we have to say that in the 18th century, the subjunctive was less questioned than in the 19th century. This can be easily explained if we take into account that formal distinctions were greater than in the 19th century or in present-day

<sup>15</sup> The position of Quirk *et al.*, for example, is quite obscure. On the one hand, it seems that for them modal verbs do not enter into the category of mood, as can be seen in this quotation:

Finite verb phrases have mood, which indicates the factual, nonfactual, or counterfactual status of the predication. In contrast to the 'unmarked' INDICATIVE, we distinguish the 'marked' moods IMPERATIVE (used to express commands and other directive speech acts), and SUBJUNCTIVE (used to express a wish, recommendation, etc.). (Quirk *et al.*, 1985:149)

Quirk *et al.* also, when studying the different meanings of modals, distinguish some special uses of *would* and *should*. In these uses «these modals have nothing to do with the cognate modals *will* and *shall*, but are instead used to mark the MOOD of the clause». (Quirk *et al.*, 1985:234 §4.64). It is therefore only in these special cases of *should* and *would* that they consider these modals as **Mood markers**.

But, on the other hand, Quirk *et al.* consider modal verbs when explaining the combinatory possibilities in the verb phrase in the following way:

There are four basic types of construction in a complex verb phrase:

Type A (MODAL): ... *must examine*  
 Type B (PERFECTIVE): ... *has examined*  
 Type C (PROGRESSIVE): ... *is examining*  
 Type D (PASSIVE): ... *is examined*

These four basic constructions also enter into combination with each other.

English.<sup>16</sup> And as Murray himself says we have to accept that «so much difference in the form of the verb, would warrant a correspondent distinction of mood, though the remaining parts of the subjunctive were, in all respects, similar to those of the indicative». But in the 19th century the normal position was closer to that of Greene. Greene gives for the subjunctive two different forms: one called the *subjunctive mode*, which is formally identical to the indicative, and another one which he also calls the *subjunctive mode* but qualified in parentheses with the label (*subjunctive form*). So most grammarians recognized that the subjunctive had only a distinct form in the present and past, but they accepted it for semantic reasons. For most of them meaning, and not form, was the most important distinguishing factor. It is meaning that makes Murray accept the possibility that the same form could be understood as indicative, subjunctive or potential:

“As the indicative mood is converted into the subjunctive, by the expression of a condition, motive, wish, supposition, &c. being superadded to it; so the potential mood may, in like manner, be turned into the subjunctive; as will be seen in the following examples: «If I could deceive him, I should abhor it,» «Though he *should* increase in wealth, he would not be charitable.»” (Murray, 1824:84).

As can be seen the situation is quite similar to the one we have nowadays, since we have grammarians who defend the subjunctive, whereas others reject it. The preserving of a subjunctive mood in present-day English that is not formally distinguished from the indicative represents, in our opinion, a much more Latinist attitude than the acceptance of a potential mood, marked by modal verbs. The position of the subjunctive in present-day English is quite marginal, and can only be explained as a remnant of the older inflectional system, whose place

<sup>16</sup> The formal variations normally found in 18th century conjugation tables can be summarized in the following way: present tense of the principal verbs [Ind. *I love, Thou lovest, he loveth, We/ye/they love* vs. Subj. *If I / thou / he / we/ye/they love*], present and imperfect tenses of the verb *to be* [*If I, thou, he, we, ye, they be; if I were, you wert, he were, we/ye/they were* vs. Ind *I was, Thou wast, He was, we/ye/they were*], and the second and the third of those forms which had a modal verb (*wilt, shalt*).

has clearly been taken by the only productive system which the English verb has to express the idea of non-factuality: modal verbs.<sup>17</sup>

Considering everything we have said, we think that it is not difficult to conclude firstly that 19th and 18th century grammars frequently took morphosyntactic criteria into account; secondly that although no one can deny some Latin influence, these grammars paid more attention to English structure than has normally been suggested, and finally that some of the descriptive problems 18th and 19th century grammarians had are still unsolved in many modern English grammars.

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# PERFIL SEMÁNTICO DEL ADJETIVO EN LAS ESTRUCTURAS CON ADJUNTO DEL SUJETO EN INGLÉS

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## **Resumen**

*Las construcciones con adjunto del sujeto en inglés presentan algunas facetas que escapan a las escasas descripciones disponibles sobre este tipo de estructuras.*

*Uno de estos aspectos inexplorados es la existencia de ciertas limitaciones léxico-semánticas en virtud de las cuales algunas oraciones con adjunto del sujeto no resultan aceptables a pesar de ser estructuralmente idénticas a otras que, en cambio, son perfectamente correctas. Nuestro objetivo consiste en identificar las propiedades semánticas que reúnen los adjetivos que tienen acceso a estas construcciones puesto que, aparentemente, no todos los adjetivos pueden desempeñar la función de adjunto del sujeto.*

## **Abstract**

*The so-called 'subject adjunct construction' in English exhibits a number of aspects barely dealt with in the few descriptions available.*

*One of these unexplored areas concerns certain lexico-semantic constraints affecting the acceptability of some of the above constructions despite their structural identity to other sentences which prove absolutely grammatical and acceptable. This article sets out to identify the semantic properties of the adjectives fulfilling this syntactic function, since not every adjective seems to get unlimited access to the subject adjunct function.*

## 1. Introducción

Este trabajo persigue un acercamiento a los rasgos semánticos de los adjetivos ingleses que forman parte de las llamadas «estructuras con adjunto del sujeto»<sup>1</sup>.

En particular, se trata de avanzar ideas que ayuden a explicar qué tipo semántico de adjetivo se construye con un verbo en tales estructuras, puesto que, como apuntan Matthews (1980) y Luján (1980), no todos los adjetivos tienen acceso a este tipo de función.

Así, la estructura gramatical en cuestión, que resulta muy simple y permite construir ejemplos tan naturales como *He arrived sober* o *He left satisfied*, no admite cualquier tipo de adjetivo pues, como observa el propio Matthews (1980: 48), las secuencias *They stood noisy* o *They stood peaceful* no parecen aceptables, aun cuando comparten el mismo patrón sintáctico que los dos primeros ejemplos.

Dentro del limitado número de descripciones de estas estructuras en inglés, y excepto en alguna referencia ocasional<sup>2</sup>, no nos consta la existencia de estudios que se ocupen de este problema de naturaleza esencialmente léxico-semántica, por lo que nuestra descripción representa una primera aproximación a este campo.

Teniendo en cuenta la limitada productividad de la estructura de la que venimos hablando, la obtención de material lingüístico que sirva de base al estudio constituye un obstáculo considerable. No se nos oculta

<sup>1</sup> Este tipo de construcción aparece en diversas descripciones del inglés sin una denominación en particular (Long, 1961: 264-265; Smith, 1978: 365-366; Brown & Miller, 1980: 351-352; Huddleston, 1984: 190; Quirk et alii, 1985: 1126; Roper, 1987: 297) o con denominaciones diferentes: estructuras con «predicative adnominal adjuncts» referidos al Sujeto (Poutsma, 1904-16, vol. I: 222), con «quasi-predicatives» (Jespersen, 1909-49, vol. III: 358 et passim), con «subject-modifying temporally restrictive adjectives» (Dowty, 1972: 58), estructuras circunstanciales («circumstantial») (Matthews, 1980: 44), o con «subject adjuncts» (Allerton, 1982: 85-86) y, para las construcciones correspondientes en español, como estructuras con «adjetivos adverbiales» (Luján, 1980: 152 et passim) o «adverbios adjetivales» (Hue Fanost, 1987: 29-31). Remitimos al lector a la segunda sección de este trabajo para una definición y breve exposición de las propiedades de estas estructuras.

<sup>2</sup> La única aportación en este sentido es obra de Luján (1980: 156), quien alude a esta limitación de forma muy breve en una nota a pie de página: «Los adjetivos que denotan propiedades físicas, como color, tamaño y forma, no se prestan con facilidad a ser usados adverbialmente.»

que este tipo de empresa exige, en primer lugar, el análisis de la sintaxis y la semántica de un volumen muy importante de adjetivos ingleses.

Para hacer posible este primer acercamiento a un área que aventuramos muy intrincada, decidimos utilizar un corpus informatizado cuyas dimensiones fueran manejables pero representativas y, dentro de él, seleccionar un número de lexemas adjetivales igualmente asequible pero significativo.

El corpus empleado para tal fin ha sido el *Lancaster-Oslo/Bergen Tagged Corpus of Modern English* (LOB), una base de datos léxica que reúne los requisitos anteriores y que recoge fielmente las características de la variedad británica del inglés contemporáneo.

El proceso de selección de los adjetivos objeto de estudio consistió en una primera búsqueda de cualquier unidad marcada con los códigos *jj*, *jjr*, *jjt* o *jib*, que equivalen respectivamente a las unidades convencionalmente descritas como adjetivos, adjetivos en grado comparativo, superlativo, o unidades (adjetivos, adverbios, nombres y frases) en posición atributiva.

Dadas las dimensiones del LOB (1.211.793 unidades léxicas), nos pareció tarea imposible trabajar con todas y cada una de las unidades marcadas con dichos códigos. Por ello, decidimos recoger para nuestra lista aquellas unidades que contaran con 20 ó más ejemplos, obteniendo de esta manera una relación de unidades adjetivales relevantes para nuestros objetivos tanto por su frecuencia de uso, como por la variedad mínima de ejemplos acreditada en el corpus.

Seleccionamos así un total de 671 unidades, que aparecen relacionadas en el apéndice 1, con indicación del número de ejemplos acreditados para cada una en el LOB. El estudio de todos los ejemplos de cada una de las unidades léxicas anteriores mostró que sólo 47 adjetivos acreditan la función de adjunto del sujeto en los ejemplos ofrecidos por el LOB (véase apéndice 2, en el que también se indica el número de usos de adjunto del sujeto con que cuenta cada unidad sobre el número total de sus ejemplos). Es este último grupo de unidades el que ha sido objeto de atención en este estudio.

## 2. Fundamentos teóricos

### 2.1. La estructura con Adjunto del Sujeto: definición y rasgos básicos

Este tipo de estructura oracional se compone de un sujeto, un verbo habitualmente intransitivo y una frase adjetival (el llamado «adjunto del sujeto»), siendo éste último un elemento opcional, no impuesto por la valencia verbal y, por ello, no relevante para la subcategorización sintáctica del predicado.

*The two men met **alone** in the Prime Minister's study at Admiralty House.* (A:Press:reportage A28:114).

No es extraño, sin embargo, encontrar este elemento oracional construido con otros tipos sintácticos de verbos, por ejemplo, copulativos o monotransitivos:

*Mary wasn't handsome when she was awake, and **asleep** she looked ghastly.* (N:Adventure,western N10:74).

*I had to bear it **alone** - and it is only now, thinking on it all, that I understand how the leper must feel.* (N:Adventure,western N26:60).

Como puede observarse en los anteriores ejemplos, esta construcción no queda descrita por completo a través de los patrones sintácticos propuestos por Quirk et alii (1985: cap. 10) para la oración inglesa. Ello se debe a que esta estructura es el resultado de un proceso de reducción sintáctica de una oración subordinada de carácter adverbial compuesta por sujeto, verbo copulativo y frase adjetival, e hipotácticamente unida a un predicado principal. De acuerdo con la descripción de Luján (1980: 160 et passim), el sujeto y el verbo copulativo desaparecen de la estructura superficial («equi-NP deletion» y «copula deletion»), de manera que la frase adjetival pasa a mantener una relación de dependencia directa con respecto al verbo principal. La peculiaridad de este adjunto estriba en que ejerce dos funciones sintácticas distintas en dos niveles oracionales diferentes: complemento del sujeto con respecto al verbo copulativo implícito, y adverbial en relación con el predicado principal. Se trata, por tanto, de un elemento que es no sólo complemento predicativo del suje-

to, sino que expresa también diversos valores adverbiales de tiempo, modo, causa, etc.

## 2.2. Algunas claves semánticas en las estructuras con Adjunto del Sujeto

Siendo nuestro propósito la identificación semántica de los adjetivos adjunto del sujeto, se hace necesario sentar las bases de esta descripción mediante la consideración de diversas clasificaciones semánticas de adjetivos ya existentes. Igualmente, nos ocuparemos de algunos aspectos de la semántica de los verbos que forman parte de estas construcciones, ya que puede intuirse una cierta correlación entre ciertas propiedades del significado de los adjetivos y los predicados de los que dependen.

### 2.2.1. La semántica del adjetivo

En primer lugar, nos referiremos a varias clasificaciones semánticas de los adjetivos ingleses. Algunas de ellas contienen distinciones que, aun siendo muy precisas, no resultan relevantes para la identificación de la semántica de nuestros adjetivos<sup>3</sup>, mientras que otras se muestran demasiado generales<sup>4</sup>.

Otras referencias, en cambio, sí se muestran eficaces para describir la semántica de los adjetivos con esta función. Una de ellas, Bolinger (1967: 9), permite establecer la oposición entre adjetivos que aluden a una cualidad de carácter *transitorio* frente a otros que denotan una propiedad *permanente*. Esta distinción, también asumida por Quirk et alii (1985: 419, 1242), no se fundamenta en unos criterios completamente objetivos que permitan establecer la «transitoriedad» o «permanencia» de un adjetivo y está por tanto sujeta a cierta variación según el hablante, aunque en la mayoría de los casos ambas propiedades se manifiestan de forma clara:

<sup>3</sup> Por ejemplo, «gradable» frente a «non-gradable» o «inherent» frente a «non-inherent» (Quirk et alii, 1985: 435).

<sup>4</sup> Por ejemplo, «qualitative» frente a «descriptive» en Long (1961: 42-43); «limiting» frente a «descriptive» en Bloomfield (1984: 202) y también en Schibsbye (1973: 121-122), aunque en este último caso con una interpretación distinta de estas categorías.

*When the news of the Irish rebellion came he sat **silent and alone**.*  
(G:Belle lettres,biog G25:54).

*I had been assured several times that half-a-dozen Russians are  
whirling **dead** through space.* (A:Press:reportage A26:26).

Una segunda oposición muy relevante para la identificación de nuestros adjetivos es la propuesta por Ross y Lakoff (1967), quienes distinguen entre adjetivos *estativos* y *activos*, éstos últimos normalmente denominados *dinámicos* (Quirk et alii, 1972: 93-94; Kjellmer, 1984: 8 et passim). Los primeros son adjetivos que demuestran no estar sujetos a control por parte del referente del grupo nominal al que se refieren:

*When he got back to the parking lot on foot, her fancy Volkswagen  
was standing there **empty**.* (N:Adventure,western N15:61).

Los segundos, en cambio, sí están sujetos a control:

*But afterwards when I was lying **quiet**, with my head on her  
shoulder, I did not feel as I had felt before.* (N:Adventure,western N13:108).

El carácter estativo o dinámico queda de manifiesto a través de diversos criterios considerados por los autores anteriores para establecer tal distinción.<sup>5</sup>

La última de las clasificaciones semánticas de la categoría adjetivo que vamos a considerar para nuestro estudio parte de la descripción que Quirk et alii (1985: 1224) hacen de los adjetivos *emotivos* y *volitivos*<sup>6</sup>. Los primeros expresan distintos tipos de sentimientos o emociones, mien-

<sup>5</sup> Se trata de los llamados «imperative test», «do test», «remind test» (Ross y Lakoff, 1967), «progressive test» (Givón, 1970: 831) y «manner adverb requiring an animate subject», «for ... sake construction» (Quirk et alii, 1972: 94). Obsérvese que la mayoría de estos criterios sirven para comprobar la existencia del rasgo [±control] en el referente del grupo nominal al que alude el adjetivo. La única excepción es el criterio propuesto por Givón: si el adjetivo admite la forma progresiva, éste comportará el rasgo semántico [+ transitorio]; de lo contrario, su valor será [+ permanente]. Nuestros datos nos permiten confirmar la correspondencia [+ dinámico] y [+ transitorio]: todos los adjetivos dinámicos indican cualidades transitorias. Sin embargo, estos mismos datos cuestionan la correspondencia entre los valores [+ estativo] y [+ permanente] en los adjetivos. Más concretamente, todos los adjetivos estativos de nuestro corpus con una sola excepción («dead»), expresan cualidades transitorias.

<sup>6</sup> Los adjetivos «factuales», descritos por Quirk et alii (1985: 1224) como aquellos que están relacionados con la expresión de certeza o probabilidad, han resultado ser irrelevantes en la descripción de las unidades de nuestro corpus; por tal razón no consideraremos esta categoría.

tras que los segundos denotan conceptos relativos a voluntad, determinación o decisión:

*Glad to make his escape Lofty scuttled off down the close, grateful that the other was in such a mellow mood.* (L:Mystery,detective L10:39).

*Within six days of receiving acceptance of his application, Mr. Amla flew over to Blackpool and suddenly appeared at the school **ready** to start the course.* (E:Skills,hobbies E31:91).

A estas dos categorías hemos añadido las tres siguientes: adjetivos que expresan *propiedades físicas y/o mentales* del sustantivo al cual califican, adjetivos *evaluativos* (aportan una valoración subjetiva por parte del hablante), y adjetivos que aluden al *comportamiento, actitud o conducta* del referente del nombre que describen. Estos tipos de adjetivos quedan ejemplificados en las siguientes oraciones:

*The last of the enemy were dragged out by the hair, more **dead** than **alive**, put into chains, and divided up amongst their captors with the rest.* (F:Popular lore F25:59).

*His mother **mad** with rage stabs the girl in her sleep, whereupon she returns a nymph in heaven.* (G:Belle lettres,biog G40:23).

*But this kind of return was what she could never have foreseen... that he should come back not voluble but silent, not **beautiful** but defaced, not in obloquy but with his praises ringing!* (G:Belle lettres,biog G07:23).

*She would not lie relaxed and **peaceful**, as though she were resting, but iron hard, as though she were still fighting.* (K:General fiction K17:9).

### 2.2.2. Estatividad, dinamismo y agentividad en el verbo

Siendo nuestro propósito ofrecer claves que expliquen la presencia de ciertos adjetivos en las estructuras con adjunto del sujeto, junto a la necesaria referencia a las clases semánticas de los adjetivos, creemos

conveniente no ignorar ciertos rasgos semánticos del predicado del que éstos dependen.

En particular, tratamos de confirmar o rechazar nuestra hipótesis de que las características semánticas de un adjetivo guardan estrecha relación con las del verbo que les acompaña en estas estructuras. Son Ross y Lakoff (1967: 15) quienes nos inducen a pensar así, cuando afirman que existe «[...] strong evidence for the assertion that what traditional grammarians called adjectives and verbs are really members of the same major grammatical category [...]». Como veremos más adelante, tal hipótesis ha sido contrastada en relación con las clases semánticas *estativo* y *dinámico* tanto en el adjetivo como en el verbo.

A este fin, hemos clasificado los verbos que aparecen en estas construcciones en tres grupos: *estativos*, *dinámicos agentivos* y *dinámicos no agentivos*. Como es conocido, esta clasificación de Quirk et alii (1985: 200-201) establece que son verbos *estativos* aquellos que no aceptan normalmente la forma progresiva<sup>7</sup>:

*Entering the living-room, Joan put forward the first excuse she could think of to ensure that her brother might have his coveted few minutes alone with the girl he loved. (P:Romance,love story P14:88).*

Los verbos *dinámicos*, por el contrario, aceptan libremente la forma progresiva y pueden regir un sujeto tanto agentivo como no agentivo<sup>8</sup>:

*He had then sown her up with a needle, and, after a time she had come back to him cured and able to bear more children. (K:General fiction K29:21).*

<sup>7</sup> O que ven alterado su significado cuando admiten la forma progresiva, como en los siguientes ejemplos tomados de Quirk et alii (1985: 202): «The neighbours are friendly» frente a «The neighbours are being friendly». Como podemos ver, la forma progresiva en la segunda oración sugiere un comportamiento transitorio e intencionado.

<sup>8</sup> Estas dos clases de verbos constituyen una síntesis de varias subclases de verbos; así, Quirk et alii (1985: 201) proponen dentro de los verbos *dinámicos agentivos* «activities», «accomplishments», «momentary acts» y «transitional acts», mientras que los *dinámicos no agentivos* comprenden «goings-on», «processes», «momentary events» y «transitional events». Estas distinciones más precisas no son aplicadas a nuestro trabajo.

*But the windows of the blacksmith's cottage on that cold September night **glowed** warm and welcoming.* (N:Adventure, western N28:12).

### 3. Perfil semántico del adjetivo en las estructuras con Adjunto del Sujeto

Las categorías mencionadas a lo largo de las secciones anteriores nos sirven de fundamento para afrontar el análisis del corpus objeto de estudio e identificar las características semánticas que poseen los adjetivos que funcionan como adjunto del sujeto.<sup>9</sup>

En la medida en que estos adjetivos expresan una circunstancia bajo la cual tiene lugar la acción del predicado principal (véase sección 2.1.), cabe suponer a priori que el valor transitorio debe estar presente en el significado de los adjetivos que realizan esta función sintáctica. La transitoriedad de estos adjetivos queda claramente de manifiesto en ejemplos como los siguientes:

*I came **fresh** from two years of research, spent among the high stone pillars and solemnly dedicated atmosphere of the British Museum.* (K:General fiction K26:7).

*He drove down the lighted streets, his passage controlled by traffic lights that blinked **green** and red in their proper intervals.* (M:Science fiction M01:66).

Nuestro estudio nos ha permitido confirmar sobradamente estas expectativas, dado que, del volumen total de adjetivos adjunto del sujeto (47), todos excepto uno expresan cualidades transitorias<sup>10</sup>.

<sup>9</sup> En el análisis conducente a la obtención de unos rasgos semánticos particulares de estos adjetivos, se han tenido en cuenta, lógicamente, los diferentes usos que cada lexema adjetival acredita en nuestro corpus, de modo que en ningún caso se han analizado los adjetivos fuera de contexto como unidades semánticas abstractas. No obstante, hemos podido constatar que todos los usos de una unidad adjetival concreta suelen mostrar un comportamiento semántico coincidente. En las raras ocasiones en que esto no ocurre así, los datos numéricos relativos al comportamiento de los adjetivos superará el número global de adjetivos estudiados (47). Por ejemplo, «straight» presenta usos tanto estativos como dinámicos:

*Trees are few and far between, and the river runs artificially **straight** or nearly so for many a mile.* (G:Belle lettres, biog G17:55).

*He stood rigid and **straight**.* (P:Romance, love story P01:28-29).

<sup>10</sup> Sólo «dead» tiene una referencia permanente, por ejemplo en la siguiente oración:

*He succeeded in reaching the far side only to fall **dead** as he struggled from the water, his head and shoulders pierced, so Garcilaso declares, by more than fifty arrows.* (F:Popular lore F25:43).

Igualmente, parece lógico aventurar que los adjetivos adjunto del sujeto van a tener el rasgo dinámico en oposición a estativo, en la medida en que el primero de estos valores admite las formas de progresivo, las cuales están a su vez normalmente asociadas con la expresión de transitoriedad:

*But this kind of return was what she could never have foreseen... that he should come back not voluble but **silent**.* (G:Belle lettres,biog G07:23).

Sin embargo, nuestros datos revelan que, del volumen de adjetivos estudiados, 32 son estativos y 17 dinámicos. Ello es debido a que el carácter dinámico de un adjetivo no sólo se establece en términos de la distinción transitorio / permanente, sino también en función de la presencia del rasgo [+ control]; los adjetivos que muestran el rasgo [- control] serán entonces estativos.

En términos de la tercera y última de las clasificaciones semánticas manejadas (adjetivos emotivos, volitivos, evaluativos, y aquellos que expresan comportamiento o propiedad física/mental), el material lingüístico examinado nos permite concluir que el adjetivo adjunto del sujeto expresa una propiedad física o mental en la mayoría de las ocasiones (22 casos); suele también indicar, aunque en menor medida, evaluación (12 casos) y comportamiento (9 casos). Los adjetivos emotivos y volitivos, sin embargo, han resultado ser poco significativos dentro del volumen de ejemplos estudiados (3 y 1, respectivamente). Cada uno de estos tipos aparece ilustrado en los siguientes ejemplos:

*The news editor was cleaning his pipe; pushing the white cleaner in one end and waiting for it to come out **brown** at the other.* (N:Adventure,western N12:43).

*Her aim was that we should not have peculiar views and that we should grow up mildly **orthodox**, so that at a later age we could discard as much or as little of conventional religion as might suit us.* (G:Belle lettres,biog G21:4).

*Hal did not cry, but the rims of his eyes became red as though he had, and he sat quite **still** for the rest of the morning.* (P:Romance,love story P18:18).

*Twenty-year-old Carola, the beauty of the family, returned home **delighted** because she had been appointed house model of the store where she worked. (P:Romance,love story P27:12).*

*Cochran, who checked every bit of material used in his shows (like Bernard Delfont now), was always there to appeal to, and was always watching from the background **ready** to step tactfully in to prevent trouble. (G:Belle lettres,biog G43:16).*

Otra de las áreas objeto de atención concierne a la relación que mantienen los adjetivos, considerados en su condición de estativos o dinámicos, y los verbos que les acompañan. Como tuvimos ocasión de apuntar más arriba, nos interesa investigar en qué medida tales clases semánticas de adjetivos se combinan con verbos estativos y dinámicos respectivamente, puesto que la clase semántica verbal tal vez influya en la selección de un determinado tipo semántico de adjetivo. En otras palabras, se trata de comprobar si los verbos estativos exigen la presencia de adjetivos estativos y si los verbos dinámicos requieren adjetivos dinámicos.

De acuerdo con los datos obtenidos tras la consulta del corpus, los verbos estativos se combinan con adjetivos estativos en el 68,8 % de las ocasiones, mientras que los verbos dinámicos se combinan con adjetivos estativos en un 61,4 % de los ejemplos. Ello nos permite deducir que no existe una correspondencia directa entre el carácter del verbo y el del adjetivo dependiente de éste. Las siguientes oraciones ilustran las combinaciones mencionadas:

*Some may be born wrong, as we are. Some may be born **right**. (M:Science fiction M06:58-59).*

*You wouldn't have to catch this darn train each day, getting home too **tired** to do anything. (N:Adventure,western N17:26).*

Aunque el volumen de ejemplos examinado no permite avanzar conclusiones definitivas al respecto, el predominio de adjetivos estativos con uno y otro tipo de verbos puede ser tan sólo una consecuencia de la preponderancia de los adjetivos estativos en esta función sintáctica.

La distinción agentivo/no agentivo en el grupo de verbos dinámicos permite precisar más estos datos. Los verbos estativos y los dinámicos no agentivos tienden a combinarse con adjetivos estativos (69,3 %), an-

tes que con adjetivos dinámicos (30,8 %), lo cual es lógico pues ambas clases de verbos y los adjetivos estativos comparten el rasgo [- control]. En cambio, los verbos dinámicos agentivos van acompañados casi al 50 % de adjetivos dinámicos y de adjetivos estativos. La primera de estas combinaciones era previsible, pues adjetivo y verbo comparten el valor [+ control]. La segunda, por el contrario, no es fácil de explicar.

Vista desde la perspectiva del adjetivo, la relación adjetivo - verbo también confirma la falta de vinculación entre el carácter semántico de estos dos elementos oracionales. Los adjetivos estativos se construyen con verbos dinámicos en un 67,5 % de las ocasiones, si bien es cierto que los adjetivos dinámicos acompañan a verbos dinámicos en un 77,3 % de los ejemplos. Si afrontamos esta misma cuestión considerando el rasgo [ $\pm$  agentivo] en el verbo dinámico, podemos apreciar que los adjetivos estativos se combinan con los tres tipos de verbos considerados<sup>11</sup>, aunque la construcción más característica está compuesta por un adjetivo estativo y un verbo dinámico no agentivo; tal combinación es lógica, dado que este tipo de adjetivo comporta el rasgo [- control] en el referente del grupo nominal al que califica (precisamente el grupo nominal sujeto de esta clase de verbos) y, por tanto, tiende a combinarse con verbos que implican dicho rasgo. Los siguientes ejemplos ilustran distintos adjetivos estativos contruidos respectivamente con las tres clases de verbos mencionados:

*The hills to the south, and Ben Wyvis to the west, stood **clear** and near.* (N:Adventure,western N24:78).

*'You never meant me to get out of here **alive**... Webster... and the boat, they were a pack of lies... Mark was right.'* (P:Romance,love story P24:83).

*Durieux spilled some of the coffee down the front of his uniform; it mingled with the stains of his blood, now drying out **brown**, and merged well with the dapple-camouflage pattern.* (N:Adventure,western N23:178).

<sup>11</sup> Con verbos estativos en 11 ejemplos, con verbos dinámicos agentivos en 11 ejemplos, y con verbos dinámicos no agentivos en 16 ejemplos.

Por su parte, los adjetivos dinámicos también se construyen indistintamente con las tres clases semánticas de predicados<sup>12</sup>, aunque de nuevo podemos comprobar su tendencia a combinarse con verbos dinámicos agentivos. El rasgo [+ control] en uno y otro tipo de predicado explica este hecho. Estas combinaciones quedan de manifiesto en los siguientes ejemplos:

*She would not lie relaxed and **peaceful**, as though she were resting, but iron hard, as though she were still fighting.* (K:General fiction K17:9).

*Jones goes **alone**, secure in the knowledge that wherever he goes, his arrival will not go unannounced or his stay unnoticed.* (R:Humor R01:15).

*I am happy to report that I saw something this week I have never before witnessed, either in pictures or outside - a budgerigar playing a drunk scene, and playing it with perfect timing and technique. It gives one loud, clear hiccup and falls **flat** on its back.* (C:Press:reviews C06:75-76).

El rasgo [+ control] es precisamente una clave muy importante para abordar el objeto de estudio desde una perspectiva diferente. En nuestro acercamiento a las construcciones oracionales con adjunto del sujeto, hemos constatado que existe una estrecha relación entre el valor *dinámico* del adjetivo y el carácter *animado* del grupo nominal sujeto: mientras que los adjetivos estativos se refieren a sujetos tanto animados como no animados en iguales proporciones, los adjetivos dinámicos exigen en el cien por cien de los casos la presencia de un sujeto animado. Estas correspondencias quedan ilustradas por medio de las siguientes oraciones:

*I didn't want Violet to marry so **young**, but when youngsters make up their minds you can't stop them.* (F:Popular lore F14:84).

*His **tie** was flapping loose now; his hat was gone and his shoes were dusty.* (N:Adventure,western N15:2).

<sup>12</sup> Con verbos estativos en 5 ejemplos, con verbos dinámicos agentivos en 10 ejemplos, y con verbos dinámicos no agentivos en 7 ejemplos.

*Vera walked down the street more **confident** than ever.*  
(L:Mystery,detective L22:189).

Esta tendencia refleja el hecho de que los adjetivos dinámicos, por su rasgo [+ control], precisan un sujeto animado. En cambio, los adjetivos estativos, que no implican el rasgo [+ control], son neutrales ante la presencia o no del rasgo [+ animado] en el sujeto. Comprobamos que cuando el sujeto es animado, el control potencial que éste puede realizar queda anulado ante la combinación con un adjetivo estativo:

*[...] an oddly assorted gathering of people, most of whom would have been found, in the middle ages, in purgatory, because they had died suddenly and unshriven - the burnt, the drowned, women **who had died mad** in labour, soldiers killed in battle [...].*  
(J:Learned,scientific J62:39).

#### 4. Conclusiones

A la luz de las diversas perspectivas desde las cuales hemos clasificado al adjetivo, y de acuerdo con los resultados expuestos a lo largo de la sección anterior, es posible definir un perfil semántico característico de los adjetivos adjunto del sujeto en inglés. Se trata habitualmente de adjetivos de carácter transitorio, estativo y que expresan una propiedad física y/o mental o bien una evaluación (por ejemplo, «able», «dry», «full», «hot», «mad», «tired», «beautiful», «clear», «funny», «old-fashioned» o «perfect»). A continuación, en orden de frecuencia, es también digna de mención la combinación de los valores transitorio, dinámico y comportamiento (por ejemplo, en los adjetivos «easy», «firm», «free», «peaceful», «quiet» o «silent»).

La presencia de estas propiedades semánticas en el adjetivo resulta, desde nuestro punto de vista, harto significativa, dado que las dos terceras partes del volumen total de unidades léxicas consideradas muestran este perfil. La combinación del rasgo [+ estativo] con la expresión de propiedad física y/o mental o evaluación es fácilmente explicable, ya que estos dos últimos valores normalmente no están sujetos a control por parte del referente del sujeto, lo cual permite la asociación con el carácter estativo. En cambio, los adjetivos que expresan comportamien-

to aparecen asociados mayoritariamente con el valor [+ dinámico], puesto que en tal caso sí se trata de cualidades o estados sujetos a control.

Si analizamos por separado los rasgos semánticos anteriormente mencionados, cabe subrayar que el carácter transitorio forma parte esencial de los adjetivos que realizan esta función sintáctica, dado que está presente en la práctica totalidad de las unidades estudiadas. Igualmente significativo, aunque en menor proporción (dos terceras partes), es el carácter estativo. Por último, estos adjetivos tienden a expresar propiedad física y/o mental, evaluación o comportamiento.

Esta última caracterización semántica contradice parcialmente la intuición de Luján (1980: 156) recogida en la nota 2 de este artículo, pues queda demostrado que los adjetivos que expresan propiedades físicas sí pueden tener acceso a esta función siempre que se trate de cualidades transitorias. La hipótesis manejada por dicha autora no carece de razón, sin embargo, ya que color, tamaño y forma, en tanto que propiedades físicas, tienen a menudo un carácter permanente, difícilmente compatible (como hemos visto) con esta función sintáctica. Lo que no advierte Luján es que determinadas propiedades físicas están sujetas a cambio, esto es, son transitorias y, por tanto, pueden expresar una circunstancia bajo la cual tiene lugar una acción verbal (recuérdese que esta propiedad es consustancial con la naturaleza del adjunto del sujeto: véase sección 2.1.). Así puede apreciarse en los siguientes ejemplos:

*One summer evening after an operation, something happened, the bed was soaked in blood and the wounded man lay there still and **white**, whilst the sisters got tourniquets and dressings and I ran to the other side of the golf course for Matron as the sun was setting.* (G:Belle lettres,biog G25:57).

*His lips laughed and the rashness in him glowed **hot** again and he seemed to grow taller in the moonlight.* (N:Adventure,western N20:105).

En definitiva, lo que nuestros datos vienen a mostrar es que el adjetivo adjunto del sujeto, por su estrecha relación sintáctico-semántica con el grupo nominal sujeto de la oración, denota diversas cualidades

del referente de dicho sustantivo, ya se trate de propiedades físicas, mentales, emotivas o volitivas. Igualmente, el hablante puede introducir su propio punto de vista en el acto de habla mediante la inclusión de adjetivos que evalúan al referente del grupo nominal sujeto o que describen su comportamiento.

Aunque, como ya quedó explicado, los valores emotivo y volitivo resultan poco productivos en nuestro corpus, parece evidente que los adjetivos con tales rasgos son candidatos potenciales a esta función sintáctica, especialmente si los comparamos con otros tipos de adjetivos, como los *factuales* (por ejemplo, «likely», «possible» o «probable») o los que indican *pertenencia a una categoría establecida* (por ejemplo, «atomic», «chemical» o «financiamiento»), comúnmente llamados *denominales* desde el punto de vista morfológico, y cuyo acceso a este tipo de construcciones parece, en principio, muy poco probable. Huelga decir que estas estimaciones deberán ser contrastadas y verificadas, en su caso, en otro trabajo posterior donde se valoren los datos relativos a los 624 adjetivos seleccionados que no muestran uso de adjunto del sujeto en el LOB. Como es lógico, en esa nueva fase de la investigación, ahora iniciada, se tendrá en cuenta también la información aportada por otras bases de datos informatizadas que enriquezcan nuestro corpus de ejemplos.

Por lo que respecta a la posible relación semántica entre el verbo y el adjetivo adjunto del sujeto atendiendo a la distinción estativo / dinámico, nuestro estudio ha puesto de manifiesto que no existe una influencia mutua significativa entre ambos. En otras palabras, la presencia o no del valor estativo o dinámico en una de estas unidades no comporta necesariamente la existencia de ese mismo rasgo en el otro elemento. No obstante, se han constatado suficientemente tres tendencias distintas: la combinación de verbos dinámicos y adjetivos estativos, de verbos y adjetivos estativos y, por último, de verbos y adjetivos dinámicos. En consecuencia, no parece que exista una combinación prototípica estativo / dinámico en los verbos y adjetivos de las construcciones con adjunto del sujeto.

Éstos son los principales hallazgos de nuestro estudio. El perfil semántico que ha quedado trazado a lo largo de esta sección no despeja por sí solo todos los interrogantes posibles en torno a la composición de

estas estructuras ya que, por ejemplo, deja sin respuesta por qué, como apuntaba Matthews, estas construcciones no admiten determinados adjetivos o, tal vez, ciertas combinaciones de verbos y adjetivos. A pesar de ello, los resultados obtenidos sí representan un valioso primer paso en esta dirección, en la medida en que la descripción de estas construcciones requiere no sólo la identificación de las causas por las que ciertos ejemplos no son posibles sino también la previa interpretación lingüística de aquellos ejemplos que sí lo son.

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**Apéndice 1. Relación de unidades léxicas estudiadas (671 unidades), con indicación del número total de ejemplos LOB**

able	[ 307 ]	alive	[ 52 ]	bad	[ 154 ]
above	[ 34 ]	alone	[ 138 ]	bare	[ 24 ]
absent	[ 22 ]	alternative	[ 20 ]	basic	[ 81 ]
absolute	[ 32 ]	ancient	[ 68 ]	beautiful	[ 85 ]
abstract	[ 28 ]	angry	[ 42 ]	best	[ 312 ]
academic	[ 38 ]	annual	[ 95 ]	better	[ 240 ]
acceptable	[ 32 ]	anxious	[ 55 ]	big	[ 183 ]
accepted	[ 20 ]	apparent	[ 92 ]	bigger	[ 28 ]
accurate	[ 22 ]	appropriate	[ 78 ]	biggest	[ 32 ]
active	[ 54 ]	apt	[ 23 ]	bitter	[ 37 ]
actual	[ 92 ]	arbitrary	[ 24 ]	black	[ 144 ]
acute	[ 21 ]	artificial	[ 20 ]	blind	[ 25 ]
additional	[ 69 ]	artistic	[ 20 ]	blue	[ 83 ]
adequate	[ 44 ]	asleep	[ 25 ]	bodily	[ 22 ]
administrative	[ 42 ]	associated	[ 22 ]	brief	[ 51 ]
admirable	[ 20 ]	atomic	[ 33 ]	bright	[ 73 ]
adult	[ 24 ]	attractive	[ 60 ]	brilliant	[ 47 ]
advanced	[ 23 ]	automatic	[ 21 ]	broad	[ 37 ]
aesthetic	[ 43 ]	available	[ 164 ]	broken	[ 32 ]
afraid	[ 85 ]	average	[ 79 ]	brown	[ 61 ]
aged	[ 42 ]	aware	[ 83 ]	busy	[ 52 ]
agricultural	[ 36 ]				
alien	[ 23 ]	back	[ 47 ]	calm	[ 21 ]

capable	[ 49 ]	commercial	[ 68 ]	corresponding	[ 33 ]
careful	[ 68 ]	common	[ 259 ]	crazy	[ 22 ]
casual	[ 21 ]	communist	[ 49 ]	criminal	[ 31 ]
catholic	[ 38 ]	comparable	[ 31 ]	critical	[ 43 ]
central	[ 115 ]	comparative	[ 22 ]	cross	[ 27 ]
certain	[ 332 ]	complete	[ 156 ]	curious	[ 48 ]
characteristic	[ 27 ]	complex	[ 47 ]	current	[ 67 ]
charming	[ 32 ]	complicated	[ 29 ]		
cheap	[ 38 ]	comprehensive	[ 30 ]	daily	[ 66 ]
chemical	[ 38 ]	compulsory	[ 31 ]	dangerous	[ 74 ]
chief	[ 66 ]	concerned	[ 25 ]	dark	[ 114 ]
circular	[ 23 ]	confident	[ 21 ]	dead	[ 137 ]
civil	[ 95 ]	conscious	[ 47 ]	dear	[ 34 ]
classical	[ 57 ]	conservative	[ 57 ]	deep	[ 111 ]
clean	[ 48 ]	considerable	[ 147 ]	deeper	[ 20 ]
clear	[ 188 ]	consistent	[ 25 ]	definite	[ 40 ]
clerical	[ 27 ]	constant	[ 67 ]	delicate	[ 31 ]
clever	[ 26 ]	constitutional	[ 30 ]	delighted	[ 24 ]
close	[ 74 ]	contemporary	[ 39 ]	delightful	[ 31 ]
closed	[ 25 ]	content	[ 30 ]	democratic	[ 52 ]
co-operative	[ 21 ]	continental	[ 26 ]	dental	[ 23 ]
cold	[ 129 ]	continuous	[ 31 ]	dependent	[ 44 ]
collective	[ 21 ]	convenient	[ 20 ]	desirable	[ 28 ]
colonial	[ 24 ]	conventional	[ 38 ]	desperate	[ 29 ]
coloured	[ 34 ]	cool	[ 46 ]	detailed	[ 50 ]
comfortable	[ 36 ]	correct	[ 71 ]	determined	[ 47 ]

different	[ 366 ]	effective	[ 107 ]	experimental	[ 45 ]
difficult	[ 221 ]	efficient	[ 42 ]	expert	[ 20 ]
direct	[ 72 ]	elaborate	[ 20 ]	extended	[ 24 ]
dirty	[ 25 ]	elastic	[ 20 ]	extensive	[ 37 ]
distant	[ 37 ]	elderly	[ 21 ]	external	[ 45 ]
distinct	[ 24 ]	electric	[ 34 ]	extra	[ 68 ]
distinguished	[ 23 ]	electrical	[ 49 ]	extraordinary	[ 27 ]
divine	[ 35 ]	emotional	[ 22 ]	extreme	[ 31 ]
domestic	[ 51 ]	empty	[ 65 ]		
dominant	[ 25 ]	encouraging	[ 22 ]	faint	[ 23 ]
double	[ 62 ]	endless	[ 20 ]	fair	[ 99 ]
doubtful	[ 27 ]	enormous	[ 37 ]	false	[ 42 ]
dramatic	[ 49 ]	enthusiastic	[ 21 ]	familiar	[ 82 ]
dry	[ 62 ]	entire	[ 31 ]	famous	[ 74 ]
due	[ 218 ]	equal	[ 76 ]	far	[ 43 ]
dull	[ 40 ]	equivalent	[ 26 ]	fascinating	[ 26 ]
		essential	[ 100 ]	fast	[ 38 ]
eager	[ 21 ]	established	[ 23 ]	fat	[ 21 ]
earlier	[ 86 ]	evident	[ 39 ]	fatal	[ 24 ]
earliest	[ 27 ]	evil	[ 23 ]	favourable	[ 24 ]
early	[ 206 ]	exact	[ 38 ]	favourite	[ 32 ]
easier	[ 59 ]	excellent	[ 64 ]	federal	[ 33 ]
eastern	[ 40 ]	exciting	[ 46 ]	fellow	[ 23 ]
easy	[ 159 ]	existing	[ 79 ]	female	[ 33 ]
economic	[ 173 ]	expensive	[ 53 ]	fierce	[ 23 ]
educational	[ 51 ]	experienced	[ 31 ]	final	[ 142 ]

financial	[ 80 ]			head	[ 20 ]
fine	[ 156 ]	general	[ 331 ]	healthy	[ 21 ]
firm	[ 51 ]	generous	[ 21 ]	heavy	[ 144 ]
first-class	[ 20 ]	genetic	[ 22 ]	high	[ 314 ]
fit	[ 22 ]	gentle	[ 34 ]	higher	[ 135 ]
flat	[ 71 ]	genuine	[ 29 ]	highest	[ 50 ]
following	[ 119 ]	given	[ 42 ]	historic	[ 27 ]
fond	[ 26 ]	glad	[ 74 ]	historical	[ 40 ]
foreign	[ 155 ]	golden	[ 46 ]	holy	[ 39 ]
formal	[ 51 ]	good	[ 845 ]	honest	[ 32 ]
formidable	[ 23 ]	graduated	[ 21 ]	hot	[ 108 ]
forthcoming	[ 20 ]	grand	[ 40 ]	huge	[ 48 ]
fortunate	[ 24 ]	grateful	[ 30 ]	human	[ 208 ]
forward	[ 26 ]	great	[ 640 ]	hungry	[ 22 ]
free	[ 229 ]	greater	[ 170 ]		
frequent	[ 29 ]	greatest	[ 80 ]	ideal	[ 25 ]
fresh	[ 84 ]	green	[ 85 ]	identical	[ 26 ]
friendly	[ 54 ]	grey	[ 80 ]	ill	[ 32 ]
frightened	[ 20 ]	grim	[ 21 ]	immediate	[ 64 ]
front	[ 62 ]	gross	[ 27 ]	imperial	[ 27 ]
full	[ 277 ]	growing	[ 52 ]	important	[ 372 ]
full-time	[ 28 ]	guilty	[ 39 ]	impossible	[ 129 ]
fundamental	[ 38 ]			impressive	[ 30 ]
funny	[ 21 ]	handsome	[ 23 ]	improved	[ 21 ]
further	[ 219 ]	happy	[ 120 ]	increased	[ 44 ]
future	[ 65 ]	hard	[ 147 ]	increasing	[ 63 ]

independent	[ 86 ]	larger	[ 97 ]	lovely	[ 56 ]
individual	[ 116 ]	largest	[ 43 ]	low	[ 149 ]
industrial	[ 111 ]	late	[ 128 ]	lower	[ 109 ]
inevitable	[ 41 ]	later	[ 89 ]	lowest	[ 26 ]
initial	[ 44 ]	latest	[ 57 ]	lucky	[ 39 ]
inner	[ 48 ]	leading	[ 62 ]		
innocent	[ 28 ]	left	[ 70 ]	mad	[ 34 ]
intellectual	[ 36 ]	legal	[ 50 ]	main	[ 232 ]
intelligent	[ 23 ]	liable	[ 23 ]	major	[ 106 ]
intense	[ 22 ]	liberal	[ 46 ]	male	[ 36 ]
interested	[ 115 ]	light	[ 64 ]	manual	[ 22 ]
interesting	[ 129 ]	likely	[ 173 ]	marked	[ 34 ]
intermediate	[ 21 ]	limited	[ 76 ]	married	[ 29 ]
internal	[ 59 ]	linear	[ 31 ]	massive	[ 27 ]
international	[ 90 ]	liquid	[ 27 ]	material	[ 31 ]
intimate	[ 32 ]	literary	[ 57 ]	maximum	[ 29 ]
isolated	[ 24 ]	little	[ 398 ]	mean	[ 29 ]
		lively	[ 20 ]	mechanical	[ 35 ]
joint	[ 47 ]	living	[ 35 ]	medical	[ 112 ]
junior	[ 49 ]	local	[ 401 ]	medieval	[ 34 ]
		logical	[ 28 ]	mental	[ 63 ]
keen	[ 43 ]	lonely	[ 36 ]	mere	[ 64 ]
kind	[ 31 ]	long	[ 424 ]	middle	[ 84 ]
known	[ 46 ]	longer	[ 40 ]	mild	[ 23 ]
		loose	[ 31 ]	military	[ 130 ]
large	[ 418 ]	loud	[ 23 ]	minimum	[ 26 ]

minor	[ 47 ]	notable	[ 26 ]	painful	[ 28 ]
missing	[ 31 ]	nuclear	[ 103 ]	pale	[ 36 ]
mixed	[ 37 ]	numerous	[ 42 ]	parliamentary	[ 55 ]
modern	[ 238 ]			partial	[ 22 ]
modest	[ 25 ]	objective	[ 29 ]	particular	[ 193 ]
moral	[ 80 ]	obscene	[ 22 ]	past	[ 66 ]
municipal	[ 25 ]	obvious	[ 109 ]	peaceful	[ 23 ]
musical	[ 66 ]	occasional	[ 40 ]	peculiar	[ 31 ]
mutual	[ 27 ]	odd	[ 52 ]	perfect	[ 58 ]
mysterious	[ 23 ]	official	[ 87 ]	permanent	[ 52 ]
		old	[ 652 ]	personal	[ 44 / 137 ]
narrow	[ 58 ]	old-fashioned	[ 27 ]	physical	[ 111 ]
national	[ 347 ]	older	[ 102 ]	pink	[ 28 ]
native	[ 38 ]	open	[ 200 ]	plain	[ 67 ]
natural	[ 166 ]	opening	[ 20 ]	pleasant	[ 52 ]
naval	[ 29 ]	opposite	[ 48 ]	pleased	[ 36 ]
nearest	[ 20 ]	ordinal	[ 25 ]	polite	[ 23 ]
necessary	[ 299 ]	ordinary	[ 141 ]	political	[ 238 ]
negative	[ 40 ]	original	[ 132 ]	poor	[ 132 ]
nervous	[ 53 ]	orthodox	[ 20 ]	popular	[ 95 ]
net	[ 30 ]	outer	[ 29 ]	positive	[ 59 ]
new	[ 1090 ]	outside	[ 37 ]	possible	[ 430 ]
nice	[ 91 ]	outstanding	[ 49 ]	potential	[ 24 ]
noble	[ 28 ]	overall	[ 29 ]	powerful	[ 69 ]
normal	[ 125 ]	overseas	[ 21 ]	practical	[ 115 ]
northern	[ 49 ]			precious	[ 21 ]

precise	[ 35 ]	rare	[ 53 ]	right	[ 289 ]
preliminary	[ 22 ]	rational	[ 23 ]	rigid	[ 23 ]
present-day	[ 20 ]	raw	[ 33 ]	rising	[ 23 ]
present	[ 305 ]	ready	[ 129 ]	ritual	[ 22 ]
pretty	[ 47 ]	real	[ 206 ]	romantic	[ 35 ]
previous	[ 136 ]	realistic	[ 21 ]	rough	[ 27 ]
primary	[ 72 ]	reasonable	[ 88 ]	round	[ 28 ]
primitive	[ 38 ]	recent	[ 155 ]	royal	[ 163 ]
principal	[ 46 ]	red	[ 142 ]	rural	[ 37 ]
private	[ 183 ]	regional	[ 20 ]		
probable	[ 31 ]	regular	[ 73 ]	sacred	[ 22 ]
professional	[ 68 ]	relative	[ 55 ]	sad	[ 47 ]
progressive	[ 26 ]	relevant	[ 38 ]	safe	[ 70 ]
proper	[ 73 ]	reliable	[ 27 ]	satisfactory	[ 56 ]
proposed	[ 31 ]	relieved	[ 22 ]	satisfied	[ 28 ]
proud	[ 43 ]	religious	[ 73 ]	scientific	[ 80 ]
provincial	[ 26 ]	reluctant	[ 25 ]	secondary	[ 67 ]
psychological	[ 29 ]	remaining	[ 32 ]	secret	[ 47 ]
public	[ 237 ]	remarkable	[ 45 ]	senior	[ 36 ]
pure	[ 57 ]	remote	[ 27 ]	sensible	[ 34 ]
		representative	[ 22 ]	sensitive	[ 34 ]
quick	[ 66 ]	residential	[ 23 ]	separate	[ 74 ]
quiet	[ 74 ]	responsible	[ 74 ]	serious	[ 116 ]
		restricted	[ 20 ]	severe	[ 38 ]
racial	[ 37 ]	rich	[ 64 ]	sexual	[ 37 ]
rapid	[ 39 ]	ridiculous	[ 25 ]	sharp	[ 70 ]

sheer	[ 26 ]	sorry	[ 70 ]	sudden [	65 ]
short	[ 198 ]	sound	[ 33 ]	sufficient	[ 98 ]
shorter	[ 25 ]	southern	[ 27 ]	suitable	[ 92 ]
sick	[ 49 ]	special	[ 239 ]	superb	[ 20 ]
significant	[ 79 ]	specialist	[ 21 ]	supreme	[ 23 ]
silent	[ 55 ]	specific	[ 40 ]	sure	[ 189 ]
silly	[ 28 ]	spiritual	[ 50 ]	surprised	[ 51 ]
silver	[ 22 ]	splendid	[ 50 ]	surprising	[ 42 ]
similar	[ 175 ]	square	[ 41 ]	sweet	[ 34 ]
simple	[ 175 ]	standard	[ 48 ]		
simpler	[ 20 ]	statistical	[ 38 ]	tall	[ 48 ]
single	[ 123 ]	statutory	[ 43 ]	technical	[ 120 ]
singular	[ 20 ]	steady	[ 45 ]	temporary	[ 34 ]
skilled	[ 23 ]	still	[ 41 ]	terrible	[ 36 ]
slight	[ 64 ]	straight	[ 42 ]	theoretical	[ 38 ]
slightest	[ 30 ]	strange	[ 81 ]	thermal	[ 20 ]
slow	[ 61 ]	strict	[ 28 ]	thick	[ 66 ]
small	[ 520 ]	striking	[ 29 ]	thin	[ 78 ]
smaller	[ 84 ]	strong	[ 160 ]	tight	[ 28 ]
smooth	[ 36 ]	stronger	[ 25 ]	tiny	[ 56 ]
so-called	[ 31 ]	stupid	[ 23 ]	tired	[ 49 ]
social	[ 268 ]	subject	[ 40 ]	top	[ 75 ]
socialist	[ 43 ]	subsequent	[ 33 ]	tory	[ 46 ]
soft	[ 64 ]	substantial	[ 49 ]	total	[ 135 ]
sole	[ 27 ]	successful	[ 91 ]	tough	[ 38 ]
solid	[ 52 ]	successive	[ 24 ]	traditional	[ 74 ]

tremendous	[ 29 ]	useless	[ 23 ]	wide	[ 137 ]
true	[ 267 ]	usual	[ 118 ]	wider	[ 43 ]
typical	[ 45 ]			widespread	[ 21 ]
		vague	[ 27 ]	wild	[ 53 ]
ugly	[ 26 ]	valid	[ 31 ]	willing	[ 47 ]
ultimate	[ 37 ]	valuable	[ 43 ]	wise	[ 41 ]
unable	[ 69 ]	various	[ 197 ]	wonderful	[ 64 ]
uncertain	[ 24 ]	vast	[ 69 ]	wooden	[ 34 ]
uncomfortable	[ 24 ]	vertical	[ 40 ]	working	[ 41 ]
unexpected	[ 35 ]	violent	[ 37 ]	worried	[ 24 ]
unfortunate	[ 31 ]	visible	[ 34 ]	worse	[ 81 ]
unhappy	[ 20 ]	visual	[ 21 ]	worst	[ 42 ]
uniform	[ 25 ]	vital	[ 40 ]	worthy	[ 26 ]
unique	[ 36 ]	vocal	[ 26 ]	written	[ 22 ]
united	[ 49 ]	voluntary	[ 33 ]	wrong	[ 146 ]
universal	[ 44 ]	warm	[ 58 ]		
unknown	[ 49 ]	weak	[ 36 ]	yellow	[ 31 ]
unlikely	[ 51 ]	weekly	[ 26 ]	young	[ 484 ]
unnecessary	[ 32 ]	welcome	[ 28 ]	younger	[ 88 ]
unpleasant	[ 24 ]	well-known	[ 44 ]		
unusual	[ 54 ]	well	[ 54 ]		
upper	[ 60 ]	western	[ 121 ]		
urban	[ 28 ]	wet	[ 32 ]		
urgent	[ 22 ]	white	[ 247 ]		
used	[ 35 ]	whole	[ 306 ]		
useful	[ 94 ]	wholesale	[ 23 ]		

**Apéndice 2. Relación de unidades léxicas que muestran uso de adjunto del sujeto en el LOB (47 unidades), con indicación del número de ejemplos de dicha función y del total de ejemplos disponibles en este corpus**

able	[ 1 ]	[ 307 ]	free	[ 1 ]	[229]	ready	[ 3 ]	[129]
alive	[ 2 ]	[ 52 ]	fresh	[ 1 ]	[ 84 ]	red	[ 1 ]	[142]
alone	[44]	[138]	full	[ 1 ]	[277]	right	[ 1 ]	[289]
asleep	[ 1 ]	[ 25 ]	funny	[ 1 ]	[ 21 ]	rigid	[ 2 ]	[ 23 ]
beautiful	[ 1 ]	[ 85 ]	glad	[ 1 ]	[ 74 ]	silent	[ 3 ]	[ 55 ]
brown	[ 2 ]	[ 61 ]	green	[ 1 ]	[ 85 ]	soft	[ 1 ]	[ 64 ]
clear	[ 1 ]	[188]	hot	[ 1 ]	[108]	still	[12]	[ 41 ]
complete	[ 1 ]	[156]	loose	[ 1 ]	[ 31 ]	straight	[ 3 ]	[ 42 ]
confident	[ 2 ]	[ 21 ]	mad	[ 2 ]	[ 34 ]	subject	[ 7 ]	[ 40 ]
dead	[ 5 ]	[137]	odd	[ 1 ]	[ 52 ]	sweet	[ 1 ]	[ 34 ]
delighted	[ 1 ]	[ 24 ]	old	[ 1 ]	[652]	tired	[ 2 ]	[ 49 ]
dry	[ 1 ]	[ 62 ]	old-fashioned	[ 1 ]	[ 27 ]	warm	[ 1 ]	[ 58 ]
easy	[ 1 ]	[159]	orthodox	[ 1 ]	[ 20 ]	white	[ 1 ]	[247]
empty	[ 1 ]	[ 65 ]	peaceful	[ 1 ]	[ 23 ]	wrong	[ 1 ]	[146]
firm	[ 1 ]	[ 51 ]	perfect	[ 1 ]	[ 58 ]	young	[ 3 ]	[484]
flat	[ 1 ]	[ 71 ]	quiet	[ 1 ]	[ 74 ]			

# RELEVANT FEATURES IN THE DESCRIPTION OF THE PRONOMINAL CATEGORY IN SOME 18TH- AND 19TH-CENTURY AMERICAN GRAMMARS

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## **Resumen**

*Junto a ciertos principios generales que han sido justamente criticados, algunas gramáticas americanas publicadas en los siglos XVIII y XIX ofrecen soluciones a algunos problemas descriptivos que siguen siendo válidas en la actualidad. El objetivo de este trabajo es ofrecer una valoración más equilibrada de la contribución de autores como Ash, Loth, Bullions, Dilworth o Murray al estudio de la categoría pronominal.*

## **Abstract**

*Along with general principles which have been rightly criticized, some American grammars published in the 18th and 19th centuries offer solutions which are nowadays quite valid in contemporary descriptive linguistics. The aim of this paper is to present a more balanced appraisal of the contribution of grammarians such as Ash, Loth, Bullions, Dilworth or Murray, to the study of the pronominal category.*

## 1. General features of 18th- and 19th-century American Grammars

Most eighteenth- and nineteenth-century grammars of English published in North America share a number of significant features, both in their overall conception and in matters of detail. Although this paper concentrates on a very specific aspect of the grammar of English, namely the pronominal category, and the way it is analysed in these grammars, we will first summarize some of those shared features with a view to providing a general background against which the specific treatment of the pronominal category can be better understood.

The most significant characteristic of the grammars published in North America throughout these two centuries is the fact that most, if not all, of them were school grammars, i.e. grammars to be used as texts in schools. This was explicitly stated either on the title page or in the preface to the grammars, where the authors announced the purpose for writing their books. Caleb Bingham (1785), for instance, says that his grammar is «designed principally, for the use of Young Learners, more especially those of the FAIR SEX, though proper for either». In the same vein, Thomas Dilworth (1793) states that his book «as the most useful Performance for the Instruction of Youth, is designed for the Use of Schools in Great Britain, Ireland, and America». And almost one century later, Roswell Smith (1864) still announces that his grammar «is adapted to the use of schools in the Confederate States».

This teaching purpose clearly determined other features of these grammars. For instance, most of the grammars published in the 18th century and in the first half of the 19th century tended to consider Grammar as an art, and, more specifically, English grammar as «the art of speaking and writing the English language with propriety» (Murray, 1824:13). Consequently, grammar, and particularly syntax, was conceived as a set of prescriptive rules that students were expected to memorize and apply accordingly. This was known as a *deductive system of instruction*, i.e. «a system by which students were given the rules, instead of having to arrive at the rules themselves» (Downey, 1991:29). In the second half of the 19th century, Roswell Smith and Samuel Greene abandoned this deductive method and replaced it with an inductive one,

which, at the time, was considered revolutionary. With this new method, the student's «knowledge was built up gradually until he saw the application of a rule and the reason for its use before he was given the rule itself» (H. Smith, 1946:193). This transition from a deductive to an inductive teaching method was paralleled by a new conception of grammar as a science rather than as an art. In spite of this conceptual change, however, throughout these two centuries most grammarians employed very similar teaching techniques, which, besides the memorization of rules, included «parsing», i.e. the grammatical description of every single word in a sentence, and exercises in «false syntax», which consisted in incorrect sentences to be corrected by the students using the appropriate rules.

The grammars published in these two centuries were also very similar in their grammatical content. Most authors (Murray (1824), Webster (1807), Brown (1853), Bullions (1846), amongst others) divided grammar into four parts: Orthography, Etymology, Syntax, and Prosody. Only gradually did some authors break away from this traditional division and concentrate on Etymology (the study of words or parts of speech) and syntax (the study of the combination of words into sentences). Grammars tended to be word-based, which explains why most of them began with a thorough description of the parts of speech (eight, nine or ten, depending on the author), and then considered sentences as «an assemblage of words forming a complete sense» (Murray, 1824:125). Only in the second half of the 19th century did the sentence begin to be considered as the foundation of grammar, particularly in the works of Roswell Smith and Samuel Green. Sentences were generally divided into three parts: nominative (subject), verb, and object, and all sentences were assigned the same rank. This implied, amongst other things, that only two types of sentences were recognized: simple and compound. Towards the end of the 19th century, sentences began to be divided into two main parts - subject and predicate (which includes the object) - and complex sentences were distinguished from compound ones. Nominal, adjectival and verbal modifications (number, gender, case, person, comparison, tense, mode) were analyzed in certain detail and incorporated into the syntactic rules (agreement, transitivity, modification, etc.).

Parts of speech played a fundamental role in these grammars. As Ian Michael (1991:16) has put it:

One of the most apparent signs of the grammarians' restlessness is their attempt to improve the system of parts of speech. Reforming grammarians of the nineteenth century, like their eighteenth century predecessors, tended to treat the designation of parts of speech as a matter of fundamental importance.

L. Murray, who distinguished nine parts of speech (article, substantive or noun, adjective, pronoun, verb, adverb, preposition, conjunction, interjection), summarized some other tendencies of the time:

The number of the different sorts of words, or of the parts of speech, has been variously reckoned by different grammarians. Some have enumerated ten, making the participle a distinct part; some eight, excluding the participle, and ranking the adjective under the noun; some four, and others only two (the noun and the verb,) supposing the rest to be contained in the parts of their division. (Murray, 1824:40).

It is within this general framework of the preoccupation in 18th- and 19th-century grammars with the characterization of the different parts of speech that we want to discuss the specific treatment of the pronominal category.

## **2. The pronominal category**

Let us begin by saying that the general approach to this category during these two centuries does not differ greatly from the one we find in most modern reference grammars of English. In general, pronouns are presented as a separate part of speech whose main role in the language is to function as substitutes for nouns and which are modified by the 'accidental' properties of person, number, gender and case. Most traditional grammars concentrate particularly on personal and relative pronouns, although some of them also mention a class of 'pronominal adjectives' or adjective pronouns. Of all the aspects that could be studied in connection with the treatment of the pronominal category in 18th-

and 19th-century grammars, we will focus on three of them that have had a lasting influence on later approaches. First, we will comment on the very definition of the term «pronoun»; then we will say a few things about the grammatical modifications that traditional grammars associated with pronouns, that is, gender, person, case and number; finally, we will briefly talk about the subclassification of pronouns.

Most, if not all, traditional grammars published in North America in the 18th and 19th centuries, take the term *pronoun* quite literally and define it as «a Word used instead of a Noun, to avoid the too frequent Repetition of the same Word; as, The Man is merry, *he* laughs, *he* sings.» (Ash, 1785:32). The same definition, with slight variations, can be found in Bullions (1846:21), Smith (1864:16), Murray (1824:55), Dilworth (1793:104), Lowth (1775:20), Webster (1800:11), Bingham (1785:10), and Alexander (1795:11). As Michael (1970) reminds us, the two elements in this definition are traditional: on the one hand, 'standing for a noun' is the literal meaning of the term *pronoun* in English, Latin and Greek, and was the basis of Dionysius Thrax's definition in the second century B.C.; on the other hand, 'avoiding repetition', seems to have been suggested as a justification of the replacement of nouns by pronouns by Isidore in the seventh century A.D., at the latest.

This classical definition of pronouns as substitutes for nouns has been rightly criticized from different perspectives. First of all, it has often been pointed out that, at least in English, most pronouns do not replace only nouns, but rather what in modern grammars is usually known as *noun phrases* or *nominal groups*, that is, a noun plus any dependent elements that may go with it, such as articles, adjectives, and so on. So, in the example used by Ash in the above definition, it is obvious that *he* is not used only *instead of* the noun *man*, but instead of the whole noun phrase *the man*. Apart from this minor qualification, there are some other more interesting criticisms that can be directed at the traditional definition of pronouns as substitutes for nouns. These criticisms have to do with the very notion of «substitution». Most 18th- and 19th-century grammarians specify that the replacement of a noun by a pronoun is intended to avoid the (too frequent) repetition of the noun that is being replaced (see Ash's definition above, or Murray

(1824:55), Bullions (1846:21)). This approach seems to imply that the use of pronouns instead of nouns is a mere stylistic device, in other words, that the repetition of the same noun is grammatically possible, though stylistically inappropriate. This may be true in very simple sentences, like the ones used by Ash in his example. However, there are many other cases where the substitution of a noun (or, rather, noun phrase) is not only stylistically commendable, but grammatically compulsory, for the repetition of the same noun would produce an ungrammatical sentence or a completely different meaning. This is what happens, for instance, with relative and reflexive pronouns. In a sentence such as *This is the man **who** wanted to talk to you*, the repetition of (*the*) *man* would be completely ungrammatical (not only stylistically clumsy): \**This is the man **the man** wanted to talk to you*; and in *John hurt **himself***, the repetition of *John* (*John hurt **John***) would crucially change the intended meaning.

Another problem with the traditional notion of substitution is that it seems to have been conceived with only the third person pronouns in mind: it is very difficult to imagine how this notion could be applied to pronouns such as *I* and *you*, which directly refer to participants in the communicative action and never replace some noun previously mentioned. Among grammarians of the 18th and 19th centuries, only Samuel Green seemed to be fully aware of this fact when he explicitly stated:

[Personal] pronouns are not used simply to avoid repetition. The subject in the *first* and *second* persons must always be a pronoun. A noun cannot be employed. One would not be understood to speak of himself if he should say «Henry wrote;» he must say, «I wrote.» (Green, 1874:43).

This passing remark anticipates the fundamental distinction made in modern grammars between anaphoric and deictic pronouns, or between anaphoric and deictic uses of certain pronouns. In fact, when Bloomfield (1933) tried to update the classical definition of pronouns as substitutes for nouns, he began by redefining the notion of «substitution»

so that it could cover both the anaphoric pronouns (eg.: *he, she, it, who*) and those which are basically deictic.<sup>1</sup>

The second aspect we would like to discuss is how American 18th- and 19th-century grammars dealt with the four grammatical modifications they associated with pronouns, viz. gender, number, case and person.

Gender is, probably, the least problematic of the four categories. Most traditional grammarians recognized that English lacks a grammatical system of gender similar to that of languages like Latin, Greek, German or even Old English and they established a direct connection between gender and sex, assuming what is traditionally called a 'natural gender': «Genders are modifications that distinguish objects in regard to sex. The different genders are founded on the natural distinction of sex in animals, and on the absence of sex in other things. In English, they belong only to nouns and pronouns; and to these they are usually applied agreeably to the order of nature.» (Brown, 1853:34). Particularly interesting is Bullions's insightful discussion of the relationships between 'gender' and 'sex', which is worth quoting in full because it points directly to the traditional confusion between word and thing:

Some have objected to the designation of three genders; they think that as there are but two sexes, it would be more philosophical and accurate, to say there are only two genders, and to regard all words not belonging to these, as without gender. A little reflection, I think, will show that this objection has no just foundation, either in philosophy or in fact, and that the change it proposes would be no improvement. It has probably arisen from confounding the word *gender*, which properly signifies a *kind, class, or species*, (Lat. *genus*, French *genre*) with the word *sex*, and considering them as

<sup>1</sup> What is probably most surprising is the fact that 16th- and 17th-century grammarians seemed to be more fully aware of this fundamental distinction than those of the 18th and 19th centuries. Bullokar (1586) defined the pronoun as «a part of speech much like a noun, & used in Shewing or Rehearsing»; the meaning of the expression «shewing or rehearsing» is best seen in a fuller version of the same definition which appeared in 1706 and according to which the pronoun is 'much like to a Noun, and is used in shewing some Person or thing present to the Sight or Mind; or in rehearsing a thing spoke of before» (*English Scholar Compleat*, 1706, p.5). The distinction between 'shewing' and 'rehearsing' is thus a clear attempt to bring into the definition of the pronoun the distinction between those of its functions which are substitutive ('anaphoric') and those which are not ('deictic', etc.).

synonymous. This, however, is not the case; these words do not mean precisely the same thing, and they cannot be properly applied in the same way. We never say, «the masculine sex, the feminine sex;» nor «the male gender, the female gender.» In strict propriety of speech, the word *sex* can be predicated only of animated being; the word *gender*, only of the term by which that being is expressed. The *being*, man, has sex, not gender; the *word*, man, has gender, not sex. Though therefore it is very absurd to speak of three sexes, yet it may be very proper to speak of three genders; that is to say, there are three classes (genders,) of nouns, distinguished from each other by their relation to sex. One denotes objects of the male sex, and is called *masculine*; another denotes objects of the female sex, and is called *feminine*; and the third denotes objects neither male nor female, for which a name more appropriate than the term *neuter*, need not be desired.» (Bullions, 1846:196).

Grammarians generally contented themselves with stating that gender distinctions only applied in third person singular personal pronouns and in relative pronouns:

The persons speaking and spoken to, being at the same time the subjects of the discourse, are supposed to be present; from which, and other circumstances, their sex is commonly known, and needs not to be marked by a distinction of gender in the pronouns: but the third person or thing spoken of, being absent, and in many respects unknown, it is necessary that it should be marked by a distinction of gender; at least when some particular person or thing is spoken of, that ought to be more distinctly marked: accordingly the pronoun singular of the third person has the three genders, *he, she, it ... Who* is applied to persons, *which* to animals and inanimate things... *That ...* is applied to both persons and things.» (Murray, 1824:56f).

Arguably, the most interesting aspect of the treatment of gender in these grammars is the fact that some authors, like Bingham, tended to identify neuter gender with lifeless things («things without life are neuter», Bingham, 1785:9), while others, like Lowth, Dilworth or Bullions

(see above), used the term 'neuter' in the etymological sense of *neither* masculine nor feminine («Things are frequently considered with relation to the distinction of sex or gender; as being male or female, or neither the one, nor the other», Lowth, 1775:19).

Case is another relatively unproblematic category in these grammars, at least in connection with pronouns.<sup>2</sup> Most authors rightly recognize that personal pronouns, and the relative pronoun *who*, have three cases, which are usually termed *nominative*, *possessive* or *genitive* and *objective*. Dilworth (1793) must be mentioned here as one of those eighteenth-century grammarians who still applied Latin cases literally to English nouns and pronouns, keeping even the Latin case names: Nominative: *Thou* or *you*; Genitive: *of thee* or *of you*; Dative: *To thee* or *to you*; Accusative: *Thee* or *you*; Vocative: *O thou* or *O you*; Ablative: *From thee* or *from you*. Understandably, Noah Webster (1784:3) considered Dilworth's grammar as very Latin in approach: «Mr Dilworth's [grammar] ... is not constructed upon the principles of the English language; it is to use the words of an eminent scholar and critic: «A mere Latin Grammar, very indifferently translated.» It is worth comparing Dilworth's classical approach with Murray's insightful discussion of case and its relation to the use of prepositions in English:

The English language, to express different connexions and relations of one thing to another, uses, for the most part, prepositions. The Greek and Latin among the ancient, and some too among the modern languages, as the German, vary the termination or ending of the substantive, to answer the same

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<sup>2</sup> With nouns the situation is different, since most grammarians (with the notable exception of Lowth, Priestley and few others) tended to assume for English nouns a system of three cases (*nominative*, *possessive*, *objective*), similar to the system they assumed for pronouns. See, for instance, Bingham (1785:9), Alexander (1795:11), Smith (1864:9), Bullions (1846:196). Murray's treatment of nominal case is peculiar. In the 1795 edition of his *English Grammar* he had a very formal approach to case, which led him to assume the two-case system that is found in modern grammars: «In English, substantives have but two cases, the nominative and possessive or genitive... if case in grammar means only the variation of a noun or pronoun, by termination or within itself, (as it undisputably does).» (1795 ed. pp.27f). However, in the 1824 edition, Murray's concept of «case» changed (for the worse, we might add) since he felt the need to recognize an *objective case* for nouns similar to that of personal pronouns: «But though this variety of cases [in Greek and Latin] does not at all correspond with the idiom of our language, there seems to be great propriety in admitting a case in English substantives, which shall serve to denote the objects of active verbs and of prepositions; and which is, therefore, properly termed the *objective case*.» (1824 ed., p.51).

purpose... Some writers think, that the relations signified by the addition of articles and prepositions to the noun, may properly be donominated cases, in English; and that, on this principle, there are, in our language, as many cases as in the Latin tongue. But to this mode of forming cases for our substantives, there are strong objections. It would, indeed, be a formal and useless arrangement of nouns, articles and prepositions. If an arrangement of this nature were to be considered as constituting cases, the English language would have a much greater number of them than the Greek and Latin tongues: for, as every preposition has its distinct meaning and effect, every combination of a preposition and article with the noun, would form a different relation, and would constitute a distinct case.- This would encumber our language with many new terms, and a heavy and useless load of distinctions. On the principle of imitating other languages in names and forms, without a correspondence in nature and idiom, we might adopt a number of declensions, as well as a variety of cases, for English substantives.» (Murray, 1824:49f.).

Probably, the most significant divergence in the treatment of case in pronouns is that some authors (Murray, 1824:56f; Bullions, 1846:26) consider only *mine, ours, yours*, etc. as the possessive forms of personal pronouns (classifying *my, our, your*, etc. as 'pronominal adjectives'), while others (Ash, 1785:35; Greene, 1874:79; Smith, 1864:16f) consider all possessive forms as case forms of personal pronouns (see below).

The category of person was fairly well understood by 18th- and 19th-century grammarians: they readily recognized the fundamental connection between this category of personal pronouns and the reference to the participants in the discourse. However, not all the authors were able to formulate this connection in the most appropriate way. Some of them adopted a more traditional, almost naive, approach to person, which consisted in assimilating the first and second person with participants in the communicative event, while the third person was assimilated with the subject or topic of the conversation: «*I* is the *first* person, and denotes the speaker. *Thou* is the *second*, and denotes the person spoken to. *He, she*, and *it* are of the *third* person, and denote the person or thing spoken of» (Bullions, 1846:22). Similar statements can be found in

Bingham (1785:10), Alexander (1795:12), Smith (1864:26). A more sophisticated approach to person (one which goes back to Priscian's *Institutiones Grammaticae*) was taken by authors such as Lowth (1775:20), Murray (1824:55f), Green (1874:41), who were able to realize that all three persons are in fact the subject of the discourse and that it is the speaker who, assuming the leading role in the conversation, distributes the personal pronouns *I, you he / she / it* depending on whether he is talking about himself, the addressee or some third party, respectively. In this sense, R. Lowth, for instance, affirms:

There are three persons which may be the subject of any discourse; first, the person who speaks may speak of himself; secondly, he may speak of the person to whom he addresses himself; thirdly, he may speak of some other person. These are called, respectively, the first, second, and third persons; and are expressed by the pronouns *I, thou, and he*<sup>3</sup>. (Lowth, 1775:20).

As Michael (1970:324) has rightly pointed out, what this new approach is correcting in the more traditional account of person is a confusion between word and thing, in the sense that the first (grammatical) person is not a (human) person, but a word, a 'subject of discourse'.

The least satisfactory aspect of the traditional treatment of the four grammatical categories is its account of the category of number. Eighteenth- and nineteenth-century grammarians did not generally realize the peculiar implications that number has when it combines with the category of person in personal pronouns. Consequently, these grammarians tended to analyse *we, you / ye, and they* simply as the plural forms of the corresponding singular pronouns *I, thou, he / she / it*. Lowth (1775:21), for instance, assumed that «As the speakers, the persons spoken to, and the other persons spoken of, may be many; so each of these pronouns [i.e., *I, thou, he / she / it*] has the plural *we, ye, they*.» Apart from the lack of any formal relationship between each singular pronoun and the corresponding plural one, most grammars now point out the

<sup>3</sup> This is what Lyons has called the «egocentric» nature of the person (or, in general, deictic) systems in the sense that «the speaker, by virtue of being the speaker, casts himself in the role of ego and relates everything to his viewpoint.» (Lyons, 1977:638).

fact that *we* does not normally refer to a plurality of speakers but rather to the speaker plus someone else (which may or may not include the listener). Similarly, *you*, when used with plural reference, may refer not only to a plurality of listeners, but also to an assorted variety of people, only one of whom is necessarily a listener. Finally, it is true that *they* refers to a plurality of non-speakers, non-listeners, or, to use the traditional terminology, a plurality of «persons or things spoken of». However, the fact that *they* is not explicitly marked for gender, while *he*, *she*, and *it* are should prevent us from saying that *they* is the plural form of *he/she/it*: rather, *they* is a 3rd person plural pronoun without a corresponding 3rd person singular pronoun, and, conversely, *he*, *she*, and *it* are 3rd person singular pronouns without a corresponding 3rd person plural pronoun. All in all, however, traditional grammarians seem to have understood the basic aspects of gender, case, person and, to a minor extent, number in connection with pronouns, even if they did not explore in much detail the ultimate implications of some of these categories.

The last aspect that we would like to review is the (sub)classification of pronouns in 18th- and 19th-century grammars. This is probably one of the aspects in which traditional grammarians showed greater disagreement, to the effect that it is hard to find two grammarians who present approximately the same pronominal classes with the same members. Michael's words are in this sense a bitter but realistic summary:

The grammarians differ widely in their treatment of this difficult part of speech, and many of them make only a tentative gesture towards it. Many words ... are not mentioned and sometimes seem, misleadingly, to be excluded altogether. Many classifications are too vague to be used in any comparative way. ... Particular classifications are debated by many grammarians, but classification within the category as a whole is discussed hardly at all. (Michael, 1970:327f.).

Since it would be impossible to discuss here in any detail the subclassification offered by the different authors, we have selected a few aspects that can be considered as the most representative of the traditional approach to pronominal subclassification. First of all, the most widespread type of subclassification is that which distinguishes

three main classes of pronouns: *personal pronouns*, *relative pronouns*, and *adjective pronouns* or *pronominal adjectives*. This subclassification can be found in Murray (1824:55ff), Bingham (1785:10ff), Smith (1864:54ff), and Bullions (1846:21ff). Other authors present what can be considered as variations of this basic scheme. Lowth (1775:24) includes relatives within the class of adjective pronouns (or, as he calls them, *pronominal adjectives*), which are then opposed to substantive or personal pronouns. Basically, the same approach can be found in Dilworth (1793:104f), the only difference being that Lowth considers *mine*, *yours*, etc. as the possessive case of personal pronouns, while Dilworth includes these forms within the class of adjective pronouns (see below). Alexander (1795:14ff) recognizes the three basic classes but he adds a class of interrogative pronouns (while most other authors identify interrogatives with relative pronouns), and names separately the classes of demonstrative and definitive pronouns, which in most other grammars are included within the class of adjective pronouns.

The forms which caused the most trouble to traditional grammarians were the possessive or genitive forms *my*, *mine*, *your*, *yours*, *her*, *hers*, etc. These forms were classified in at least three or four different ways and sometimes the same author refers to them with more than one name. The most repeated classification is that which considers the series *mine*, *yours*, *hers*, etc. the possessive case of personal pronouns, while *my*, *your*, *her*, etc. are considered pronominal adjectives. According to Michael, Lowth seems to have been the first grammarian to call *mine* the possessive case of *I*, although «Lowth does not write as if he thought he was making an innovation.» (Michael, 1970:335). In any case, Lowth was followed by Ash, Murray, Bullions, Smith, Greene, and many others. These authors, however, differ in their treatment of the other series of possessive forms, i.e., *my*, *your*, *her*, etc. Lowth considers them pronominal adjectives, while Murray and Bullions classify them among the adjective pronouns, although they also refer to them as *possessive pronouns*. On the other hand, Ash, Smith, and Greene coincide in classifying *my*, *your*, *her*, etc. along with *mine*, *yours*, *hers*, etc. as the possessive case of personal pronouns. Alexander (1795) is a good example of the uncertainty that prevailed about the classification of these forms: although he classifies the *mine* series as the possessive case of personal

pronouns (p. 12), he then refers to both *mine* and *my* as *pronominal adjectives*, since according to him «they are always connected with a noun expressed, or understood» (p. 15). An indication of the uneasiness that grammarians felt when dealing with these forms is the fact that a significant number of them mentioned alternative classifications suggested by other authors and occasionally argued explicitly in favour of their own classification, while when dealing with most other pronouns they just took their classification for granted.<sup>4</sup> Murray, for instance, appeals to tradition in order to justify his treatment of the two series as genitive cases of personal pronouns:

The possessives ... like other parts of grammar, may indeed have some properties peculiar to themselves; and may not, in their present form, be readily accommodated to every circumstance belonging to the possessive cases of nouns: but they should not, on this slight pretence, be dispossessed of the right and privilege, which, from time immemorial, they have enjoyed. (1795, 2 vol., edn 1809, I, 93).

Bullions, on the other hand, bases his distinction between the possessive case of personal pronouns (*mine, yours, etc.*) and 'possessive (adjective) pronouns' (*my, your, etc.*) on distributional grounds:

The possessive pronoun is in fact only another form of the possessive case of the personal pronoun, having the same meaning but a different construction. The possessive pronoun, like the adjective, is always followed by a substantive; as, this is *my* book. The possessive case of the personal pronoun is never followed by a substantive, but refers to one previously expressed; as, this book is *mine*.» (1846:26).

Michael has tried to explained this uncertainty about the classification of possessive forms, arguing that

[t]he grammarians were struggling among their incomplete and conflicting perceptions of formal and syntactic characteristics. They lacked the historical knowledge which would have given

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<sup>4</sup> Another group of pronouns that raised a lot of explicit discussion is that of adjective pronouns or pronominal adjectives. See below.

them one firm criterion by which to judge the status of ... possessive forms, and they were precluded by the rigidity of the parts of speech from making possessives a synthetic category like the participle. Form and meaning seemed to show that [possessive forms] were pronouns; their function showed that they were adjectives. The variety of classification is caused by oscillation between these two truths. (1970:336).

A similar uncertainty of classification is shown in the treatment of other words, such as *some, few, many, such, this, that, both, neither, etc.* These are usually discussed among the pronouns but some authors refer to them as *adjective pronouns* while others prefer to call them *pronominal adjectives*. This confusion clearly reflects the problems that traditional grammarians had when dealing with words which seem to have a double behaviour and function - sometimes as more or less clear adjectives and sometimes as like more or less clear pronouns.<sup>5</sup> Here again we might invoke the rigidity of the traditional parts of speech mentioned by Michael as a justification for the incapacity of these grammars to account for the special status of these difficult words which are neither proper adjectives nor proper pronouns. However, we should not forget that in most modern grammars we still find the same uncertainties of classification when dealing with these words or with the possessive forms, so that rather than pass easy judgment on traditional grammars we should fully acknowledge the ambiguous status of these words and seek more appropriate ways of dealing with such ambiguity.

To sum up, the treatment of the pronominal category in 18th- and 19th-century American grammars of English is a good example of how traditional scholars tackled the problems of describing and teaching a modern language by adapting to their present needs the descriptive tools they had inherited from classical grammars. Quite often, the result is

<sup>5</sup> An extreme degree of uncertainty in the classification of these words is shown by Greene in the following quotation:

Those limiting adjectives which may, without the use of the article, represent a noun when understood, are called pronominal adjectives... The principal pronominal adjectives are, *this, that, these, those, former, latter, which, what, each, every, either, neither, some, one, none, any, all, such, many, much, other, another, whole, both, few, fewer, fewest, first, little, less, least, more, most, own, same, several, sundry, certain, divers, enough*. When such adjectives represent a noun understood, they are generally called pronouns ... **They may more properly be called pronominal adjectives used as nouns.** [emphasis added]. (Greene, 1874:78).

un uneasy balance between a legacy of unchallenged notions and a set of new ideas which in many ways anticipated later developments during the following century.

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## THE WIND OF CHANGE, BRITISH LINGUISTICS AND A CONFERENCE OF VICE-CHANCELLORS

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### **Resumen**

*En el estudio de la lingüística contemporánea la llamada Escuela británica representa una tradición que ocupa un lugar sobresaliente en contraste con otros modos y enfoques de entender y describir la lengua. Como se muestra en este artículo con el estudio de las aportaciones de las más importantes figuras en el área de los estudios ingleses al Congreso de diciembre de 1960 organizado por el Consejo Británico a petición de los Rectores de las universidades británicas, esta reunión significó un hito en la aplicación de los principios teóricos mantenidos por los lingüistas de la Escuela británica a la tarea de preparar personal y material didáctico con que hacer frente a la demanda en el campo del estudio y de la enseñanza del inglés. La orientación y decisiones adoptadas en aquel momento han venido conformando el desarrollo de estas disciplinas y todavía pueden servir de referencia teórica para la práctica profesional diaria.*

### **Abstract**

*In the field of Contemporary Linguistics the so-called British School represents a tradition that stands out in contrast to other ways and approaches to an understanding and description of language. As is shown in this paper through the analysis of the contributions by the most representative figures in the field of English studies to a Conference convened by the British Council on behalf of the Vice-Chancellors and Principals of the British Universities in December 1960, that event was a turning point in the application of the principles held by the British School of linguists to the task of providing both personnel and materials to respond to the current demands for ELT. The direction and the stance taken then and there have given form to the development and the study and teaching of English and can still be taken as a theoretical reference in our daily professional practice.*

## 1. The Wind.

In the Macmillan era («you've never had it so good»), the phrase 'the wind of change' became a catchword frequently used to repress with a touch of irony the unconscious but certain fear that somewhere somehow, if steps were not taken in the right direction, a gale would turn upside down so complacent a society.

And it so happened that in December 1960, academics in the fields of linguistics, education and the learning and teaching of English were called out to gather and discuss the situation in their respective disciplines so that they could put forward whatever measures they thought might be taken to cope with the increasing and overwhelming demand for English in a world which was falling apart but where the vanished Empire would still somehow keep the pieces together by means of a common use of the common English language and everything cultural it brought with it.

Evidence of the gathering is available in a publication of 63 pages that includes some of the papers that were read and represent more or less faithfully the contributions of those that attended<sup>1</sup>. As Professor G. Bullough explains in the Foreword, the pages are a very much reduced reproduction of what was actually said in the meetings:

«Verbatim records of conferences are often almost unreadable... Moreover a conference develops its own allusiveness, its private jokes, and some excellent contributions are so straight from the shoulder, so dependent on the momentary give-and-take of debate, even on intonation and gesture, as to lose much of their force on the printed page» (6)

For our purpose, however, it contains enough information about the themes that at the moment worried the participants, as to make the effort of going through the booklet in some detail worthwhile.

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<sup>1</sup>*English Teaching Abroad and the English Universities*. Extracts from the proceedings of the conference on University Training and Research in the Teaching of English as a Second/Foreign Language held at Nutford House, London, W1 under the auspices of the British Council on December 15, 16 and 17, 1960. Edited by H.G. Wayment, Secretary of the Conference. With a Foreword by Prof. G. Bullough Chairman of the Conference. 1961, London: Methuen and C° Ltd.

## 2. The Conference.

The host of the Conference was the British Council in the person of its Director-General, Sir Paul Sinker.

The list of Guests includes the heads of the Departments and the Professors whose main concern was the study and the teaching of English. Despite the unfortunate coincidence that another Conference on Education was being held at the same time, among the participants were names that before and since that event have been most influential in our field, such as A. McIntosh, F. Palmer, R. Quirk, J.C. Catford, W. Haas.

The guiding spirit behind the pertinent decision to convene the Conference was none other than Professor J.R. Firth. His untimely death on the very same morning that the Conference was due to begin, brought a new dimension to a life that had been spent mostly in drawing attention and offering answers to the questions that were to be discussed then and there. Tribute was paid «We include a contribution from one whose influence pervaded the conference... His encouragement helped greatly in preparing the conference, and he was sorely missed...»(6). And the Conference proceeded as planned in the 'business as usual' British fashion.

2.1. In the opening speech (pp 7-10) the Director-General, after stating the Council position «we are the middlemen,... our job is to bring together the experts on this country ... and the experts of the other countries of the world», and their special commitment with respect to the teaching of English: «we have a special responsibility for the promotion of the knowledge of the English language throughout the world», made explicit the Council dependence on the universities «...we must leave to the universities the provision of the main academic base for our operations in the front line... base ourselves firmly on the universities if we are to take the long view and recognize the long-term importance of academic research as well as the short-term urgency of trying to meet the immense demands for our services in the teaching of English all over the world». Then he describes how the Conference had originated: «The British Council's Linguistics Panel prepared about a year ago a memorandum on *University Training and Research in the*

*Teaching of English as a Second Language*. We sent it to the Committee of Vice-Chancellors and Principals who... asked the British Council to organize a conference, and this is the result» and clearly states what their main interest in the conference is. As they count on the support from the Government what they really want is : «the production of more people to help us do our work». And in consequence, what he, on behalf of the Council hoped for, was that the participants would be able «to agree at the final session on recommendations to be sent to the Committee of Vice-Chancellors and Principals in answer to their request..., with the suggestion that they should forward them with their blessing to the University Grants Committee».

The usefulness and perfect timing of the Conference was likewise emphasized and this for two reasons: Firstly, the University Grants Committee was considering the expenditure for the quinquennium beginning in 1962; and second, two other Conferences were to be held in the near future- the following month members of the Commonwealth were to meet together at Makerere to discuss the teaching of English throughout the Commonwealth; also, the British Council had arranged another conference for the following summer on the subject of the teaching of English overseas; this time the other partner would be the Americans. As the Director-General argued the field was so wide that there was no need to compete with or seek to rival the Americans or viceversa: «we try to keep in step and let each other know what we are doing, both geographically, so to speak, and also from the point of view of the technical questions arising from the teaching of English». The message is straight and clear - let us sharpen our academic minds and get ready to defend our share of the ELT cake.

2.2. The text reflects the Conference programme of activities as they were distributed in 5 sessions: 1. «The Nature and the Demand for English in the world to-day as it affects British Universities»; 2. «Contemporary English Language and General Linguistics»; 3. «Training in the Teaching of English»; 4. «English Language and Literature»; 5. «Research Problems». And there is a set of Recommendations. Of obvious interest to us are Sessions two, three and five.

2.2.1. Also of especial interest are the pages (11-21) that reproduce the outline of the points that JR Firth intended to offer to the conference for comment and discussion.

Firth's contribution reads more like a working document than a paper. In the first part he underlines the importance of the role of the British Council in engaging people in the field of teaching English in all «its reach and variety». The activity generated in that field materializes itself in the reports of the several commissions and the conferences been arranged by the Council. From those the conclusion that follows is «the pressing need in the teaching of English for multifarious uses overseas». As a response to this situation «This in turn means intensive preparation in the way of research before the relevant men and materials will be readily available». Restriction and concentration will be the key words for all this preparatory linguistic research as there must be considerable development in general and applied linguistics in relation to studies in contemporary English.

Next, in view of the vastness and complexity of the problems to be faced Firth puts forwards a tentative framework of nomenclature and phraseology. In the first place he offers a classification of *Fields of Work* in respect to - 1. 'Advanced Countries', (a) Western and (b) Non-Western; 2. Less Advanced Countries -with some classical sources and with indigenous literature and strong local culture- (a) Associated with Britain, America, or France; (b) With strong European associations. English in these countries may regarded as a classical source; 3. Developing Countries - with limited classical sources and Western European literatures regarded as 'classical'. English in these countries should be used as the means of instruction; 4. Backward communities or Groups -to be found in all the above groups, without excluding Great Britain. In all these communities priority must be given to the teaching of reading and the writing of practically useful contemporary English at a series of levels.

The distribution of the Fields of Work leads to the following commentaries: The higher the group the more scope for the theory and practice of education, in particular the methodics of English either as a foreign or a second language; the lower down the scale the less is known,

and so the more reason for promoting linguistic research in order to fill in the information gap. In particular he regretted the lack of fundamental research in general and applied linguistics with respect to, for example, «the organization of materials for publication».

The *Teaching of English* should adapt itself to the previous classification and so it should be organized with reference to the following labels: (a) at home and in English-speaking countries; (b) in bi-lingual countries; (c) abroad in Western Europe; (d) overseas, especially in the Middle East, South Asia and Japan; (e) overseas in India, Pakistan and Ceylon; (f) In African countries with British connections; (g) in backward communities. *The Training of Teachers of English* should be accordingly (a) as a mother tongue; (b) as one of two languages in bi-lingual countries; (c) and (d) as a foreign language; (e) as a second language; (f) as a second and sometimes as the main language; (g) as the basis for literacy. *Teacher-Training* should be provided: (a) in English language and literature, especially the linguistic analysis of texts, i.e., textual analysis.. (b) in applied linguistics (c) in the theory and practice of education; (d) in special methodics.

Another area that requires refinement is *The Study generally called English* whose meaning would derive from its position with respect to the classification in terms of 'Fields of Work'.

When the time comes to locate the series of activities necessitated by the previous plan the need to build up an institution to house them if one is to keep true to the key words of restriction and concentration will become apparent. A final word of warning- the value of the association of general linguistics with studies of the English language is assumed, but it must be emphasized that without general linguistics, studies of the English language would lack a conceptual framework and direction. So the need for the provision of centres of higher education to develop programmes on English language studies and general and applied linguistics, and some specialization in education with a view both to research and teaching in the uses of English overseas becomes obvious.

The last part of the document spells out the responsibilities for higher English studies in Britain, which are of two types, to the British people and to the people engaged in higher English studies abroad. Here again

the responsibilities are to be divided into two groups, depending on the initial classification: (a) advanced countries (both Western Europe and Asian) where English studies are highly elaborated; and (a) less developed countries...where the uses of the English language are to be developed for their special purposes... a more immediate requirement than what may be termed 'cultural transfusions'

If I have dealt in some detail with Firth's paper is simply to show how in his analysis and suggestions we can read as a blueprint of what was eventually to be the development of ELT, in particular the distribution and modulation of the field in terms of the 'inner', 'outer' and 'expanding' circles of world Englishness put forward some years later by Braj B. Kachru<sup>2</sup>.

2.2.2. Of the five sessions that makes up the central part of the booklet I will choose for my comments those most directly related to our interests. For Session II «Contemporary English language and general linguistics», the editor selects the 'introductory speeches' of Prof. McIntosh and by Prof. F. Palmer. Although their voices are well tuned and keep beating on the same spot, the two papers reflect the personality and academic position of their authors. Prof. McIntosh by that time was already a scholar with an international reputation in the field of medieval dialectology, and at same time he, as Head of the Department of English language and General linguistics, represented the University of Edinburgh - the only academic institution in the U.K. with a School of Applied Linguistics where this new set of academic disciplines has been sanctioned at the highest level. From that strong position McIntosh was to demand urgent attention to the needs felt with respect to the study and the teaching of English. His paper (pp 26-30) gives off a sort of urgency that is a proof of his position with respect to the problems he describes and proposals he puts forward. The connection between theory and application ( theory and practice) is stated firmly and with great emphasis. McIntosh's initial claim is that Modern English is a testing ground for hypotheses in general linguistics and also that general linguistics or some branches of it make possible the presentation of facts

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<sup>2</sup>Cf. Braj B. Hachru, «Standards, codifications and sociolinguistic realism: the English language in the outer circle» in *English in the World. Teaching and Learning the Language and Literatures*, edited by Randolph Quirk and H.G. Widdowson. Cambridge University Press 1985:11-30.

about Modern English in such a way that they are of unique practical value in teaching the language. The circularity of the argument is presented as the central issue. We need to know the details of the language to clothe our statements about contemporary English, but these details cannot even be imagined unless we possess a theoretical framework by means of which to organize such knowledge: «without some such framework [we are] scarcely in a position even to explore that detail, still less to exploit it for teaching or other purposes». This task of exploring and exploiting is not an easy one. He proposes a ambitious programme of what he describes as back-room work. Two parallel aspects are to be considered: a routine of a fact-finding kind which will permit a very extensive and delicate analysis; and on the other hand, work of a theoretical kind if we want to direct the findings in worthwhile orientations from the start and to marshall and utilize the results. 'Explore' and 'exploit' are the two sides of the research tasks ahead, both interlocked and mutually dependent on each other. Hence the urgency. Even more, the job requires us not only to find and apply but to disseminate. And this institutionalization of the research will be impossible without the support of the Administration. Hence the demand for specialization and controlled expansion.

Professor Palmer had also proved his capacity as a brilliant linguist in applying theoretical models to the description of difficult and exotic languages. So he was in a position to proclaim (30) that the job ahead was to transfer that experience to the description of English, a much more difficult task because so much was known about it and so much was believed to be known. To place it within manageable limits the first step was to go for 'descriptive linguistics' among the alternatives 'structural' or 'general'. For the simple reason that the task of the linguist is to describe what he finds, guided in his search «by the simple principle that we should merely describe what is describable in the language itself». Also worth describing is the kind of English used by the learners of the language, which will surely help understand their problems. He adds a final point on the task of the linguist; he will provide not only descriptions but also tools for the description. And this last point justifies and suggests the type of course he has a mind, one that includes both linguistics and the teaching of English. He ends up his speech stating quite forcibly

what he believes is the connection between general linguistics and contemporary English: «... in so far as the linguistic description of English fails to provide a suitable basis for the teaching of English, to that degree it has failed as a linguistic description» (32). A claim which he describes as dogmatic and that with the passing of the years has become a fundamental truism for those of us who share his other claims.

2.2.3. The session on «Training in the teaching of English» is dominated by J.C. Catford (pp 33-37), at that time Head of the Department of Applied Linguistics at Edinburgh, the only place where linguistics was institutionally applied to the study of English. In his paper he takes the phrase used by McIntosh in referring to the 'back-room' research activity and elaborates a classification of the different groups of people involved in the field he is concerned with. According to him there are four categories of people: (i) the specialists in general linguistics, including descriptive linguistics of English and other languages, physiological and acoustic phonetics, scholarly study of literature, educational theory, psychology of learning, and other more marginal disciplines such as anthropology, sociology, information theory, ergonomics, and so on; (ii) people responsible for translating back-room research into saleable goods-specialists in language teaching as an application of linguistics and other relevant disciplines; (iii) teacher trainers; and (iv) teachers. Of the training required by each group he says - The group of basic research workers requires training in their various special disciplines and this training may be provided by the different areas or departments. However, Catford introduces some emphasis with respect to the training of people for «basic work in the linguistic disciplines» since the needs in this area are much more demanding. The people in group (iii), teacher-trainers, should be as a matter of principle highly experienced teachers themselves. And also for practical reasons can be satisfied with a narrower specialization; so they should be trained «in the special problems of teaching English in a relatively restricted range of circumstances». Group (iv), in-service teachers, should be trained above all in the knowledge of the language they are teaching, in Catford's words: «one of the matters that has to be given attention to in dealing with overseas people who have been trained as teachers must be their training simply in English»; and only then, they should be given practical experience in the use of

textbooks and classroom procedures. Not to ignore either, how useful some theoretical background would be, so that they can fully understand what they are doing.

Obviously, Catford treats in greatest detail the task and training of the group of people included in the second category - «the mediators between basic research and the actual practice of teaching teacher-trainers». Their job is basically to «classify and analyze the problems involved in language teaching ... and to see how the underlying disciplines can be brought to bear on these problems». The kind of training this group of people should receive can be summarised in the following list of topics: In the first place some knowledge of bilingualism, of languages in contact and the problems arisen from such situations. They have to be able to cope with the analysis and evaluation of the wider setting of language teaching operations. They must have a descriptive knowledge of English; and also sufficient understanding of General Linguistics to be able to appreciate differences between English and the students' language. Similarly, they ought to know something about the linguistic and psychological differences between various so-called linguistic skills. They ought to have some knowledge of the theory of meaning and translation. Finally, they must have some kind of general knowledge of the methodics of language teaching, the general principles which underlie the selection, grading and presentation of language material for teaching purposes.

In conclusion, he wants to make clear that in teaching there are not simply two categories of people involved - the back-room theorists and front shop practitioners. In between «The applied linguists and the teacher trainers... an important link between the basic theorists and the more practical people... there is in fact an unbroken chain of relationship between these two extremes, between the basic theorist and the practitioners, and support and development is required all along the line at every part of that chain»(37).

Of the other contributions to this session, Prof. L.J.Lewis's has the added value of coming from outside the main stream. Perhaps for that very reason we can agree with every single word of his. Although a biologist by training he received some teaching in linguistics from

Malinowski, and what he learned was that «...knowledge of language is something more than a theoretical understanding of its structure and form. ... language [is] a living instrument used by people as an integral part of the social being». With that teaching in mind and long experience in Africa as an anthropologist he would urge those responsible for building up the new area of studies to keep in mind that «in the end you will be concerned with language as it is used by **people**: individual children, men and women, and used by them for quite specific social purposes» (40). He also gives a word of warning about the danger of 'specializing' so much that the experts may come to forget «the essential fact, that we are concerned with **people** [with] very definite objectives of their own in wishing to learn and use English» (41). Because as he argues they are the customers, not the British Council, or government officials and they «will want our teaching to satisfy their specific purposes, not purposes, ideal or otherwise, that we may think desirable to prescribe» (41).

2.2.4. The last session, «Research problems», deals with the central issue that permeated the Conference, since it was research that by unanimous consent was wanted if all the other problems and needs were to be faced. The scholars who took the floor to voice the problems with research, William Haas for many years Head of the Department of General Linguistics at the University of Manchester and Randolf Quirk, Professor of English Language at London University College, have played a very important role in the field of TEFL, even though their contributions have been completely different in style. Haas's austere approach to both linguistics and life have made him highly respected in the inner circles of British linguistics but better known in the world of English studies through former students of his and colleagues such as D.J.Allerton, Cruttendon, E.Carney or Cruse<sup>3</sup>. However his articles are seminal contributions to clarify basic aspects in the description of languages. On the occasion of this Conference he put forward a programme of research that in outline presents what should have developed into the discipline of contrastive linguistics. When trying to answer the question of **what** to teach he makes a number of suggestions based on his initial claim

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<sup>3</sup>cf. *Function and Context in Linguistic Analysis: Essays offered to William Haas*, ed. by D.J. Allerton, Edward Carney & David Holdercroft. Cambridge University Press, 1979.

that a language is an organic structure where certain parts and functions are more vital than others. As a consequence an adequate description of a language should provide us not only with the 'elements' of English but also with a scale of their relative importance. The grading and the order can be delimited by specialized comparative studies. Research in this field will help «to overcome the handicap of which results from dispensing a uniform English for foreigners», in the first place; and also it will help the teacher not to be misled by similarities which induce the learner to draw unfounded conclusions when learning a language.

Randolph Quirk at the time of the Conference had already taken the path that would lead him to become the most outstanding figures in the world of English studies. He was engaged in collecting and analyzing materials for the Survey of Educated English project and had written articles which amply demonstrated that he could contribute by illuminating areas for the study of the English language as diverse as 'the problem of morphological structure on Old English', 'the relative clauses in educated spoken English or 'the analysis of the language of Dickens or Shakespeare'. What he has to say,<sup>4</sup> then, not only transpires authority but his words resound with the noises of daily experience, which make them seem truthful and believable. This and the vantage point of speaking the last gives his paper the ring of a final proposal. He begins by glossing the main points touched upon in the other sessions. The nature of the demand for English with its sequel of what is English used for, and by whom and how. Once research has clarified these different aspects, it would be possible to apply and develop the «valuable concept of 'restricted language'»; the place of literature in the a programme of TEFL: the part that literature plays in the lives of the learners, before deciding what kind of English literature and how much of it is possible or necessary to include in the language programmes, etc. However, it is Session ii, «Contemporary English language and General linguistics» that focuses his attention. He links up with McIntosh's position and elaborates the argument that put in a nutshell could be: The larger, the more varied the corpus and the more elaborate the analysis, the more

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<sup>4</sup>Quirk's contribution is reproduced in his *Essays on the English Language Medieval and Modern*. Longmans' Linguistics Library, 1968:87-93. References to pages are to this version.

complex and elaborate the descriptive framework should be; and the other way round, a theoretical framework of this kind both necessitates and generates a comprehensive analysis of a most various and extensive corpus. The elaboration of the appropriate corpus was being carried out with the **Survey**<sup>5</sup> which was most urgently needed. And here he agrees with McIntosh's claim «Contrary perhaps to general opinion... at present we are more deficient in our knowledge of the details of the language than we are on the possession of an adequate theoretical framework...». The selection, the grading, the structuring of the linguistics phenomena required for an improvement of teaching so pressingly demanded will depend entirely on **research**. If research is not done on the working of the language, «on its **natural** operation by native speakers and writers, and its **natural** reception by native listeners and readers» (my emphasis), we will end up with English grammatical analysis which has degenerated into «a rather empiric-looking type of pure speculation». Furthermore, time was very exacting; not only could action not be put off, but the linguistic sciences were going through a radical change, a paradigmatic change Kuhn would have said. Quirk very adroitly makes use of Gleason's words to describe the situation. The author of so popular a university textbook as *Introduction to Descriptive Linguistics* would be listened to with surprise if not with astonishment when he says: «We have recently passed out of the **elevator-operator** period into a new era of **Flying planes can be dangerous**. And through it all, many of us seem steadfastly to resist looking at the language in its richness and variety as it is actually used»(90) It was not impossible to contemplate the breaking of the old orthodoxy to move into a new one where linguistics was drawn away from «the description of 'raw data' towards the description of languages in some kind of ideal state».(91)

In order to pass from words to action, to confront «the thorniest research problem of all: how most efficiently and speedily to accomplish all the necessary research» (92), Quirk makes three points that not surprisingly would be included on the list of final recommendations of the Conference.

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<sup>5</sup>For a description of the initial stages of the **Survey** see R. Quirk «The Survey of English Usage» in Quirk (1968:70-87).

In the first place, it is essential that means of exchanging information between centres and individuals are devised. The progress and results of research projects though carried out by particular individuals or centres must be 'disseminated' as McIntosh put it. Quirk suggests the possibility of establishing an information service to channel the information.

Next, facilities for practical collaboration should be found. To set a tangible example, he offers to open the Survey archives to the public.

Finally, the inevitably final touch to any project, research or else, is funding. If academic and administrative authorities declare that the research and activities in the field of teaching English are of some national interest they should respond accordingly.

2.2.5. Recommendations. The Director-General's expectations were fulfilled and the Conference closed with a chapter of recommendations (pp 58-63) that faithfully registers the suggestions and proposals made during the meetings. In particular, great importance is given to the role that the British Council might have in the training and promotion of academics who would choose to participate in the programmes and projects sponsored by the Council.

### **3. The Change.**

In history, especially the history of ideas, it is very dangerous, if at all even possible, to establish links between claims and realizations, proposals and implementations. In particular when the whole panorama is looked at from the outside. However, we can point out that a number of projects were carried out and actions taken along the lines traced in the recommendations and with the same objectives as those discussed during the Conference. It is not for us to determine if any correlation existed. I will simply mention a few events of different kinds that took place during the 60's which show that at least they shared and were born out of the same spirit that permeated the Conference.

3.1. To begin with the most obvious and public illustration. During that decade a number of publications appeared which bear the mark of

the Conference, both from the names of their authors and editors, and their contents and aims. I would mention three series: *The Longmans' Linguistics Library*, *Language and Language Learning* from Oxford University Press, and *English Language Series*, in Longman. Longman started its *Linguistics Library* with a book that was to remain the reference for British linguistics. *Linguistic Sciences and Language Teaching* had a double value, on the one hand it offered in a systematic and consistent way the basic concepts of modern linguistics from a British and European perspective (as currently viewed in Edinburgh and London) and its relevance for language teaching; and also, it offered an alternative approach to the audiolingual method in language teaching.<sup>6</sup>

The LLL Oxford series made available seminal works (Sweet's *The Practical Study of Language*; Firth's *The Tongues of Men and Speech*; H. Palmer's *The Principles of Language Study*; etc.) in the field of language teaching intended to show that there existed a tradition worth keeping alive. And, finally, the General Editor of the English Language Series, Randolph Quirk, made explicit his intentions in the Foreword to each volume: «As English has increasingly come into world-wide use, there has arisen an acute need for more information on the language and the ways in which it is used. The English Language Series seeks to meet this need and to play a part in further stimulating the study and teaching of English...»

3.2. Within the University system new appointments were made and new institutions set up, which clearly show that things were moving in the direction set at the Conference. M.A.K. Halliday moved to U.C.L. as director of Communication Research Centre and before being promoted to the newly founded Chair of General Linguistics in 1965, he launched The Nutfield Programme in Linguistics and English Teaching, launched at the end of 1964. Its threefold purpose was (a) look into the teaching of English from the standpoint of modern developments in linguistics; (b) to make a study of the contemporary English linguistics that would be

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<sup>6</sup>Peter Strevens describes the context in which the book was written and evaluates the significance of its publication in his «*The Linguistic Sciences and Language Teaching revisited*» in *Language Topics. Essays in Honour of Michael Halliday* ed. by Ross Steele and Terry Treadgold. John Benjamins, 1987:79-82.

helpful to English teachers; (c) to offer recommendations about aims and methods. The results of the project were summarized in ten volumes published by Longman in 1968. Parallel to this, another research project into the linguistic properties of scientific English was carried out. Part of it appeared in book version as *The Sentence in Written English* by R.D. Huddleston.

At the same time, at UCL Quirk continued to develop the Survey along the lines and with the support he had expressed at the Conference. His efforts would materialize in the publication of *A Grammar of Contemporary English* (1972) and the other monograph studies by members of the team.

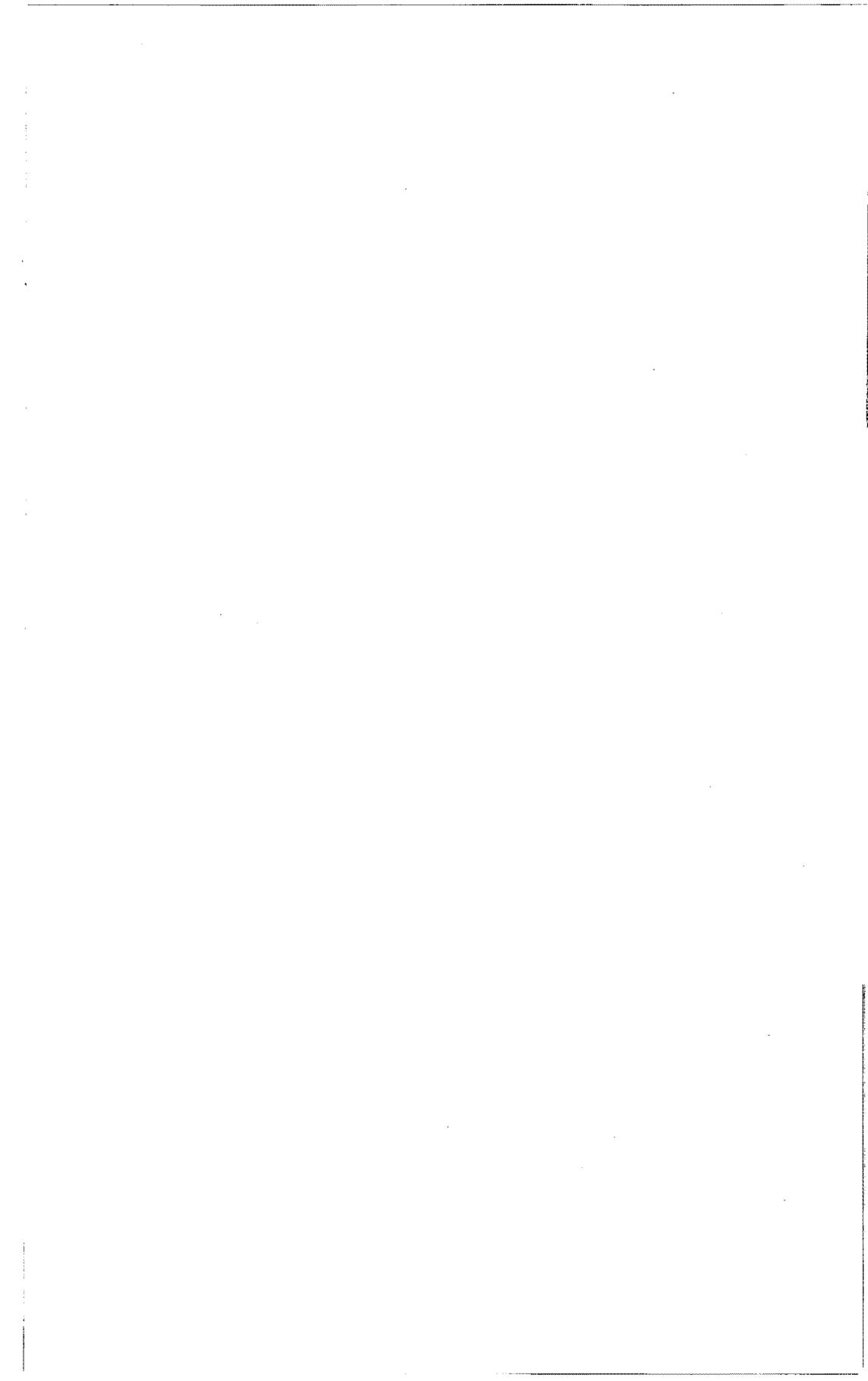
Also from Edinburgh, J.McH. Sinclair became professor of Modern English at the University of Birmingham. And Peter Strevens, after a period at Edinburgh spent, among other things, in writing his part of *The Linguistic Sciences* was appointed Professor of Contemporary English at the School of English in the University of Leeds and then moved as Professor of Applied Linguistics -the first chair in the field- to the University of Essex to run the newly founded Institute of Applied Linguistics. And T.F. Mitchell was appointed to the Chair of Contemporary English at Leeds and director of the School.

3.3. The British Council also kept faithful to their commitments at the Conference- an English Teaching Information Centre (ETIC), was founded in 1961 «as a study centre and clearing house for information on all aspects of teaching English as a second or foreign language ; and the Centre for Information on Language Teaching (CILT) was established in 1966. The publication of *English Teaching Abstracts* (1961-67), then *Language -Teaching Abstracts* was one of its most valuable contributions to «keep[ing] teachers and others professionally concerned abreast with the latest research and developments in the teaching of modern languages...»

#### **4. Conclusion**

Any relevant event in history, sooner or later, turns into a lesson. And also it eventually becomes a key to understand subsequent events. But above all what happened at that Conference of December 1960, as it has reached us, may be taken as an illuminating spectacle that established the principles and purposes working at the very foundations of the field of our studies, and this insight may perhaps be used as a reference to explain certain identities or ways of British linguistics; or can be tapped for arguments when we find ourselves in circumstances which require decisions similar to the ones described.

Every turning of each historical gyre sheds light on a facet that never is new, simply because it contains in itself other turnings other gyres.



# CONTRASTIVE ANALYSIS OF CLEFT AND PSEUDO-CLEFT STRUCTURES IN ENGLISH AND SPANISH

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## **Resumen**

*En nuestro trabajo hemos realizado un análisis contrastivo del uso del «clefting» en español y en inglés basándonos en una novela escrita en lengua inglesa y posteriormente traducida al español. Se analizarán los diferentes recursos adoptados en la traducción para reflejar el concepto de «clefting» y veremos cómo el español difiere del inglés en lo relacionado con el empleo de esta construcción cuyo objetivo final no es otro que el poner de relieve un elemento de la frase al que pretende otorgar una condición especial. Así, presentaremos un corpus de setenta y dos ejemplos que clasificaremos en dos grandes grupos: estructuras «cleft» y estructuras «pseudo-cleft». Todo ello se verá acompañado de una introducción basada en la teoría de Collins (1991) sobre este tipo de oraciones.*

## **Abstract**

*In an attempt to analyse the use of «clefting» in English and Spanish we have studied an English novel and its translation into the Spanish language. We will mention the different procedures used in Spanish in order to reflect the concept of clefting. Our study will show the differences between the two languages when they try to emphasize a particular element.*

*We include a corpus of 71 examples which are classified in two main groups: cleft and pseudo-cleft structures. All this is accompanied by an introduction based on Collins' (1991) description.*

## 1. INTRODUCTION

Collins (1991:2) defines clefts and pseudo-clefts as «identifying constructions, expressing a relationship of identity between the elements realized as the highlighted element and the relative clause». The former is also known as «focus» and the latter is often referred to in the literature as «presupposition». The highlighted element is identified as the thing which satisfies the definition provided in the relative clause. As identifying constructions, clefts and pseudo-clefts need to be distinguished from superficially similar attributive constructions. Whereas attribution is a relationship between an entity and some attribute that is ascribed to it, identification is a relationship between two entities, the one serving to define the identity of the other. While identifying constructions are typically reversible, attributive constructions are not in terms of voice: in identifying clauses there are two participants and thus both an active and passive, each with different participant as subject; in attributive clauses there is only one participant, and thus only one element in the clause to function as subject.

The primary function of «pseudo-clefts» and «clefts», as the names suggest, is thematic; they enable subsets of elements to be grouped into two parts in an almost unlimited number of ways. Furthermore, as noted above, the highlighted element and relative clause of pseudo-clefts may be inverted.

In terms of their communicative *raison d'être*, clefts and pseudo-clefts belong to a set of constructions each of which represents a marked variant of a communicatively «simpler» sentence, differing from it in terms of theme-selection, the presentation of given and new information and the like (cf. Collins, op. cit. pp. 2-5).

### 1.1 Communicative properties

These properties cannot be ignored in any attempt to provide an adequate grammatical description of the constructions. Furthermore, they provide a source of explanations for the patterns of stylistic variation displayed by clefts and pseudo clefts.

Each construction displays a distinctive mapping of logico-semantic, thematic and informational functions, from which it derives a unique

communicative value. Basic pseudo-clefts attach special status to background information, consequently requiring description in terms of a rich taxonomy of types of givenness. Reversed pseudo-clefts, whose theme is typically a text referential demonstrative, serve an «internal-referencing» function in discourse. Clefts are oriented more towards newness. In both unmarked clefts and one type of marked cleft, new information is highlighted via thematic predication. In a second type of marked cleft, the main focus of newness occurs in the relative clause; the thematic constituent, though non recoverable, is secondary in communicative significance.

There are substantial communicative differences between the constructions: pseudo-clefts are oriented towards givenness and generate thematic prominence of an ideational nature; clefts are oriented towards newness and generate thematic prominence of a textual nature.

## 2. CLASSIFICATION

A) Clefts: thematic flexibility in the choice of highlighted element.

### 1. With extraposition

It+be+highlighted element+wh-/that

Ex.: It is articles that I write

*Son artículos lo que escribo*

### 2. Without extraposition

When/where

Ex.: Where I like to go is to Geneve

*Donde quiero ir es a Ginebra*

Now is when I want to go

*Ahora es cuando quiero ir.*

### B) Pseudo-clefts

The class of pseudo-clefts in English comprises three subclasses: wh-clefts, th-clefts and all-clefts, although the prototypical pseudo-cleft with relative clause introduced by «what» is statistically dominant. We

can represent the structural possibilities of the pseudo-cleft construction by means of the formulae below:

What /the (adv) thing (that/which/0) +Sentence +constituent

Who / the (adv) one (that/who/whom/ which/ 0) + Sentence  
+constituent

Where/the (adv) place (that/where/which/0) +Sentence+constituent

When the (adv) time (that/when/which/0) +Sentence+constituent

Why / the (adv) reason (that/why/which/0)+Sentence+constituent

How/ the (adv) way (that/which/ 0) + Sentence+constituent

All + Sentence+constituent

((Modal) (neg) (have)) ((be)) ((neg) (adv)) ((constituent))

(Cf Collins 1991:27)

### REVERSED PSEUDO-CLEFTS

Pseudo-clefts with high-lighted element as theme.

Ex: Tom was the one who offered Sue a sweet

*Tom fue la persona que le ofreció a Sue un caramelo.*

### 3. CONTRASTIVE ANALYSIS OF CLEFT AND PSEUDO-CLEFT CONSTRUCTIONS IN ENGLISH AND SPANISH

We will be analysing and classifying the 71 clefting constructions which have been found in the book *The Catcher in the Rye* by J.D. Salinger as well as the different solutions given to them by the translator in the Spanish version (the numbers in brackets after the examples refer to the pages in both versions). The different examples will be classified in two groups, either cleft or pseudo-cleft constructions, in an attempt to study the differences between these languages in the use of clefting.

## A) CLEFT STRUCTURES

*I. With extraposition*

We didn't find any illustrative example of the kind in this particular novel.

*II. Without extraposition*

1. **Where I want to start** telling is the day I left Pencey (5)

**Empezaré** por el día en que salí de Pencey. (8)

2. **Where I lived at Pencey**, I lived in the Osseburger ... (20)

**En Pencey** vivía en el ala Osseburger de la residencia (23)

## B) PSEUDO-CLEFT STRUCTURES

*I. With antecedent (prepositional and no prepositional) (TH-CLEFTS)*

3. **The book I was reading** was this book I took out of the ... (22)

Estaba leyendo un libro **que había sacado** ... (25)

4. **The thing that was so descriptive about it**, ...was that it had poems written ... (41)

**Lo bonito** es que tenía poemas escritos ... (45)

5. **One thing I have**, It's a terrific capacity ... (95)

**Para eso del alcohol** tengo un aguante bárbaro ... (101)

6. **The only thing he ever did**, though, was give ... (149)

**Lo único que hacía era que** ...se ponía a hablarnos (155)

7. **The thing he was afraid of**, he was afraid somebody'd say something smarter than he had (153)

**Creo que en el fondo**, tenía miedo de que alguien dijera algo más inteligente. (159)

8. **The one thing I did**, though, I was careful as hell not to get boisterous or anything (156)

Me anduve con mucho cuidado, eso sí, de no meterme con nadie.  
(163)

*II Without antecedent (prepositional or not prepositional)*

Notice that for verbs of action the use of «do» appears whereas it is not necessary in the case of stative verbs.

9. **What I liked about her**, she didn't give you a lot of horsemanure about ... (7)

**Lo que más me gusta de ella** es que nunca te venía con el rollo de que ... (9)

10. **What I was really hanging around for**, I was trying to feel ... (8)

**Si seguía clavado al suelo**, era por ver si me entraba una sensación de ... (10)

11. **What made it ever more depressing**, old Spencer had ... (12)

**Lo que hacía la cosa aún peor** era que llevaba ... (14)

12. **What he did**, he started these undertaking parlours all over the country ... (20)

Abrió por todo el país miles de funerarias ... (23)

13. **What I like best** is a book that's at least funny ... (22)

**Lo que más me gusta de un libro** es que te haga reír ... (25)

14. **What really knocks me out** is a book that, when you're all done reading it ... (22)

**Los que de verdad me gustan** son aquellos que cuando acabas de leerlos ... (25)

15. **What I did was**, I pulled the old peak of my ... (25)

Me corrí la visera hacia delante ... (28)

16. **What she'd do**, when she'd get a king, she wouldn't move it ... (35)

Cuando tenía una dama nunca la movía (39)

17. **All I know is** I got up from the bed ... (47)

**Lo único que recuerdo** es que salté de la cama ... (51)

18. **What he'd do was,** he'd start snowing his date ... (53)

Empezó por largarle a su pareja un rollo larguísimo ... (57)

19. **What I thought I'd do,** I thought I might go down ... (54)

Iba a bajar para ver ... (59)

20. **So what I'd really do,** I'd get the hell ... (54)

**Decidí** irme de Pencey(59)

21. **So what I decided to do,** I decided I'd take a room. (55)

Me iría a un hotel de Nueva York. (59)

22. **So what I did was,** I went down the hall and ... (56)

Así que me fuí a ver a Frederick ... (60)

23. **All I did was** take off my hunting hat and put my ... (57)

**Todo lo que hice fue** quitarme la gorra y metérmela ... (62)

24. **What I thought I'd do,** I thought I'd go downstairs ... (71)

**Había decidido** bajar a ver qué pasaba ... (76)

25. **Then what I probably would've done,** I'd have gone in his closet and found the gloves somewhere. (93)

**Yo** habría ido entonces al armario y habría encontrado los guantes escondidos en alguna parte (100).

26. **What I might do,** I might say something very cutting ... (94)

Le habría dicho algo muy ingenioso ... (100)

27. **All I know is** my gloves were in your goddam galoshes. (94)

**Todo lo que sé es que** mis guantes estaban dentro de ... (100)

28. **What scares me most** in a fist is the guy's face. (94)

**Lo que más me asusta** es ver la cara del otro tío. (101)

29. **What I did**, I started talking, sort of loud, to Allie. (104)  
**De pronto** empecé a hablar con Allie en voz alta. (110)
30. **What happened was**, one day Bobby and I were going... (104)  
Una vez Bobby y yo íbamos a ir al lago (110)
31. **What he did**, he snapped his finger very hard ... (108)  
**Lo que hizo después** fue pegarme bien fuerte ... (114)
32. **What I'd do**, I'd walk down a few floors ... (109)  
Bajaría unos cuantos pisos... (115)
33. **What I really felt like**, though, was committing ... (110)  
**Lo único que de verdad tenía ganas de hacer** era ... (116)
34. **What I did**, I finally put my suitcase under my bed. (114)  
Un día las metí debajo de la cama. (120)
35. **What I did do**, I gave old Sally Hayes a buzz. (111)  
**Lo que hice en cambio**, fue llamar a Sally Hayes. (117)
36. **So what I did was**, I went over and bought two orchestra seats for I know My Love. (123)  
**Me decidí** por una obra que se llamaba Conozco a mi amor y compré dos butacas. (129)
37. **What I'll have to do is**, I'll have to read. (124)  
**Lo que tengo que hacer** es leer Hamlet. (130)
38. **So all I did**, in front of the museum, was get ... (128)  
Así que tomé un taxi y me fui a ... (134)
39. **So what I did finally**, I gave old Carl Luce ... (142)  
Así que al final llamé a Carl Luce ... (148)
40. **What I did**, I went to the movies at Radio City. (142-143)  
Me metí en el cine de Radio City. (149)
41. **All he did** was lay on his bed. (146)  
Se pasaba **el día entero** tumbado en la cama. (152)

42. **What gets me about D.B.**, though, he hated the war so much and yet he got me to read this book ... (146)  
**Lo que no comprendo es** por qué D.B me hizo leer Adiós a las Armas si odiaba tanto la guerra. (152)
43. **So all I did was**, I started discussing topics ... (150)  
(omission)
44. **What I felt like**, I felt like giving old Jane a buzz ... (156)  
Me entraron ganas de llamar a Jane. (163)
45. **So what I did**, I gave old Sally Hayes a buzz. (157)  
Así que **decidí** llamar a Sally Hayes. (163)
46. **So what I did**, I started walking over to the park. (160)  
Al final eché a andar en dirección al parque. (166)
47. **What it was**, it was partly frozen and partly not. (160)  
Estaba helado sólo a medias. (167)
48. **Then what I did**, I went down near the lagoon and I ... (162)  
Me acerqué al lago y tiré ... (169)
49. **What I figured I'd do**, I figured I'd better sneak ... (163)  
Decidí colarme en casa ... (169)
50. **What I may do**, I may get a job on a ranch ... (172)  
**Buscaré** trabajo en el Oeste ... (178)
51. **What he did was**, he came in our room and knocked ... (175)  
Llamó a la puerta de nuestra habitación ... (181)
52. **What he did**, he carved his goddam stupid sad old ... (175)  
Las había grabado hacía como veinte años ... (181)
53. **What he did**,... he jumped out of the window. (177)  
Antes de desdecirse, **prefirió tirarse** por la ventana. (183)

54. **All you do is** make a lot of dough and play golf ... (179)  
**Lo que hacen es** ganar un montón de pasta, jugar a ... (184)
55. ... **what you really wanted to do** was be a terrific lawyer ... (179)  
 ... porque quieres que todos te **consideren** un abogado ... (184)
56. **What I wanted to do**, I wanted to phone up that was ... (180)  
 Quería llamar al que había sido mi profesor ... (186)
57. **What I'll do**, I'll probably stay at Mr. Antolini's. (185)  
 Probablemente me quedaré en casa del Sr Antolini. (192)
58. **What he did was**, Richard Kinsella, he'd start ... (191)  
**Lo que pasó es que** Kinsella empezó hablando ... (197)
59. **What I mean is** , lots of times you don't **know** ... (192)  
**Es que** hay quien no sabe lo que le interesa ... (198)
60. **What I think is**, you're supposed to leave somebody alone ... (192)  
 Creo que es mejor que le dejen a uno en paz... (198)
61. **What I may do**, I may hate them for a little while. (194)  
 Es posible que alguien me reviente por una temporada. (200)
62. **What he was doing was**, he was sitting on the floor. (199)  
 Se había sentado en el suelo, junto al sofá. (204)
63. **All I did was** I walked over to ... (201)  
 Así que me fuí andando hasta ... (207)
64. **What did worry me** was the part about how I'd woke up ... (201)  
**Lo que sí me preocupaba** era haberme despertado y ... (208)
65. Finally, **what I dedided I'd do**, I decided I'd go ... (205)  
 Al final decidí irme de N.Y. (211)

66. **What I'd do**, I figured, I'd go down to the Holland ... (205)

Iría al tunel Holland. (211)

67. **What I'd do was**, I'd pretend I was one of those ... (205)

**Lo que haría** sería hacerme pasar por sordomudo ... (211)

68. **What I'd do**, I'd let old Phoebe come out and ... (211)

A Phoebe **sí** la dejaría venir a verme ... (217)

69. **What I did was**, I went up to the window where they sell the tickets and bought old Phoebe a ticket. (217)

Me acerqué a la ventanilla donde vendían los tickets y compré uno para Phoebe. (222)

70. **What she did** -it damn near kill me- she reached ... (218)

Luego hizo una cosa que me hizo mucha gracia. Me metió ... (223)

71. **About all I know is**, I sort of miss everybody I told you about. (220)

**De lo que no estoy seguro es de que** echo de menos en cierto modo a todas las personas de quienes les he hablado. (226)

Adverbial clefting cannot be illustrated because no examples have been found in the book.

### **Procedures used in the Spanish version for the translation of cleft and pseudo-cleft constructions**

1. Translation by a complex clause -relative or substantive clauses (lo que /los que): Examples 6, 9, 11, 13, 14, 17, 23, 27, 28, 31, 33, 35, 37, 42, 54, 58, 64, 67, 71 (27%).

2. Omission of the emphatic element: Examples 5, 8, 12, 15, 16, 18, 19, 21, 26, 30, 32, 34, 3-8, 39, 40, 43, 44, 46, 47, 48, 49, 51, 52, 56, 57, 61, 62, 64, 65, 66, 69 (44%).

3. Reinforcement of the meaning of the verb: Examples 20, 24, 3-6, 45, 53 (6.9%).

4. Different tense -often using the «will construction»: Example 50 (1.4%).
5. Use of an adverb or a adverbial expression: Examples 2, 29, 41, 68 (5.5%).
6. Others: (15.2%)

#### 4. CONCLUSIONS

Firstly, we notice that pseudo-clefts are more abundant in this particular text. In our corpus there only appear two examples of cleft constructions whereas there are 69 examples of pseudo-clefts. In terms of frequency this means that there is 2.8% of clefts as compared to 97.2% of pseudo-clefts. The reason for this might be that the kind of text that we have been analysing is full of dialogues and, therefore, the register becomes a very important element of the story itself.

As has been demonstrated, the distribution of cleft and pseudo-cleft constructions is uneven across speech (this text could be considered as speech although it is written discourse) where pseudo-clefts are over three times more popular than clefts. The popularity of pseudo-clefts in speech is attributable largely to their givenness-orientation. They attach special status to background material, presenting it in the form of a subordinate clause. Therefore, it is not surprising that a construction which so explicitly represents the background knowledge should occur more frequently in speech than in writing.

By contrast with pseudo-clefts the orientation of cleft constructions is toward newness. New information is highlighted, via thematic predication. Clefts may be used by the writer as a means of directing the reader into a particular interpretation of the information structure. Furthermore, it is precisely in «opinion» texts that clefts occur with the greatest frequency.

Secondly, we have to outline the differences between English and Spanish in their procedures of emphasis. The Spanish language is much more flexible and has more elements to emphasize. Nevertheless, on many occasions, what the Spanish language does is omit the emphatic

clause losing most of the original's intention. The result is that the sentence is weaker as far as emphasis is concerned.

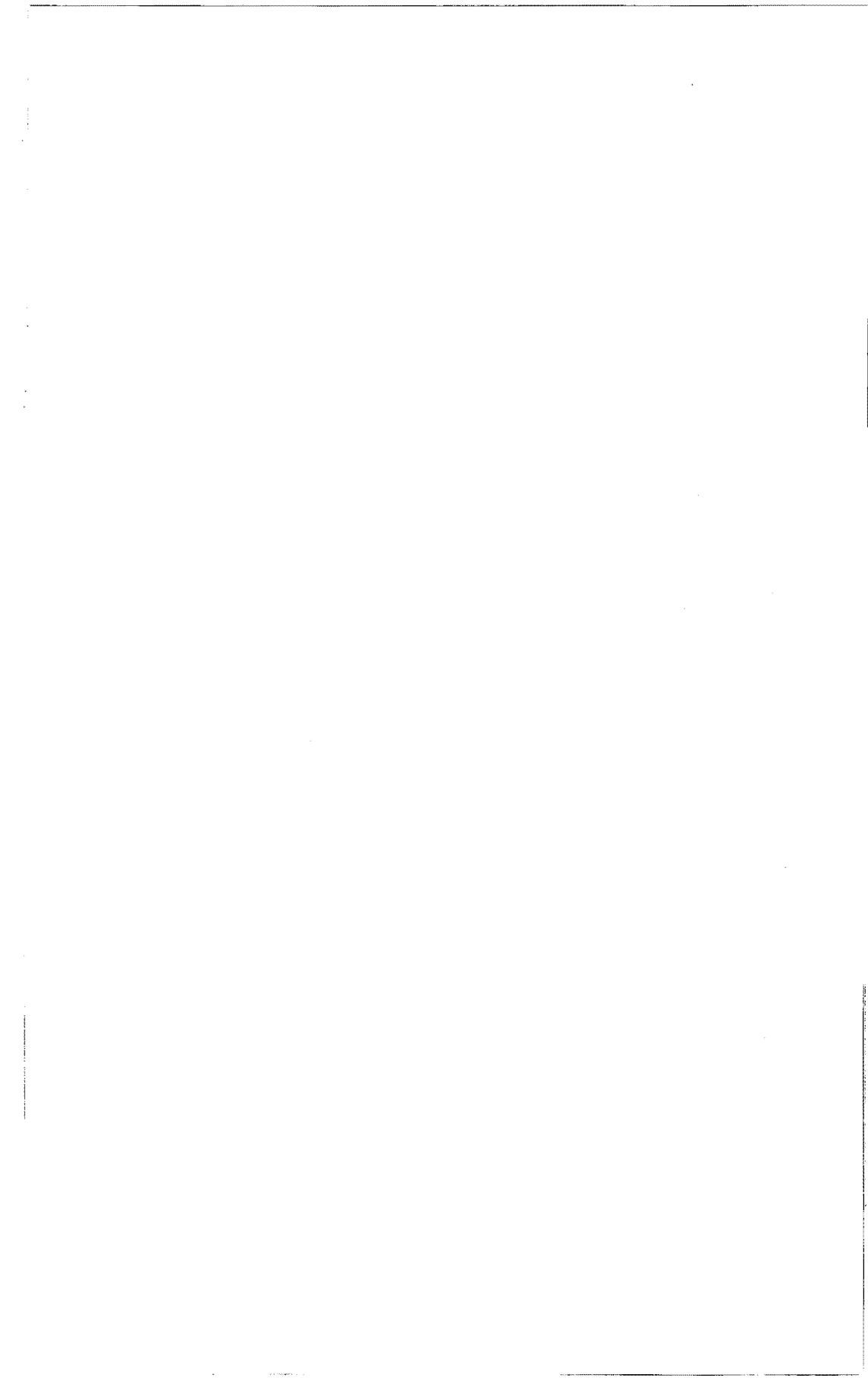
As for the impression that the Spanish reader gets of the main character, this is slightly different as compared to the one that the English public receives. This is due to the fact that his peculiar way of talking and consequently his way of thinking is not properly reflected in the Spanish version for a lot of the expressions have been simply omitted or forgotten. Even when they have been maintained, they become somewhat artificial in the target language. The reason for this is that clefting is not as frequent in Spanish as it is in English, a possible solution being the reinforcement of the meaning of the verb, although obviously not the only one.

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**LITERATURA EN LENGUA INGLESA**



**JOHN FOWLES' DANIEL MARTIN:  
THE ELUSIVE AND ELUDING NATURE OF THE  
ENGLISH PSYCHE**

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**Resumen**

*Desde el principio de la obra Daniel Martin de John Fowles el lector se ve sorprendido por una serie de signos aparentemente inconexos. ¿Qué tienen en común Robin Hood, las orquídeas salvajes, los oscars de Hollywood, los espejos, Shakespeare y Rembrandt? Otro rasgo lingüístico que atrae la atención del lector es la densa explotación de las dimensiones léxicas de la ocultación y la revelación, una subdimensión del campo de la percepción visual. En este artículo, aplicamos la teoría de campo en el análisis literario y buscamos una percepción más profunda de los procesos de selección del autor. La acumulación de signos apunta hacia una identificación de los ingleses como un pueblo que oculta y levanta barreras protectoras. El texto está dominado por un conjunto de elecciones léxicas, sacadas de un «lexicon» que se muestra ya estructurado y que en sí mismo es un reflejo de la estructura conceptual.*

**Abstract**

*From the start of the narrative of John Fowles' Daniel Martin, the reader is struck by a series of seemingly unconnected signs. What do Robin Hood, wild orchids, Hollywood oscars, mirrors, Shakespeare and Rembrandt have in common? Another linguistic feature which attracts the reader's attention is the heavy exploitation of the lexical dimensions of concealing and revealing, a subdimension of the field of visual perception. In this paper, we apply field theory in literary analysis, and reach a deeper awareness of the author's selection processes. The accumulation of signs points to an identification of the English as a people who hide and put up protective barriers. The text is dominated by a set of motivated lexical choices, drawn from a lexicon which is shown to be already structured, and which in itself is a reflection of conceptual structure.*

## 0. Introduction

Among English novelists of the second half of the twentieth century, John Fowles is one of those most concerned with the phenomenon of Englishness. He explores what is understood as «being English», and the moral stances involved in the ways we think English people should behave and participate in their culture. His second major concern in his work is the nature of art: what makes good art and what should art be like in our times. In his 1977 novel *Daniel Martin*, these two themes come together, since the protagonist, Daniel Martin, is an English writer; he encapsulates Englishness and writing, having worked in the major genres of novel, theatre and film. The work as a whole is an argument through which the reader is invited to contemplate aspects of Englishness and aspects of art, verbal and visual, and draw certain conclusions about them. Our contemplations are guided not only by the verbal arguments of the protagonist-narrator, but also by powerful signs in the text which embody the visual and the verbal. As sign or event representation standing for elusive Englishness, Fowles, through Daniel Martin, suggests Robin Hood. The Robin Hood figure, his face covered by his hood, his body protected by his merry men, deep in Sherwood Forest, is a myth, says Fowles, based upon hiding. The concept of hiding or concealing, preventing from being seen, is highly lexicalised, and the reader soon becomes aware of this foregrounding. The semiotic representation of the constituents of great art is a Rembrandt self-portrait, which is shown to be the opposite of the Robin Hood myth, not self-concealment, but self-revelation.

The discussion in the text of the further dichotomy: private /public art is set out in the figure of Shakespeare, and develops into a discussion of a dichotomy on a national basis: English/ American. Shakespeare becomes a sign to point to an embodiment of the two arts: the intensely private *Sonnets* and the social *Plays*. Fowles, through Daniel Martin, suggests that only the former are truly English. Similar conclusions are drawn about the novel as private art, and the theatre and cinema as social and public. Fowles argues for efforts to protect the former from erosion by the latter, more visual, American art, exemplified in the text by the sign of the statuette, or Hollywood oscar.

The main challenge Fowles confronted in writing his novel was how to make the reader aware of something that is elusive, hidden, or perhaps not even there. He has met the challenge by using powerful, complex symbols, and by exploring to the limits all the possibilities available to him within the lexical field. First we examine the signs which convey to the reader the message the author wishes to communicate. Secondly, we examine the lexical field of concealment, using a methodology which permits an exhaustive, explicit exposition, to show how the writer has gone about his task of selection, and maintained his insistence upon a theme without falling into unacceptable repetition and monotony.

## **1. Major signs in the text: Robin Hood, the Rembrandt self-portrait, Shakespeare, the Sphinx, the secret valley, the waste land**

### **1.1 Robin Hood**

Daniel Martin as narrator speaks of the English as a nation of eluders, they play hide-and- seek on a nationwide scale (*Daniel Martin* 293), and Robin Hood is the «archetypal national myth» (303). It has its foundations in rejection, rejecting the real world (under the Sheriff of Nottingham) in favour of an ideal one. In this it functions well as a sign for literature, since certain forms of literature create utopian fictional worlds. Furthermore, creating fiction is related by Daniel to his being English (305).

### **1.2 The Rembrandt self-portrait**

The key to Daniel Martin's quest for «true art» comes at the very end of the narrative, and therefore has a retro-active effect. It is also intertextual, but makes reference to a visual, not a verbal text: «the famous late Rembrandt self-portrait» (702). Within the narrative, it is a coincidental, arbitrary encounter, through which Daniel learns that the art of genius is timeless, and possess two indispensable elements, which

are vision and feeling (703). It is significant that the artist who has taught Daniel a lesson is not English. It is as if the English, through running away from others and from themselves are incapable of true vision and are so self-centred as to have no real feeling.

### 1.3 Shakespeare

Shakespeare is seen by Daniel as being an anomaly. The public nature of the medium of the theatre does not fit the English mould (180). The *Sonnets* would be more typically English, and Fowles foregrounds the relationship between intimacy, sexuality and taboo in art by the unexpected words «castrated», «indecent», «defecation» and «masturbation» (180). Daniel feels that in the theatre he has misrepresented himself and needs a more personal medium. After the theatre, he turned to screen writing, only to find that the camera cannot penetrate, but like the eye, only sees surfaces (307).

Another disadvantage for him is the limiting «presentness» of the camera's eye. He realises he has been a moral coward, for in examining communal art, such as the New Mexican or Egyptian, he sees that each artist contributed anonymously, and therefore had little to lose, whereas a true artist is required to take a stance.

### 1.4 The Sphinx

It is a foreigner, the German professor Daniel meets, who confirms the general view of the Englishman as hermetic. He calls England «The Sphinx of Europe» (584), and the English are enigmatically hidden behind masks, screens and false images.

### 1.5 The secret valley vs. the waste land

Daniel's Englishness solves his technical problems, and also offers a solution to his lack of «feeling». In his two-fold quest, he has sought a lost innocence and found it in a «locus amoenus» (306) as utopian writers have always done. In the Thornecombe of his childhood, like Restif de la

Brettonne's «secret valley» (305), time stops and all is perfect; he has in his mind's eye a vision which he feels, and therefore knows, is supremely beautiful. But in order to learn to feel again, it does not suffice merely to return to this secret valley. Daniel has to pass through the «waste land» of nothingness, where everything is pared off, stripped down. The monastic retreat of Palmyra is the symbol for this, and all Daniel's cultural and social baggage is thrown off here.

## **2. Minor signs in the text: the wild orchid, the mirror, the oscar, the locked suitcase, the closed door, the newspaper**

### **2.1 The wild orchid**

The main characters, Oxford students in the immediate postwar years, often spend their spare time searching for wild orchids. The hunt for this flower by Daniel, Anthony and their girlfriends, the two sisters who become their wives, Nell and Jane, comes to symbolise their search for what is most valuable in life --valuable because rare and therefore difficult to see. Anthony is a «looker at», and regrets this towards the end of his life as the approach is too contemplative and he realises he was stuck in a false perspective. Daniel is a «looker for», and is equally frustrated as the object of his search is elusive. As a writer, he is in search both of his own true identity, and of the nature of truly great art. Visual perception and its verbal expression is of paramount importance in the working out of these parallel quests.

### **2.2 The mirror, the oscar, the locked suitcase**

As an undergraduate, Daniel had searched for his identity in the mirror, having fifteen mirrors in his room (61 & 269). Later, when he thinks he has finally made it by getting to Hollywood, he searches for identity in «those ultimate lying mirrors, the framed awards and gilt statuettes» (131). He comes to realise they dazzle and prevent us from seeing. The adult Daniel looks in the mirror and sees «a locked suitcase with a destination label one couldn't read» (643).

### **2.3 The closed door, the newspaper**

Fowles, through Daniel, asserts that the English, as a nation, keep the «door» to their inner identity firmly shut. On another occasion, on a train, newspapers are used as a barrier to visual perception, the English actually «bury» (150) themselves in the paper to avoid communication with the «other». Burying is metaphorical concealment, and custom and manners also place a prohibition on communication.

### **3. Foregrounding of the lexical field of concealment.**

From the start of the narrative, the reader notices that the lexical dimensions of concealing and revealing, a subdimension of the field of visual perception, are exploited to an inordinate degree. By the end of the novel, the linguistically sensitive reader has recognised the fact that the text is dominated by a set of motivated lexical choices, from a lexicon which is structured, and which in itself is a reflection of conceptual structure.

#### **3.1 Theoretical background and methodology**

Linguists have become aware of the importance of lexical structure as a way of exploring how concepts are stored in the mind. Language tells us that we are not passive recipients of information about objective reality, but active experiencers and interpreters of a world upon which we impose a certain order. In this way, as perceivers of the world, we become the authors of our conscious experience. The lexicon mirrors the choices we make of which percepts to «translate» into images and propositions to store in our memory in the form of event representations. Separable concepts are derived from the differentiation of elements in such representations and integrated into the conceptual system, which can be defined as «the organised base of general knowledge, relatively unconstrained by specific spacial-temporal context» (Nelson 1985,9). The conceptual system is reflected in the lexicon, which is divided into fields or broad areas of meaning, each of which roughly corresponds to a conceptual category.

Just as we construct our reality from perceptual data, so the novelist constructs a fictional world in which the sequence of events, the events themselves, and the focalisation of meaning are the product of conscious choices. Depending on the meaning to be conveyed, the author highlights certain areas of lexical structure more than others. For that reason, a novel can be analysed in terms of meaning structure within the context of its own structure as well as against the background of the entire lexicon. However, to carry out this type of analysis, an inventory of lexical fields must first be elaborated.

The problem with talking about lexical fields is that although they are often mentioned, no one seems to have a very exact idea of what they are. Bell (1991, 97) states that the lexical field is an extension of the thesaurus model, but in fact, it is much more than that. Our inventory of lexical fields differs substantially from that found in the *Thesaurus*, which groups lexical items very roughly in terms of ideas expressed. Words within a field have internal structure which is a function of human memory. Such internal structure is based on meaning postulates (hyponymy, synonymy, antonymy, etc.), all of which are essentially perceptual judgements of similarity and difference. The key role that perception plays in our understanding of existence leads to the obvious conclusion that everything is viewed and interpreted in terms of human experience and values, and human means of differentiation.

The model of lexical structure we have used is the Functional-Lexematic Lexicographic Model (cf Martín Mingorance 1984, 1987, 1990). Using dictionaries as texts that embody our general shared knowledge about words, we have extracted the meaning components from the definitions of the verbs analysed, and have thus elaborated hierarchies of meaning, which form the basic architecture of our lexical fields.

The definitions we have used contain a consensus of meaning components from the following dictionaries: *Collins Cobuild*, *Longman Lexicon of Contemporary English*, *Oxford Advanced Learners' Dictionary*, *Merriam Webster's Collegiate Dictionary* and *Random House Dictionary of the English Language*. In this way, we have obtained the criteria to assign units to a specific domain, as well as to determine and classify their relevant interrelationships both on a micro- and macro-structural

level. Working upward from definitional structure, we have found that verbs fall into the following basic domains: EXISTENCE, POSITION, MOVEMENT, CHANGE, POSSESSION, PERCEPTION (including stimulus verbs such as LIGHT and SOUND), EMOTION, COGNITION, SPEECH and GENERAL ACTION (composed of subgroups such as verbs of *consumption, competition, contact, use* etc.

Although the interrelations of words within a field can be of various types, the favoured lexical relation in field structure is that of hyponymy, which is based on the coordination of syntagmatic and paradigmatic structure. Hyponymy is a meaning postulate that involves total inclusion, and thus is the basis of hierarchical relationships. The privileged status of hierarchies in the lexicon is not surprising given that the same is true in human cognition. For example, perception verbs are directly linked to other lexical categories because of the complex type of action they represent.

It has been shown (Faber & Wallhead 1995) that John Fowles is a «vision» man. In *Daniel Martin*, negative and passive dimensions of the field of VISUAL PERCEPTION have been found to be more significant.

### 3.2 Parameters of VISUAL PERCEPTION

#### TO BE SEEN

- show** - to be seen
- express** - to show clearly, being a sign of something
- demonstrate** - to show clearly, proving by facts, actions etc
- register** - to show (as) on a scale/gauge

#### TO CAUSE STH TO BE SEEN

- show** - to cause sb/sth to be seen
- express** - to show sth (fact, feeling, opinion, etc.) clearly, usu. in words/gestures etc.
- salute** - to express respect/admiration for sb/sth with a formal sign

- protest** - to express disagreement against sb/sth
- demonstrate(2)** - to protest against sb/sth by taking part in a public event
- oppose** - to express strong disapproval/disagreement, usu. in a formal way
- demonstrate (1)** - to show sth clearly, proving it by facts etc
- manifest** - to show sth clearly (formal)
- prove** - to show that sth is true
- exhibit** - to show sth in public, esp. for a competition/sale
- flash** - to show sth quickly and put it away again
- display** - to show sth/sb proudly so that they can be seen easily
- show off** - to display
- flaunt** - to display sth in a very obvious, bold way
- vaunt** - to display sth you have in a boastful way
- parade** - to display sth to make people admire/envy you
- feature** - to display sb/sth, making them more noticeable than other people/things
- brandish** - to display sth in a threatening way
- betray** - to show sb/sth without wanting/intending to, or with a malicious intention
- point (at)** - to show sb/sth by holding out a finger/other object in its direction
- indicate** - to point to (formal)
- aim** - to point sth (gun/weapon/blow) at sb/sth else
- guide** - to show sb the way to/around somewhere
- project** - to cause sth (light/film/image) to be seen on a surface  
*to cause sb / sth to be seen that was hidden*
- reveal** - to cause sb/sth that was hidden to be seen

- disclose** - to reveal sth, making it known
- unmask(2)** - to reveal the true nature of sb/sth
- unveil(2)** - to reveal sth, making it known publically
- unfold** - to reveal sth, making it known gradually
- expose** - to cause sb/sth that was hidden to be seen, esp. leaving it unprotected
- uncover** - to cause sth that was hidden to be seen by removing the covering
- bare** - to uncover sth, esp. a part of sb
- unmask(1)** - to uncover sb's face by removing their mask
- unveil(1)** - to uncover sb/sth by removing a veil/cloth covering  
1=literal, 2=metaphorical)

From the above definitions, it is evident that there are a great many ways of causing something to be seen, and that such activity is salient in our perception.

#### TO NOT SEE

- be blind** - to be unable to see

#### TO CAUSE SB TO BE UNABLE TO SEE

- blind** - to cause sb to be unable to see
- dazzle** - to blind sb for a short time, esp. with light

#### TO NOT BE SEEN

- be invisible** - to be unable to be seen, usu. for supernatural reasons

#### TO CAUSE STH NOT TO BE SEEN ANY MORE

- hide** - to cause sb/sth not to be seen
- conceal** - to hide sb/sth carefully
- veil** - to hide sb/sth (as if) by covering them with a veil so that they are not obvious

- cloak** - to hide sb/sth, covering them completely
- enshroud** - to hide sb/sth so that they seem secret and mysterious
- obscure** - to hide sb/sth by making them dark/indistinct
- disguise** - to hide sb/sth so that others will not know about them
- mask** - to disguise sb/sth by covering them up
- camouflage** - to hide sb/sth by making them appear to be sth different
- bury** - to hide sth, in or as if in the earth, covering it with other things
- cache** - to hide sth in a cache or place for hiding food/treasure/weapons
- secrete** - to hide sth in a secret place

### 3.3 Functions within the field

The preponderance in *Daniel Martin* of words from this last list, except perhaps the more specific and obscure *enshroud* or *cache*, indicates that the salient dimension in the novel is the causative one, more precisely, in its negative form: TO CAUSE STH NOT TO BE SEEN. This relates to the most relevant area of meaning in the novel, which is not what the characters perceive, but rather what they endeavour to hide. A semiotically-minded reader may find him/herself looking for signs of *what is not there*, or what is *behind* something else.

In the dimension TO CAUSE STH NOT TO BE SEEN ANY MORE, the invariant nucleus of meaning is *to hide* (TO CAUSE STH NOT TO BE SEEN). This nuclear meaning contained within each member of the dimension is what makes the dimension cohere. This adverbial modification forms the basis for the establishment of parameters/oppositions. The meaning components brought into the foreground in

this way are maximally significant, because they are the means through which lexemes in the same field are differentiated from each other. If we look at them more closely, we find that they also encode/represent the way we perceive and make sense of the world around us. It stands to reason that these parameters, as representations of the way we interpret reality, should also be evidence of how we encode events as well as how we relate them to other conceptual fields.

In the definitional structure of these verbs, there are four possible slots: (1) sound; (2) evaluation/effect on the perceiver; (3) reason for deviation from norm; (4) pragmatic/stylistic features.

Action	->	to hide
Affected entity	->	somebody/something
Means	->	by covering them with a veil
Purpose	->	(unspecified)
Result	->	so they are not obvious
Pragmatic/stylistic features	->	(unspecified)

These possible slots are generally filled progressively according to the position of the lexical item within the hierarchy and its degree of specificity. However, here the purpose and result are integrated to a certain extent because the result is the effected goal, or the purpose which has been carried out.

All of these verbs have metaphorical extensions and accept abstract arguments. The dimension TO CAUSE STH NOT TO BE SEEN ANY MORE lexicalises the different ways it is possible to hide something. Many of these verbs are denominal ones, for example, *veil*, *cloak*, *mask*, because one of the ways we hide something is to cover it with something else, thus placing a barrier between the thing and ourselves. In the

quotations from the novel already seen, we found many examples of *veil* and *mask*.

The second way we hide something is to change its position: *bury*, *cache*, *secrete*. These verbs have double field membership because they are also in the lexical field of POSITION in the dimension TO PUT STH (CAUSE STH TO BE) IN A PLACE.

Things can also be hidden by making the conditions of perception more difficult. For example, darkness can hide something (*obscure*), or defacement can remove something, as in the suitcase address label that could not be read. Finally, another possibility is to change the appearance of the object in question in such a way that it is perceived as something else (*disguise*, *camouflage*).

#### 4. Conclusions

John Fowles begins *Daniel Martin* with the arresting phrase «Whole sight; or all the rest is desolation» (7). The signs we have become aware of in the novel have proved to be either impediments to vision and knowledge: trees, doors, suitcases with undecipherable labels, newspapers, mountains (the secret valley), external trappings (the theatre), glitzy temporary fame (oscar), masks (the Sphinx's passive face), the distorting mirror; or they have been the real object of the search: a thing of beauty like the wild orchid, one's true identity in harmony with one's ideal identity, like the secret valley, finally, a thing of beauty and truth (found only at the end of the book and, in the narrative, late on in life) like the Rembrandt self-portrait, even Shakespeare's *Sonnets*.

Our linguistic analysis of the text has shown us that there are many references to vision and to impaired vision, but also our relation of this to the linguistic field of visual perception/concealment has shown how different examples function. The references to masks and veils have a similar function, while a reference to something «secret» has a slightly different function. We can see how the Sphinx is a form of mask and how it tells us nothing of who created it, while Rembrandt looking straight out of his portrait is the opposite. The trappings of the theatre in Shakespeare's plays form a cloak which is the «publicity of the seen

spectacle» (307), not so sincere as the «private» form of the read text in the *Sonnets*. Daniel Martin sees that his work falls into the first category, it caters to the masses, is prudent and is not authentic: «I've betrayed the only two things for which I ever had any talent. Handling words and loving one single other human being wholly» (660).

In *Daniel Martin*, Fowles discusses seeing properly in order to understand and then be in a position to make the correct moral choice. The moral choices relate to inter-personal relations, to ideology and to art. Daniel, like Fowles himself, was exposed to Leavisism, which not only demanded high moral standards of literature, but also placed literature instead of religion at the centre of morality.

The mind's processing of information from visual perception and the moral choices to be taken thereupon are discussed by Fowles on this dual plane: the personal/ideological and the artistic. The reader may not agree with such a narrow view of great art, but by responding to the signs in the text, we follow his argument because it is based on logical structures that we can apprehend.

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## SOME INSIGHTS INTO THE ROLE OF METAPHORS IN THE SHAPING OF CULTURAL STEREOTYPES BY THE MEDIA: 1993 SPANISH ELECTION

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### **Resumen**

*El objetivo de este trabajo es discutir el papel que desempeña la metáfora en la formación de estereotipos culturales. En concreto, se investiga el modo en que las expresiones metafóricas actúan como vehículo lingüístico para reforzar ciertas concepciones de las culturas extranjeras. Los hallazgos de Lakoff y Johnson (1982), Kittay (1987) y Soria (1993) proporcionan el marco teórico de estudio de las metáforas como estereotipos culturales. El corpus utilizado en el análisis lo constituye una serie de artículos publicados en la prensa británica sobre las Elecciones Generales españolas de 1993. En estos artículos, los periodistas ingleses tienden a retratar España y los españoles mediante una serie de imágenes como las corridas de toros, Franco y la Guerra Civil, la Costa del Sol, la moda y la bebida. Esto contribuye a mantener la imagen dominante de España como un soleado país siempre de fiesta donde los británicos pasan sus vacaciones o su jubilación. La relevancia política de esta imagen se estudia en el contexto del entendimiento entre culturas.*

### **Abstract**

*The aim of this paper is to discuss the role of metaphor in the shaping of cultural stereotypes. In particular, it explores the way metaphorical-expressions act as a linguistic vehicle to reinforce certain images of alien cultures. The findings of Lakoff and Johnson (1982), Kittay (1987) and Soria (1993) provide the theoretical framework for the study of metaphors as cultural stereotypes. The corpus for the analysis is taken from the coverage of the Spanish 1993 General Election in some British quality newspapers. British journalists tend in these articles to portray Spain and the Spaniards through the images of bullfighting, Franco and the Civil War, coast resorts, fashion and drinking. This contributes to maintaining the pervading image of Spain as a sunny ever-partying country where Britons go to spend their holidays or their retirement. The political relevance of this image is explored in the context of intercultural understanding.*

## 1. Introduction

The tendency to associate people from alien cultures with a set of recurring characteristics is a well known phenomenon. Most of us have sometime pictured the Japanese as hard-working people who spend their short holidays taking pictures of almost everything, Spaniards as joyful lazy 'macho men' drinking wine and enjoying siestas or the Germans as efficient, powerful - and to many Mediterranean eyes - boring individuals.

The purpose of this paper is to discuss the role of metaphor in the shaping of these cultural stereotypes. I will be exploring particularly the way metaphorical utterances act as a linguistic vehicle to reinforce certain images of alien cultures in the written media.

It is not my intention to discuss whether the press creates these stereotypes or, simply, reproduces ideas already familiar to the readers. Rather, my primary concern is to test the relevance of connecting the findings of the study of metaphor as a linguistic utterance with the cultural and political views the media articulates in its everyday language. Thus, I hope to throw more light on the contribution of the media generating/maintaining certain widespread prejudices among the readers in the context of international understanding.

## 2. The corpus

The corpus for the analysis has been taken from the coverage of the Spanish 1993 General Election - held on June 5th - in some British quality newspapers. Twenty three reports published between May 23rd and June 9th were selected from *The Independent*, *The Guardian*, *The Observer*, *The Times*, and *The Daily Telegraph*. It should also be added that there was an initial attempt to include coverage in the tabloids. This could have permitted comparison between the content and the nature of metaphoric utterances in the different types of British newspapers. Unfortunately, this idea was discarded because there was no coverage at all in the tabloids. However, it is interesting that on Monday, June 7th *The Daily Mail* included an article about Spain. It was not about the results of the recent Election but about the weather, namely about possible storms in the UK blowing from the south: *MORE*

*HOT WEATHER HEADING FROM SPAIN. But thunder won't be far behind, says forecast.*

In selecting data for the corpus, I was concerned, firstly, with the formal nature of the information. These articles are, in themselves, a closed thematic unit. Secondly, it was important that they deal with foreign affairs. The fact that they covered a General Election in a different country made them particularly apt for research on 'stereotypes'. Finally, as a Spaniard living temporarily in the UK at that time, the choice of such a topic gave me a chance to contrast systematically some personal views with those of the corpus. I am aware that this third reason is merely emotional and not particularly academic, but not for this less important.

### 3. Theoretical background

This study of metaphoric expressions has been carried out taking into account a two-fold perspective: on the one hand, the cognitive structure of metaphoric utterances and, on the other hand, their communicative power as discourse units. The findings of Lakoff and Johnson (1980), Kittay (1986) and Soria (1993) have provided the theoretical foundations for the study of metaphoric expressions in the language of the press.

Lakoff and Johnson's emphasis on the inherent relationship between specific cultural values and the nature of metaphor has served as the starting point for the connection of metaphoric utterances appearing in the press and the notion of cultural stereotype.<sup>1</sup> Lakoff and Johnson write: "The most fundamental values in a culture will be coherent with the metaphorical structure of the most fundamental concepts in the culture" (1980:22). However, they continue: "In general, which values are given priority is partly a matter of the subculture one lives in and partly a matter of personal values" (1980:23). Taking this into account, I believe that this study of metaphoric expressions provides some relevant

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<sup>1</sup> Throughout this paper I have assumed Fowler's definition of *stereotype* as «A socially-constructed mental pigeon-hole into which events and individuals can be sorted, thereby making such events and individuals comprehensible. [...] Stereotypes are *creative*: they are categories which we project on to the world in order to make sense of it». (1991:17)

data about what cultural values are supposedly recognizable by the British reader of newspapers in general and, also, what values are foregrounded by the journalist in particular.

However, one of the major criticisms of Lakoff and Johnson's work is that systematic criteria for the identification of metaphors are not provided. In fact, their distinction between *conventional* and *literal* metaphors have provoked quite heated debate about their nature. (See Kittay, 1987:20; Romero & Soria, 1997).<sup>2</sup> In this respect, Kittay (1987) establishes some useful boundaries by defining what she calls 'perspectival theory', that is, by defining the functions metaphoric utterances serve. Kittay's theory of metaphor combines the acceptance of the cognitive nature of metaphor with the exploration of its expressive medium: the utterance. For her, "the metaphor provides the *linguistic realization for the cognitive activity* by which a language speaker makes use of one linguistically articulated domain to gain understanding of another experiential or conceptual domain" (1987:14; my emphasis). Thus, Kittay introduces the notions of *first order* and *second order* meaning in order to identify metaphoric utterances: *First order* meaning is understood as whatever the utterance brings to mind out of context. More concretely, *first order* meaning would correspond to the coincidence of the '*timeless meaning(s) of an utterance-type*' and '*occasional meaning of an utterance-type*' according to Grice's (1969) theory. *Second order* meaning responds to the resulting meaning '*when the features of the utterance and its context indicate to the hearer or reader that the first-order meaning of the expression is rather unavailable or inappropriate*' (Kittay, 1987:42).

However, Soria (1993:86) argues very convincingly that the use of a metaphoric utterance should not be explained in terms of paraphrasability or substitution, but rather in terms of its relevance. She proposes two criteria for identification: *contextual anomaly*, (an

<sup>2</sup> Romero & Soria (1994) maintain that so-called *conventional* metaphors are not true metaphors because: "a. there is neither contextual anomaly nor conceptual contrast in their identification; b. procedures similar to those used in literal language are used to utter and understand them; c. their classification as metaphors is due to the metaphorical origin of one of their components but not to their actual function" [my translation]. Similarly, for Kittay, Lakoff and Johnson's notion of literal metaphor provokes a clash between what is literal and what is conventional: "If we deny literal language, we deny the possibility of metaphor" (1987:19-20).

expression uttered in an unusual linguistic or extra-linguistic context); and *the conceptual contrast* (the use of expressions commonly used to describe something else) (Soria, 1993:451). Both conditions are necessary for an utterance to be considered metaphoric. These criteria will allow for the identification of a metaphoric utterance despite its illocutionary force or its grammatical structure. Furthermore, the dichotomy established by Kittay between first and second order meaning becomes now rather irrelevant. The notion of first order meaning disappears by applying the anomaly criterion. That is to say, the anomalous context prevents the utterance from having a literal meaning as a metaphoric utterance. For the same reasons, Lakoff and Johnson's notion of '*conventional metaphors*' becomes equally redundant.

I have adopted the criteria proposed in Soria (1993) as the basis for the identification and classification of the metaphors of my corpus. The object of description of the metaphoric utterance will be called *source domain*, and the domain used to express the object of description will be called *target domain*. For example, in the headline (*The Times*, 9/6/1993): "Spain awaits Gonzalez's 'new look' government", the metaphoric meaning arises by contrasting the source domain - the new cabinet to be proposed by the Spanish Prime Minister after the General Election -, and the target domain - the world of fashion and design. The anomaly in context is created by applying an 'appearance' term to a political concept such as 'government'.

#### 4. Analysis

The subsequent stage of classifying the identified instances of metaphoric utterances was carried out attending to their *target domain*. Eight *target domains* were found to which these instances of metaphoric utterances make reference. The classification of the data is shown in table I:

Metaphoric utterance	Source domain
<p>A. <b>Target domain:</b> FASHION AND APPEARANCE</p>	
<p>I. Spain awaits <u>Gonzalez's 'new look' government</u>. (<i>The Times</i>, Wednesday, 9 June 1993)</p>	<p>The new socialist cabinet resulting from the polls.</p>
<p>II. Spain threw off <u>the stifling cloak of a Catholic church</u> that had supported the Generalissimo. (<i>The Independent</i>, Friday, 4 June 1993; p.23)</p>	<p>The conservative/suffocating style of the Spanish Catholic church.</p>
<p>III. The Popular Party, <u>Clothed now in the mantle of youth and moderation</u>. (<i>The Times</i>, Thursday, 3 June 1993; p.12)</p>	<p>The image the conservative party is projecting to the country.</p>

<b>B. Target domain: PERFORMANCE AND EXAGGERATION</b>	
I. ...and opinions are split over whether <u>the extravaganza</u> was a waste of money as the country headed for recession. ( <i>The Independent</i> , Friday, 4 June 1993, p.10)	The '92 EXPO celebrations.
II. That is why <u>they made such a fuss</u> out of 1992, the 500th anniversary of the greatest year in their history. ( <i>The Guardian</i> , Monday, 31 May 1993, p.2/3)	The '92 EXPO celebrations.
III. <u>It has staged great shows</u> and bustled with financial promise. ( <i>The Guardian</i> , Tuesday, 8 June 1993, p.20 )	The Spanish Socialist party rule.
IV. <u>The carnival</u> may be over for devalued Gonzalez. ( <i>The Observer</i> , Sunday 30 June 1993, p.13)	The Socialist party rule.
V. It has <u>luxuriated and blossomed</u> in freedom. ( <i>The Guardian</i> , Tuesday, 8 June 1993, p.20)	Latest Spanish development.
VI. What makes travelling on the AVE very different from travelling on BR trains is <u>the schmaltz in which the experience is wrapped</u> . ( <i>The Guardian</i> , Monday, 31 May 1993. p.2/3)	The comfort one finds in the high speed Spanish train (AVE).
<b>C. Target domain: EXCESSIVE DRINKING</b>	
I. As the case of the Barcelona Olympics for Catalans, the euphoria of Expo 92 <u>turned into a hangover</u> for many Sevillians. ( <i>The Independent</i> , Friday 4 June 1993, p.23)	Negative consequences of the Olympics and the EXPO.
II. Spanish voters approach the voting booths somewhat as <u>a man with a sickening hangover would head for an early dental appointment</u> . ( <i>The Times</i> , Saturday 5 June, 1993, p.17)	Fear and scepticism during the polls
III. <u>Spain's hangover</u> ( <i>The Times</i> , Saturday 5 June, 1993, p.17)	The day after the General Election

<b>D. Target domain: TRADE AND COMMERCE</b>	
<p>I. Andalusia, the most populous of Spain's 17 regions, is known for producing sweet, juicy oranges, fine, sherry and Felipe Gonzalez. <u>The oranges just get sweeter, the sherry never ceases to get finer but the Socialist Prime Minister is one Andalusian export who may have reached his sell-out date.</u> (<i>The Independent</i>, Friday, 4 June 1993, p.17)</p>	Predicting the end of Gonzalez's rule.
<p>II. A new generation on the right, <u>dynamic and healthy enough to sell whatever product you care to mention.</u> (<i>The Guardian</i>, Monday, 31 May 1993, p.2/3)</p>	Enthusiasm of right wing young people.
<b>E. Target domain: SHADOWS AND GHOSTS</b>	
<p>I. The arch-conservative General Franco <u>still casts his shadow.</u> (<i>The Guardian</i>, Tuesday, 8 June 1993, p.20)</p>	Franco's rule
<p>II. <u>The shadow of the Civil War and the Franco years.</u> (<i>The Independent</i>, Monday 7 June 1993, p.1)</p>	Memories of Franco and the civil war's
<p>III. <u>The shadow of Franco's dictatorship may have faded.</u> (<i>The Independent</i>, Saturday 5 June, 1993, p.8)</p>	Memories of Franco's rule
<p>IV. This election has finally laid <u>Franco's ghost.</u> (<i>Sunday Times</i>, Sunday 6 June, 1993)</p>	Memories of Franco's rule
<p>V. And an untried team which promises a breath of fresh air and economic revival but has not quite shaken off <u>the ghosts of a sinister past.</u> (<i>The Times</i>, Saturday 5 June 1993, p.8)</p>	Franco's rule
<p>VI. The centre-right Popular Party still has not completely exercised from the</p>	Memories of Franco's rule

<p>minds of many voters <u>the ghost of General Franco's 36 long years of repression.</u> (<i>The Independent</i>, Monday 7 June 1993, p.1)</p>	
<p>VII. <u>The shadows of Franco's demonic past.</u> (<i>Sunday Times</i>, Sunday 6 June 1993)</p>	Memories of Franco's rule
<p>VIII. Señor Gonzalez has been <u>invoking the ghost of Franco.</u> (<i>The Times</i> Saturday 5 June 1993, p.8)</p>	Bringing back Memories of Franco's rule
<b>F. Target domain: CATHOLICISM &amp; RELIGION</b>	
<p>I. Spaniards have felt that <u>they have a mission</u> (<i>The Guardian</i>, Monday, 31 May 1993, p.1/2)</p>	Spanish policies during the 80's
<p>II. It is just that 1992 <u>helped make the whole mission more plausible.</u> (<i>The Guardian</i>, Monday 31 May 1993, p.1/2)</p>	Spanish policies during the EXPO
<p>III. The Socialist worker's party - <u>the discredited devil they know-</u>. (<i>The Times</i>, Saturday 5 June 1993, p.8)</p>	The Socialist party
<p>IV. After eight weeks of campaigning and <u>national soul- searching.</u> (<i>The Times</i>, Saturday 5 June 1993. p.8)</p>	The electoral campaign
<p>V. Felipe Gonzalez, <u>the apostle of Spain's rebirth.</u> (<i>The Times</i> Saturday 5 June 1993, p.8)</p>	The Prime Minister
<p>VI. He (Gonzalez) hopes that the Spaniards will, like the British did last April, <u>opt for the devil they know.</u> (<i>The Independent</i>, Friday 4 June 1993, p.10)</p>	The Socialist Party
<p>VII. A sour taste of <u>paradise.</u> (<i>The Guardian</i>, Friday, 4 June 1993, p.12)</p>	Spanish coast resorts

<b>G. Target domain: BULLFIGHTING</b>	
I. Mr Aznar departed as he arrived - with difficulty. Surrounded by minders, he <u>battled through crowds of excited admirers, kicking up a cloud of orange-yellow dust in the ring</u> , where the real toreros kill bulls. ( <i>The Guardian</i> , Friday 4 June 1993, p.12).	Success of Aznar's public appearances during the campaign.
II. Spaniards rose to the occasion yesterday, <u>turned out to vote in the finery they usually reserve for the season's best bullfights</u> . ( <i>The Independent</i> , Monday 7 June 1993, p.12)	Spanish way of dressing
III. For much of the past month, <u>the Spanish Socialist Prime Minister has been twirling his red cape, hacking and slashing at his snorting Conservative opponent, Jose Maria Aznar. But there has been no clinical coup de grace</u> in the campaign for today's General election. ( <i>Sunday Times</i> , Sunday 6 June 1993)	The Prime Minister's relationship with the conservative leader during the campaign.
IV. At worst, <u>like the other Gonzalez's bull</u> , he may be out on his ear. ( <i>Sunday Times</i> , Sunday 6 June 1993)	The Spanish conservative party
V. On Tuesday night, Señor Aznar could be found strutting around Barcelona's main bullring to the beat of a rock anthem, <u>acknowledging the cheers of 15,000 aficionados with a V sign</u> . ( <i>The Times</i> , Thursday 3 June 1993, p.12)	The Conservative supporters
VI. Giscard enters bullring to wave blue rag <u>at Spanish left</u> . ( <i>The Guardian</i> , Friday 4 June 1993,)	Supporting conservatives
VII. <u>Bullish Spanish right set to gore Gonzalez</u> . ( <i>Sunday Times</i> , Sunday 6 June 1993)	Conservative challenge
VIII. <u>Feint hearts in the bull ring</u> . ( <i>The Guardian</i> , Tuesday, 8 June 1993, p.20)	Conservative supporters

<b>H. Target domain: COAST RESORTS</b>	
I. But the <u>ex-pats</u> , who have colonised the coast.	British tourists in Spain
( <i>The Guardian</i> , Friday, 4 June 1993, p.12) II. And despite greater affluence, they have the same human problems as the <u>beach dwellers</u> .	British tourists in Spain
( <i>The Guardian</i> , Friday, 4 June 1993, p.12) III. A place in the sun loses its shine.	Spanish coast resorts
( <i>The Independent on Sunday</i> , 23 May 1993)	

Table 1

## 5. Discussion

In general terms, the first relevant observation drawn from results in table 1 comes from the *target domains* of these metaphoric utterances. They reveal that a widespread means of understanding the reality of the Spanish General Election by British quality newspaper journalists is through the following fields: A. Fashion and Appearance, B. Exaggerated performance, C. Excessive drinking, D. Trade and Commerce, E. Shadows and Ghosts, F. Catholicism and Religion G. Bullfighting, and H. Coast resorts. In fact, metaphoric utterances connected with Spanish 'shadows', Catholicism and bullfighting constitute the most frequent images used to recreate the specific reality of the Spanish General Election.

At this stage of the study, it appears that the recurrence of the same metaphoric concept within a particular context of situation can be identified with the proposed definition of stereotype. That is to say, the metaphoric concepts identified in these examples can be said to respond to the cultural values recognized by the potential British reader of these newspapers.

If results from table 1 are reinterpreted in an inverted order; namely, what the primary *source domains* signalled by the metaphoric utterance are and, secondly, how they are cognitively reinterpreted by the *target domain* in the context of a General Election campaign, the following

may be observed: the main topics recognized as *source domains* of the metaphoric utterances are, A. The two main politicians involved in the electoral campaign (Felipe González and José M. Aznar), B. Franco, C. Spaniards in general, D. The cultural events which have recently taken place in Spain, E. The British in Spanish coast resorts. Maybe the only central topics in this situational context would be (A) and (C). (B) and (D) are peripheral topics which may be regarded as cultural references. And (E) is definitely a peripheral reference connected to British interests in Spain and quite irrelevant to the central subject: the General Election.

As *source domains*, the two main politicians running at the polls are mainly recreated as bullfighters (table 1: G-I, G-III, G-IV, G-V, G-VII) with the supporters as bullfighting spectators, - *aficionados* - (G-V, G-VI, G-VIII). One notes how bullfighting metaphors are applied at random to any politician who took part in the campaign, no matter which side of the political fence they were on. Thus, this is not a metaphor which identifies the values of an identifiable person - say (A) González or (B) Aznar - but rather a way of identifying those Spaniards who rallied in the campaign. Note also that this is the only case in which most examples have been taken from the headlines. I believe that this prominent position - undoubtedly the first line which is noticed in any report - reinforces the importance of this metaphor with respect to the perceived Spanish reality (G-VI, G-VII, G-VIII).

The memories of Franco's rule monopolize, as a *source domain*, all the instances of metaphoric utterances which are labelled under the *source domain* Shadows and Ghosts (E). However, Franco serves a double purpose which is not found in the rest of the groups. First, he appears as a temporal reference to identify the Spaniards and the situation during the campaign, and second, he conveys the metaphorical values of darkness and evil still present in the memory of the Spaniards (E-1, E-II, E-III, E-IV, E-V, E-VI, E-VII, E-VIII).

Spaniards themselves cover a wide range of *target domains*. They are portrayed mainly as a group of spiritually undecided people - read Catholic echoes in this metaphor- (F-1, F-IV), with strong drinking habits (C-1, C-II, C-III), or as the spectators of the bullfight - a not very kind picture altogether. Nor is it kind the way that the events which took

place in the country during 1992 and the socialist rule are metaphorically recreated. The EXPO, the Olympics and the High Speed Train (we are aware that this is not exactly an 'event') are metaphorically associated with expensive and exaggerated performances (B-1, B-2, B-3, B-4, B-5, B-6 or even C-1).

Finally, there are a number of instances which have the British population in Spain as a *source domain*. All are labelled as metaphoric instances which have the coastal resorts as a *target domain*. (H-1, H-2, H-3)

## 6. Concluding remarks

Analysis of metaphoric utterances proved to be a useful tool in the exploration of stereotyped images in newspaper reports of different alien cultures. Furthermore, this exercise has revealed how written media make use of these metaphors to create a 'reader-friendly' text accessible to their potential audiences. In this sense it is important to point out that most of the same 'stereotyped images' are used in a similar fashion in different newspapers.

My main concern after a study of this kind is not a linguistic one, at least partly. I wonder about the social consequences of the media's contribution to maintaining the pervading stereotyped images of other cultures. In the case explored in this paper, the analysis has provided a whole set of projected images or ways of understanding Spain and the Spaniards by the British 'serious' written media: a sunny ever-partying country where Britons go to spend their holidays or their retirement, highlighting the old Fascist dictatorship, bullfighting and religious fervour as the main references to understand its present reality. It would be very enlightening to attempt similar analyses to check whether this hypothesis works also for other cultures and other newspapers. The results would prove to be relevant to our understanding of the perception of other cultures and ultimately, our own social prejudices in the context of international understanding.

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**THE PURITAN BREACH IN SIDNEY, SPENSER AND MILTON:  
A SURVEY OF THE CONFLICTING ATTITUDE TO  
SENSORIAL AND INTELLECTUAL BEAUTY  
IN THE ENGLISH LITERARY TRADITION**

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**Resumen**

*Este trabajo intenta explorar la percepción culturalmente mediatizada de la belleza secular y de la tradición clásica en el desarrollo literario de Inglaterra tal y como se manifiesta en tres de los grandes poetas de esta nación: Sidney, Spenser y Milton. Tratamos de mostrar esa percepción como un conflicto agudo que, tras la Reforma, iba a matizar la actitud de gran parte de los hombres de letras ingleses como un acercamiento esencialmente moralista siempre receptivo, sin embargo, a su instinto de belleza e incluso susceptible de ceder ante él, normalmente de una manera más o menos reticente, empezando así esa predominio de lo apolíneo sobre lo dionisiaco que, como máximo, permite la experiencia del segundo a través del control del primero tan característica de la literatura inglesa subsiguiente.*

**Abstract**

*This paper sets out to probe the specific, culturally mediated perception of secular beauty and classic tradition in the literary development of England as manifested in three of its greatest poets: Sidney, Spenser and Milton. We try to show it as an acute conflict which, after the Reformation, was going to strongly qualify the attitude of a great part of the men of letters of that country as an essentially moralistic approach always responsive, however, to their instinct for beauty, and even ready to yield to it, usually in some reticent way, so beginning that prevalence of the Apollinean over the Dyonisiac which, at best, allows the experiencing of the latter through the control of the former so characteristic of the ensuing English literature.*

From a semiotic point of view and for simplification's sake literature can be thought of as a complex system of signs sharing in the two already complex systems of language and culture. It is within the scope of these two realms that the literary experience takes place. Roughly speaking, the linguistic system is more conspicuously at work at the level of microstyle, i.e., within the scope of the sentence (although textual linguistics has successfully extended its range to the whole text), whereas the cultural code operates at broader levels (notwithstanding that a particular feature of culture or society can be embodied in a word or sentence). It is plain that language sets up the immediate conditions of intelligibility, of "differance" in Derrida's words, which allow the system to create meaning. However, we are not so readily aware of the fact that the cultural system within which the work of art is created equally establishes and determines the set of oppositions and solidarities which allow the flowing of meaning or rather of significance. That the cultural interpretation of the world determines the artistic potentialities and understanding of the work of art is nowhere more poignantly felt than in the field of both foreign and, simultaneously, ancient literature. Let us take, for instance, the cases of the moralities. Their full dramatic potentialities are lost when they are deprived of their ideological and social contexts. Out of their Christian set of beliefs (that is, of their Christian reading) they are frequently experienced as foreign and dry (and this for instance despite the formidable technical perfection of such instances as *Everyman*). Of course, they can be read (or performed) with modern eyes, but it is my contention that never after they have been read first in their original sense,<sup>1</sup> which to me means as far as possible within the parameters of their own system of values. Only then is it possible to obtain a fruitful "misreading" which can consciously set up our reading according to our contextual system of values against the approach to a reconstructed "original" reading. Otherwise we are apt to

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<sup>1</sup> I am conscious that there is no such thing as an exact original reading, that all alledged "original" interpretations are impossible, if only because they are reproductions (i.e. repetitions) from a different temporal and local stance and each repetition implies some sort of difference (See Compagnon, 1979). However, I strongly believe that this, as everything, is a question of degree and that it is possible a fair sharing of an alien experience which makes worth the effort, be it only for understanding's sake.

get some kind of textual monsters such as the some feminist, homosexual, or race-oriented hotch-potch which naively try to politically correct Shakespeare or Calderon in the points of contemporary moral in which they are found at fault.<sup>2</sup> Our proposal consists, then, in trying to understand and feel the literary work with the eyes of the time and place where it originated. This experience does not preclude but rather heightens our further reassessment as twentieth-century readers and enrich our sensibility and awareness as individuals since it allows us to see what common human stuff (basically the production of meaning) is present under the diverting, but pleasant cloak of diversity (different codes, different systems of signs). Besides, it enriches us with the possibility of experiencing, from within, foreign and perhaps even unsympathetic worldviews, and, above all, nuances of aesthetic enjoyment which depend on our attuned appreciation of by-gone values and conventions. I plainly propose that the sage reader should be able to take the stance of an Anglo-Saxon, a Catholic, a Calvinist, a Cavalier or a Muslim for whichever context of reading is needed, so that after practising a reading in its proper context, he may flee from that context to his own, and (retaining the aesthetic and emotional experience obtained) attempt a fair appraisal of the world implied by the work from his own standpoint, and, at the same time, an appraisal of this very standpoint. This, I believe, is an honest form of translatability able to achieve in the realm of literature what Wolfgang Iser<sup>3</sup> proposes in respect of the dialogue among cultures.

It is in this light that I would like to attempt a "reading" of a cultural phenomenon discernible in the English literary tradition from the Reformation onwards. I am referring to the breach in the consideration of sensorial and intellectual beauty which begins to take place in Puritan writers such as Sidney, Spenser, Giles Fletcher, Milton, or Marvel. A consideration which is of literary import because it was

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<sup>2</sup> Of course, it is always easier both for the remaker to shamelessly plunder on the tradition (instead of doing something new) and for the general public be presented with something more palatable for the present taste rather than being forced to patiently labour in accessing the work of literature from its contextual tenets both in time and space, which, however, is always gratifying, since it allows us to try it "from the other side of the looking-glass".

<sup>3</sup> See Iser (1995: 30-38).

finally going to enter into the formation of a tradition lasting well into the present century<sup>4</sup> and determining (by way of conformity or revolt) its literary stance. This breach is of literary significance as well, since it sets up the terms or conditions for a complex dramatic tension between ethics and art, heaven and earth, spirit and matter, Apollo and Dionysus, affecting the writers as the above mentioned with a stern moral bias in conflict with a sensitive awareness of beauty and art. It is within the parameters of this conflict that the aforesaid authors can be humanized (i.e., felt as fellow humans by sharing in their particular contexts of meaning) and rightly understood in the dramatic tension between reality and desire which constitute the immediate basis of literature as experience.<sup>5</sup>

Sir Philip Sidney, as an enlightened Puritan, has put forward the terms of the problem in his *Defense of Poesy*. There he attempts the articulation of a discourse which could legitimize the use of art as a way into experience. This he does, presumably against the charges and objections of his fellow-Puritans, but one feels that it is no less an attempt of resolving himself in this matter. The question is settled, but the tension is there in his own desire of indulging in "mortal beauty" and, at the same time, in his sanction of poetry as reformation of the will. There is much of this tension in *Astrophil and Stella*, so much that the series of sonnets, it has been suggested, can be read as "Astrophil deliberately rejecting virtue, and treating Stella as a deity in an open repudiation of Christian morality... Astrophil's cleverness consists of trying to avoid or repel the claims of reason and virtue, and the outcome of the sequence is the inevitable end of self-deception" (Waller 1986: 142). What makes this perspective powerful is the new light which it sheds on such sonnets as 5, 14, 18, 21, 72, 108 (among others). Sidney is double-crossed by the Petrarchan split of the I (how the fictional I of the poems articulates the personal I of the author) and by the Puritan split of the I (the relation of the state of salvation of the poet and his poems), which irrevocably leads to the characteristic dislocation of "the protestant humanist who felt

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<sup>4</sup> See for instances of this the works of Hardy, Thackeray, Forsythe, James, Forster, Lawrence, Golding etc. for both accordance and revolt.

<sup>5</sup> We need not, therefore, consider such authors as John Bunyan, whose uncompromising moral view of the world excluded the temptation of beauty as a pertinent experience.

the force of protestant doctrine as well as the imaginative excitement of literature" (Sinfield 1983: 57). In such a light such sonnets as the above mentioned gain in dramatism, since they are endowed with the sombre colouring of the reprobate: Astrophil (not necessarily Sidney) can be conceived as the tragical lover that puts so high his earthly love for Stella (no matter whether pure or impure) that he is risking, or has even resigned, his own salvation. This is what gives more poignancy to such conclusive sonnets as the following:

It is most true, that eyes are form'd to serve  
 The inward light: and that heavenly part  
 Ought to be king, from whose rules who do swerve,  
 Rebels to Nature, strive for their owne smart.  
 It is most true, what we call *Cupid's* dart,  
 An image is, which for our selves we carve;  
 And, fooles, adore in temple of out hart,  
 Till that good God make Church and Churman starve.  
 True, that true Beautie can be but a shade,  
 Which elements with mortall mixture breed:  
 True, that on earth we are but pilgrims made,  
 And should in soule up to our countrey move:  
 True, and yet true that I must *Stella* love.

It is clear that Sidney, caught in the tension between Puritan morality and desire, privileges (or at least voices out) the latter. Even if, on the one hand, he seems to be somewhat disapproving of Astrophil concerning the narrative line (see sonnets 107 and 108), on the other hand, he is never openly critical of Astrophil, he identifies with him in the choice of the name (Astrophil[ip]), and supplies us with "delight" through the "mundane" expectations, approaches and disillusion of the protagonist, no matter whether he is lost in this world and/or the other.

A different case is that of Spenser. His sequence of sonnets, the *Amoretti*, is openly moralistic, so much that it is an "unprecedented

puritan humanist adaptation of the sonnet sequence to a relationship which ends in marriage" (Sinfield: 1983, 66). We have not space to deal with the sonnet sequence at length, but sonnet 64 in its awkward blending of moral and physical qualities, of dutiful and erotic love, perfectly illustrates what we shall predicate of the *Faerie Queen* below, i.e., the conflicting relationship between his aesthetic endeavour (dulce) and his ultimate moral intention (utile):

Comming to kisse her lyps (such grace I found)  
 Me seemd I smelt a gardin of sweet flowres:  
 that dainty odours from them threw around  
 for damzells fit to decke their lovers bowres.  
 Her lips did smell lyke unto Gillyflowers,  
 her ruddy cheekes lyke unto Roses red;  
 her snowy browes lyke budded Bellamoures,  
 her lovely eyes lyke Pyncks but newly spred.  
 Her goodly bosome lyke a Strawberry bed,  
 her neck lyke to a bounch of Cullambynes;  
 her brest lyke lillyes, ere theyr leaves are shed,  
 her nipples lyke yong blossomd Jessemynes.  
 Such fragrant flowres doe give most odorous smell,  
 but her sweet odour did them all excell.

The various allegorical levels of *The Faerie Queene* do not completely preclude an interpretation of this work as a mere Renaissance epic, in the fashion of its acknowledged sources (Ariosto, Tasso, the Arthurian cycle), although they pervasively intrude in, so as to direct our reading in a definite historical and moral direction. These are the usual ways of interpreting this text. But there is another interpretation which discloses the inner conflict of a Puritan mind dramatically torn between the appreciation of earthly beauty and the requirements of his Puritan creed. Avowedly, the conflict does not usually resolve in a high

tension denouement, for, more often what we can witness is the general emergence of the contradictions that it sets out to suppress (Waller 1986: Chapter 6), but at certain passages, however, a more pungent contradiction is revealed: the anxiety of a Puritan mind over the very claims of desire that it endeavours to silence. Virtue, to be real virtue has to assert itself against a mighty opposite, and the work derives its ultimate purpose ("to fashion a gentleman or noble person in vertuous and gentle discipline") out of the trial to which the different protagonists are exposed. Irretrievably, in presenting desire under the species of temptation in those trials, Spenser is allowing other voices to intrude and disrupt his claim for ideological closure. As Derek Traversi (1954: 221) has already expressed it: "The *Faerie Queene*, thus read with an eye to its divergent stylistic tendencies, in great part belies its own claims to architectural structure and positive content. Its prevailing morality contrasts oddly with a decorative sensuality that obscures the formal intention and gives its own kind of life to Spenser's allegorical recreations". Torn between the appreciation of earthly beauty and the requirements of his creed, which is no doubt the privileged voice, Spenser chooses the latter, but he is inevitably allured into indulging in the former. This is actually seen in several of the passages of *The Faerie Queene* dealing mainly with mythical buildings, gardens or landscapes, like the *House of Morpheus* (I, i, 39-41), the *House of Pride* (I, iv), the *Bower of Bliss* (II, xii, 41-83), the *Castle of Joyous* (III, i, 20-67), the *Garden of Adonis* (III, vi, 29-50), the *House of Busirane* (III, xi), the *Temple of Venus* (IV,x), and Calidore's peeping at the naked nymphs (VI, x, 1-18). *The Bower of Bliss* is perhaps the passage which most poignantly exemplifies this conflicting attitude between desire and duty.

The second Book of *The Faerie Queene* is dedicated to praise the virtue of temperance. Sir Guyon, accompanied by a Palmer, sets off in search of the witch Acrasia. Later on (II,ii, 39-44) we learn that the Palmer (who exhibits too much of the puritanical zeal for righteousness) had publicly denounced Acrasia at the *Faerie Queene's* Court for her corruption of men (allured into the bower to be turned into different sorts of beasts) and claimed for a champion to overthrow her. The champion, of course, is Sir Guyon. After several adventures, the knight and the Palmer arrive at the *Bower of Bliss*, a beautiful garden enriched

with extraordinarily refined ornaments and prospects. They witness the voluptuous images of sensual pleasures and Sir Guyon is momentarily diverted from his mission (to destroy the Bower of Bliss) by the contemplation of two naked damsels bathing in a nice pond, but after being conveniently rebuked by the Palmer, he resumes his way, goes to the place where Acrasia lies sucking the soul of a young man asleep in her arms "after long wanton ioyes", and binds her with chains, releasing from his sweet bondage the young man, to whom good advice is given to forsake those base pleasures and devote his life to honour. Finally Sir Guyon razes the bower to the ground. A band of beasts, which turn out to be men transformed by Acrasia, attacks them, but they are restored to their previous human condition by the Palmer.

The passage abounds in detailed and carefully delineated pictures, not only those concerning openly lubricious descriptions (66-68; 77-78), but of many related to the architectural and ornamental rendering of the place (42-45, 50-52, 53-55, 58-62). The temptations are cleverly graded, so as to present a climax: first we see the sensual temptation of visual arts, then the more concupiscent (if rather innocent) attraction of the fruits,<sup>6</sup> followed by the presentation of the bower itself as a relaxed and sheltered place, ending finally with the erotic enticement of the two naked damsels. Sir Guyon, of course, shows himself so stubborn in his determination not to indulge in the least of pleasures that he (together with the Palmer) almost grows into a surly, unsympathetic figure. In this respect, he obdurately resists being moved by art:

Much wondred Guyon at the fairest aspect  
of that sweet place, yet suffered no delight  
To sincke into his sence, nor mind affect,  
But passed forth, and lookt still forward right,  
Bridling his will, and maistering his might:  
(Stanza 53)

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<sup>6</sup> It is significant that in Marvell's *The Garden*, the sensual appeal of fruits in the fifth stanza recalls somewhat stanza 54. However, in the work of this enlightened Puritan, the garden is a symbol of Edenic innocence, which is recovered precisely by abandoning oneself to the temptation of the simple and harmless pleasures of the vegetal world as a way to solitude and inner contemplation of the soul, and an escape from the hectic and unsatisfactory urban life

And indignantly rejects the bowl and breaks the cup of wine which are successively offered to him by *Genius* and by *Excesses*.

However, Spenser has been careful of presenting the bower of bliss as the epitome of all the fabulous gardens both pagan and Christian, which has permanently stirred the imagination of men:

More sweet and wholesome then the pleasant hill

Of *Rhodope*, on which the Nimphe, that bore

A gyaunt babe, her selfe for grieffe did kill;

[...]

Or sweet *Parnasse*, the haunt of Muses faire;

Or *Eden* selfe, if ought with *Eden* mote compaire,

(Stanza 52)

So, when we arrive at the end and witness the merciless destruction of the bower of bliss, we feel that Spenser is betraying himself in overdoing his iconoclastic zeal:

But all those pleasant bowres and Pallace braue,

*Guyon* broke downe, with rigour pitillesse;

Ne ought their goodly workmanship might sue

Them from the tempest of his wrathfulnesse,

But that their blisse he turn'd to balefulnesse:

Their groues he feld, their gardins did deface,

Their arbers spoyle, their Cabinets suppressse,

Their banket house burne, their building race,

And of the fairest late, now made the fowlest place.

(Stanza 83)

There is an ironic note here. Sir Guyon, the champion of temperance, has incurred in wrath in a way not very different from that of such malefactors as Sir Hudibras in the *Castle of Medina* (II,ii,11-46), or even Furor and Occasion in II,iv,1-36. A linguistic analysis of the

stanza shows an emotional sympathy on the part of Spenser the implied author for the bower of bliss, something which clearly distances him (perhaps unconsciously) from his hero. Nominally he may be against this place of corruption, but at heart his sympathies are with it. There is one subtle note of sorrow conveyed by the emotional undertones of the adjectives and the strong negative nuances in the chain of verbs in lines 6-8 (*rigourous, pitiless, the tempest of his wrathfulnesse, groues...deface, fairest...fowlest; feld, deface, spoyle, suppressse, burne, race*) and indirectly (perhaps unconsciously through the above irony) he is against Sir Guyon. This points to the fact that Spenser the righteous Puritan has done his duty, but that the sensitive poet is lamenting the destruction of the work that he himself has so carefully built up with his own words. As Gary Waller (1986: 190-91) has put it:

One of the whole poem's most important episodes is the destruction of the Bower of Bliss (Canto 12) [...] Here, explicitly for perhaps the first time in the poem, we can see some of the contradictions upon which it rests, as we observe the power of the poetry undo the didacticism of its plan. The very violence of Guyon's behaviour, hardly compatible with his role as the Knight of Temperance, points to a ruthlessness of authorial closure that increases throughout the poem. The Knight's goal is achieved; his power is upheld, but with a violence that points to more than the simple moral assertion of temperance. As Greenblatt argues, it is as if Spenser's test reveals what the poet could not face: the destruction of the Bower articulates his whole culture's 'violent resistance to a sensuous release for which it nevertheless' yearned with overwhelming intensity.

Moreover, as a consequence of the fact that Spenser's moral intent becomes dangerously undermined by the dramatic and moving quality of this image of beauty gratuitously uprooted, a moving quality, which is communicated almost in the form of sympathy towards the now captive Acrasia (dealt with in only two lines in the following stanza), a sort of uneasy anticlimax is created, an anticlimax which is hardly avoided by diverting the reader's attention with the subject of the transforming

back of the beasts into men and the half ironic, half bitter statement that these men, being beastly deep down for their fondness of base pleasures, do not feel pleased at all with their newly recovered human shape.

Milton is somewhat unjustly taken as the embodiment of the priggish Puritan. His literary work is often disliked by its lack of humanity and his cold and exacting approach to faith. But despite his lack of human warmth, he displays in all his works a formidable and passionate intellectual power and love of classical learning which made of him, as he has often been called, the last humanist. However, if Milton can be said not to be tempted by usual human frailties (up to the point of not making of love, as sensual desire, of the jocular or the ridiculous a usual topic of his works), he shows enough of his intellectual veneration for these topics when they have been transmuted by literature and art. In this sense, he shows himself a compendious and profound reader. Suffice it to witness the learned use of the literary tradition in all his work, but mainly in *Paradise Lost* or *Paradise Regained*.

In the former work, the dramatic tension between his devotion to literary tradition (mainly embodied in classical learning) and his stern Puritan bias is successfully and genially fused through a series of conscious and unconscious resources not to be achieved again. In effect, Milton is able to acknowledge his debt and admiration to the classics (mainly to Homer and to Virgil) and at the same time to reject them by keeping in line with the mandatory convention of the epic, that "each work must allude and rivals its predecessor" (Fowler: 1987, 130). If the allusion comes out of admiration of the formal model provided by pagan or secular epics, the rivalry, however, is tantamount to rejection and stems out of his non-acceptance at (his Puritan) heart of the moral substance (on the ground that they have not been sanctioned by Christian grace) of that literary tradition. Thus he openly states at the beginning of his poem:

... I thence

Invoke thy aid to my adventurous song,

That with no middle flight intends to soar

Above the Aónian mount

Later on we witness the successful interlacing of the Christian and pagan tradition in likewise manner, so that, in general, we can enjoy with Milton the classicist the formal winks at the pagan tradition, while negating with Milton the Puritan this very tradition from a moral stance. So, we are able to recognize the classical epic device of the catalogue of pagan soldiers (to which further significance is added by using the actual names of pagan gods) meant as representation of the devils in I,x; or we can enjoy the epic battle in heaven as told by Raphael in VI as a battle which is, more than a tale of adventures or the triumph of a nation over another, the resolution of a cosmic conflict of appalling import for the Christian; or we can recognize the poignancy of the epic simile or the classical imagery to foster the Christian theme not without further afterthoughts (Shaar, 1990). In this way Milton is able to successfully parasitize on the previous texts and derive significance from them in a way not different from that in which Joyce derives it from the *Odyssey*.

But despite the fascination experienced by all kinds of readers for the Prometeian energy and defiance of Satan in Books I and II (and despite how much of himself Milton unconsciously lent to this character), it is clear that ultimately he wants to privilege (a quite different thing is whether he really achieved it) the somewhat oximoronic conception of a Christian epic, which consists not in asserting oneself (as the case is in the secular epics), but in submitting to God's will. That is why the intended, although one can say not central, hero of *Paradise Lost* is the Son, whose determination to redeem man (III, 135-343) stems out of compassion and is in line with God's plans (III, 56-134). This however is not the best of recommendations for the unadvised or profane reader and, despite the effort to present an energetic and all-conquering Christ in VI, 662-912, the problem remains that out of Satan there seems not to be an appropriate hero (that is, a more than human, but less than divine protagonist) which can be called such. Milton's *Paradise Lost* is successful as a work of art also because we can indulge in admiring the pagan-heroic qualities of Satan (his courage, determination and resilience), but Milton did certainly not intend this (despite William

Blake's assertion that he was of the devil's party without knowing it). Torn between his admiration for the beauty of the worldly classic tradition and his strict moral bent (both of which are fundamentally what could be called intellectual passions) he opts for the latter, expecting perhaps that the judicious reader would accord with this choice as well. Only when we are aware of this choice can we understand in a new light the great amount of heroism with which Milton has tried to endow the Christian acquiescence to God, beyond the brilliant burst of energy and magnificence of the first two books.

That Milton wants to show that the real heroism was the unconventional heroism of resisting temptation rather than conquering, is deduced from the natural sequel to *Paradise Lost*, *Paradise Regained*, a shorter poem in which the theme of the temptation is the omnipresent, all-embracing theme. In effect, in this more dramatic, unepic, dialogue between Christ and Satan, developing the story of the temptation as told by Luke IV, 1-13, everything revolves around the different temptations to which Christ is exposed and here again Milton seems to exemplify the Christian contradiction seen already in Spenser but from a more intellectual stance. Satan does not even find worth trying to seduce the Son of God with the allurements of the mortal beauty of women proposed by Belial in II, 153-226 ("For beauty stands/ In the admiration only of weak minds/ Led captive"). The kinds of temptations offered to Christ are of a higher intellectual order, appealing to the soul rather (if we except the initial banquet offered to Christ after having gone through a forty days fast). The allurements with which Christ is presented are wealth, glory, political power, and the world (in Books III & IV), the paragon of which is Rome (Book IV). Christ, of course, is not even moved by all these trifles and has the appropriate ripost for the ineffectual guiles of a now almost pitiable Satan. But we arrive at a different sort of thing when Christ is offered the intellectual glories of Greece (214-84). Although the poet makes Christ zealously dismiss this offer, there is an unmistakable dramatic tension felt not in the character Christ, but in Milton, the implied author, between intellectual passion for classical culture signifying self-sufficient reason and humble faith, in a dramatic choice in which both alternatives are presented in complete and radical opposition.<sup>7</sup> Faith is the winner, but the intellectual bent and complacency

in the classical culture of the true scholar betrays itself in the arresting evocation of Athens and its culture, which, although in Satan's lips, reflect no doubt the erudition and attachment of Milton to the classics, and in the prominence allotted to this passage by being placed at the last and climatic position of the series constituting the second (and longest) temptation (the kingdoms of the world). It is, moreover, reflected in some by-side aspects such as the paradoxical (and perhaps unconscious) reference to the myth of Ixion put to the use of enhancing the vanity of pagan Philosophy (IV, 318-21) and, therefore, conflicting with its content; the deceptive syllogism to disallow the unprejudiced intellectual quest in favour of an aprioristic and prejudiced concept of truth (IV, 322-25);<sup>8</sup> and the dogmatic assertion of the aesthetic and moral superiority of the Scriptures over Classical culture (IV, 286-90 & 331-364).

Milton, like Sidney and Spenser before, is torn between his dutiful allegiance to the Bible and his attraction for the mundane glamour of the political and rational genius of Athens. He, like them, is going to opt for the former without hesitation, whereas irreparably keeping to the latter as the companion work *Samson Agonistes*, "in theme... wholly Hebraic, in structure wholly Greek",<sup>9</sup> exemplifies. About this time the Puritan breach has become an idiosyncratic part of the English literary tradition fascinated at once, by the allurements of worldly beauty, mainly sensual but also intellectual, and at the same time resisting that call by resorting to the moral and later (with the progress of secularization) intellectual restraint. This attitude (never monolithic, of course) was going to continue as a characteristic feature of English literature during the three centuries which followed, receiving its first serious blow during the Romanticism when it was going to be repudiated by many (but not all) of the most renowned Romantics. It was endowed with new emphasis

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<sup>7</sup>It is interesting to note that Christ had praised Socrates for his patience before, comparing him with Job (III, 96-99).

<sup>8</sup>"who reads/ Incessantly, and to his reading brings not/ A spirit and judgment equal or superior/ (And what he brings, what needs he elsewhere seek?)/ Uncertain and unsettled still remain...". The Miltonic Christ is rejecting classical books on the grounds that reading what cleverer people (than the reader) have written is deceptive, and reading the books of writers as or less clever than the reader is useless.

<sup>9</sup>Brooke & Shaaber: 1967, 696.

and direction during the Victorian period, and was going to be eroded and eventually demolished with the increasingly questioning attitude of the men of letters from 1880 onwards. But for that time the terms of the conflict had already changed and the call for moral and religious righteousness had been replaced by a handful of different proposals whose terms were materialism versus spiritualism, reason versus instinct, civilization versus primitivism, in one word, the old and endless strife between Apollo and Dionysus. Notwithstanding, the traces of the old formulation of the conflict in terms of worldly and religious opposites are still there transmuted and operating in several ways, the conspicuous existence of the conflict itself from 1880 to 1970 not being the least of them. But this is another story and would require another paper.

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## NOTAS SOBRE LA NOVELA COLONIAL DE TEMA AFRICANO EN GRAN BRETAÑA

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### **Resumen**

*Este artículo parte de la idea de que la literatura colonial no debe considerarse necesariamente mala literatura. Sin embargo, conviene analizar muchos de los conceptos que su lectura ha originado con referencia a los países africanos. Muchos de los nuevos autores africanos se han visto en la obligación de revisar todas esas imágenes que ofrecen una visión sesgada de la realidad. El objetivo de este artículo es mostrar cómo los autores británicos presentan esa imagen distorsionada. Analizaremos para ello dos grupos; aquellos autores que ven a África como un lugar exótico y los que, con un conocimiento más amplio porque han vivido allí, presentan un continente muy similar a los del primer grupo.*

### **Abstract**

*This paper departs from the assumption that colonial literature should not be conceived as bad literature. Nevertheless, it is necessary to change the view from which it has been seen for years, almost centuries. The African novelists who were extremely concerned with the situation of their nations have found that colonial literature presented a distorted vision of reality. The aim of this paper is to show this fact through the work of two main groups of British writers; those who see Africa as an exotic place and those who offer a more detailed view of the continent because they have been living there, but the result of their analysis is similar to the former group.*

1.- A poco que se observe la trayectoria de la narrativa británica del presente siglo se puede comprobar cómo, al menos hasta los años sesenta, existe un volumen muy significativo de relatos cuyo tema se sitúa y desenvuelve en el espacio histórico y geo-político de la dominación colonial de Gran Bretaña por buena parte del mundo. Todo este conjunto de relatos pueden ser agrupados, de forma genérica y al margen de ulteriores precisiones, bajo la etiqueta de 'narrativa colonial'.

Lo primero que hay que señalar es que, aunque el término 'colonial' tiene indudablemente una connotación peyorativa, su uso no implica, en absoluto, que se trate de una literatura de baja calidad (las obras y autores a los que haremos referencia a lo largo de estas páginas se encargarán de desdecir sobradamente este posible prejuicio). Una segunda puntualización que conviene hacer es que la visión de la realidad colonial ofrecida en todas estas obras dista mucho de ser uniforme. Así, si nos detenemos por un momento en la narrativa de tema asiático (el otro gran ámbito, junto con el africano, de la literatura colonial británica), podremos constatar la enorme distancia que media entre Rudyard Kipling (prototipo de escritor 'colonial y colonialista'), que defiende sin concesiones la ocupación británica de la India, y la perspectiva mucho más crítica y descarnada de George Orwell, pasando por estadios intermedios (en donde se podrían ubicar, entre otros, William Sommerset Maugham y E. M. Forster). En cualquier caso, todos estos autores coinciden en situar la historia desde la perspectiva del colonizador europeo. Podrán hacer mayor o menor hincapié en sus virtudes o en sus miserias, según los casos, en los dramas individuales o en los enfrentamientos colectivos, pero analizados en todo momento a la luz de la mentalidad y las actitudes de la comunidad dominante. Los personajes y pueblos nativos desempeñan, a lo sumo, la función de contrapunto o de antagonista, con un tratamiento totalmente secundario y poco detallado. Y no faltan ocasiones en las que apenas si son tratados como simples figurantes en el escenario, como si se tratasen de un mero complemento en un paisaje exótico.

En vista de todo lo anterior, la consecuencia más directa que debe extraerse es que estas obras forman parte de la historia literaria de Gran Bretaña, no de los países colonizados, a cuya cultura autóctona son prácticamente ajenas. Por tanto, los autores que vamos a tratar a

continuación no deben ser integrados dentro de un panorama de la 'literatura africana' salvo que este término se vea ampliado más allá de sus límites estrictos<sup>1</sup>. No obstante, su estudio resulta de vital importancia para el conocimiento de la verdadera narrativa de los países africanos, dado que han constituido sin duda alguna un punto de referencia en la formación académica de los jóvenes autores de este continente.

No podemos olvidar que la base cultural de los países africanos es oral, y que hasta bien entrado el siglo veinte no hay constancia escrita de muchos de los acontecimientos de estas sociedades. La introducción de la educación occidental, la creación de nuevos espacios en forma de ciudades y el establecimiento de modernas industrias o explotaciones agropecuarias intensivas permitió que, al menos en ciertos puntos de África, los nativos se alejaran de sus comunidades de origen y accedieran a nuevas formas de vida y a concepciones ideológicas occidentales. Entre ellas, muy especialmente, el énfasis sobre el papel social del individuo, frente al de su comunidad tribal. La novela africana, como acertadamente ha puesto de manifiesto Obiechina (1975: 3 y s.), tiene un origen decididamente occidental, dado que es fruto de la conjunción de la *literariedad* (del valor de la escritura) y de la *individualidad* (del autor que la produce y del lector que accede en soledad a ella).

Los novelistas que han ocupado el panorama literario africano tras la descolonización pertenecen en su inmensa mayoría a una clase media relativamente acomodada de funcionarios y profesionales liberales, formados al amparo de una educación plenamente occidental y europeizante, a la que han tenido acceso primero a través de los centros de enseñanza existentes en sus respectivos países, y después, en la mayoría de los casos, por medio de estancias en la metrópoli. Por otra parte, el público al que van dirigidas sus obras proviene del mismo segmento de pobla-

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<sup>1</sup> Ahora bien, a mi juicio, no debe pensarse tampoco que todos los novelistas blancos que escriben sobre África han de agruparse dentro de la literatura colonial. Hay que deslindar de la misma aquellos autores cuya obra se encuentra arraigada en las nuevas comunidades que en un momento determinado rompieron su dependencia directa de la metrópoli. Es el caso, por ejemplo, de Nadine Gordimer y de Doris Lessing, que sí forman parte de la literatura africana, en tanto que participan de una conciencia de 'africanidad' (aunque, obviamente, ésta no vaya asociada al concepto de 'negritud' ni de 'indigenismo'). Por ello, creo que esta modalidad de literatura africana podría ser denominada 'literatura criolla', de modo análogo a la literatura de los países hispanoamericanos tras su independencia.

ción<sup>2</sup>. La existencia de este grupo social es en parte una consecuencia del sedimento cultural y político-social de la administración británica, pero tiene su base principal en la educación extendida por los misioneros cristianos llegados con dicha administración. Desde que se establecieron en Freetown (actual capital de Liberia) los misioneros británicos extendieron una amplia red de asentamientos a lo largo de toda la costa occidental de África, creando escuelas elementales y secundarias de donde saldrían abogados, doctores, profesores, ministros de la iglesia, etc. La formación de este grupo de élite y privilegiado dentro del segmento de población nativa tenía, al margen de los fines altruistas, una función utilitaria: los misioneros aspiraban a crear un grupo de personas que participaran plenamente de una doble inculturación (occidental y africana), de modo que pudieran servir de puente entre ambas comunidades y, por ende, servir como elemento de cohesión social de cara a la consolidación del dominio colonial. Los miembros de dicha casta han sido los que, después de la independencia de los distintos estados africanos, han seguido ocupando los principales puestos de responsabilidad política. En la mayor parte del África Negra son conocidos bajo la denominación de *intérpretes*, nombre que pone de manifiesto como pocos este propósito de posibilitar el contacto y la comunicación entre colonizadores y nativos<sup>3</sup>.

A la luz de todos estos datos, no resulta difícil comprobar cómo uno de los elementos principales que moldean la novela africana en lengua inglesa es el hecho de que ésta surge después de un movimiento que se concentra en la visión que de África tienen los miembros de la metrópoli. Los novelistas occidentales descubrieron África de la misma forma que ésta había sido descubierta por los misioneros y los aventureros y, como ellos, ofrecen una visión de la misma llena de prejuicios que distorsionan el retrato de la vida africana. Consciente o inconscientemente, los autores africanos son testigos de esta imagen distorsionada porque, como hemos dicho antes, su educación es básicamente británica. Conocen a fondo la obra de los autores coloniales, no sólo porque forman

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<sup>2</sup> Lo cual es en el fondo un fenómeno análogo al de los países occidentales, en los cuales es también la clase media la fuente principal de productores y de lectores de novelas.

<sup>3</sup> Una de las principales novelas de Wole Soyinka, en la que intenta retratar a esta clase social en la Nigeria de los años sesenta, lleva por título, precisamente, *The Interpreters*.

parte de los programas de estudio de sus centros de enseñanza, sino también porque, al tratar un tema tan próximo a ellos, les despiertan una atención e interés particular. Debido a ello, los autores africanos perciben de manera especialmente nítida y dolorosa la diferencia que existe entre la verdadera África, que ellos conocen, y la que se transmite a Europa a través de las novelas coloniales. A propósito de esto, permítaseme incluir, pese a su extensión, la siguiente cita de Chinua Achebe (1991: 7), en la que este autor pone de manifiesto el grave conflicto que vivió, por su especial condición de africano educado al estilo europeo, cuando empezó a conocer la narrativa colonial británica:

«I went to a good school modelled on British public schools. I read lots of English books there. I read *Treasure Island* and *Gulliver's Travels* and *Prisoner of Zenda*, and *Oliver Twist* and *Tom Brown's School Days* and such books in their dozens. But I also encountered Ryder Haggard and John Buchan and the rest, and their «African» books.

I did not see myself as an African to begin with. I took sides with the white men against the savages. In other words I went through my first level of schooling thinking I was of the party of the white man in his hair-raising adventures and narrow escapes. The white man was good and reasonable and intelligent and courageous. The savages arrayed against him were sinister and stupid or, at the most, cunning. I hated their guts.

But a time came when I reached the appropriate age and realized that these writers had pulled a fast one on me! I was not on Marlowe's boat steaming up the Congo in *Heart of Darkness*. I was one of those strange beings jumping up and down on the river bank, making horrid faces.»

En definitiva, la literatura colonial no sólo constituye un hito crucial en la historia de la literatura británica, sino que también ha marcado de una manera muy profunda el desarrollo de la narrativa africana actual. De ahí que sea necesario preguntarse cuál es la imagen y la vivencia de África que dejan traslucir los autores coloniales, y en qué medida ha podido marcar la imagen que los lectores europeos tienen de ese continente.

2.- Las primeras referencias del África subsahariana que llegan a Europa proceden sobre todo de los viajeros árabes y de los historiadores y geógrafos portugueses, que empezaron a emprender un número creciente de expediciones desde finales de la Edad Media. Entre el siglo XV y el XIX estas referencias se fueron enriqueciendo paulatinamente con las aportaciones de los mercaderes y misioneros europeos que visitaron o vivieron en África. También aumentaron de modo tremendamente significativo las formas de contacto colonial, destinado sobre todo al comercio de esclavos, materias primas y especias<sup>4</sup>. Todo lo cual sirvió a la postre como preparación a la política de expansión colonial que los estados europeos aplicaron de forma sistemática a partir del S. XIX, y que, en el caso británico, dio lugar durante la época victoriana a la formación del imperio más extenso que la historia haya conocido jamás.

En el siglo XVIII, África pasó a ser un escenario literario bastante común, caracterizado en la mayoría de los casos como paradigma de lo exótico. Un buen ejemplo es la novela de Defoe titulada *The Life, Adventures and Piracies of the Famous Captain Singleton* (1720), que contiene muchos detalles de los libros de geografía de esa época. Además, añade ciertos elementos que acabarán por convertirse en estereotipos que estarán presentes en buena parte de la literatura que sobre África se escribe en el siglo siguiente: la inocencia e ingenuidad de los africanos, que intercambian su ganado por algunas piezas de hierro o baratijas, la pobreza de materiales con los que trabajan, el continente que espera ser explotado y, en general, multitud de impresiones que se resumen en la misión civilizadora que el hombre blanco tiene por delante en esta tierra.

En los siglos XIX y XX, escritores ingleses como Ryder Haggard, Edgar Wallace y Evelyn Waugh explotaron la imagen exótica de África a

<sup>4</sup> En algunas ocasiones los esclavos negros trasladados a la metrópoli llegaban a acceder a una formación escolar. Según algunos autores, estos esclavos desempeñaron un papel nada desdeñable en el nacimiento de los movimientos abolicionistas y, de modo más indirecto, tanto de las reivindicaciones independentistas de los actuales estados africanos como de la conciencia de lo que se ha dado en llamar 'africaneidad':

«Personal survival and advancement apart, the literate black contributed directly to the liberation of his fellow Africans. Black autobiographies and testimonies formed an essential weapon in the arsenal of the Abolitionists who were mobilising public opinion against the slave trade. Equiano travelled all over Britain reading from his book and speaking against the trade.» (Edwards y Dabydeen, 1991: xi)

través de novelas de aventuras publicadas en ediciones populares, para el deleite de la población de las grandes zonas industriales inglesas. Muchas de estas novelas fueron posteriormente llevadas al cine, lo que favoreció su difusión entre el gran público internacional. En cualquier caso, ninguna mitificación cinematográfica de las aventuras africanas llegó tan lejos como la de Tarzán, personaje central de las novelas del americano Edgar Rice Burroughs.

De entre todas las novelas de este grupo, probablemente la más conocida y apreciada sea *King Solomon's Mines*, de Haggard, en la que se hace referencia a la vida de los Zulú y de los Massai, entre otras tribus del África oriental.

A partir de 1930 nos encontramos con una pléyade de autores que se acercan a África con la pretensión de ser más realistas en su análisis de la realidad de este continente. Es el tiempo en el que surgen los primeros relatos sobre los conflictos entre las dos culturas, anotando incluso factores de tipo psicológico y personal. En este grupo cabe incluir nombres de la talla de Graham Greene, Elspeth Huxley, Joyce Cary, Isak Dinesen<sup>6</sup> y otros.

Así pues, debe señalarse que el auge de la novela colonial coincide con el período de entreguerras, en un momento de expansión comercial y de cierta estabilidad política. Por aquel entonces, África era una fuente inagotable de materias primas y de mano de obra barata; se exportaban todo tipo de materiales y de alimentos hacia Gran Bretaña, que seguía ejerciendo una fuerte influencia en la política internacional. A esto hay que añadirle que en el continente africano se instaló de forma estable una abundante población originaria de la metrópoli, y que los colonos intentaron trasladar a los nuevos territorios las costumbres y formas de gobierno heredadas del Imperio Británico. La noción de 'Imperio' que aparecerá reflejada en todas estas novelas pretende dar una visión de lo británico como agente superior y estabilizador frente a lo nativo, que se retrata como salvaje y desconocido.

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<sup>6</sup> Isak Dinesen (pseudónimo de Karen Blixen) es de origen danés, pero todas sus novelas aparecieron publicadas simultáneamente en inglés y danés, por lo que puede incluirse perfectamente dentro de un panorama de la literatura en lengua inglesa. Además, durante su estancia en Kenia (de donde surgió su famosa novela *Out of Africa*), sus contactos personales y económicos se desarrollaron casi exclusivamente dentro de la colonia británica.

De estas fuentes bebieron la mayoría de los autores africanos que ya en la segunda mitad del siglo XX tomaron finalmente la palabra para dar una idea completamente diferente de lo que es África. Los autores africanos pretenderán corregir las impresiones falsas que del continente se han exportado, empezando por la idea de que los africanos son un pueblo sin cultura e historia. Por este motivo, muchas de las novelas de estos autores volverán la mirada al pasado como una forma de explicar el presente y como una obligación para mostrar a los mismos lectores occidentales que los pueblos de África tienen una cultura y una trayectoria histórica tan digna como la de cualquier pueblo europeo<sup>6</sup>.

3.- Dentro de los autores que escriben sobre el continente africano desde los albores del siglo XX, merecen mención aparte algunos que no mantuvieron realmente una vinculación estrecha con este continente. En ciertos casos, la referencia que tienen de África se reduce a poco más que algunos manuales de historia; en otros, como los de Joseph Conrad o Graham Greene, han visitado como aventureros algunas zonas del continente, pero la imagen que transmiten está seriamente distorsionada por un conocimiento puramente superficial y una visión excesivamente antropológica. Los lugares que reflejan son meros escenarios exóticos para desarrollar un guión que prácticamente nada tiene que ver con la realidad africana. Son espacios simbólicos en los que la introspección se desvía hacia la psicología del europeo. África es una zona en la que cualquier ser civilizado se sitúa al borde de sí mismo; esto es, se usa el continente como un lugar alegórico en el que los autores exploran las reacciones de la civilización europea en claro conflicto con el 'continente oscuro'. Sin embargo, el conflicto entre las dos culturas no tiene valor porque estos autores no hacen ningún análisis de la otra parte del espejo. De esta forma, los habitantes nativos de África son desprovistos de cualquier relevancia como sujetos narrativos.

He mencionado explícitamente dentro de este grupo dos figuras muy relevantes dentro de la literatura inglesa: Joseph Conrad (1857-1924) y

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<sup>6</sup>.- Así lo pone de relieve Emmanuel Obiechina (1975: 25):

«It should be obvious that the documentary nature of most West African novels is the result of the young African writers' eagerness to explain African traditional life both to non-Africans and to those Africans who have, by reading non-indigenous writing disparaging this life, begun unconsciously to be influenced in their attitudes by such reading».

Graham Greene (1904-91). Aunque la distancia cronológica entre ambos es bastante considerable, en el fondo mantienen profundas cocomitancias en su percepción del continente africano. En cierto modo, se puede hablar de la existencia, entre ambos, de una relación 'maestro/discípulo', siquiera sea de una manera mediata<sup>7</sup>.

El caso más claro es el de Conrad y su famoso *Heart of Darkness* (1899), sin duda una lectura obligada para todo aquel que quiera saber qué es la literatura colonial y qué es lo que ésta ha supuesto para la narrativa africana contemporánea. Si nos atenemos a su argumento, nos encontramos con el viaje que un personaje llamado Marlow hace al Congo Belga para localizar a un tal Mr. Kurtz que se ha dado por desaparecido<sup>8</sup>. Curiosamente, si ahondamos en el texto descubrimos que el argumento inicial es una mera excusa para incidir sobre la psicología de nuestro viajero, un hombre que a medida que avanza en su viaje, progresa en su propio conocimiento. Pero hay algo más detrás de todo esto: hubiera dado lo mismo situar la novela en el Congo Belga, o en el México español, o en Indonesia, porque de lo que se trata es de poner al individuo en una situación límite para observar su reacción y su proceso de deshumanización. Además, la novela no resulta tan inocente en el sentido de que no sólo es un viaje interior sino que ofrece una visión sesgada de la realidad de todo un continente. Los habitantes que descubrimos detrás de esos ojos que acechan, en el río, el bote del protagonista, son casi inhumanos, casi salvajes:

«The earth seemed unearthly. We are accustomed to look upon the shackled form of a conquered monster but there -there could look at a thing monstrous and free. It was unearthly, and the men were- No, they were not inhuman. Well, you know, that was the worst of it- this suspicion of their not being inhuman. It would come slowly to one. They howled and leaped, and spun,

<sup>7</sup> Graham Greene leyó muy detenidamente la obra de Conrad, por la que se vio profundamente influido, tal vez incluso a su pesar. Y, si atendemos al siguiente pasaje, parece que el propio Greene (1961: 42) era consciente de esta circunstancia:

«Reading Conrad- the volume called *Youth* for the sake of *The Heart of Darkness*- the first time since I abandoned him about 1932 because his influence on me was too great and too disastrous.»

<sup>8</sup> Viaje que se inspira en parte en el que emprendió Stanley en búsqueda de Livingstone.

and made horrid faces; but what thrilled you was just the thought of your remote kingship with this wild and passionate uproar. Ugly. Yes, it was ugly enough; but if you were man enough you would admit to yourself that there was in you just the faintest trace of a response to the terrible frankness of that noise, a dim suspicion or there being a meaning in it which you -you so remote from the night of first ages- could comprehend. And why not? The mind of man is capable of anything- because everything is in it, all the past as well as all the future.» (Conrad, 1899: 69)

Indudablemente, la respuesta de los autores africanos no se ha hecho esperar, y en este siglo *Heart of Darkness* ha sido discutida atendiendo a otros puntos de vista. El más claro de todos esos ataques ha venido de parte del nigeriano Chinua Achebe, que desde su papel de 'padre de la literatura africana' ha hecho un análisis de la misma descubriendo los fragmentos en los que Conrad es particularmente racista. Señala Achebe que la novela proyecta la imagen de África como el 'otro mundo', la antítesis de Europa y de la civilización, un lugar donde la inteligencia humana se ve asaltada por la brutalidad:

«Africa as setting and backdrop which eliminates the African as human factor. Africa as a metaphysical battlefield devoid of all recognizable humanity, into which the wandering European enters at his peril. Can nobody see the preposterous and perverse arrogance in thus reducing Africa to the role of props for the break-up of one petty European mind? But that is not even the point. The real question is the dehumanization of Africa and Africans which this age-long attitude has fostered and continues to foster in the world.» (Achebe, 1988: 8)

Graham Greene, por su parte, visitó África en varias ocasiones. Entre sus escritos africanos se incluyen *Journey without Maps* (1936), *In Search of a Character* (1959), *The Heart of the Matter* (1948) y *A Burnt-Out Case* (1960). La mayoría de ellos se sitúan tanto en el Congo Belga como en Liberia y en Sierra Leona. En conjunto, poco tienen que ver con África o los africanos. Greene está mucho más preocupado por el proceso psicológico que sufren sus personajes europeos en contacto con un am-

biente un tanto hostil. Los personajes africanos son un simple adorno para el desarrollo de la historia como definitivamente muestran *The Heart of the Matter* y *In Search of a Character*.

*In Search of a Character* tiene como subtítulo «Two African Journals» y se divide en dos partes; por un lado, *Congo Journal*, que cubre los últimos días de 1959 y los primeros meses de 1960. Por otro, *Convoy to West Africa* que cubre una travesía que sale de Dublín el 9 de Diciembre de 1941 y llega a Freetown el 3 de Enero de 1942. En el primer diario Greene viaja a un lazareto e intenta descubrir una serie de tipos para la novela que está pergeñando: *A Burnt-Out Case*. Aunque el autor no ofrece demasiados datos de su viaje y tampoco hay un análisis muy detallado de lo que le rodea, deducimos una visión conradiana de lo que ve:

«The huge Congo flowing with the massive speed of a rush hour out over the great New York bridges. This has not changed since Conrad's day. «An empty stream, a great silence, an impenetrable forest.»(Greene, 1961: 18)

Esta cita, que se encuentra al principio del diario, es toda una declaración de intenciones, que Graham Greene enriquecerá con el último comentario que escribe en su viaje marítimo a Freetown:

«It will always be to me the smell of Africa, and Africa will always be the Africa of the Victorian atlas, the blank unexplored continent, the shape of the human heart.» (Greene, 1961: 106)

Sin embargo, esta visión, que se podría entender en un diario ya que se trataría de recoger las impresiones generales de un viajero ante un continente desconocido, se traslada a sus novelas africanas. Es por esto que señalo que para el autor África es solo un escenario para una obra general.

En *The Heart of the Matter* Greene nos sitúa en una colonia británica en algún lugar del África Occidental. Es una ciudad un tanto cosmopolita en la que se mezclan británicos, hindúes, sirios, africanos, etc. aunque, como en la mayoría de las novelas coloniales, todos cumplen una función predeterminada. De entre ellos resaltan los británicos que

han trasladado a las colonias sus formas de vida: un club social, una autoridad británica, y todas las instituciones que recuerdan al viejo Imperio. Los africanos y el resto de los colonos no tienen una presencia relevante y son un mero apéndice dentro del escenario en el que nos encontramos. El argumento que cuenta la historia de un oficial británico, Harry Scobie, en el periodo de 1941-42 nos descubre una colonia cerca de la costa que tiene como misión defensiva impedir el intercambio de diamantes con Alemania tan valiosos en un periodo de conflicto bélico. Lo que subyace en el fondo es el conflicto personal en el que se ve inmerso el protagonista, que es incapaz de dilucidar entre el amor por su esposa, Louise, y la pasión por una jovencita viuda de diecinueve años, Helen, imposible de conjugar con su fe católica. Esta dicotomía es la que lo lleva a poner fin a su vida.

Si leemos el texto con cierta atención descubrimos que las referencias a los habitantes nativos son casi inexistentes y que sus funciones se reducen a ser sirvientes o especuladores. Nos cuesta trabajo descubrir que el autor está en África si no es porque él mismo lo especifica en el prólogo del libro<sup>9</sup>. Se diría que tiene especial interés en que todo lo que no se refiera al conflicto personal sea difuso. Entre estas referencias, cuatro o cinco, me gustaría resaltar una de ellas que nos lleva a algo que se ve a lo largo del libro; el autor es un tanto paternalista y su contacto con los nativos ha sido muy reducido. Por tanto, sus fuentes serán los contactos con los colonos británicos y la apreciación que estos tienen y, en un segundo plano, Conrad:

«It woke in some men virulent hatred of a black skin, but Scobie had long ago, during his fifteen years, passed through the dangerous stages: now lost in the tangle of lies he felt an extraordinary affection for these people who paralysed an alien form of justice by so simple a method.» (Greene, 1948: 134)

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<sup>9</sup> «The geographical background of the story is drawn from that part of West Africa of which I have had personal experience -that is inevitable- but I want to make it absolutely clear that no inhabitant, past or present, of that particular colony appears in my book.» (Greene, Graham (1948) nota introductoria a *The Heart of the Matter*)

4.- Otro grupo de autores, entre los que cabría destacar a Joyce Cary (1888-1957), Isak Dinesen (1885-1962), y Lawrence Durrell (1912-1991)<sup>10</sup>, presentan una visión de África más elaborada que el grupo anterior. La mayoría ha vivido en alguno de los países del continente y ha escrito sus novelas con la experiencia obtenida. Sin embargo, en lugar de ser una experiencia enriquecedora, pervive en ellos esa misma visión sesgada de la realidad. Presentan unos lugares en los que resulta imposible vivir, auténticos infiernos en los que los nativos o son buenos y entonces están con el hombre blanco, o son malos y su misión es estar en contra del europeo. Resulta sorprendente hasta dónde llega el desconocimiento de la cultura sobre la que escriben, mostrando unos personajes no solamente extraños sino en muchos casos perversos. Cuando escriben sobre los europeos en tierras africanas ofrecen un retrato fidedigno que se destruye en cuanto aparece el primer africano en escena.

De entre todos ellos, el caso de Joyce Cary es especialmente significativo, dado que escribió un buen número de novelas de tema africano, fruto de sus siete años (1913-20) como oficial del Imperio Británico en una región al norte de Nigeria. Así, nos encontramos con *Aissa Saved* (1923), *An American Visitor* (1933), *The African Witch* (1936), *Castle Corner* (1938) y *Mister Johnson* (1938). Indudablemente, para un autor es difícil disociar su realidad cultural de la que describe. Además, no puede deshacerse de su visión sesgada de la realidad. En tercer lugar, tiene un amplio bagaje cultural que condiciona su percepción y que le impide desechar una serie de prejuicios culturales<sup>11</sup>.

La más conocida y estudiada de sus novelas de tema africano es *Mister Johnson* que cuenta la historia de un personaje, Johnson, de origen africano pero con un interés desmesurado por integrarse en la cultura europea. Este conflicto provoca en el personaje y en su presentación una gran mentira puesto que el lector extrae la conclusión errónea de que todos los africanos quieren formar parte de ese nuevo mundo colonial. *Mister Johnson* es una novela en la que la cultura europea triunfa sobre la cultura de origen pero el personaje principal se convierte a

<sup>10</sup> Aunque el caso de Lawrence Durrell contenga una serie de matices diferentes al pasar parte de su vida en Egipto, un país con una tradición islámica milenaria.

<sup>11</sup> Lo que mejor describe esta idea es el hecho de que todos los autores británicos que han escrito sobre África han leído previamente a Conrad.

los ojos del lector en un «apátrida» al que no aceptan en la nueva cultura y que aborrece todas las cuestiones culturales propias de los suyos. Quizá la palabra «apátrida» no esté bien escogida y habría que hablar de un híbrido, un ser que le hace un flaco favor a sus propias raíces culturales. La razón primordial de este desencuentro radica en el hecho de que Johnson es un negro descrito y analizado por un blanco, Cary, para un público colonialista. El texto está lleno de detalles al respecto: por ejemplo, la boda de Johnson y Bamu se celebra con el rito europeo, en la oficina de la misión, y al modo local; Johnson viste como un europeo con un cierto aire ridículo; las relaciones con su esposa Bamu son un tanto extrañas ya que, por un lado, se mueven en un entorno africano y, por otro, el personaje las reviste de un cierto tono didáctico y europeizante:

[*habla Johnson*] «Oh, Bamu, you are only a savage girl here -you do not know how happy I will make you. I will teach you to be a civilized lady and you shall do no work at all.» (Cary, 1939: 14)

En general, la relación Johnson-Bamu es un tanto ingenua ya que el protagonista la reduce a un «parecerse a los blancos»: vestir como ellos, comportarse como ellos, etc. Johnson pretende que Bamu sea una «government lady».

A todo esto hay que añadir la actitud que la comunidad blanca tiene hacia este negro que se concreta en tres personajes básicamente. Para Rudbeck, el primer oficial de distrito que lo conoce y lo contrata, es de plena confianza. Incluso recibe de éste un dinero de una procedencia ilegal puesto que su mayor obsesión es construir una carretera. Hasta tal punto confía en Johnson que lo hace responsable de su esposa, Celia, que está a punto de llegar: «*I'm depending on you, Johnson*» (p. 97).

El segundo oficial que sustituye a Rudbeck se llama Mr. Tring. La relación con éste no tiene nada que ver con el primero y Johnson cae inmediatamente en desgracia: un análisis superficial de los libros de cuentas descubre algo que ya sabía el lector, que Mr. Johnson no sabe sumar ni restar, ... . Los funcionarios negros cargarán con toda la responsabilidad y Rudbeck no se verá afectado. Así, la visión de Tring se reduce a que todos los negros son corruptos y desleales.

En tercer lugar, se puede hablar de otro ciudadano británico, Sargento Gollup, que se sitúa entre las dos culturas. Está casado con una británica que vive en la metrópoli y convive con una nativa, Matumbi, a la que pega sistemáticamente todos los domingos. Su trato hacia Johnson es cruel y despiadado: *Mr. Monkey-brand* (p. 136), *young fellermellad* (p. 137), *nigger* (p. 138) o *wog* (p.138).

En definitiva, podemos hablar de una misma actitud hacia los nativos. Cary no pretende ser auténtico en su exposición de los acontecimientos. Lo que pretende resaltar es el tribalismo y la violencia implícita en la sociedad africana y quizá de los ojos de un funcionario británico, que ha trasladado su mundo social a otro continente, no quepa esperar que entienda las formas de vida y la cultura de unos lugares tan remotos e inexplorados.

5.- A través de la presente exposición he tenido la oportunidad de prestar atención a algunos de los autores más relevantes de la literatura inglesa del S. XX. La calidad de sus obras no se pone en cuestión, pero eso no nos debe hacer olvidar cómo participan complacientemente de un modo particular de percibir las relaciones entre las autoridades coloniales y los pueblos africanos sometidos bajo su autoridad. La mentalidad colonial no se ve cuestionada o desenmascarada en estos relatos, sino que, antes al contrario, encuentra en ellos una justificación y un argumento de defensa, llegando a posiciones abiertamente racistas hoy difíciles de comprender. Por ello, no debe resultar nada extraño que hayan sido objeto de serias críticas por parte de los autores africanos, que las han interpretado como un ataque directo a la dignidad de su pueblo. Y es que, como advierte Ngûgî wa Thiong'o (1993: 132) a propósito de *Out of Africa*, el racismo es especialmente peligroso en el caso de una autora que está dotada para la escritura y los sueños. Por tanto, las actitudes racistas y la incomprensión hacia la cultura originaria de los pueblos colonizados resulta mucho más dolorosa a los ojos de los escritores africanos, cuando proceden de autores de demostrada calidad literaria y que gozan de gran prestigio en los ámbitos culturales de los colonizados.

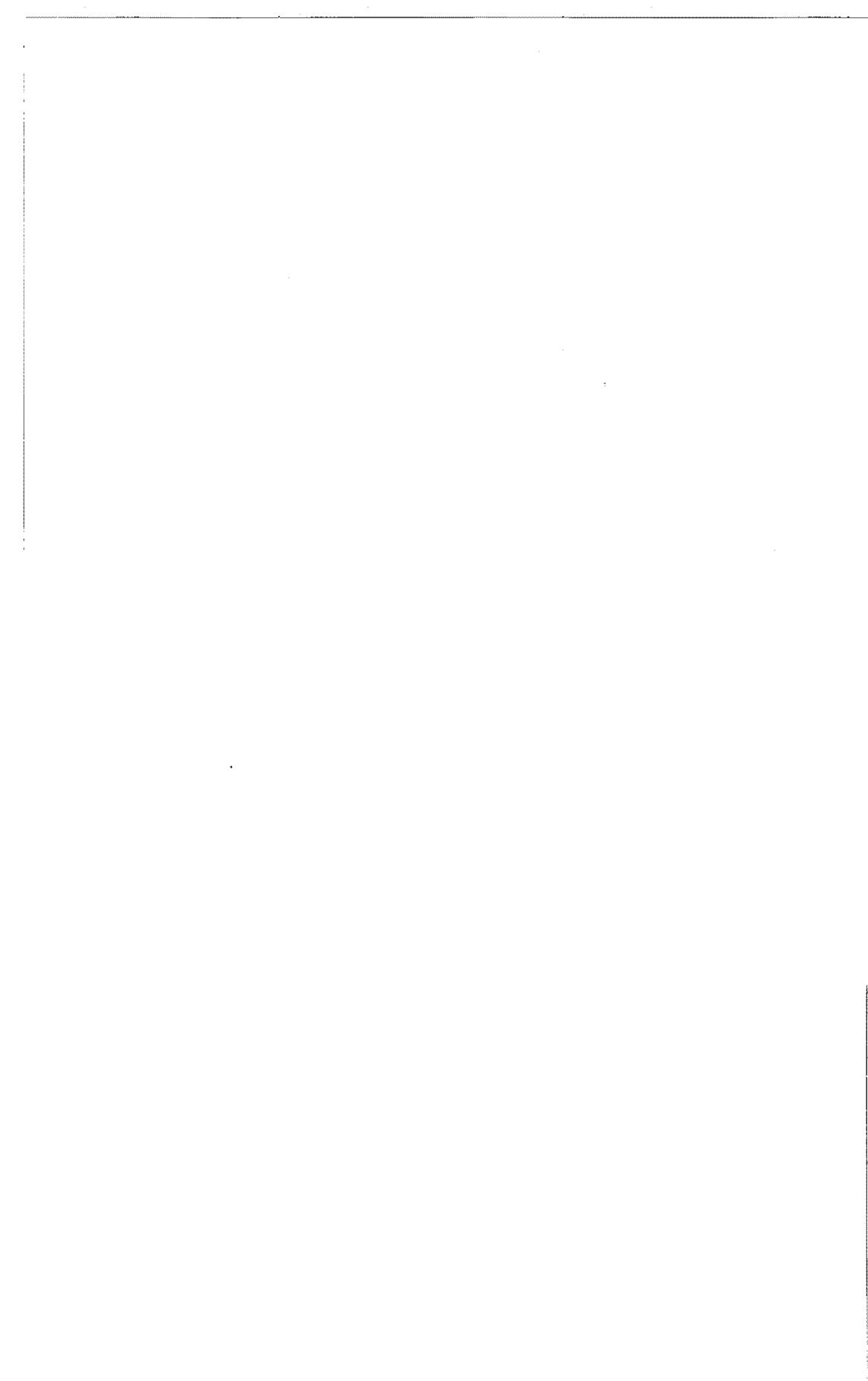
De ahí que los autores africanos sientan la necesidad de responder a través de nuevos textos y no resulte extraño que la lectura de la novela

colonial haya marcado de forma definitiva el desarrollo de la literatura africana contemporánea. Surge lo que se ha venido llamando *nacionalismo cultural* puesto que existe la necesidad de revalidar el pasado autóctono. El resultado directo de la colonización europea fue una imagen estereotipada de la realidad. Así, África era un lugar primitivo, habitado por hombres primitivos completamente irracionales. El nacionalismo cultural intentó rehabilitar las formas tradicionales de cultura: folklore, arte, música,... Este movimiento tiene dos vertientes: la *negritud*, asociada con la parte francófona del continente que tiene como máximo exponente a Leopold Senghor, y la *personalidad africana* (Obiechina, 1975: 16) que se sitúa en la zona anglófona del continente. Si bien es cierto que la conciencia de pertenecer a un grupo está mucho más diluida en este segundo caso. Mientras que los primeros incluyen en ese concepto a todas las personas de origen africano, los segundos se restringen a un continente y a una zona concreta de éste. Además, la *personalidad africana* como la define Mphahlele (1974: 72) es el diálogo entre dos elementos del individuo: el presente y el pasado vivido. Autores como Ngûgî wa Thiong'o, Wole Soyinka, Ben Okri, o Chinua Achebe pondrán el acento en el servicio del escritor dentro de su comunidad y de su cultura; Así, la recuperación histórica se convierte en el elemento que confiere a esta literatura un carácter didáctico que aspira a reivindicar la dignidad de sus propios orígenes.

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**JAMES JOYCE Y EL MOVIMIENTO DRAMÁTICO  
IRLANDÉS, O SOBRE LA INCOMUNICACIÓN  
DESDE EL PREJUICIO:  
*THE DAY OF THE RABBLEMENT***

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**Resumen**

*Desde su inicio, circunstancias ajenas al hecho literario en sí han propiciado una perspectiva sesgada del movimiento artístico promovido por el Abbey Theatre. La contribución de James Joyce a una polémica vacía ha dejado su impronta en el tratamiento de un fenómeno salpicado por la controversia. En este breve apunte pretendemos revisar uno de los artículos más tempranos de Joyce incluido en sus Critical Writings (1959) con el título «The Day of the Rabblement». En el mismo el autor da rienda suelta a sus sentimientos de recelo y repudio hacia el Movimiento Dramático Irlandés por provinciano y populista. La pertenencia de algunos miembros de su dirección a la ascendencia anglo-irlandesa, el flirteo con el fascismo de Yeats, o el antinacionalismo supuesto de una institución que se hacía llamar Teatro Nacional de Irlanda han servido de excusa para desvirtuar la importancia del Abbey Theatre. Con este ensayo juvenil, Joyce no sólo sentaba precedente en cuanto a la actitud de la que se ha juzgado merecedor al Abbey Theatre; también formulaba las bases de su relación con un movimiento literario del que no quiso saber nada y, a su vez, de su grado de compromiso con el resurgimiento cultural de aquel país. El conflicto entre quienes creían en un renacimiento cimentado en la helenización de Irlanda y aquellos otros que promocionaban un discurso gaélico en apariencia comienza a generarse desde este planteamiento del joven Joyce. Aquellos juicios suyos de principiante se han consolidado como pilares de toda una escuela crítica que le ha negado al Abbey theatre su papel de impulsor cultural, y ha optado por la veneración del uno y el olvido o el desprestigio del otro.*

**Abstract**

*Different events have caused the analysis of the Abbey Theatre phenomenon to be rather biased. James Joyce's participation in such a void, but violent controversy has been quite influential. This paper intends to revise one early article by Joyce included in his Critical Writings (1959), entitled «The Day of the Rabblement», in which the author gives vent to his feelings of rejection of, and contempt towards, this cultural movement for its parochialism, its chauvinism, and its concessions to the uncultivated audience's preferences. Some anecdotes such as the membership of its directors to the Anglo-Irish Ascendancy, Yeats's incursion into fascism, or the supposedly antinationalist nature of a so-called Irish National Theatre have been used in order to diminish both the relevance and achievement of such an institution; and have encouraged a research trend based upon prejudices. With «The Day of the Rabblement», Joyce establishes the conditions of his relationship with a cultural movement he did not feel attached to, the type of reaction of many a scholars to the Abbey Theatre, and his compromise with the Irish Revival. The conflict between those who believed in the hellenicization of Ireland, and those in favour of a Gaelic discourse is expounded by this young Joyce, whose rash judgements should have evolved at the evolution of the Abbey itself. This essay has become one of the main foundations of a school of criticism devoted to the veneration of the novelist, and the discredit of the Abbey Theatre.*

El profesor Terry Dolan, en una ponencia titulada «The Fractured Image: Language and Cultural Identity», incluida en el curso «Ireland: the Image-Makers» de la *International Summer School* celebrado en julio de 1994 en el *University College* de Dublín, señala nada tímidamente, animado por la controversia, la relación esporádica existente entre el Abbey Theatre o la Liga Gaélica y James Joyce, o mejor dicho, la fracasada relación entre dos posturas aparentemente irreconciliables: la de un movimiento, en opinión de Dolan, condescendiente y paternalista que planteaba la creación y re-creación de una identidad nacional artificial, y la de un crítico opuesto a la idea de cultura derivada del otro, en tanto que suponía rendirse al fetichismo, al auto-engaño, y al disparate del

populacho (*Escritos críticos*, 1983: 88). No obstante, lo más interesante de su exposición radica en los medios a los que recurre para identificar al primero con un sector social odiado y temido (es decir, la aristocracia del pensamiento anunciada por Yeats, confundida con la aristocracia protestante de la ascendencia anglo-irlandesa) y al segundo con lo irlandés propiamente dicho, culto pero no engañosamente cercano.

También, aunque menos sesgadamente, se ocupó de la cuestión el profesor Gus Martin en otra ponencia ofrecida con motivo del curso mencionado, que tituló «Yeats, Joyce and the Irish Literary Revival». Con todo, su acercamiento no deja de ser cínico respecto del valor del Abbey Theatre y, en concreto, de Yeats como su representante visible más directo. Lo cierto es que Martin no sólo no duda en tachar al Movimiento Dramático Irlandés de provinciano, sino que incluso tergiversa la respuesta real de Joyce hacia una de sus piezas teatrales, *The Countess Cathleen*, al no mencionar que la representación de ésta en mayo de 1899 fue tan del agrado del novelista que se había negado en su momento a firmar la propuesta contra la misma llevada a cabo por parte de sus discípulos, escandalizados ante aquella supuesta herejía. Sin embargo, sí se cuestiona un hecho (el interés de Yeats por un teatro que recibía el rechazo del público) que realmente pone en tela de juicio los argumentos esgrimidos a fin de reprochar la valía de la acción del Abbey Theatre. En opinión de Martin, Yeats intentaba construir una moral nacional a través de la cultura en un teatro nacional, luchando en su propio territorio; mientras que Joyce, el poeta de la urbe, convencido de la importancia del individuo frente a la del entorno, rompía sus lazos con la familia, la Iglesia y la nación, para luchar por su propia vida, como el “utopian mythologer of revolution” que era. (Eagleton, 1995: 31<sup>a</sup>).

Tanto Dolan como Martin mencionan el artículo de Joyce «The Day of the Rabblement» («El día del populacho») a la hora de dejar manifiestas las diferencias que separaban al novelista del Abbey theatre. Lo paradójico, no obstante, es que cada uno de ellos parece sacar conclusiones dispares e incluso contradictorias. Dolan deduce del texto la consabida, manida y reiterada idea de que el Abbey Theatre defendía los intereses de una minúscula parte de la sociedad irlandesa (i. e. la ascendencia anglo-irlandesa) mientras representaba sin ajustarse a la realidad, con aire cómico y ofensivo, al resto (i. e. el campesinado) Martin, por

su parte, acierta a ver en la crítica de Joyce los dos polos enfrentados del gusto popular por lo folclórico y de la necesidad sentida por la clase intelectual de la europeización o, más concretamente, de la helenización de Irlanda.

La revisión de *The Critical Writings* (1959) (*Escritos críticos*, 1983) de Joyce consolida la imagen de un hombre inteligente con conocimientos muy sólidos de cuestiones históricas, artísticas, lingüísticas o filosóficas de relevancia indiscutible dentro y fuera de Irlanda. Su veneración por ciertas tendencias estéticas (i. e. el teatro de Ibsen o la poesía de James Clarence Mangan) se explicita en más de una ocasión.<sup>1</sup> De igual modo, deja patente con frecuencia su impronta crítica, ironizante y resueltamente inquisitiva en todo un alarde de concisión y provocación exquisitas. Para muestra de lo dicho, ténganse en cuenta estos versos humorísticos titulados "gases de un quemador", que escribiría en 1912 al dorso de su contrato con Maunsel & Co. para *Dubliners*, mientras viajaba en tren a Salzburgo, tras haber recibido innumerables negativas, haberse visto en la obligación de aplazar la publicación de dicha novela y haber sufrido la censura más estricta:

Ladies and gents, you are here assembled  
 To hear why earth and heaven trembled  
 Because of the black and sinister arts  
 Of an Irish writer in foreign parts.  
 He sent me a book ten years ago.  
 I read it a hundred times or so,  
 Backwards and forwards, down and up,

<sup>1</sup> Padraic Colum cita algunos fragmentos de una carta de Joyce a Ibsen fechada en marzo de 1901 -reimpresa en *Letters of James Joyce*, editadas por Stuart Gilbert (London: Faber & Faber, 1957: 51-52) y recogida en Mikhail (1988: 59-71)- en la que da rienda suelta a la expresión de su admiración por el autor escandinavo, apoyándose precisamente en lo que de criticable, según su opinión más que explícita en el panfleto que estamos analizando, se aquejaba el Movimiento Dramático Irlandés: la dependencia de la opinión crítica del público nacionalista o el vicio de integrarse en la marginalidad imperante. Sus palabras son elocuentes:

Joyce's real tribute was the letter he wrote him on Ibsen's seventieth birthday -'I had shown', this young man wrote, 'what, as it seemed to me, was your highest excellence -your lofty, impersonal power ... How your wilful resolution to wrest the secret from life gave me heart, and how in your absolute indifference to public canons of art, friends and shibboleths, you walked in the light of your inner heroism.' (p. 60)

Through both ends of a telescope.  
I printed it all to very last word  
But by the mercy of the Lord  
The darkness of my mind was rent  
And I saw the writer's foul intent.  
**But I owe a duty to Ireland:**  
I hold her honour in my hand  
**This lovely land that always sent**  
**Her writers and artists to banishment**  
And in a spirit of Irish fun  
Betrayed her own leaders, one by one.  
'Twas Irish humour, wet and dry,  
Flung quicklime into Parnell's eye [...]

To show for strictures I don't care a button  
I printed the poems of Mountainy Mutton  
And a play he wrote (you've read it I'm sure)  
Where they talk of «bastard», «bugger» and «whore»  
And a play on the Word and Holy Paul  
And some woman's legs that I can't recall  
Written by Moore, a genuine gent  
That lives on his property's ten per cent [...]

I printed the table-book of Cousins  
Though (asking your pardon) as for the verse  
'Twould give you a heartburn on your arse:  
I printed folklore from North and South  
By Gregory of the Golden Mouth:  
I printed poets, sad, silly and solemn:  
I printed Patrick What-do-you-Colm:

I printed the great **John Milicent Synge**  
 Who boars above on an angel's wing  
 In the playboy shift that he pinched as swag  
 From Maunsel's manager's travelling-bag  
 But I draw the line at that bloody fellow,  
 That was over here dressed in Austrian yellow [...]

(pp. 316-318) (énfasis añadido)

En 1900 Joyce escribía un ensayo, «Drama y vida» (1983: 46-56), en el que argumenta con gran firmeza su concepción más temprana de teatro<sup>2</sup>. De éste es interesante destacar algunas de sus ideas relativas a la relación entre drama y público. Según dice:

El **drama** es, esencialmente, un **arte comunitario** y de amplio alcance. El drama, para conseguir su mejor expresión, casi exige un público integrado por individuos de todas las clases sociales. En una sociedad que ame el arte y lo produzca, el drama se colocará, de una forma natural, a la cabeza de todas las instituciones artísticas. (p. 51) (énfasis añadido)

Si de esto se deduce que el autor no puede desvincularse en modo alguno de la audiencia -en tanto en cuanto es ésta misma la que impulsa su labor- no es un error, en consecuencia, hacer notar la intransigencia de la postura escéptica de Joyce, que más tarde en «The Day of the Rabblement» (pp. 84-88) cuestiona, paradójicamente, la supuesta dependencia del Irish Literary Theatre con respecto a su público y los inconvenientes que ello supuso. Sus palabras, durísimas, dan constancia de ello:

[El Irish Literary Theatre] luchó por vencer al viejo demonio, pero ante la primera dificultad se ha rendido a la voluntad popular ... el demonio popular es más peligroso para él que el de la vulgaridad [...] Nada podrá hacerse hasta que nos enfrentemos serenamente con las fuerzas que dictan el juicio público [...] la chusma,

<sup>2</sup> Esta concepción se irá haciendo más compleja con los años. En el capítulo 15 del *Ulysses*, escrito según las convenciones de una obra de teatro, queda de manifiesto cómo Joyce estaba al tanto de todas las vanguardias teatrales.

plácida e intensamente moralista, ha ocupado palcos y plateas entre un murmullo de aprobación [...] (p. 86)

Indudablemente, Joyce estaba en lo cierto al definir el hecho teatral en esos términos. El teatro es un fenómeno eminentemente social; su influencia se deja sentir sobre su receptor con mayor prontitud, pero por lo mismo éste controla también más directamente la naturaleza del producto que se le ofrece desde la escena. El hecho es que a Joyce le desagradaba que el por entonces Irish Literary Theatre hubiese adoptado la etiqueta de teatro irlandés (de lo que eran fiel reflejo a su entender, la creación de *The Twisting of the Rope*, de Douglas Hyde en gaélico, o la de *Diarmuid and Grania*, de Yeats y Moore, adaptación de una leyenda heroica alejada de la propuesta realista de Ibsen) (p. 84). Su oposición se dirigía al provincianismo del teatro en particular, y a una literatura carente de «la indispensable calidad de la belleza, la calidad de la integridad, la calidad de ser independiente y unitaria» en general.<sup>3</sup>

Su actitud hacia Irlanda puede resultar ambigua. En «James Clarence Mangan (2)», ensayo publicado en 1907 (1983: 229-242), la describe como «país destinado por Dios a ser la eterna caricatura del mundo serio» (p. 230). Es obvio que en su crítica se percibe el descontento ante el estancamiento nacional que tan bien dibujó en *Dubliners*. De ella, no obstante, resalta al poeta Mangan y, con él, los principios que considera fundamentales en la consecución de una literatura nacional de calidad: evitar la colaboración con la prensa inglesa, negarse «a prostituirse para el vulgo o a convertirse en altavoz de los políticos» y confiar en la vida interior del artista. (p. 239)

En las pocas páginas de «The Day of the Rabblement» Joyce expone, indignado, su visión de la evolución del Irish Literary Theatre. De ser «el último movimiento de protesta contra la esterilidad y falsedad del teatro moderno» (p. 85) con obras como *The Countess Cathleen* de Yeats o *The Heather Field* de Edward Martyn, pasa a adoptar el rango de «propiedad del populacho del más rezagado pueblo de Europa» (p. 86) con las ya mencionadas *The Twisting of the Rope* y *Diarmuid and Grania*.

<sup>3</sup> Cf. Crítica de *Poems and Ballads* de W. Rooney publicada en 1902 (p. 108).

Los objetivos iniciales del Abbey Theatre de luchar contra el comercialismo y la vulgaridad se asemejaban a la concepción que Joyce tenía de la finalidad del arte. Sus discrepancias surgieron a raíz de sus diferencias con respecto a los modelos a seguir. Joyce no creía que «[u]na nación que hasta el momento no ha ido más allá en teatro de los autos dramáticos» (p. 86) pudiera ofrecer modelos literarios de altura. Su propuesta era volverse hacia el extranjero, y su crítica afectaba a una institución que, en su opinión, no se atrevía o no estaba dispuesta a producir ese tipo de obras de autores supuestamente escandalosos como Ibsen, Tolstoi o Hauptmann. Con todo, y a pesar de lo radical de su exposición, al referirse a los responsables del Irish Literary Theatre, no duda en valorar positivamente su trayectoria allí donde lo considera justo. De Yeats alaba *The Wind among the Reeds* y *Adoration of the Magi*, producto de lo que «es capaz de hacer cuando prescinde de los semidioses» (p. 87), pero aborrece lo que él llama su instinto de adaptabilidad, concepto algo discordante respecto de lo que se reconoce como su “dislocated position within Irish society” (Aguilera Linde, 1994:18) de la que hace mención Terry Eagleton en su *Criticism and Ideology* (1976:151-154), cuando recuerda cómo también Joyce describió a Yeats como “a tiresome idiot... quite out of touch Irish people”. De Martyn dice que adolece de un estilo incorregible, aun cuando en ocasiones recuerda en algo a Strindberg. En cuanto a Moore, aunque resalta su capacidad de imitación, le hace salir igual o peor parado, pues le atribuye la incómoda condición de estar viviendo de rentas literarias.

Es obvio que el tono exaltado de Joyce ha servido de acicate a quienes necesitaban justificar su crítica sin paliativos contra el Movimiento Dramático Irlandés. La interpretación errónea por parte de éstos de la propia apreciación distorsionada de James Joyce ha promovido la consolidación de un panorama cultural complejo reducible a los términos proIrlanda vs proInglaterra, popular vs elitista. Con ello, la incompreensión del esfuerzo acometido por el Abbey Theatre ha resultado ser inevitable. No obstante, lo irónico es, precisamente, que la evidencia documental, y en concreto el último párrafo de «The Day of the Rabblement», en el que entre otras cosas Joyce reitera su recelo hacia el «artista [que] busca el favor de la multitud» (p. 88), muestra cómo las objeciones vertidas por unos y por otros suponen perspectivas contra-

dictorias e igualmente equivocadas. La servidumbre a los deseos del populacho de la que se queja Joyce es más que dudosa. Aquel pequeño teatro ya había experimentado con *The Countess Cathleen* lo que significaba oponerse a la moral socialmente establecida, y con posterioridad volver a sufrir las consecuencias de no hacer concesiones (*The Playboy Riots*).<sup>4</sup> Una cosa es cierta, tanto Yeats como Joyce eran conscientes, según dejó dicho este último en 1902, de que a los dublínenses «el arte muy poco importa, pero ... sienten pasión por las discusiones» («Blanco Posnet desenmascarado», 1983: 269). La diferencia entre ambos radicaba en sus reacciones: la búsqueda, en las raíces de una idea común de cultura, de la incitación hacia una concepción también común del arte a fin de empujar la constitución de una nación culturalmente fuerte, frente al abandono cínico de ese apego a lo propio por una construcción ideológica lejana, constituyente de otra sociedad posiblemente igual de provinciana y pequeño-burguesa.<sup>5</sup>

Joyce no entendió las posibilidades del teatro que el Abbey Theatre estaba produciendo; no quiso descubrir la universalidad de lo cotidiano. El novelista T.G. Keller, miembro fundador de la Irish National Theatre Society reduce la relación de éste con el Movimiento Dramático Irlandés a una mera anécdota personal. Su recuerdo de Joyce, que no es otro que el de un hombre que no quiso tener nada que ver con él, aparece descrito en el *Sunday Independent* del 6 de enero de 1929 (p. 7), tal como lo recoge Mikhail (1988: 22-27), en los términos siguientes:

There was a piano there, and occasionally the now famous Mr James Joyce, wandering in, would be induced to sing, displaying a tenor voice of rare quality. But Joyce was always careful to

<sup>4</sup> Cf. Kilroy (1971).

<sup>5</sup> Esta discusión nos recuerda el comentario de Michael Healy, un joven poeta dublínés al que el teatro le apasiona. Tras haber visto la representación en inglés de *Bodas de Sangre* creyó descubrir en ella la síntesis de diferentes piezas teatrales irlandesas con cierto sabor shakespeariano (i.e. la luna y la muerte) y, a la vez, algo aún única y exclusivamente español. Sus conclusiones son significativas, su experiencia de reconocimiento le parecía señal inequívoca de que aquella obra podía calificarse de muy buena como conglomerado de valor de verdad universal con capacidad para mantener su propia identidad. Lorca podía haber recurrido a Ibsen; sin embargo, sus escenas se llenan de lo oscuro, lo terriblemente tradicional, lo ritual, lo mítico, lo telúrico, las raíces de un pueblo profundamente atrasado, y es capaz de crear valores que superan las limitaciones del marco concreto en el que se crean. De la intuición al estudio serio no siempre hay una gran distancia; curiosamente, R. Sainero se dedica a esta misma cuestión en un monográfico de 1983 con el título *Lorca y Synge ¿Un mundo maldito?*

disassociate himself from the movement. He probably failed to sense the reality of its mission. And when he left Dublin he was particular to emphasize this fact in the farewell poem he had printed and distributed to his friends, in this he stated:

But I must not accounted be  
One of that mumming company. (pp. 23-24)

Por su parte, mientras tanto, quienes se han dedicado a profundizar en su trabajo y en su figura no se han preocupado por ver en este ensayo la escritura de un joven, la inmadurez de un filósofo improvisado e intuitivo que emplearía más tarde en su obra, con mayor o menor sutileza, los motivos de los que aquí abomina; y, mucho menos, han intentado analizar objetivamente las concomitancias que más allá de lo puramente superficial se descubren entre los autores del Abbey Theatre y Joyce. Ni los unos se convirtieron en portavoces del nacionalismo ofensivo, como se ha creído, ni el otro dio la espalda al renacimiento cultural del país. Resulta fácil seguir el juego de la polémica, lo complicado es desentrañar sus claves y aclarar unas motivaciones algo oscurantistas, más relacionadas con lo biográfico que con lo puramente textual. En el fondo se habría de descubrir el deseo compartido de crear una tradición cultural que, a la larga, serviría de base para la construcción de la nación irlandesa.

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## EL CONCEPTO JUNGUANO DEL ÁNIMA EN *FAR FROM THE MADDING CROWD*

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### **Resumen**

*Partiendo de la diferenciación clásica de la mujer en Eva, Elena, María y Sofía, desarrollada por C.G. Jung, analizo a Bathsheba Everdene, personaje femenino central en la novela de Thomas Hardy *Far from the Madding Crowd* (1874). Este análisis pretende, en primer lugar, señalar la coherencia del personaje, mostrando de qué manera se adapta tanto a sus aspectos superiores (virtud y conocimiento), como a los inferiores (irracionalidad), y, en segundo, desconstruirlo para, mostrando la convención literaria que lo sustenta, estudiar el uso que se hace de ella y cómo Hardy resuelve la contradicción planteada entre lo que la tradición patriarcal exige y aquello que él pretende.*

### **Abstract**

*This study aims to offer a new view of the main character of Thomas Hardy's *Far from the Madding Crowd*, Bathsheba Everdene; this character will be analyzed from the perspective offered by C.G. Jung's characterization of the female as a succession of four stages: Eve, Helen, Mary and Sophy. By means of this model, I will attempt to point out this character's deep narrative coherence, showing how it responds to Jung's higher and lower aspects of the anima and how the contradiction between patriarchal beliefs and the novel's outcome is eventually worked out on this basis.*

En la novela de Thomas Hardy *Far from the Madding Crowd* (1874)<sup>1</sup> encontramos una serie de personajes masculinos envueltos en un largo y prolijo argumento que los relaciona al tener todos ellos un objetivo en común, la consecución de los favores y/o la mano de la joven Bathsheba Everdene. El matrimonio, jerarquizado y con funciones separadas y claramente definidas para el hombre y la mujer, es el concepto alrededor del cual pivota la novela, ya que constituye la institución que, empezando por el núcleo inferior, la familia, ordena y jerarquiza la comunidad victoriana patriarcal. Bathsheba se encuentra ante el matrimonio y rechaza todas las posibilidades que se le ofrecen menos una, y es por esta causa por lo que experimenta una serie de cambios de distinto tipo que la transforman sucesivamente en «personas diferentes», con diversos grados de conocimiento y distinto poder sobre los hombres y posición ante ellos. Una lectura tradicional (patriarcal) de la obra atribuiría estos cambios a esa supuesta y tan socorrida «inconstancia» femenina, que haría de ella, como de tantos otros personajes femeninos, un sujeto discontinuo, sin entidad propia, y en constante dependencia de los hombres que la rodean. Esta lectura aparece, ciertamente, en boca de la propia Bathsheba: los «woman moments» (*Far*, 285) a los que hace referencia parecen apuntar en esta dirección. En las siguientes páginas vamos a intentar descubrir cómo opera el discurso patriarcal en esta obra y cómo es combatido desde ella misma con una lectura que podríamos llamar «feminista»<sup>2</sup>, al mismo tiempo que adelantaremos una propuesta de análisis del personaje de Bathsheba que explique esta supuesta discontinuidad basándonos en los estudios junguianos del ánima.

Las distintas opiniones de los personajes masculinos sobre los femeninos ofrecen una muestra clara de cómo se activa el discurso del patriarcalismo contra la mujer, especialmente si ésta supone algún tipo de amenaza para los hombres. Las imputaciones se encuentran en la lista más común y estereotipada que uno se pueda imaginar, incluyendo

<sup>1</sup> Thomas Hardy *Far from the Madding Crowd* (Ware: 1993, Wordsworth Editions Ltd.). Todas las citas de esta edición. En adelante nos referiremos a ella como *Far*.

<sup>2</sup> Al hablar de *feminismo* nos referimos a una «revisión crítica de las construcciones teóricas que hablan sobre la mujer» (Cristina Molina Petit, *Dialéctica feminista de la Ilustración* (Barcelona y Madrid: Anthropos, Comunidad de Madrid, 1994) p. 20. En adelante nos referiremos a esta obra como *Dialéctica*.

acusaciones de vanidad (Gabriel sobre Bathsheba, p.6; Billy Smallbury sobre Bathsheba, pp. 43-4), cabezonería y orgullo (Henery Fray sobre Bathsheba, p. 106), e inestabilidad (Gabriel sobre Bathsheba, p. 254) entre muchas otras. En términos generales, todas estas acusaciones parten de una creencia previa, que no es otra que la falta de razón en el «común» de las mujeres. El siglo XVIII consume, con el advenimiento de la Ilustración, la elevación de la Razón al mayor altar que el ser humano haya podido construir. Los avances técnicos, pero sobre todo los legislativos, y en general la aparición de diferentes escuelas de pensamiento que se caracterizaban por su exaltación del poder de la razón humana, posibilitaron la convicción de que el hombre «crecía» en la medida en la que se desprendía de sus rasgos menos racionales, o, dicho de otra forma, de los más pasionales; en este modelo de avance constante e imparable, a los atributos más «primitivos» sucedían otros que iban conformando la verdadera «esencia» del hombre. Paradójicamente, este proceso de dominación de la Naturaleza considerada como lo Otro, y también de «lo natural», o «lo primitivo», que permanece todavía en el hombre, deviene en una forma de dominación del hombre por el hombre<sup>3</sup> y, de la misma manera, de la dominación de la mujer por el hombre. La mujer es perversamente reescrita como la Pasión, lo Irracional, o, en una palabra, la Naturaleza, previa a lo «social-civil». Con esta identificación se consume la sujeción de la mujer, que al carecer del atributo humano por excelencia, la Razón, se convierte en un Otro inferior y al que hay que (y es lícito) dominar. De lo que se trata entonces es de subyugar el Deseo, reprimiendo a la Mujer (su representante) y suprimiendo su sexualidad. Esta ecuación mujer = Naturaleza se manifiesta de innumerables formas, y la sujeción a las emociones es una de las más características. El personaje principal en la novela de la que nos ocupamos es Bathsheba Everdene, y a ella se aplican muchas de estas creencias, algunas de las cuales provienen no ya de los personajes masculinos sino de los comentarios del narrador (semi) omnisciente, que atribuye a este personaje una cierta incapacidad para dominar sus emociones al

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<sup>3</sup> Theodor Adorno y Max Horkheimer, *Dialectic of Enlightenment* (New York: Seabury Press, 1972) pp.x-xii. La Ilustración determinará en gran medida muchos de los conceptos que se manejan en el xix, especialmente en lo referido a la consideración de la mujer, y es por esto por lo que nos parece necesario hacer referencia aquí a estas ideas.

discutir con el sensato Gabriel (*Far*, 212). No es casualidad que, incapaz de dominarse, en esta situación Bathsheba dirija su mente hacia los árboles y el cielo, encontrando en estos una suerte de complementación e identidad; en este sentido, Cristina Molina ha explicado cómo la preeminencia de lo físico en la mujer frente a lo humano ha sido un hecho considerado cierto y atemorizador para el hombre (*Dialéctica*, 33). Si entendemos que se trata de un profundo miedo del hombre a la mujer (de lo que se autoconsidera Razón a lo que define como Pasión), resulta más fácil imaginar cómo y por qué funcionan estos discursos. La novela también nos presenta a la mujer como *exceso*, esto es, aquello que sobrepasa los límites racionalmente fijados, y que supera en energía al hombre, que es caracterizado como contención, auto-limitación o escasez; esta oposición se encuentra ejemplificada en personajes como los Laban, Joseph Poorgrass y las mujeres (cualquier mujer) o el excesivo amor de Fanny o Bathsheba por el finalmente atribulado Troy, aunque resulta obvio que son Gabriel y Bathsheba quienes mejor representan esta dicotomía:

So the chatter was all on her side. There is a loquacity that tells nothing, which was Bathsheba's; and there is a silence which says much: that was Gabriel's. (*Far*, 150)

La mujer (representada aquí por Bathsheba) es, por lo tanto, un exceso estéril, una forma desbordada vacía de contenido, mientras que el hombre es moderación fructífera, llevándonos la charla sin sentido de Bathsheba al tópico de la mujer ociosa y habladora. La identificación de la mujer con la Naturaleza funciona también por medio de la proyección sobre la mujer de unos contenidos semi-religiosos que la convierten en un ser que al mismo tiempo que posee un gran poder sobre el hombre resulta fatal para éste desviándolo de lo que deberían ser sus verdaderos intereses (la Razón, la ausencia de Pasión, la «verdadera religión»); así se debe entender la cita de Joseph Poorgrass al final de la novela (*Far*, 423) y, sobre todo (y a pesar del obvio contenido de adulación), la siguiente afirmación de Troy:

... perhaps I should have been a very good Christian if you pretty women hadn't made me an idolater. (*Far*, 177)

Bathsheba es el Deseo para Gabriel, para Boldwood y, bien que le pese, para el «Don Juan» Troy, finalmente también «cazado»; a pesar del trato que él dio a Fanny (y presumiblemente a otras mujeres antes), no tiene reparos en referirse a un supuesto poder diabólico que habría asistido a Bathsheba; si el amor a las mujeres se asemejaba a la idolatría, al asimilarse éstas a falsos dioses, esta mujer en concreto se transforma en un instrumento satánico que ha «tentado» al hombre apartándolo de su deber (aunque esto significara perjudicar a otra mujer); «Satán», «malditas» «Dios», «tentación», «merecimiento», «tormento» y «cielos»: las referencias de tono religioso abundan en una de las quejas masculinas más amargas de la obra, lo que abunda en la relación de la mujer con lo Irracional, en su extrañamiento del Logos, de lo Racional y, por lo tanto, Humano:

'Ah! don't taunt me, madam. (...) If Satan had not tempted me with that face of yours, and those cursed coquetries, I should have married her. I never had another thought till you came in my way. Would to God that I had; but it is all too late! I deserve to live in torment for this!' He turned to Fanny then. 'But never mind, darling,' he said; 'in the sight of Heaven you are my very, very wife. (*Far*, 313)<sup>4</sup>

En la esfera antropológica, la mujer corresponde al principio pasivo de la naturaleza, tal y como explica J. E. Cirlot en su excelente *Diccionario de símbolos*<sup>5</sup> (313). Como podemos ver fácilmente, hay un aspecto de peligrosidad en la figura de la mujer, a la que se atribuyen

<sup>4</sup> Según Cristina Molina, Cèlia Amorós, Michelle Rosaldo y otras autoras, la dicotomía público/privado articula toda una serie de mecanismos que históricamente han asignado a la mujer un papel pasivo, subordinado al hombre, basado en la adscripción de hombres y mujeres a dos espacios opuestos y complementarios a los que van unidos determinados criterios estimativos de carácter cultural; la consecuencia de mayor importancia para la mujer es que, por medio de la existencia de esta oposición, se le asigna un «espacio», esto es, se la adscribe a una función subalterna determinada de la que (como veremos) sólo podrá escapar a riesgo de perder su condición de mujer (Molina, 21).

<sup>5</sup> Juan-Eduardo Cirlot, *Diccionario de símbolos* (Barcelona: Labor -Nueva Col. Labor- 1988).

características no-humanas (y por lo tanto no-rationales) que claramente coinciden con los primeros elementos de la novela que hemos destacado más arriba. Pero, ahondando en esto y con relación a su complejidad, ha sido el psicólogo alemán Carl Gustav Jung probablemente uno de los que ha abordado la figura femenina con mayor rigor intelectual y también con mayor originalidad<sup>6</sup>. En *La psicología de la transferencia*<sup>7</sup> expone y explica su concepto de ánima, indispensable en su pensamiento, y de una relevancia indudable para todo tipo de estudios de «documentos culturales»<sup>8</sup>. Dentro de la conciliación de los contrarios que en opinión de Jung resulta indispensable para alcanzar la plenitud o la totalidad humana, el ánima (junto con el ánimus) ocupa un papel de enorme importancia, ya que de lo que se trata en todo proceso de individuación es de «la integración del yo consciente del hombre con su parte femenina, el 'ánima', o del de la mujer con su contraparte masculina, el 'ánimus'»<sup>9</sup>. A pesar de su extensión, la siguiente cita de Marie-Louise Von Franz explica con bastante claridad el tipo de concepto con el que estamos trabajando:

Con frecuencia emerge otra 'figura interior'. Si quien tiene el sueño es un hombre, descubrirá una personificación femenina de su inconsciente; y será una figura masculina en el caso de una mujer (...) Jung llamó a esas figuras masculina y femenina 'ánimus' y 'ánima' respectivamente. (...) El

<sup>6</sup> La teoría del ánima de Jung que vamos a explicar brevemente y a aplicar a la novela de Thomas Hardy objeto de nuestro estudio aquí es utilizada por las enormes posibilidades que ofrece de exploración de esta novela (y también, sin duda alguna, de otras), al considerar que puede aportar un método muy interesante que permite comprender íntegramente el personaje femenino protagonista de la obra; esto no quiere decir, ni mucho menos, que como consecuencia se acepten todos los presupuestos de esta teoría, que adolece de cierto carácter misógino puesto de manifiesto en afirmaciones que en absoluto compartimos (como explicitaremos en su debido momento).

<sup>7</sup> C. G. Jung, *La psicología de la transferencia* (Barcelona: Paidós, 1983). En adelante nos referiremos a esta obra como *Transferencia*.

<sup>8</sup> Entendidos con el significado que les dan F. Jameson en *The Political Unconscious*, Edward Said en *Orientalism* y los materialistas culturales.

<sup>9</sup> *Transferencia*, 19 (pról. de E. Butelman). Resulta a todas luces imposible resumir la complejidad del pensamiento junguiano en el espacio limitado de este ensayo, mientras que por otro lado resulta casi imposible valorar la importancia del concepto del ánima sin conocer, ya sea sólo ligeramente, las teorías de Jung sobre el inconsciente y sus funciones, por lo que remitimos al lector interesado a las siguientes obras (aparte de la ya mencionada): *Transformaciones y símbolos de la libido* (BBAA: Paidós, 1953); *El yo y lo inconsciente* (Barcelona: Miracle, 1936); y *El hombre y sus símbolos* (col. de ensayos) (Barcelona: Caralt, 1984 - 1 ed. 1976-).

ánima es una personificación de todas las tendencias psicológicas femeninas en la psique de un hombre, tales como vagos sentimientos y estados de humor, sospechas proféticas, captación de lo irracional, capacidad para el amor personal, sensibilidad para la naturaleza y -por último pero no en último lugar- su relación con el inconsciente.<sup>10</sup>

Las características que esta discípula de Jung atribuye a «lo femenino» coinciden con los elementos que ya comentamos que incluía el discurso patriarcal en su definición (o «re-escritura») de la mujer; es decir, lo reseñable es que esta «mujer interior» (el ánima) responde a lo que ya sabemos que de manera consciente e inconsciente el hombre ha construido como su opuesto. Si esto es efectivamente así, entonces no sería arriesgado afirmar que un personaje femenino como el de Bathsheba pueda responder a estas características, que serían un intertexto de la novela; estaríamos ante unos elementos incontrolables en un primer nivel inconsciente, y que en cierta forma condicionan la creación, literaria o no, de la mujer. Sólo identificando la procedencia de estos elementos podrán ser combatidos y contestados desde un planteamiento anti-patriarcal (o feminista), sin caer, por otro lado, en descalificaciones globales, que ignorarían lo que de valioso para el análisis literario tiene este concepto junguiano. En primer lugar, la idea del ánima permite -como veremos- una división de la mujer en distintos tipos (cuatro) que corresponden a diferentes «mujeres», a diferentes fases de una misma mujer, o, dicho de otro modo, a una multiplicación de los centros de gravedad de la persona (*Transferencia*, 36). Es frecuente el caso de alegorías basadas en la personificación, en las que la figura femenina en cuestión conserva todas las implicaciones mencionadas, por lo que es posible encontrarse al sujeto femenino «dividido» en cuatro personas distintas, que no son sino consecuencia de estos tipos, produciéndose de manera progresiva el paso de un tipo a otro en lo que a veces es interpretado como una muestra de la «discontinuidad femenina». Los cambios de humor, la inconstancia, la volubilidad, y, en definitiva, lo que (como vimos

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<sup>10</sup> M-L. Von Franz, «El proceso de individuación» en C.G. Jung, *El hombre y sus símbolos* (ob. cit.); pp. 179-80. Nos referiremos a ella en adelante como *Símbolos*.

más arriba) Bathsheba llama «my woman moments», apuntan en esta dirección; pero también son explicables cambios más profundos del personaje femenino que resultan difíciles de justificar salvo como un brutal proceso de maduración, y aún así podrían ser considerados excesivos, y que parecen desestabilizar el equilibrio de la obra en sí; la figura del ánima ofrece un modelo de análisis que, basado en la supuesta existencia de unas estructuras arquetípicas esenciales, también nos permite solventar este problema apelando a una producción cultural -que, como queda dicho, Jung atribuye a un supuesto «inconsciente colectivo»- que participa de lo que hoy llamaríamos el discurso dominante que durante siglos ha construido los textos de la feminidad y la masculinidad<sup>11</sup>. Es, por lo tanto, en esta complejidad que el cuidadoso análisis de Jung pone de manifiesto, donde podemos encontrar las raíces del problema de «lo femenino», y la red de significados desde la que se activa a su vez el discurso de esta novela, que, como ya veremos más adelante, no se conforma con someterse a este esquema sino que lo parece contestar en cierta medida desde sus mismos presupuestos. En este sentido, Marie-Louise Von Franz ha expuesto muy claramente cómo las fuerzas del inconsciente aparecen también (quizá especialmente) en el material «mitológico, religioso y artístico» (*Símbolos*, 324). Más específicamente con relación a las obras de arte comenta que:

...dentro de sus zonas de acción se reconocen los modelos arquetípicos como una dinámica actividad de fondo. Y con frecuencia se descifra en ellos (como en los sueños) el men-

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<sup>11</sup> Nuestro concepto de «producto cultural» difiere del junguiano (que, al fin y al cabo, también habla de «productos culturales» como «productos de la psique») en que nosotros tenemos en consideración la afirmación marxiana de la importancia de las condiciones materiales de producción en la creación de la llamada «naturaleza humana», que Jung no parece interesado en valorar. Para él existe una naturaleza humana trascendente que se manifiesta en los arquetipos; nosotros aceptamos lo que de valioso tiene la teoría de los arquetipos pero atribuímos su existencia en gran medida (aunque ésta es imposible de cuantificar) a las condiciones de vida concretas (que determinan y son determinadas a su vez por dichas condiciones materiales de producción), que en un momento histórico determinado posibilitaron su construcción. (Ver Carlos Marx, *La ideología alemana* (BBAA: Ed. Pueblos Unidos, 1975); esp. pp. 18-20).

saje de ciertas tendencias evolutivas verosíblemente intencionadas, del inconsciente. (*Símbolos*, 325)

La división del ánima<sup>12</sup>, y por ende de la mujer, en cuatro tipos distintos ya era algo conocido por los antiguos como la «cuádruple escala erótica», o las cuatro etapas de la cultura del eros, lo que pertenecería a lo que conocemos como fenomenología erótica. Para la simbolización se recurría a cuatro figuras femeninas que fueron construídas históricamente dentro del entorno cultural judeo-cristiano, y más concretamente mediterráneo, aunque más específicamente Jung recurre a cuatro figuras del *Fausto* de Goethe. En primer lugar tenemos a Jawwa (que aparece también como Eva), que simbolizaría la relación puramente impulsiva, ajena a cualquier otro contenido más elevado, o a cualquier componente espiritual; tras ella encontramos a Helena (de Troya) «como figuración del ánima»; María, personificación de la relación celeste (religioso-cristiana); y, por último, el «eterno femenino», o Sofía, «como expresión de la *sapientia* alquimista». A través de estas cuatro fases el ánima va sublimando su naturaleza y, por lo tanto, su actividad, hasta llegar a un estado completamente distinto a aquel del que partió; no se tiene por qué tratar de cuatro establecimientos estancos perfecta y claramente limitados, sino que se pueden advertir elementos de dos (o más) etapas en una misma figura. En *Far from the Madding Crowd*, Bathsheba aparece caracterizada en todo momento como una de estas «mujeres», o con características pertenecientes a más de una de ellas.

La etapa de Eva (o primera etapa) es básicamente una representación de la mujer como instintiva y biológica. La mujer se asimila a la Tierra en su papel de origen de la vida orgánica, y por lo tanto también nos encontramos con referencias a la fertilidad: la esposa- madre representa la mujer que debe ser preñada. Esta etapa construye una figura de mujer en la que la identificación con lo animal, y con lo natural, es absoluta; esto, como parece claro, coincide con el discurso patriarcal que comentamos más arriba en relación con los conceptos Mujer/Naturaleza

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<sup>12</sup> Las líneas que siguen son una síntesis de las páginas 34-6 de *Transferencia*.

y Mujer/Razón; la negación a la mujer de la identificación con lo Racional se verifica por medio de esta otra identificación, que si bien puede tener (y para Jung obviamente es así) algún elemento positivo, ha servido espúreamente para consumir el definitivo apartamiento de la mujer de los círculos de poder sobre la base de la inadecuación intelectual y espiritual de ésta para determinada clase de actividades.

La irrupción de Bathsheba en un mundo dominado por hombres, su negativa a limitarse a lo doméstico y su decisión de incorporarse a la esfera de lo público constituyen, por lo tanto, un primer alejamiento del mecanismo que limita las posibilidades femeninas en la manera que hemos visto. Más adelante veremos con detalle cómo lo logra, pero desde el punto de vista de la mujer-Eva lo que nos interesa es el rechazo que semejante propósito suscita en los personajes masculinos más directamente afectados por esta situación heterodoxa. Tras la destitución del capataz deshonesto Benjy Pennyways, Bathsheba comienza una difícil tarea para la que la algo alocada joven de los primeros capítulos (los capítulos anteriores a la desaparición del patrimonio de Gabriel) no parece lo suficientemente preparada. No obstante, la Eva irracional y emblema del deseo que veremos inmediatamente, parece comenzar a cambiar a medida que las responsabilidades se agolpan sobre ella, y su decisión de realizar esta labor convencionalmente masculina podría concederle un margen de confianza. Sus trabajadores sin embargo (y como cabía esperar) se lo niegan, y así las críticas, no ya a su labor sino a la «propiedad» de la nueva situación, se suceden (*Far*, 106). La «osadía» de Bathsheba resulta incomprensible para estos hombres, por otro lado entre los más bienintencionados y optimistas de todas las novelas de Hardy (*Wing*, 4-5). Las críticas se repiten en otros momentos de la novela, y desde que Bathsheba toma a su cargo la dirección de sus propiedades hasta el final de la obra, las dudas sobre su capacidad penderán sobre ella casi constantemente<sup>13</sup>. Resulta especialmente destacable el hecho de que incluso Gabriel, a todas luces su más honesto y equilibrado enamorado, símbolo de la sensatez y de los beneficios de la moderación, también tenga clara la incapacidad de Bathsheba para hacerse cargo

<sup>13</sup> Ver *Far*, pp. 112 y 153, sobre la capacidad de Bathsheba en particular y las mujeres en general para dedicarse a asuntos «de hombres».

del trabajo de capataz, de invadir la esfera de lo público: «How would the farm go on with nobody to mind it but a woman?» (*Far*, 201). De hecho, Bathsheba se ve en la necesidad de aclarar que no sólo puede ser igual que los hombres en el desarrollo de lo que podemos considerar su esfera pública, sino que, más aún, va a ser mejor que ellos:

'I shall be up before you are awake; I shall be afield before you are up; and I shall have breakfasted before you are afield. In short, I shall astonish you all.'*(Far*, 84)

Que Bathsheba en su papel de mujer-Eva pretenda romper el esquema que lógicamente se esperaría de ella como ser carente de los poderes racionales necesarios para desenvolverse dentro de lo público tiene la consecuencia de su pérdida, sugerida sólo pero no por ello menos real, de parte de su condición femenina a ojos de los hombres (y las mujeres) que están dominados por ella; Joseph Poorgrass insiste en llamarla «sir» al oírla dar órdenes de la manera en la que lo haría un hombre (*Far*, 79), y Fanny es más explícita aún al comentar: «...I fancy you would be a match for any man when you are in one o' your takings.», afirmación que alarma a Bathsheba ante la posibilidad de ser considerada «mannish» (*Far*, 207).

Dentro de esta primera etapa del ánimo (la etapa de Eva), encontramos un gran temor hacia la mujer que simbolizaría, junto a lo que hemos venido comentando hasta ahora, el mayor peligro posible para el hombre. La mujer como embaucadora, atracción que resulta fatal, o, el Deseo, que supone la liberación de todo su potencial sexual, constituye algo que se viene a considerar un inmenso peligro para el hombre en opinión de Jung. El ánimo desde este punto de vista resulta destructiva para el hombre, y puede, como dice Von Franz, «incluso, inducir a un hombre al suicidio y, en tal caso, el ánimo se convierte en un demonio de la muerte»; se trata, continúa la discípula de Jung, de un «aspecto peligroso del ánimo que, en esa forma, simboliza la ilusión destructiva» (*Símbolos*, 181). En este caso, como imagen arquetípica nos encontramos con una figura que puede definirse como tentadora y volátil (*Diccionario de*

*símbolos*, 313). Esto es lo que ocasiona el Deseo desatado, por lo que es necesario su control. El carácter evanescente de la mujer-Eva aparece claramente en el personaje de Bathsheba en lo que podríamos llamar su primera etapa. La indefinición que ofrece en los primeros capítulos al aturcido Gabriel tan sólo acentúa su indecibilidad, simbolizada por su negativa a dejar que el granjero sepa su nombre (*Far*, 21-2); el juego al que se entrega con Gabriel, sólo para hacerle saber más adelante que jamás podría casarse con él, aviva el deseo de éste y parece confirmar algunas de las características citadas más arriba; sólo la personalidad especial de Gabriel lo salvará de ser destruido por el deseo que, ciertamente, Bathsheba ha despertado en él. En este sentido conviene destacar que no se trata (necesariamente al menos) de un acto voluntario por parte de ésta: la peligrosidad de Eva estriba en su capacidad para aniquilar al hombre de una manera incluso inadvertida para ella, y de hecho el deseo de Gabriel es despertado a través de la visión de la involuntaria exhibición de Bathsheba a caballo en el capítulo tercero de la novela<sup>14</sup>. Un caso más claro aún de lo que estamos tratando de explicar aquí lo constituye el pasaje del «valentine», por medio del cual, y de una forma por entero inexplicable en un ser maduro y racional y, sobre todo, sensato, la mujer-ánima-Eva consigue despertar el Deseo dentro de Boldwood para después aniquilarlo gracias a ese mismo deseo. Una especie de ensoñación será el estado de Boldwood durante el resto de la novela hasta su encarcelamiento tras matar a Troy: lo que se nos cuenta, por lo tanto, es la destrucción de la vida de un hombre a manos del Deseo, esto es, a manos de una mujer (en nuestro caso, de la primera etapa del ánima, Eva)<sup>15</sup> (*Far*, 267). Por último, incluso Troy se queja con amargura del «hechizo diabólico» con el que Bathsheba lo atrapó, para

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<sup>14</sup> A pesar de que Gabriel no pierda el dominio de sí mismo casi en ningún momento, su sufrimiento existe por el desdén de la que el narrador llama significativamente (refiriéndose a Gabriel) «his cold-hearted darling» (*Far*, 48).

<sup>15</sup> El hecho de que conforme pasa el tiempo Bathsheba se arrepienta más y más de su acción confirma que este personaje femenino ciertamente atraviesa una serie de etapas que tiene que ver con su impulsividad, su maduración intelectual y su actitud agresiva hacia los hombres. Boldwood, por su parte, no tendrá camino de retorno, y su proceso de degradación, imparable, le conducirá a perder su patrimonio físico (su hacienda), moral (al matar a Troy) y espiritual (al perder, en palabras suyas, su «respeto», su «buen nombre» y su «posición» -*respect, good name, standing*-, 213-4). Con relación a su «perversión», descubierta tras su captura, si bien no cabe atribuírsela a Bathsheba, sí que es desenterrada por ésta, por lo que en parte también parece que el texto se la achaca.

más adelante reconocer ante Pennyways la semi-divinidad de su esposa (*Far*, 381).

La segunda etapa del ánima está caracterizada por la aparición en la mujer de valores individuales; en la etapa de Elena, si bien hay un eros predominantemente sexual (en esto coincide con *Jawwa*), éste se desarrolla en un nivel estético y romántico. Se suaviza, por lo tanto, la «peligrosidad» de la mujer que venía dada por su condición puramente natural, orgánica, de Deseo. En el caso de *Bathsheba*, tendremos un cambio que, si bien no es absoluto, sí es muy significativo: su arrepentimiento por la situación a la que ha conducido a *Boldwood*:

'I -I didn't -I know I ought never to have dreamt of sending that valentine -forgive me, sir -it was a wanton thing which no woman with any self-respect should have done. If you will only pardon my thoughtlessness, I promise never to ...'  
(*Far*, 131)

Pero ni siquiera la propia *Bathsheba-Elena* puede remediar lo que hizo *Bathsheba-Eva*: su arrepentimiento no sirve sino para confirmar su cambio, pero no es lo que *Boldwood*, ahora ya totalmente poseído por la «anterior» etapa de su amada, quiere oír. No obstante, su sonrisa sigue sugiriendo «heartlessness», y su intangibilidad, acentuada por sus todavía existentes evasivas, muestra que el cambio dista de ser completo<sup>16</sup>. Sin la inteligencia suficiente todavía para saber zanjar el asunto, se compromete en plazos imposibles y promesas que no desea cumplir, sin pensar, de nuevo, en las consecuencias de su acción, ganando tiempo y, ahora sí, compadeciéndose por el patético granjero *Boldwood*. En lo que se refiere a su actividad como capataz, sigue demostrando su capacidad y contradiciendo así los comentarios de los hombres de su entorno, como ya mencionamos más arriba (aunque, como también vimos entonces, *Oak* desconfíe de ella desempeñando este puesto). El texto, de esta manera,

<sup>16</sup> «I can do nothing. I cannot answer.»; «Yes, I suppose you may think of me»; «Give me time»; «I must think» (132). Estas son algunas de las elusivas respuestas de *Bathsheba* al desesperado *Boldwood*, que por supuesto las reinterpreta de manera que pueda seguir soñando con que ésta será, algún día, su esposa.

confirma y frustra a la vez los presupuestos del discurso patriarcal y las expectativas de sus lectores, en un proceso irreversible que desembocará, como veremos, en la aparición de una imagen de la mujer completamente diferente a la que fue construida al principio de la novela.

Siempre dentro del concepto del *ánima* junguiana, la tercera etapa a considerar, también observable en Bathsheba, es la de María (relación celeste). Se trata de una etapa en la que el proceso de espiritualización de la mujer, y por consiguiente la desaparición de los elementos más puramente materiales o biológicos (los sexuales principalmente), da paso a una nueva devoción religiosa que coloca al Eros en la más alta estima. En contraste con Jawwa, la maternidad ya no es biológica, sino espiritual, y las relaciones con una denominación religiosa específica vendrán determinadas por el contexto cultural concreto en el que se desenvuelva el sujeto soñante o la mujer soñada. De hecho, Von-Franz señala a la Virgen María como representante máximo de esta etapa, y por otro lado Jung eligió este nombre como denominación genérica.

Con relación a Bathsheba, esta etapa se manifiesta brevemente, y sirve como prólogo a su conversión definitiva en Sofía, la cuarta y última etapa del *ánima*. Esto quiere decir que se puede observar una diferencia no ya sólo entre las cuatro etapas entre sí, sino que al mismo tiempo las dos primeras constituirían una sociedad opuesta a las dos últimas, siendo los elementos claves en esta oposición la presencia o la ausencia, o incluso el predominio simplemente, de lo biológico o lo espiritual (entendiendo por ambos conceptos lo que ya vimos). Eva y Elena, (como señala Cirlot -313- y dijimos más arriba), serían los aspectos inferiores, que representarían el instinto y el sentimiento, y colocarían a la mujer no al nivel del hombre sino por debajo de él (ya comentamos el uso que el patriarcado ha hecho de estos estereotipos -arquetipos para Jung). Pero también es esta etapa susceptible de ser utilizada por el patriarcado a pesar de su tratamiento aparentemente positivo de la mujer; por medio de un concepto como el de «virtud» se establece la norma que debe regir el comportamiento femenino y fuera de la cual se condena cualquier otro comportamiento como una desviación, una subversión o una heterodoxia peligrosa para el sistema. En el texto, la dis-

posición al sacrificio de Bathsheba nos indica que la tercera etapa ya ha llegado, y que sucede una concepción de la vida menos egoísta al tipo de comportamiento anterior (el que despierta, por puro placer, el deseo en Gabriel y Boldwood, transformando, y destruyendo en el caso del último, sus vidas). Bathsheba está dispuesta a casarse con Boldwood por redimir su «pecado original», y esto a pesar de que parece tener claro que sería el fin de la vida que quería para ella (*Far*, 163).

La aparición de Troy destruirá estas intenciones, que se volverán a repetir tras la desaparición (y supuesta muerte) del que ya era su marido. A través de este tiempo, Bathsheba no sólo comprende la deuda que ha contraído con Boldwood, sino la naturaleza de su relación con Gabriel, aunque ésta la verá en toda su magnitud más adelante, coincidiendo con la cuarta etapa. El elemento que acaba por definir esta fase es el período de «muerte» espiritual que atraviesa tras la, ahora sí real, muerte de Troy y posterior encarcelamiento (casi condena de muerte) de Boldwood. Bathsheba se retira del mundo, se encierra en sí misma para «renacer», varios meses después, convertida, si no en otra persona, sí en «otra Bathsheba». Esto tiene una gran relevancia, ya que es sabido el carácter estacional de las novelas de Hardy: el mundo narrativo hardyano construye unos personajes muy relacionados con la tierra, la naturaleza, y conectados a los ciclos vitales de muerte y resurrección; así, de manera muy significativa, la tragedia tiene lugar en la fiesta de Nochevieja de Boldwood, y asimismo Bathsheba vuelve al mundo en primavera, entrando a la vez con ese paso en la cuarta etapa de su desarrollo inconsciente: el ánima está a punto de completar el ciclo<sup>17</sup>.

Bathsheba revived with the spring. The utter prostration that had followed the low fever from which she had suffered diminished perceptibly when all uncertainty upon every subject had come to an end. (*Far*, 408)

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<sup>17</sup> Esto, por supuesto, recuerda el rito antiquísimo de solsticio (anual: invierno y primavera), combinado con la muerte y la resurrección. El tema es el del «drama de un nuevo nacimiento por medio de la muerte», en palabras de J. L. Henderson (*Símbolos*, 119). Aquí la muerte lo sería sólo espiritual, y vendría provocada por la muerte, esta sí física, de Troy, que, de alguna manera, abriría los ojos de Bathsheba.

María y Sofía representan las dos últimas etapas del ánimo, que deben considerarse una personificación de la ciencia o de la suprema virtud; en este caso la mujer se situaría por encima del hombre, ya que el ánimo sería reflejo de la parte superior y más pura de éste (*Diccionario de símbolos*, 313). Sofía es, lógicamente, la *sapientia*, y su relación con las etapas anteriores implica una superación de María (en cuanto a sublimación y predominio de lo intelectual) y una espiritualización de Elena. Esta sabiduría trasciende lo más santo y lo más puro, tal y como explican Jung y Von-Franz (*Símbolos*, 186). Tras lo que hemos dado en llamar su resurrección espiritual, Bathsheba es capaz de ver, por primera vez en toda la obra, dentro de sí misma y entender qué es lo que en realidad necesita: no se trata de la mera satisfacción o del simple placer al comprobar su poder destructor como Deseo, ni el juego de desconcertar, con su inexplicabilidad, al limitado Gabriel, ni tampoco de rivalizar en el corazón del Don Juan Troy con su anterior, y destronada, amada. Bathsheba entiende, ahora sí, qué es lo que puede hacerla feliz, y se da cuenta de que puede y debe tomar la iniciativa, pero debe ser consecuente con sus actos: «it seems exactly as if I had come courting you - how dreadful!» (*Far*, 416). Ahora Bathsheba ha encontrado algo más fuerte que el Deseo o la Pasión, que el placer de la conquista, que, incluso, el mismo Amor, y esto es:

...the only love which is strong as death -that love which many waters cannot quench, nor the floods drown, beside which the passion usually called by the name is evanescent as steam. (*Far*, 417)

Como hemos venido viendo, la obra gira en torno a Bathsheba y sus relaciones con tres hombres acerca de los cuales tiene que decidir quién es más conveniente para ella; la mujer (que atraviesa en este proceso de conocimiento de sí misma las cuatro etapas del ánimo junguiano) más los hombres da como resultado el número cuatro, cifra que dentro del pensamiento de Jung tiene la máxima simbología; sólo cuando Bathsheba destruya esta cuaternidad eligiendo definitivamente a un

hombre, que será el único adecuado, estará completo su proceso de maduración al final del cual se conocerá a sí misma:

El número cuatro como número plural mínimo representa el estado pluralista del hombre que no ha alcanzado la unidad interior, esto es, el estado de la falta de libertad, de la no identificación consigo mismo, de la dispersión, del desgarramiento en tendencias contrapuestas; es decir, una situación penosa, no resuelta, que busca la unidad, la conciliación, la libertad, la curación, o sea, la integridad (*Transferencia*, 71).

En líneas generales, el texto combate determinados prejuicios patriarcales, mostrando a una mujer en un complejo proceso de maduración que, si bien la hace caer en algunos de los «pecados de mujer» más tradicionalmente repetidos por el discurso patriarcal, también la presenta en lucha constante por redefinirse y encontrarse a sí misma, o, en frase de Jung, encontrar a su «sí-mismo», al mismo tiempo que rechaza su reclusión en lo privado, posibilitando su invasión de la esfera pública, o se convierte en el elemento activo de la relación amorosa. Esto es algo a lo que los hombres de la obra responden con sus deficiencias, que son muchas en el caso del desequilibrado Boldwood y de Troy, y no tantas en el caso de Gabriel. Los hombres que se acercan a Bathsheba por alguna carencia en ellos mismos lo hacen (en una repetición del esquema típico del patriarcado) bien para protegerla (Boldwood), bien para atacarla (Troy); sólo en el equilibrio de Gabriel, que entiende su relación con esta mujer como una relación de igualdad, en la que la comprensión mutua es lo único imprescindible, y el cariño y el conocimiento del otro es más importante que el Deseo o la Pasión amorosa, sólo en este equilibrio, decimos, encuentra Bathsheba, finalmente, una relación satisfactoria con un hombre.

Paulatinamente va emergiendo una personalidad más amplia y más madura, y poco a poco se hace efectiva y hasta visible para los demás. (...) Puesto que el desarrollo psíquico no puede llevarse a cabo por un esfuerzo consciente de fuerza de voluntad, sino que se produce involuntariamente

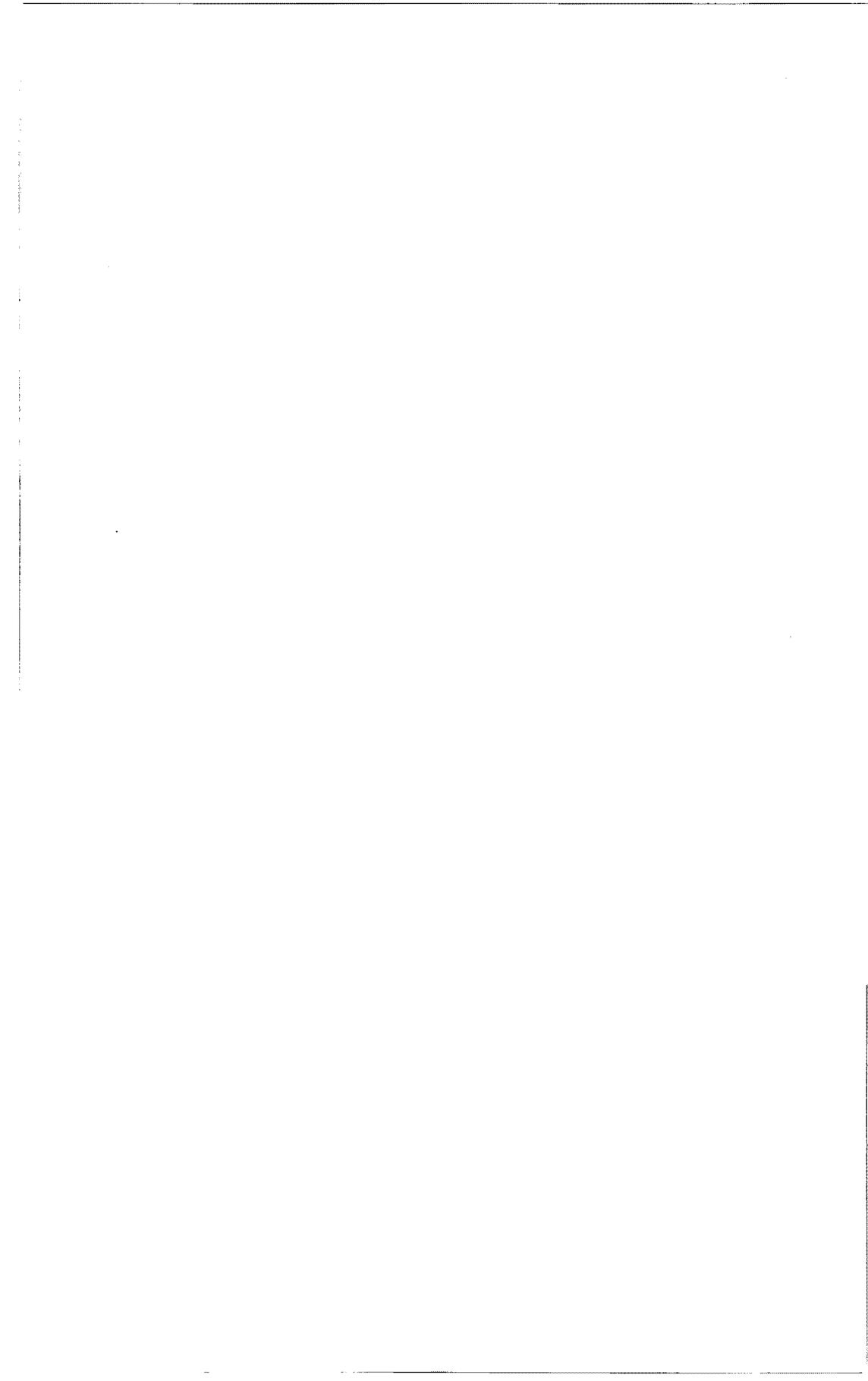
y en forma natural, en los sueños se simboliza con frecuencia por medio del *árbol*, cuyo desarrollo lento, poderoso e involuntario representa un modelo definido. (*Símbolos*, 160; el subrayado es nuestro).

Y, en efecto, el árbol aparece al final del proceso de desarrollo psíquico de Bathsheba; obviamente en la forma del «roble» que simboliza Gabriel *Oak*, con quien, a partir de este momento, vivirá una nueva vida de plenitud tras haber superado las cuatro etapas del ánimo; el proceso está, ahora sí, definitivamente completo, habiendo surgido de las distintas relaciones de oposición y enfrentamiento que se han establecido en la obra, así como de las contradicciones que tiene que afrontar la propia Bathsheba por su doble condición de sujeto (discontinuo, construido por distintas fuerzas o etapas) y «mujer». La nueva Bathsheba constituye, ciertamente, una figura femenina que destruye, por inadecuado, el discurso patriarcal sobre la mujer, contestándolo y construyendo otro completamente distinto y mucho más justo desde un punto de vista social y humano.

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## FRANKENSTEIN REIMAGINED

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### Resumen

*La reciente producción de Frankenstein realizada por Kenneth Branagh (1994), una de las últimas de la larga serie de adaptaciones de clásicos, ofrece una buena oportunidad para releer la novela y desarrollar un análisis intertextual / interdiscursivo. Las adaptaciones cinematográficas de obras de narrativa pueden resultar de utilidad para los análisis puesto que constituyen realizaciones discursivas contrastables con los textos narrativos. Este trabajo considera dos episodios desde esta perspectiva: la creación y el momento en que la Criatura se enfrenta a Victor en el glaciar. Si los textos son abiertos en cuanto a su significación, parte de la labor de análisis consiste en reconstruir las áreas de indeterminación. Esta es una de las cuestiones en el proyecto estilístico que puede beneficiarse del texto filmico.*

### Abstract

*The release of Kenneth Branagh's Frankenstein (1994), one of the most recent in a series of film adaptations of novels, is a good opportunity for re-reading the novel and developing a textual analysis in an intertextual / interdiscursive way. Adaptations of narrative texts can prove very useful for analysis since they constitute explicit discourses which can be contrasted with the framing texts. This paper considers two episodes in this light: the creation, and the moment when the Creature confronts Victor on the glacier. Texts are open as regards significance, so analyses necessarily reconstruct areas of indeterminacy. This is one of the issues in the stylistics project which can benefit from the investigation of film-text.*

## 1. Films and novels

Throughout history, stories have been told using a variety of procedures: ideographic writing, tapestry, stained glass, narrative painting, oral and written narratives and films. This paper deals with the last two, films and novels, and the ways in which narration proceeds in both. Narrative has been defined as "*a perceptual activity that organizes data into a special pattern which represents and explains experience*" (Branigan, 1992:3). In narrative theory a distinction is made between *story*, the abstract level of existence of fiction, and *discourse*, the concrete linguistic articulation of story components (Toolan, 1981:47). In the story, events take place chronologically, participants and settings are not individualized, and point of view is as neutral as possible. On the other hand, in discourse, events are frequently arranged in a sequence different from the chronological, participants become characters and settings are transformed into particular places, and a specific (or more than one) point of view is also selected. This basic distinction can account for narrative fiction and narrative films as well, although in the former the articulation will be linguistic while the latter will combine images, movement and sounds.

This paper deals with *Frankenstein* on these two dimensions, story and discourse. What adaptations have taken the story to be and the ways in which representation is carried out in two particular episodes. My concern about the modes of representation will be focused on the procedures through which the reality purported by films is constructed.

It is customary to consider novels superior to films on the basis of what seems a wrong assumption. Written narrative and film adaptations cannot be considered on equal terms since they constitute two different semiotic systems with their own elements, structures and oppositions. Nevertheless comparison is justified if they are regarded as two discourses which share the same story. Also both narrative activities pursue the same aim: the reader/spectator's comprehension of the story.

Literature and films can be different expressions of the same content. Of course, in film adaptations the written text exists prior to the film and so becomes the immediate source for film-makers. But in

cases such as the present story the contribution of films to the myth, specially the 1931 version (Dir. J. Whale), has to be acknowledged. In film history, the list of films based on novels is endless and particularly the last decade has seen a flourishing of this, including not only classics such as *Silas Marner* (1985) or *Howards End* (1993) but also best-sellers such as Tom Clancy's *Clear and Present Danger* (1994).

Adaptations belong to different types: (i) those which take the plot and characters from a novel; (ii) those which only take certain events; (iii) those which elaborate and develop certain aspects of the novel; (iv) those which render the original as neutrally as possible, e.g. theatre performances which are filmed; and (v) those which freely depart from the events and characters in the literary work. In the case of *Frankenstein*, the different films have drawn upon the literary and cultural myth, so it is not just Mary Shelley's *Frankenstein* but also the German film *Der Golem* (1920) or James Whale's *Frankenstein. The Man who Made a Monster*, to mention but two; the same as *Dracula* is not just Bram Stoker's, or Don Juan is not just Tirso's or Pushkin's. This easily leads to questions of intertextuality. For one thing, Mel Brook's *Young Frankenstein* (1974) parodies a film tradition drawing heavily on James Whale's versions and indirectly on Mary Shelley's work.

This is the background to the approach I propose. In what follows, a number of outstanding features displayed by films and narrative fiction are presented and analysed in two episodes from *Frankenstein* in order to show how the story is constructed.

## 2. Adapting *Frankenstein*

Since Edison's silent production in 1910, at least ten titles can be given of films which deal with the myth<sup>1</sup> though some others simply use the Creature for various purposes (*Abbott and Costello Meet Frankenstein*, 1948; *Flesh for Frankenstein*-Andy Warhol's *Frankenstein*, 1973). The scenes I have chosen are taken from two key productions: James Whale's

<sup>1</sup> *Frankenstein* (1910, Dir. J. Searle Dawley); *Frankenstein. The Man who Made a Monster* (1931, Dir. J. Whale); *The Bride of Frankenstein* (1935, Dir. J. Whale); *Son of Frankenstein* (1939, Dir. R.V. Lee); *The Curse of Frankenstein* (1957, Dir. T. Fisher); *Frankenstein: The True Story* (TV) (1973, Dir. J. Smight); *Young Frankenstein* (1974, Dir. Mel Brooks); *The Bride* (1985, Dir. F. Roddam); *Frankenstein Unbound* (1990, Dir. R. Corman); *Mary Shelley's Frankenstein* (1994, Dir. K. Branagh).

*Frankenstein. The Man who Made a Monster* and Kenneth Branagh's *Mary Shelley's Frankenstein*.

According to constructivism (Bordwell, 1985: 30-3) texts are open constructs both as regards the reality they purport to depict and their internal links. These gaps are filled in the process of reading through the mental processes of inferencing and integration. Inference is a top-down strategy which relies on world knowledge and which is based on the assumption that texts show coherence. On the other hand integration operates bottom-up and corresponds to the concept of cohesion. Put simply, an adaptation is a reading of a written text filling some of its gaps and thus creating a particular discourse, which is re-read to produce the film-text. This stands as a second discursive dimension of the story with its own syntax, with gaps in its coherence and cohesion relations to be filled by the audience. So the activity of the spectator can also be explained in terms of the constructivist theory. Viewers construct perceptual judgements on the basis of inferences. They identify a three-dimensional world on the basis of cues. Perception then becomes an act of hypothesis-testing. For instance, seeing is largely a bottom-up process though also affected by schemata-driven processes. Top-down processes are more overtly based on assumptions, expectations and hypotheses, then cognitive activities (eg. sorting or remembering) depend on inferential processes (Bordwell 1985:31). In all these activities organized clusters of knowledge, called *schemata*, guide our hypothesis making.

Perhaps Bordwell's application of constructivism is extreme, and meanings are made by viewers but also determined by the choices of filmmakers (Gaut, 1995). But the point of this approach is that films as works are incomplete and require to be unified by the perceiver. In 1996, when we see the 1994 production our response to the film-text is invariably conditioned by schemata derived from our experience, a more or less direct knowledge of the myth and even our attitude to such a contemporary issue as biotechnology.

Before going into the ways in which the selected films offer structures of information, that is, the ways in which they present cues, patterns and gaps that shape the viewer's application of schemata, it is

necessary to examine briefly the story in this narrative. Following Chatman (1978), the elements in Mary Shelley's story can be grouped into *events*, which can be subdivided into *actions* and *happenings*, and *existents*, subdivided into *characters* and *settings*.

A. Events: (i) Actions: Captain Walton's voyage, studies at Ingolstadt University, the creation, William's murder, Justine's execution, meeting in the glacier, journey to Britain, second creation & destruction, Henry's murder in Ireland, Elizabeth's murder, Father's murder, Victor's pursuit of the Creature.

(ii) Happenings: Walton's ship is icebound after a storm in the Arctic Sea, Plague in Ingolstadt, Victor's death.

B. Existents: (i) Characters: Captain Walton, Victor Frankenstein (Father, Mother, Brother), Elizabeth, Justine (& Mother), Dr Waldman, Henry Clerval, the Creature.

(ii) Settings: Geneva, Ingolstadt, Swiss Alps, Britain, the Arctic Sea, last quarter of XVIII c.

To some extent, all adaptations have followed the events of the novel with the limits imposed by their particular interpretations and practicability, but also a number of elements were changed or added. First and foremost, the creation scene had to be "imagined" since there is nothing specific in the book. That is why this particular scene has been selected for commentary. Secondly, all the ice scenes have been traditionally suppressed. Another important change was to make the Creature inarticulate though he speaks eloquently in the novel. As regards the characters, the hunchbacked assistant was added and so were Mary Shelley, Byron and Percy Shelly, who were made to co-exist with Frankenstein and the Creature. This last thematic element began as early as 1935 with *The Bride of Frankenstein*, in which Elsa Lanchester played both the lightning-struck Bride and Mary Shelley, and is present in Roger Corman's *Frankenstein Unbound* (1990). The summer of 1816, when Byron, Percy and Mary Shelley, and Polidory were staying at Villa Diodati telling ghostly tales became the central event in *Gothic* (1987) and the Spanish film *Remando al Viento (Rowing with the Wind)* (1987) but while in the former turned the characters into a band of lunatics the latter develops the rich dramatic material.

What has been kept as a constant in all adaptations is the desire of the scientist to create life, that is, to play God, and its moral, the punishment in the shape of a Creature who is alive but unable to "tune in" with other humans. Out of control, the monster causes a number of deaths including that of his own "father". The novel ending is quite open: the Creature going further north to the Pole to kill himself but alive and free. By contrast, the different adaptations have repeatedly killed and brought him back to life (as screenplay writers often do!).

In some versions, notably the 1931 *Frankenstein*, creator and creature were clearly dissociated so that responsibility for the disastrous consequences was only assigned to the Monster, with a happy ending in which the Creature is destroyed and Frankenstein marries Elizabeth. This interpretation was partly varied in *The Bride of Frankenstein* (1935) also directed by James Whale and starring Boris Karloff. The human traits of the poor monster were highlighted but Frankenstein was still not responsible for the evil unbound; this role was assigned to an added character called Dr Pretorius.

Changes have not only affected the events and characters in the novel but also the period, which is generally moved a century forward. A different case is Brian Aldiss' science fiction novel *Frankenstein Unbound* in which a time traveler scientist is sent from 2031 Los Angeles to 1817 Switzerland to meet Victor Frankenstein, with whom he shares similar ethical problems.

With all this cultural and film tradition in mind, Kenneth Branagh set out to direct and star in another adaptation with a conscious will to use things that had not been used before and give a contemporary response to the text. We have seen a gothic horror revival with films such as *Bram Stoker's Dracula* (1993), or *Interview with the Vampire* (1994). Branagh's film is entitled *Mary Shelley's Frankenstein* and it is certainly more hers than any of the previous films. Nevertheless a couple of interesting changes have been made. When the second creation is to be made, the "material" is Justine's body. After Elizabeth is murdered that body is used to bring the bride back to life attaching her head to Justine's body. A second important change is that neither the murder of William nor his father have been shown on the screen so Elizabeth's

violent murder stands as a climax to be witnessed by Victor and the audience and leads with an increased tempo towards the repetition of the creation process.

### 1931 "Gothic" *Frankenstein*

The creation scene was made to last two minutes in the 1931 film (0:20-0:22). After Elizabeth, Victor (Henry in the film) and Dr Waldman are let into the tower, the storm rages and Henry (Victor in the film) and Fritz raise the slab on which the swathed creature lies. At the climatic moment the camera pauses over the Creature's hand and we see its trembling movement. The image fades to black. The Creature will not be revealed until six minutes later. Though Frankenstein still ignores it, the warped brain is bound to make the creation a failure.

In Mary Shelley's novel, the whole action is seen in retrospect. The novel begins in the Arctic Sea where Captain Walton is trying to find a way across the pole and ends when he gives up. Most adaptations, and this was no exception, keep a chronological sequence of events and also do without the narrative device of the tale within the tale. This has been revised by Brannagh, who largely follows the same mode of presentation as the novel. In general, story time is reduced both in the novel and the films since the story covers several years. In particular, the creation scene is omitted in the novel. Films have also compressed story time for the creation through what is called "cutting to continuity", that is, to condense the action into several shots, each of which leads by association to the next producing an unobtrusive condensation (Giannetti, 1993:119).

In the shot of the lab we can say at least that space is incomplete. This is the typical Hollivood scene in which the "fourth wall" is left unshown. The complementary areas of space are created by the alternative shots in which a character looks offscreen and a second character looks offscreen in the opposite direction. All in all the form is closed: the image suggests a proscenium arch in which the elements, characters and machinery are arranged. The high lighting contrast directs the viewer's attention towards Henry Frankenstein, whose white coat highlights the contrast with his spectators' dark suits, and also

detaches him from the background. The long shot progressively gives way to medium shots and ends in a close-up of the Creature's hand, with whose trembling movement the scene fades to black.

After the first establishing shot, in which the spectator can get a clear picture of everything that will be later focused, cutting is quite conventional in that shot and reverse shot alternate following eyelines so that spectators know salient spatial information before it appears. The high angle of the camera suggests fatality, and this idea is stressed by the distance from which the whole scene is filmed. Generally the camera is not moved with two exceptions: a panning of the Creature when the shroud is pulled off: from head to toes then back to head showing the Creature in all his length, and when the camera swivels vertically following the slab and producing the effect of depth. After the body is hauled up into the raging storm and descended back to the lab the pre-dressed creature shows the first sign of life but is not revealed to the audience yet.

The gothic elements dominate the whole composition: the characters' expression of fear, the sinister architecture of the ruined windmill, and the criticism of rational confidence of the age. Whale's production is also indebted to the German expressionism: the machine, a tool for extending human dominance over Nature, turns back on itself, becoming a monster, a Golem which seeks to devour the beings that made it. Boris Karloff as the Creature (not revealed until min. 0:28) is a tall, shambling, mute and pale being which stands out as the iconic screen image of the Creature, with electronic pegs sticking out of his neck. Dr Frankenstein is portrayed as a mad scientist, arrogant and self-centred. But this production carefully detached creator from creature: shots do not show them together and when they do there is some distance between them, certainly more than between the "embracing" figures of Victor and the Creature in the 1994 production.

### **1994 "Renaissance" Frankenstein**

The same gothic story is reimagined sixty years later by Kenneth Branagh. Many elements are shared but emphasis is quite different. Here the creation scene takes considerably longer (0:41-0:47). Victor

marches through his workshop like Merlin the Magician, switches on the machine and sets the steam engine wheels revolving. Victor's Creation is revealed lying on a metal grill, covered with a sheet. Victor pulls off his robe and unties a rope. He pulls on the rope and the Creature begins to rise up towards the roof. We see it from below not unlike Leonardo's anatomical drawing.

The grill gets to the top and moves along a track running along the roof of the garret. Victor runs after the body and stands at the sarcophagus as he lowers the body into the fluid. He pulls the sarcophagus towards the fire and bolts the lid, then he fits a glass tube out of a container hanging from the ceiling. Victor fits the acupuncture needles through the holes in the sarcophagus and into the Creature and then clips on the power connectors. After pulling a chain hundreds of eels are released down the tube.

Victor looks through the porthole at the head end. Suddenly the Creature's eyes open. Victor rips off the clips and the power dies down. The Creature is not moving and his eyes are closed. The porthole showing the Creature's hand is shown. It taps on the glass. The sarcophagus begins to move and shake. The lid flies off and the fluid is spilt. Suddenly the Creature flies up grabbing for Victor. The sarcophagus tips over and we see how Victor tries to lift the Creature to his feet time and again. Finally the Creature is helped to stand by fitting his arms into some chains hanging from a bar which is accidentally raised up carrying the Creature. The Creature is hit over the head and remains motionless hanging from the ceiling.

The 1994 production contrasts with the former in almost every element. To begin with, the form is quite open. There is no establishing shot so images only reveal partial views of the garret, which seems to be endless. The continuous movement of the camera and Victor, who literally runs among the machinery fill the image of dynamic energy, with image, movement and sound leading to the final discovery.

As Victor passes, the camera pans to keep him centred discovering more offscreen space and strengthening the cues for depth. By tracking behind him, the camera movement plays down the figure and plays up the anticipation of his destination: the Creature. Frankenstein moves

at a constant pace but because he moves to and from the camera we see him from many distances. The speed of the camera movement also varies to keep him in frame. The high lighting key, and the warm and intense colours made the scene seem closer. Many shots show Victor and the Creature together, "embraced". In the last shot Frankenstein realizes what he has done and "walks away" leaving the dead creature in the distant background.

This production highlighted the sense of power, with a climax when the sarcophagus bursts open, and the process of birth. The Creature is banged on the back to make him cough, and is taught to walk. Perhaps one of the biggest difficulties was to show Frankenstein's unmotivated rejection of his creation. This is partly achieved by slowing down the movement of the camera and ending the musical sequence.

Here Dr Frankenstein is portrayed as a dangerously sane scientist, a romantic figure who dramatizes moral dilemmas, intellectual but earthy. Instead of the emphasis on the evil unbound, Branagh develops the themes of the creation of life, the noble savage and parental responsibility. For the first time the Creature is literate, verbal and sensitive.

As a whole the creation scene contributes highly to the rhythm of the film. It is a first climax at one quarter of the way through the film. The second will be the glacier scene and the third a second creation which closely parallels the first.

In the glacier scene (1:19-1:24) the Creature appears as if from nowhere and pushes Victor away. Victor tumbles down a steep slope and disappears into a crevice and down a tunnel to land in a pool in an ice cave. The fall has knocked him out and the Creature drags him out of the pool. When Victor wakes up he finds himself being watched by the Creature and a conversation takes place.

Contrary to the novel, in which the Creature tells Victor what has happened to him since they parted, all information about the plot is known so the scene is used to give a deeper meaning to events. Narration in the novel is developed as a set of Chinese boxes: all using first person

narration, Walton tells sister, Frankenstein tells Walton and the Creature tells Frankenstein. In Volume II in the novel Victor encounters his creature in the Alps. There he is told how the Creature, whom he abandoned, learned about the world. He now speaks as eloquently as any character and demands that Victor make him a female companion. Victor agrees at first but when he destroys the promised companion the Creature is there to make his threat: *I shall be with you on your wedding night.*

There is an establishing shot where Frankenstein and the Creature are shown far apart in the ice cave. Now there is a long affective and physical distance between them. The scene lacks all the movement seen in the creation and is edited in alternating shot and reverse shot: the Creature looks at Frankenstein but Frankenstein looks down, as if unable to stand up to his creation. Inside the ice cave, darker, cooler, less saturated colours seem to make the scene distant from the spectator.

Although with a different purpose conditioned by the filmic "translation" this is the first production which has included the ice scenes with their rich dramatic potential. This, together with the "speaking" Creature, at least makes the 1994 production stand out in the list of adaptations.

### **Conclusion**

The examination of two different productions shows that alternative readings of a story can be successfully constructed providing particular cues. The labels "gothic" and "Renaissance" are meant to encapsulate two such distinct and contrastive approaches to the same theme.

Narration procedures in fiction and film differ greatly but as has been pointed out, comparison can lead to an understanding of the different devices and conditions which "give access" to a story, perhaps never *the* story if we consider that form is not separable from meaning. The view in this paper has been to consider the issue a question of grade. All analyses are interpretations but formal elements should be given as sources for validation. Texts and films can be taken as products and as processes. On the one hand forms tend to stability and determination

while interpretations tend to instability and change. Analyses can lay the emphasis on either but making the analyses intertextual, or better interdiscursive will enrich them and make them more powerful. If narrative explains experience, the better we understand texts and films the better we will understand life.

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## RALPH FOX.

HALIFAX (WEST YORKSHIRE, UK) 1900 - LOPERA (JAÉN) 1936

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### **Resumen**

*Ralph Fox fue un conocido escritor inglés, que vino a España formando parte de las Brigadas Internacionales. Su vida, y en particular su estancia y muerte en España, se presenta con extractos de las cartas que él mismo escribió estando aquí. Ofrecemos una visión general de su obra como novelista, crítico literario, periodista, ensayista político, biógrafo, y traductor. Sus libros son clasificados por géneros y períodos prestando especial atención a su pensamiento y obras literarias.*

### **Abstract**

*Ralph Fox was an internationally distinguished English writer, who came to Spain as a member of the International Brigade. His life, in particular the period he spent in Spain and his death, is presented with quotations from the letters he wrote while he was here. A general introduction is included of his writings, as a novelist, literary critic, journalist, political essayist, biographer and translator. His books are classified by genres and periods, and special attention is given to his literary thought and works.*

Siempre ha existido en el hombre atracción y curiosidad por el conocimiento de otros pueblos y culturas como complemento y mejor valoración de la suya propia. Históricamente España ha sido un país cuyos modos de vida, sus gentes y su paisaje han despertado siempre un interés especial entre los nativos de otros países europeos y de los ingleses en particular. Así lo muestran las distintas colecciones existentes con relatos de viajes por España realizados por diferentes autores durante los siglos XV y XVI, y que recopilados y traducidos por Fabié, fueron publicados en Madrid en 1879. Ha habido épocas en las que las relaciones entre España y los otros países europeos tenían connotaciones diferentes por la proyección internacional e implicación directa de aquella en los asuntos de fuera de sus fronteras. Pero es sobre todo a partir de comienzos del siglo XIX, después de un largo período en el que nuestro país había vivido de espaldas a Europa, cuando se convierte en destino obligado de numerosos viajeros que plasman sus experiencias en relatos y libros de viaje. En este siglo, con el triunfo del romanticismo y exaltación de lo medieval, lo exótico, y lo oriental, nuestro país se convierte en un lugar romántico por excelencia, con sus restos de la cultura musulmana, su atraso económico, sus tradiciones, el flamenco, los gitanos, los toros, los bandoleros, y otros tópicos a los que se refieren los distintos viajeros de forma recurrente con una mezcla de curiosidad cultural y aventura.

La gran cantidad de relatos de viajes existentes, generalmente con una fuerte dosis de imaginación, no siempre acorde con la realidad, son fruto de una doble circunstancia, por un lado la especie de necesidad que los distintos viajeros parecían sentir en plasmar por escrito sus experiencias personales para darlas a conocer, y por otro la fuerte demanda e interés que por este tipo de libros y relatos existía por parte del público lector en los otros países europeos. Los temas y lugares referidos en los mismos son de una gran variedad; en este sentido queremos mencionar expresamente al artículo realizado por Francisco Manzaneda «Referencias a la ciudad de Jaén en la obra de tres viajeros románticos británicos: Murray, Scott y Widdrington» aparecido en 1991 en la *Revista Guadalbullón* de la Escuela de Magisterio de Jaén. Reflejo de la importancia y número de publicaciones sobre viajes en España son los repertorios bibliográficos existentes, entre los que citamos las obras clásicas

cas de R. Foulché-Delbosc, *Bibliographie des voyages en Espagne et en Portugal*, publicada en París en 1896 y que contiene 858 títulos diferentes; la de A. Farnelli, *Viajes por España y Portugal desde la Edad Media hasta el siglo XX. Divagaciones bibliográficas*, publicada en Madrid en 1920; y la realizada por F. Serrano Valverde, J.A. Díaz López y M. López Burgos, *Libros ingleses sobre España en Bibliotecas granadinas*, publicada en la Universidad de Granada en 1984.

Pero no es de este tipo de visitante que viene con cierto espíritu de aventura a satisfacer su interés cultural y a correr un riesgo físico, más o menos controlado, del que aquí vamos hablar. Existen personas que hacen estos viajes con una intención diferente, aunque siempre dentro de unos parámetros culturales más o menos difuminados, como pueden ser la defensa de unos ideales, una civilización, o de unas libertades. En muchos casos se trata de personajes anónimos, en otros, sin embargo, nos dejaron interesantes testimonios escritos de sus experiencias con cuya lectura aún nos recreamos. Entre estos últimos, por su paralelismo con Ralph Fox, queremos destacar al poeta inglés George Gordon Byron, Lord Byron, que murió luchando por la independencia y libertad de Grecia donde es considerado como un héroe nacional.

A este último colectivo asimilamos un grupo por el que desde hace años hemos sentido cierta curiosidad y atracción, es el formado por las personas que vinieron durante la guerra civil española, identificando nuestro país como lugar de encuentro y realización de unos ideales sociales, no del todo exentos del espíritu que animó a nuestros anteriores viajeros de otros tiempos, y por los que no dudaron venir a luchar encontrando aquí muchos de ellos la muerte. Aún recuerdo la perplejidad que me causaba las frecuentes referencias que recibía, en mis primeras salidas al extranjero, a nuestra guerra civil y a la crueldad y desenlace de la misma. Más adelante, con motivo de una estancia en Glasgow, Escocia, durante el curso 1975-76, que coincidió con el largo período de la enfermedad y muerte de Franco, tuve la oportunidad de asistir en su Universidad a numerosos actos informativos y debates sobre la incertidumbre política que se abría en nuestro país. La mayoría eran organizados por los estudiantes, y siempre intentaba asistir como mero espectador, pero los otros asistentes terminaban implicándome, ya que por mi condición

de nativo mis opiniones parecían que tenían que ser un punto de referencia obligado.

Estos encuentros me dieron la oportunidad de conocer un grupo de escoceses que estuvieron en España durante la guerra civil, y que aún se mantenían unidos con reuniones periódicas en un local propio en el que mostraban con orgullo alguno estandartes y recuerdos de su estancia como «brigadistas» en nuestro país. Era curioso y extraño ver aquel grupo de personas cuyo punto de referencia era España y cuya actitud hacia la misma era de comprensión y simpatía, especialmente por parte de los antiguos brigadistas, aunque quizás algo más inquisitiva por los de la segunda generación, hijos o allegados de los anteriores, varios de los cuales habían perdido algún familiar en la confrontación bélica. Recuerdo que fueron los más jóvenes, algo más distantes con los acontecimientos que acaloraban a sus mayores, los que me invitaron a que asistiera con ellos a escuchar en directo, mi primera vez, en el teatro Odeon de Glasgow un recital de Leonard Cohen, poeta y cantoautor canadiense que, en una de las estrofas de su conocida canción *The Partisan* nos dice «the frontiers are my prison».

El internacionalismo que inspiró a numerosos extranjeros a venir a participar en la guerra civil hay que situarlo dentro de un período en el que se estaba produciendo un gran cambio social, tiempo de guerras y revoluciones, que reflejaban la situación socio-política mundial bipolarizada en un movimiento obrero progresista con fuerte apoyo de intelectuales, que ya había triunfado en Rusia y que iba avanzando rápidamente por numerosos países, y por la reacción de los conservadores que se fueron radicalizando en una ideología fascista que tendría una especial virulencia en distintos países europeos. En este contexto comienza la guerra en España, que en aquellos momentos se convertiría en el máximo exponente de la confrontación ideológica entre ambos posicionamientos, y un numeroso grupo de británicos, obreros e intelectuales, entre los que se hallaba Ralph Fox, vinieron a luchar en su guerra civil formando parte junto con voluntarios de otros muchos países, más de cincuenta, de las Brigadas Internacionales.

## VIDA

Ralph Fox nació con el comienzo del siglo, en 1900, en Halifax, una importante ciudad del condado de York, situada en una zona industrial textil y minera del norte de Inglaterra de gran pujanza y actividad económica, entre las ciudades de Manchester y Leeds. Pertenecía a una familia acomodada que le proporcionó una sólida educación que finalizaría en la Universidad de Oxford. Desde joven mostró una inclinación especial a las letras. En 1920, a raíz de un viaje que realizó a una de las zonas más desfavorecidas de la antigua Unión Soviética, su proyección futura como escritor y como hombre de acción quedaría marcada definitivamente. Se afilió al Partido Comunista y sus escritos como periodista, novelista, historiador, crítico literario y de teoría política, tuvieron un fuerte acento social. Siempre defendería actitudes abiertas, no dogmáticas, criticando las actitudes radicales de algunos de sus compañeros que rechazaban a los escritores y la literatura no social, y defendió con ardor la literatura en cuanto tal, sin adjetivos.

Sus amigos del círculo de escritores lo describen como una persona entusiasta, alegre y juvenil a la vez que madura. Era miembro activo de la International Writers Association, participando en sus congresos celebrados en distintos países europeos e intercambiando puntos de vista con otros escritores. Unas semanas antes de venir a España, el escritor Ralph Bates, nos lo presenta en una acalorada charla, durante una cena en su casa de Londres, en la que el escritor francés André Malraux propone escribir una enciclopedia, idea que rápidamente es apoyada con entusiasmo por Ralph Fox, y posteriormente continúan discutiendo sobre el desarrollo del movimiento fascista en Europa; poco después, los tres escritores mencionados, vendrían a luchar a España formando parte de las Brigadas Internacionales.

Ralph Fox fue también un incansable viajero, algo que le permitió desarrollar sus dotes periodísticas contribuyendo con numerosos artículos en la prensa de la época, y a la realización de varios libros fruto de estos viajes. Sentía una atracción especial por los pueblos asiáticos, hacia su cultura, su psicología y a la reacción de estos pueblos al entrar en contacto con la cultura e ideología occidental. Su proyecto más inmediato era ir a China y Mongolia, país en el que ya había estado con anterior-

ridad, para escribir nuevas historias en la línea de su obra *Conversation with a Lama*. Sus compañeros nos dicen que era un viaje en el que tenía puestas grandes ilusiones como escritor, tarea a la que él mismo había confesado que se quería dedicar con más intensidad en el futuro, y en el verano de 1936 sólo estaba a la espera de los últimos trámites para realizarlo. Su decisión de venir a España a raíz del inicio de la guerra durante el verano truncó sus proyectos y su vida antes de que finalizara ese mismo año.

### ESTANCIA Y MUERTE EN ESPAÑA

Vino a nuestro país, en 1936, como consecuencia lógica de su posicionamiento político y de su condición de hombre de letras comprometido con su tiempo. Estaba convencido, como otros muchos intelectuales de la época, de que el triunfo del fascismo supondría el fin de la libertad de pensamiento y el fin de la literatura. El fascismo era identificado en estos círculos como el destructor de la cultura, y ante esta situación no les quedaba más remedio que intentar frenar su avance, que en aquellos momentos situaban en nuestro país. Fox va a París, se enrola en las brigadas junto con otros escritores, y pone rumbo a España.

En una carta suya escrita desde Albacete, el 11 de diciembre, relata este viaje que él califica como «a most wonderful experience». Nos cuenta cómo en el trayecto del viaje entre París y Barcelona que hace con otros brigadistas en dos autobuses especiales, la gente les saluda puño en alto deseándoles «bonne chance»; cómo, una vez en Barcelona, desfilan entre el entusiasmo de la población y, finalmente, se refiere a las nacionalidades de sus compañeros de armas, y superando el hecho concreto por el que han venido a España, nos ofrece un significado más trascendental

our little army is of every nation, French, Belgians, Germans, and Poles predominating... For years, the Liberal bourgeoisie has talked about a League of Nations army to impose Peace on the world. Well, we have created the first International Army to fight for Peace and Freedom.

El viaje de Barcelona a Albacete, ciudad escogida como cuartel general de las Brigadas Internacionales, solía hacerse en tren con una duración entre dos y tres días, con frecuentes paradas en cada pueblo y aldea en las que les aguardaban comités de recepción, una experiencia que debió ser muy interesante para nuestro escritor. En Albacete se encuentra también el escritor francés André Malraux, al que nos hemos referido con anterioridad, que está organizando la escuadrilla internacional de aviación llamada «España», que con una treintena de bombarderos bimotores tiene su base en el vecino pueblo de Alcantarilla. Ante la falta de voluntarios que sepan pilotar, la República tiene que reclutar a mercenarios, que se quejan de las duras condiciones de vida, y que Malraux tratará por todos los medios de reemplazar por algunos voluntarios que van llegando.

La vida en Albacete no debió ser fácil para nadie, la comida no era muy buena y escaseaban las camas e incluso las mantas. Los cuarteles enseguida están llenos y tienen que distribuir a los que van llevando por los pueblos de alrededor según su nacionalidad, alojándolos en las iglesias o en inmuebles requisados. A los ingleses se les envía al pueblo de Madrigueras, y entre los otros brigadistas tienen fama de no quejarse de nada aunque se les acusa de ser snobs. Ralph Fox se queda en Albacete y ve cómo a sus amigos los van enviando a otros emplazamientos. Pronto siente la monotonía y la falta de noticias, como él mismo dice en otra carta del 7 de diciembre que acaba con un mensaje de esperanza.

This little town is very quiet, and one knew far more in London about what is happening in Spain. Indeed I never was so cut off in my life from the great world...What is happening here is really the greatest thing since 1917. Victory means the end of Fascism everywhere sooner or later, and most likely sooner...When this job is over, life will be easier for everyone.

Más adelante, en otra carta, nos describe Albacete como una pequeña ciudad con «two-story houses, mostly of an early nineteenth-century character, narrow streets, cobbles and lots of mud» y se refiere a su clima extremado, con heladas por las noches y de madrugada pero con cielos despejados y sol durante el día, algo que él considera un clima saludable.

Lo que debió ser un verdadero quebradero de cabeza para los responsables militares de las brigadas fue conseguir mentalizarlas en la disciplina y el orden. Conocido es el episodio del rechazo y la indignación entre los brigadistas por los uniformes de la Legión que se les enviaban desde el estado mayor del ejército republicano, que tienen que ser devueltos, ya que no quieren ser identificados con un cuerpo que para ellos tiene connotaciones negativas. Así que, cuando se puede, son uniformados con pantalón, casaca de pana y zapatos o alpargatas, y a los demás con monos azules, o simplemente se les deja como llegan. La diversidad lingüística poco a poco van resolviéndola agrupándolos por nacionalidades. Otro problema con el que se encontraron los responsables militares fue la bebida, ya que los brigadistas no estaban acostumbrados ni a la alta graduación del vino, ni a la facilidad y frecuencia de su adquisición y consumo. Todos estaban impacientes por ir a la lucha y la instrucción era considerada por muchos como un ejercicio inútil para hacer la revolución, e incluso se sorprenden cuando ven algunos destacamentos del ejército soviético desfilando, marcando el paso al unísono, dando taconazos, y obedeciendo a sus jefes como cualquier ejército burgués. A este conjunto de circunstancias se refiere Fox en su carta del 10 de diciembre.

The Spanish militia are interesting to watch. Dressed in every variety of uniform or no uniform at all, with all kinds of arms, no particular march discipline, but tough, wiry looking fellows. If some genius could arise to organize them they would certainly play hell with Franco.

Esta es una de las tareas que le serán encomendadas a Ralph Fox, la de recibir y educar a los brigadistas que van llegando a Albacete; una función similar ya la había realizado él mismo instruyendo a trabajadores de fábricas de distintos lugares de Londres, un contexto bien diferente. Para ello es nombrado Comisario Político del grupo de brigadistas ingleses, y desarrolla su labor con la máxima entrega y entusiasmo.

I have the job of educating the political workers for our force as they come, and look forward to it immensely. But it is all very topsyturvy, five or six hours' sleep at the best, and meals if and when one can.

Still it is, when we really get our men going, to be such work as we never did before in our lives, any of us. I am a general nurse, mother, teacher, and commander to all the English as they pass through, and it is wearing. It will be some time before we go to the front.

Esta carta, fechada en Albacete el 18 de diciembre, en la que aún ve lejana la posibilidad de ir al frente, será la última que escribiría antes de morir, algo más de una semana después, en la primera línea de batalla.

Los acontecimientos militares se precipitan, y, a pesar de que los mandos en Albacete consideran que los brigadistas aún no están preparados para ir a luchar, que además tienen escasez de armas y municiones debido al embargo internacional existente, y que las que tienen son de lo más dispares y de distinta procedencia, desde Madrid, el jefe del estado mayor, General Casado, insiste y suplica que se envíen refuerzos para salvar esta ciudad. Finalmente acceden, y rápidamente se organizan y envían tropas de brigadistas a distintos frentes: en noviembre envían a Madrid la XIª Brigada y unos días después, también a Madrid, la XIIª; en diciembre se organiza la XIIIª Brigada que envían al frente de Teruel, y la XIVª que es enviada al frente de Lopera, en la provincia de Jaén.

La XIVª Brigada, formada el 22 de diciembre, es la primera que se organiza sobre la base de las distintas nacionalidades, algo que resulta lógico para poder transmitir y seguir las órdenes, y que se irá haciendo de forma progresiva en las otras brigadas. Su primer jefe será el general Walter, y está compuesta por varios batallones; formando parte del 12º batallón se encuentra la compañía británica de la que Ralph Fox es su comisario político. Esta brigada es enviada rápidamente al pueblo de Andújar, en la provincia de Jaén, para desde allí contraatacar y frenar el avance de las tropas enemigas que, al mando del general Queipo de Llano, intentan penetrar en la provincia de Jaén.

Señalamos escuetamente los prolegómenos, la batalla y circunstancias de la muerte de Fox. La noche del 24 de diciembre se vuelan dos puentes que unían el pueblo de Lopera, en poder de los republicanos, con otros pueblos de la provincia de Córdoba que acaban de caer en

poder de las tropas franquistas, para así intentar frenar el avance de las mismas; y a continuación, la casi totalidad de los habitantes del pueblo son evacuados provisionalmente al vecino pueblo de Porcuna. El día 26 entran en Lopera las tropas de Queipo de Llano. A la XIVª Brigada se le encomienda reconquistar este pueblo y los pueblos limítrofes de la provincia de Córdoba. El día 27 de diciembre se inicia la operación, los brigadistas se acercan en camiones que son ametrallados por aviones desde el aire. El 12º batallón, al que pertenece Fox, recibe la orden de dirigirse a Lopera a través de un terreno accidentado formado de numerosas colinas cubiertas de olivares. No lejos del pueblo y ante la presencia de las tropas enemigas dejan los vehículos y comienza la lucha. La compañía británica es la primera en entrar en contacto e intentan tomar una colina sin árboles, la cota 320, que es conocida por los lugareños como el «Cerro del Calvario», y que los brigadistas rebautizarían como «English Crest», en lo alto se encuentran moros y soldados de la legión extranjera con ametralladoras. Caen bastantes ingleses y entre ellos Ralph Fox. La lucha continuaría el día siguiente, el 28, en el que por la mañana caerá muerto otro escritor inglés, el poeta John Cornford. La lucha irá perdiendo intensidad los días siguientes.

El resultado final es fatal para la XIVª Brigada que en esta batalla pierde unos trescientos hombres, hay más de seiscientos heridos, bastantes desertores o huidos, y además las pérdidas de material son cuantiosas. Sin embargo, aunque no consiguieron tomar Lopera, ni ningún otro pueblo, consiguieron frenar el avance de las tropas contrarias, que también sufrieron importantes bajas, unos doscientos muertos, y finalmente quedaría fijado en Lopera el frente entre ambos ejércitos casi hasta el final de la guerra civil. El jefe del 12º Batallón, que es el peor parado y al que pertenecía la compañía británica, capitán Delassalle, es arrestado el día 30, y unos días después, el 2 de enero es juzgado, se le acusa de traición y es condenado a muerte, según parece injustamente, en un intento de justificar las enormes pérdidas de esta batalla.

La descripción que tenemos de su muerte remitida desde Madrid, el 11 de enero de 1937, por la *International Press Correspondence*, y firmada por Hugh Slater, es básicamente la comúnmente aceptada y la transcribimos a continuación a grandes rasgos; en la misma se expone la situación del frente, se hace una descripción del movimiento de las

tropas internacionales y del papel valiente jugado por Fox al frente de su compañía, terminando con un elogio a su heroísmo por parte de uno de sus superiores militares.

The Fascists had advanced from the direction of Cordova and the Government had thrown special troops into action for a counter-attack. Lopera is the first village in the province of Jaén on the road to Cordova. The country is hilly...the low hills are covered with olive-groves, planted in endless, symmetrical rows. The most furious fighting was among the trees in the olive-field, covering what is now to be called «English Crest». One can imagine how intensely Ralph must have appreciated the beauty of this country. The counter-attack in which the English-speaking company played a prominent part was made from the bottom of a hill. The Government troops, taking cover behind the olives-trees from the hail of rifle fire from the enemy positions on the crest and also from the dozens of German Junker planes bombing and flying low, machine-gunning with explosive bullets. Ralph Fox was with the brigade commander on the road half-way up the hill, when it became evident that there was an unforeseen possibility of our machine-gunners establishing invaluable positions covering the enemy's right flank. Fox set off running, bending low across some open ground, to organize this manouvre... it was almost certain death for anybody to leave cover. Fox knew this, but he considered it necessary to take the risk...

En el mismo informe se señala que por la noche un soldado de su compañía se arrastró hasta su cuerpo para recuperar sus pertenencias personales, encontrándose en sus bolsillos su cuaderno personal de notas y una carta dirigida a él. Se expone en este informe que se planeó la recuperación de su cuerpo, pero que no fue posible llevarla a cabo por razones militares.

Tenemos otra versión ofrecida por un habitante de Lopera, Juan-Francisco Oviedo, que tiene unos 81 años en la actualidad, antiguo militante comunista, que cuenta cómo recibió la orden de las autoridades republicanas para que fuese en un camión a recoger al pueblo

vecino de Andújar a un grupo de los brigadistas que tenían como misión recuperar el pueblo. Nos dice que se le informó que entre los que tenía que recoger había gente «importante», y que uno de ellos era el propio Fox. Él mismo muestra el lugar en el que parece ser fueron ametrallados estando aún en el camión sin darles posibilidad de defenderse, y según cuenta, en este ataque por sorpresa murieron Fox y casi todos los ocupantes del camión. El lugar de la muerte, señalado por este testigo, y la descripción de la maniobra de aproximación realizada por el camión, coincide con los distintos datos consultados, así que es probable que tuviesen una emboscada, debido a que los datos manejados por los responsables militares de la operación no fuesen correctos, y por eso fueron cogidos sin poder defenderse.

No obstante, dentro del camión o intentando conquistar, pie a tierra, el Cerro del Calvario o «English Crest», Ralph Fox cayó muerto en ese lugar y su cadáver, que no fue recuperado, sería enterrado en una fosa común junto con otros muchos compañeros de combate. Con posterioridad su figura, su valor, y su dedicación total y sincera a la causa para la que había venido a España fue reconocida por todos sus compañeros y superiores de las Brigadas Internacionales, y en su honor uno de los cuatro batallones de su antigua brigada, la XIV<sup>a</sup>, se denominaría «Ralph Fox».

## ESCRITOS

Ante todo Ralph Fox se sentía escritor. En cierta ocasión, en una reunión del Congreso Internacional de Escritores celebrada en París en 1935, un compañero americano le comentó que él lo había asociado más con términos de activista político que como escritor, a lo que Fox, poniendo cierto énfasis, le contestó «damn it, everyone thinks it of me! I must write a string of novels to break down the silly notion!». El mismo compañero confesaría a continuación que su conocimiento previo de Fox era por sus escritos, y que tanto en los círculos literarios americanos de izquierdas, donde era tenido por un experto marxista, periodista y creador literario de primer rango, como en las revistas de literatura «burguesas» de América, sus libros eran recibidos con gran respeto.

Sus escritos son bastante numerosos y abarcan diversos géneros y áreas de interés, como son la novela, la teoría política, la biografía, la historia, el teatro, la crítica literaria, y el periodismo, sin olvidar otras facetas de su actividad como son las traducciones al inglés y las conferencias. Queremos centrarnos en este trabajo en su obra y pensamiento literario, aunque dada la importancia de sus escritos políticos comenzaremos con una breve reseña de los mismos.

Los **escritos políticos** podemos clasificarlos en dos períodos, que se siguen sin intervalo en el tiempo. Un primer grupo incluiría *Lenin: A Biography*; *The Colonial Policy of British Imperialism*; *Marx and Engels on the Irish Question*; y *Class Struggle in Britain*. Estas obras, publicadas entre 1933 y 1934, podríamos considerarlas como fruto de su estancia en el Instituto Marx-Engels de Moscú, donde Fox recopila la información básica de las mismas. Un segundo grupo comprendería sus obras *Communism*; *Genghis Khan*, y otras consideradas menores, que aparecerían entre 1935 y 1937.

Con el primer grupo de escritos, Fox pretende dar a conocer a sus compatriotas el desarrollo de la revolución en Rusia, a través de la biografía de Lenin, y, al mismo tiempo, resaltar el papel jugado por el pensamiento y la obra de Marx y Engels, cuya importancia se había intentado socavar con historias acerca de sus vidas personales y de una supuesta actitud distante en sus relaciones con el movimiento obrero. *Lenin* es considerada como una excelente introducción al comunismo soviético y su evolución, así como a la obra y la vida de Lenin. En *The Colonial Policy*, Fox analiza, en nueve capítulos, la política colonial británica desde sus comienzos y a través de distintos períodos históricos, se refiere expresamente a las colonias africanas, a las del Medio Oriente, y de manera especial a la India, y hace reflexiones personales sobre el papel de la lucha de clases en el contexto colonial. La reivindicación del papel jugado por Marx y Engels en la historia del socialismo británico es destacado sobre todo en *The Irish Question* y en *Class Struggle in Britain*, esta segunda obra originalmente pretendía abarcar desde 1884 hasta 1932, pero sólo fueron publicados dos volúmenes: desde 1884 a 1914; y

desde 1914 a 1923, quedando pendiente el que abarcaría entre 1923 y 1932.

Dentro del segundo grupo de escritos políticos, en *Communism*, Fox hace una exposición de la teoría marxista, su método y su dimensión práctica, utilizando un lenguaje y un estilo llano fácilmente comprensible por un lector no iniciado, algo que era nuevo en el conjunto de los estudios marxistas existentes realizados dentro de la más pura ortodoxia. En su otro libro, *Genghis Khan*, podemos destacar, además de su contenido revolucionario, que se trata de una biografía en la que nos ofrece una interesante aproximación a las civilizaciones del centro de Asia, con abundantes referencias históricas. En la misma se refleja con claridad el cambio desde un sistema original de clanes nómadas tribales, cada uno con su jefe o khan, a un enorme imperio feudal con claras analogías con el período medieval europeo. Fox siempre sintió una gran admiración por los grandes hombres rebosantes de vitalidad, reflejo de su propia pasión por la vida, admiración que él transmitía en las biografías de los mismos, algo que podemos apreciar no sólo en las obras aquí citadas, sino también en sus referencias a otros grandes personajes de la historia aunque no estuviese de acuerdo con sus realizaciones, como es el caso de Lawrence de Arabia.

De sus escritos políticos queremos destacar tres elementos o características: claridad expositiva, la recuperación de las figuras de Marx y Engels, y la actitud no dogmática en lo ideológico. Con su claridad expositiva, no exenta de rigor científico, consigue difundir y hacer llegar al lector inglés en general, unas obras y una doctrina política que hasta entonces habían sido inaccesible para ellos por la dificultad que entrañaban las obras existentes. En cuanto a las figuras de Marx y Engels, Fox recupera y reivindica el importante papel jugado por ambos en el movimiento obrero británico, en contra de la campaña existente sobre el posible protagonismo de los mismos, algo que ya hemos señalado escuetamente con anterioridad. Por último, queremos referirnos a la actitud no dogmática en su posicionamiento ideológico, que en ocasiones le hacen criticar abiertamente las actitudes ultra-ortodoxas de algunos de sus contemporáneos, que le situará en posiciones casi heréticas en lo doctrinal. Esta actitud no dogmática resulta más claramente palpable

en sus escritos sobre teoría literaria, algo que sus compañeros, con cierta comprensión paternalista, atribuyen a la peculiaridad de las gentes de su tierra, Yorkshire, o lo asocian con su carácter vitalista y su condición de escritor literario.

Quizás sea interesante para comprender su actitud ideológica reseñar su traducción del libro *Marxism and Modern Thought*, una colección de ensayos que encabeza N.I. Bukharin, del que dice Fox en su Prefacio,

is the first complete post-war restatement of Marxism which we have had...to provide readers of English with a better understanding of the intellectual basis of the reconstruction of society progressing in the USSR

Pues bien, Bukharin, cuyo popular libro *The ABC of Communism*, considerado como un manual popular de las enseñanzas comunistas, ya aparece traducido por primera vez al inglés en 1921, y que fue una figura prominente dentro del partido comunista y de su comité central, además de académico y editor del «Pravda», sería censurado por Stalin al final de los años treinta, porque consideraba que sus escritos se desviaban de la ortodoxia comunista. Sus escritos fueron prohibidos, hasta que cincuenta años después, en mayo de 1988, en la época de Gorbachev, sería rehabilitado por la Academia de Ciencias Soviética y sus escritos volverían a las bibliotecas públicas. No cabe duda que tanto el pensamiento de Bukharin, como muestra su elección para encabezar este libro, como el de los otros escritores elegidos, habrían dejado una fuerte influencia en el pensamiento político de Fox, que quedaría reflejada en su posicionamiento ideológico personal.

Respecto a su **pensamiento y obra literaria**, queremos destacar su pasión por la literatura, su enorme capacidad lectora, y el intenso conocimiento que poseía, no sólo de la literatura inglesa sino de la literatura universal, y en particular de la francesa, la rusa e incluso la española. Su amor a la literatura corre paralelo con la gran intensidad y apasionamiento con que vive la vida que, en cierto sentido, le conducen al marxismo a través de su directa participación y vivencia personal de los primeros años del triunfo de la revolución en Rusia, y que le hacen identificarse con la misma. Su amor por la vida le llevó a su defensa a ultranza de la libertad en la creación literaria, cuyos valores estéticos

los consideraba necesariamente desvinculados de imposiciones ideológicas, y al rechazo de cualquier tipo de puritanismo.

En su libro *The Novel and the People* Fox nos ofrece en uno de sus capítulos una interesante reflexión sobre «Marxismo y literatura», defendiendo su complementariedad, con citas frecuentes de Marx y Engels que destacan el importante papel que el individuo juega en el desarrollo de la historia y las luchas colectivas, con su sensibilidad creadora, reflejo de su imaginación, deseos y pasiones, como integradas dentro de la historia colectiva. Dejaremos que sea el propio Fox el que exponga su pensamiento con extractos de la obra citada, incluyendo la referencia que hace a algunos de sus personajes de ficción favoritos pertenecientes a la literatura universal.

Today the literary journalists protest that materialism and imagination cannot go to bed together...It is a curiously perverted view... It is often objected against Marxism that it denies the individual...Marxism does not deny the individual. It does not see only masses in the grip of inexorable economic forces...Marxism places man in the centre of its philosophy... The conflict of wills, of desires and passions, is not, however, a conflict of abstract human beings, for Engels is careful to emphasize that man's desires and actions are conditioned by his physical constitution and, finally by economic circumstances, either his personal circumstances or those of society in general...So that each man has, as it were, a dual history, since he is at the same time a type, a man with a social history, and an individual, a man with a personal history. The two are also one...this does not and should not imply that in art the social type must dominate the individual personality. Falstaff, Don Quixote, Tom Jones, Julien Sorel, Monsieur de Charlus, are all types, but they are types in whom the social characteristics constantly reveal the individual, and in whom the personal hopes, hungers, loves, jealousies and ambitions in turn light up the social background

Dentro de la creación literaria, la novela era su género favorito, y según confiesan sus amigos podía pasarse horas hablando sobre la mis-

ma, quedando patente su enorme imaginación y su capacidad para recrear situaciones y personajes, algo que dejaría explícito en sus propias novelas y relatos cortos. De su primera época destacamos *Captain Youth*, una comedia en tres actos que escribiría cuando sólo contaba 22 años; *People of the Steppes*, publicada tres años después; y *Storming Heavens*, que es la última en aparecer, en 1928, de esta primera época antes de marchar al Instituto Marx-Engels de Moscú. Como muestra de su sensibilidad, y la belleza de sus descripciones, queremos referirnos y transcribir algunos párrafos de un pasaje de *People of the Steppes*, en el que nos relata el sueño de los grandes conquistadores asiáticos. El mismo Fox forma parte de una conversación imaginaria junto a Timur Lenk, «Tamerlán el Grande», y Temudjin, Genghis Khan, el «Emperador del Mundo», que comienza con la siguiente descripción:

The second night in the teplushka I fell asleep and dreamed that I was on the Iron Hill again. It was dark, the velvet sky was spangled with stars, but land and water stretched dimly away beneath, carrying mysterious roads into the unknown. Such a hush of mysterious silence hung along the Aral Sea, over Lake Raim and Kamishli Bash, over the slow delta of the Jaxartes

Y continúa narrándonos, envueltas en hermosas leyendas, la 'búsqueda', por parte de Tamerlán y Genghis Khan, de sus respectivas mujeres a las que agraviaron. Nos referiremos aquí a una de ellas en la que Tamerlan nos cuenta, con un lenguaje poético, cómo en su ausencia y por encargo de su esposa Bibi Hanim, un joven arquitecto fue a Samarkanda, capital de su reino, a construir una gran mezquita con un enorme arco de entrada «to be the tallest and the loveliest in the world», como prueba del amor de su esposa hacia él. Y cómo, para acelerar su construcción y conseguir su finalización antes del regreso de Tamerlan, su esposa accede a la condición que le pone el joven arquitecto «one kiss upon your cheek, Queen of Women». A su vuelta, junto a la belleza de la obra terminada, descubre en la mejilla de su esposa la señal que la delata, y cuando su corazón celoso intenta matar al arquitecto, éste, huyendo de él, se lanza desde lo alto de su mezquita, y concluye Tamerlán:

with a wild cry, of joy, or fear, or love, I do not know, for God, who knows all, snatched the falling body and changed it into a Dove» The shade of Genghis spoke. «What did you then, O Timur? Did God's miracle quiet your turbulent heart?». Timur shook his head. «I pulled down the frozen music of that arch and built it again, grander and taller, to fit the fame of Timur Lenk. When it was done the beauty of the mosque was dead, for I destroyed the loveliest poem ever made to the glory of a woman. That is the wrong I did my noble wife.

El mismo año de su muerte aparecen sus tres últimas obras *The Novel and the People*; *This Was Their Youth* and *Conversation with a Lama*. De las tres, *Conversation*, que marca la línea que él mismo confiesa quería seguir en su proyectado viaje a Mongolia ya mencionado, ha sido considerada como la más hermosa de sus obras, y en la que queda mejor reflejada su mejor técnica y el poder de su imaginación. En *This Was Their Youth*, Fox nos ofrece 12 relatos de distinta extensión, en los que dentro de unas excelentes descripciones, el elemento social está siempre presente con más o menos intensidad. Su obra *The novel and the People* es un ensayo en el que define, desde una interpretación marxista, su visión sobre la relación entre arte y política; ya hemos ofrecido con anterioridad extractos de la misma, en esta ocasión queremos hacerlo refiriéndonos al interesante recorrido histórico por distintos autores, que hace Fox en el capítulo «The novel as epic» de la obra citada.

En este capítulo, Fox comienza mencionando a Chaucer y Boccaccio, para detenerse brevemente en Thomas Malory y sus Caballeros de la Mesa Redonda, considerándolo como «the first great escapist» que, huyendo de un presente que le resulta hostil, se refugia en un pasado idealizado, y lo compara con Walter Scott y con Chateaubriand. Continúa con la novela inglesa, refiriéndose al período isabelino, en el que considera que no avanza, aunque sí se consigan las cotas más altas en la poesía dramática. Afirma que durante el siglo XVII tampoco avanzaría el género narrativo, pero produciría grandes filósofos que harían posible el triunfo de la novela en el siglo siguiente que, para él, es el período supremo de este género. En su opinión, el estudio exhaustivo de los per-

sonajes es una tarea filosófica, y al mismo tiempo el resultado de una actitud filosófica de la vida que ha de poseer el novelista

novel-writing is a philosophical occupation. The great novels of the world, *Don Quixote*, *Gargantua and Pantagruel*, *Robinson Crusoe*, *Jonathan Wild*, *Jacques Le Fataliste*, *Le Rouge et Le Noir*, *War and Peace*, *L'Education Sentimentale*, *Wuthering Heights*, *The Way of All Flesh*, are great precisely because they have this quality of thought behind them, because they are highly imaginative, inspired, if you like, commentaries on life. It is this quality which distinguishes the first-rate from the second-rate in fiction.

Para Fox los verdaderos fundadores de la novela son Rabelais y Cervantes. Ambos vivieron en un período de transición, que, rompiendo con el feudalismo medieval, se abría a «the greatest flow of new ideas, the most exciting rebirth that man has ever known in his history.» El estar entre dos mundos les permitió burlarse de los vicios del que se iba, a la vez que ponían al descubierto los defectos del que comenzaba. Señala Fox que, además de novelistas, ambos fueron hombres de acción y sufrieron persecución. Y en cuanto a la riqueza de su lenguaje, considera que nunca ha sido superada, destacando el papel de los dos escritores en la evolución de la gramática y el vocabulario de sus respectivas lenguas, el español y el francés, y encontrando un paralelismo con la figura de Shakespeare para la lengua inglesa.

In Cervantes the revolutionary nature of his work is more implicit than explicit. The drama of his view of life expresses itself in the relation between his two chief characters and again in the relation of Quixote and Sancho to the world outside them. In this way his novel marks a step forward from Rabelais, but between them these two forged for the novelist every weapon that he needed. Rabelais gave him humour and the poetry of language, Cervantes gave him irony and the poetry of feeling. They were universal geniuses and no work equal in stature to theirs has since been written in that variegated prose fiction which we call the novel.

Destacamos el papel relevante concedido a Cervantes en el campo de la novela, y la fuerza de su imaginación, que señala como un ejemplo a seguir por la novela inglesa, que, según él, nunca había conseguido llegar a cotas tan altas como las que «the French and Spanish giants had conquered.» Entre los escritores ingleses del siglo XVIII distingue dos distintas formas de hacer novela. Por un lado estarían los que ofrecen una visión puramente objetiva del mundo, cuyos personajes tienen poca vida interior «for they are more concerned with describing 'how' than 'why'», entre los que menciona a Defoe, Fielding y Smollett, y de otro los que se concentran en los motivos y sentimientos del individuo «in which the general social picture hardly counts at all», entre los que incluye a Richardson y Sterne (considerado un antecesor de la moderna técnica del monólogo interior). Para Fox la exclusión del lado subjetivo del individuo priva a la novela de imaginación y fantasía, así como la concentración de la acción sólo en el individuo la deja sin la cualidad épica, y según él «such a division in Cervantes was unthinkable.» Y acaba su ensayo «The novel as epic» con una reflexión general sobre este siglo:

The eighteenth century was the golden age of the novel. The novel of this period did not have the high fantasy of Cervantes and Rabelais who showed how imagination can transform reality by a daemon force, but it was not afraid of man and spoke the truth about life with an uncompromising courage. It had wit also, and humour, and it compelled man to understand that the individual had an inner life as well as an outer life.

**Ralph Fox** está siendo recientemente objeto de un movimiento de revitalización tanto en lo que se refiere a su figura como a su obra. En este sentido, guardamos copia de una carta dirigida por el alcalde de Carderdale- Halifax al alcalde de Lopera, en 1991, en la que le informa que se ha discutido y aprobado en el Consistorio Municipal una posible conmemoración conjunta con el municipio español, de un homenaje a la figura de Ralph Fox. Asimismo, en dicha carta anuncia la próxima celebración de una exposición especial, en la Biblioteca principal y en la Galería de Arte de Halifax, sobre la vida y la obra de este escritor local, Ralph Fox, del que hace un encendido elogio. Por otra parte, el director

de la Casa de la Cultura de Lopera, amigo personal, nos informa que él mismo ha atendido a varios escritores ingleses que han ido a Lopera para visitar los lugares relacionados con Ralph Fox, y el lugar de su muerte en particular, el «Cerro del Calvario» o «English Crest», siendo acompañados incluso del testigo personal mencionado anteriormente, para tomar notas y cotejar datos sobre el terreno con vistas a un estudio posterior de nuestro escritor. Con este artículo, modestamente, esperamos contribuir también al reconocimiento de su persona y difusión de su obra.

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## **SARATOGA HEXAMETER: LA POÉTICA EN LA NOVELA DE MISTERIO**

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### **Resumen**

*Stephen Dobyns (1941-) es un escritor que se define a sí mismo principalmente como poeta, aunque no por ello hay que prestar menor atención a su producción prosística. Dobyns ha manifestado siempre un profundo interés por comunicar a sus lectores cuál es su concepción de la poesía, cómo su intención es que sea comunicativa, clara y funcional. Además de varios artículos y poemas en los que este autor trata el tema con detenimiento, Dobyns ha elegido un género literario diametralmente opuesto al poético para exponer sus ideas sobre el mismo. En el presente trabajo pretendemos demostrar cómo Stephen Dobyns expone su concepción de la poesía tomando como soporte una novela de misterio: *Saratoga Hexameter* (1990).*

### **Abstract**

*Stephen Dobyns (1941-) considers himself mainly as a poet, although we also have to pay close attention to his fiction. Dobyns has always been deeply interested in showing his readers his conception of poetry. For a poem to be successful, it has to be communicative, clear and functional. He has written several articles and poems dealing with this topic, but in *Saratoga Hexameter* (1990) he chooses precisely a genre that seems not to have anything to do with poetry, a mystery novel, to expose his ideas about poetry.*

Stephen Dobyns ha mostrado a lo largo de su trayectoria como escritor una gran inquietud por dejar bien sentadas las bases de su poesía. Así, se ha preocupado de dejar patente su teoría poética en numerosos poemas y artículos. El interés de este trabajo radica en el hecho de analizar la teoría poética de este autor tomando como soporte una novela de detectives: *Saratoga Hexameter* (1990b). La conjunción, aparentemente extravagante, de géneros tradicionalmente tan dispares como la poesía y la novela de misterio, produce en este caso un sutil equilibrio entre la historia de asesinato y la teoría poética. Dobyns utiliza una novela de misterio como plataforma para lanzar sus ideas acerca de la poesía. En ningún momento descuida el argumento de la novela y, a la vez, durante toda la historia, la poesía juega un papel fundamental. Dobyns consigue que, de una forma paralela, crezca en el lector un interés por la resolución de la trama y por saber adónde van a parar los escritores en su discusiones teóricas.

El título de la novela puede resultar curioso, sobre todo si conocemos la línea que siguen los títulos de esta serie de 'mysteries': *Saratoga* -el lugar donde se desarrolla la acción- seguido de un nombre que sugiere algo sobre el protagonista -el detective Charlie Bradshaw- o el asesino que provoca la trama. La novela que nos ocupa se titula *Saratoga Hexameter* porque trata de un ladrón de hotel que, tras actuar, deja siempre un poema escrito en hexámetros. Por otra parte, alguien está acosando a un crítico literario presuntuoso que se halla en una colonia de verano para escritores, a la vez que tienen lugar varios asesinatos. Todos estos hechos parecen estar relacionados entre sí por la presencia de un poema escrito en hexámetros que aparece tras cualquiera de las intervenciones del criminal.

Charlie ha de introducirse en la colonia de escritores y hacerse pasar por uno de ellos, para así descubrir al tipo que acosa al crítico literario Alexander Luft. Pero, a la vez, está siendo presionado por su madre para que descubra al ladrón de joyas que actúa en el Bentley (el hotel que ella dirige), y también se siente en la obligación de investigar varios casos de asesinato, uno de los cuales tuvo lugar minutos antes de que el mismo Charlie llegara a la cita con la persona que fue asesinada, Blake Moss -otro detective privado. Pues bien, olvidando el argumento de la novela, lo que nos interesa es el hecho de que Stephen Dobyns haya

ubicado parte de su discurso narrativo en un ambiente literario, el de una colonia de artistas en las afueras de Saratoga Springs<sup>1</sup>, en la que se reúnen durante el verano para intercambiar opiniones sobre las últimas producciones artísticas y muy particularmente la poesía. Este hecho da pie al escritor para poner en boca de los personajes ciertas ideas acerca de su modo de concebir el discurso poético. Será éste precisamente el tema que vamos a analizar aquí.

El primer personaje que aparece en esta colonia de escritores es un crítico literario, Alexander Luft<sup>2</sup>, que es acosado por alguien, y del que se dice en la novela<sup>3</sup> con respecto a su forma de expresar sus ideas, '*was pontificating*' (4) -tipo de discurso que se le da especialmente bien. En el comienzo de la novela ya se da idea al lector, por medio de esta observación, de la clase de personaje de que se trata. En su primera intervención apunta el crítico en la ficción que la linealidad del verso es algo que se debe evitar en la poesía:

*The artist's approach in a poem should dance. It should shimmer with a multitude of directions. The surface of the poem should be as multi-faceted as one of those baroque churches one finds in Vienna -all sparkle and dazzle. And the artist's treatment of his subject should zig-zag and circle like a hare evading a hound. (4-5)*

Hemos de tener en cuenta que las ideas que Stephen Dobyns tiene sobre la poesía las pone en boca de los personajes de esta novela, y se-

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<sup>1</sup> Aunque partimos de la base de que se trata de una ficción literaria, sí hemos de apuntar que el ambiente está magistralmente plasmado, entre otras cosas, porque se trata de un medio que Stephen Dobyns conoce a la perfección, ya que él mismo colabora cada verano en una de estos seminarios en Skidmore College en Saratoga Springs, donde participan estudiantes postgraduados y escritores. La diferencia radica en que en la colonia de la novela se dan cita diferentes artistas, y el propósito no es enseñar a estudiantes postgraduados. Curiosamente, Stephen Dobyns hace alusión en su novela al seminario en el que él participa en Skidmore College, introduciendo los personajes de unas jóvenes estudiantes que se hallan en este curso y que salvarán la reputación de Charlie escribiendo unos poemas para él, que tendrá que leer, haciéndose pasar por poeta, en una lectura de poemas en la colonia.

<sup>2</sup> El nombre tiene ciertas connotaciones: Alexander, que hace referencia al verso alejandrino, y Luft, que significa viento en Alemán. Por esto último, en la colonia de artistas le llaman de sobrenombre *Windy*. (Piazza, 1990: 6)

<sup>3</sup> Todas las citas están extraídas de la edición de la novela en "paperback" para Penguin en 1991. Las páginas que aparecen entre paréntesis después de cada cita, corresponden, pues, a la mencionada edición.

gún el papel que da a cada uno, podemos intuir la posición del autor con respecto a los temas de los que hablan. En este caso, Alexander Luft es un personaje resentido que llega a rozar los límites de lo absurdo y lo ridículo, por lo que su discurso debe ser tomado como una crítica por parte del autor a los planteamientos que este personaje defiende. Con respecto a la afirmación de Luft, nos encontramos con la réplica de una joven fotógrafo, que supone que al seguir la máxima que el crítico propone, los poemas serían oscuros y «difíciles de entender.» A esta observación responde Luft: *That's why we have critics. (...) The critic is like the conductor of a symphony who guides the musicians toward a correct interpretation of the score. In such a way the critic guides the reader.* (5) En este sentido, bajo la coraza que, según él, le proporciona su posición de crítico, se permite hacer afirmaciones de tal calibre, que dan al lector idea de la posición que toma el escritor con respecto a este personaje. Afirmaciones tales como que Walt Whitman fue «un cretino « o «un autodidacta mal dirigido, cuyos pocos poemas que tuvieron algún mérito se produjeron simplemente por accidente»(5). Todo esto acompañado por actitudes de divo, como el hecho de que, por ejemplo, en medio de una conversación se retire a descansar porque dice que los críticos necesitan reposar *if we are to make sense of the intuitive projectiles flung at us by (you) artists.* (6)

Pero Stephen Dobyns no deja estas afirmaciones de Alexander Luft sin respuesta, y a lo largo de la novela aprovecha las intervenciones de otros personajes que se hallan en la colonia de artistas, para restar crédito a estas afirmaciones, y de paso infiltrar en la novela su teoría poética. Así ocurre, por ejemplo, en la conversación que mantienen el pintor Frank McGinnis y Charlie Bradshaw, en la cual Stephen Dobyns mostrará al lector sus propias ideas en cuanto a la poesía -ideas que, por supuesto, son las opuestas a las defendidas por el personaje Alexander Luft. Veamos algunas de las ideas expresadas por Frank McGinnis:

*A critic (...) is like a eunuch who feels obliged to describe the nature of sex. The fact that he has never experienced it is the very reason for his fascination. That is what is so amusing about these deconstructionist critics who claim to be artists. They are like eunuchs in drag and their falsies keep slipping.* (80)

La figura de Charlie Bradshaw en este diálogo al que hemos aludi-

do -y del que la anterior cita es sólo una parte- se limita a servir de hilo conector en el discurso que mantiene Frank McGinnis, pues sus intervenciones son preguntas que dan pie a que éste siga hablando sobre el tema. Esta actitud de Bradshaw tiene un doble propósito: el primero, de cara a la novela, es presentar a un personaje que, por tratarse del detective, hace preguntas para sacar la mayor cantidad de información posible sobre el personaje que se supone está siendo víctima de continuos acosos; y el segundo, como ya hemos dicho antes, servir de hilo conector entre los diferentes temas literarios que desarrollará Frank McGinnis, para que así, el mismo autor pueda expresar ciertas ideas referentes a su teoría poética. De este modo, por la actitud de Charlie -asentimiento con lo que dice McGinnis, más que con lo que pueda decir Luft en cualquier ocasión- el escritor, que como es lógico siente simpatía por el detective, hará que estos personajes se identifiquen con su ideas, poniéndolas así de manifiesto en su novela.

Después de que McGinnis critique a Luft, Charlie pregunta ingenuamente, desde su posición de ignorancia sobre el tema, si es que acaso los críticos literarios no son necesarios, a lo que McGinnis asegura que sí, pero dejando claro que el crítico también debe ser un artista capaz de valorar la obra de arte bajo cierta óptica que sólo un artista puede tener, dando así una definición de lo que debe ser una buena crítica<sup>4</sup>:

*Sure, (...) A good review is a description of a particular work and that description leads us to read it or see it or whatever. But some critics scorn reviews. They see themselves in the business of judging and evaluating (...)*

*The best criticism is written by artists and it's about the only criticism that survives the life of the writer. The critics who aren't artists produce a lot and they pump each other up and get excited and they have lots of power but their words are like smoke and a little time blows it away. Basically, they're a nuisance. (80)*

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<sup>4</sup> Cuando hablamos de «crítica» estamos aludiendo a reseñas, es decir, a comentarios críticos en el sentido original del término. Nunca aludimos a las disciplinas de estudio literarias i.e., a la crítica literaria filológica en cualquiera de sus manifestaciones.

Por último, Dobyns establece en este discurso de McGinnis qué cualidades valora en la poesía. Lo hace por la vía negativa, y todas las características que este crítico ficticio censura son las que Dobyns persigue en su poesía; y las que el crítico alaba, como la oscuridad y la necesidad de ser interpretada, son las que Dobyns rechaza:

*... a critic like Luft doesn't praise poetry that has any degree of clarity. He needs an obscure poetry, or a poetry which he thinks needs to be interpreted, a poetry which, in fact, needs him. Consequently, he dismisses clarity as a virtue. He dislikes the linear. He dislikes direct statement. He dislikes a compelling emotional content. He dislikes the idea that the poet should be or might be the reader's representative. He even dislikes the idea that the poet may be trying to communicate to the reader. Luft wants to be the middle man. He wants the communication to come through him. He's like a resaltor or broker. He wants to insert himself between the buyer and seller. (80- 81)*

Vemos cómo el autor rechaza la labor de un crítico que se dedique a interpretar la poesía para un lector, pues para él, la comunicación entre el poeta y éste debe producirse directamente por medio del poema, y sin ningún tipo de intermediario. El autor muestra su escepticismo en cuanto a la labor de ciertos críticos, cuando, refiriéndose a Luft, dice: *Alexander Luft was busily doing whatever critics do when they put their mind to it. (82)*

Los comentarios del crítico siguen en la misma línea de presunción a lo largo de toda la novela. Se trata de comentarios en los que destaca la labor del crítico como la única labor de mérito intelectual, y relega la figura del escritor a una posición ínfima:

*...My major work is in criticism. I see it as my duty to make sense of the confused mass of writing which is published each year. In order to make sense of it, I must judge it. In order to judge it, I must offend someone. That's no pleasure for me. On the other hand, look at all those reviews and articles that make no judgment, which merely describe. What use are they to anyone? Absolutely none. (...) Artists tend to be unstable. (...) They live in their imaginations, even bad artists. Their imagination is a constant filter. (...) if you*

*are a typical artist, you do not experience or perceive reality directly; rather, you perceive it through your imagination. You abstract experience through your imagination and then you deal with that abstraction. I take it as my duty to see what exists, without emotion, without lies, without hyperbole. (102-103)*

Para terminar, contestando a la pregunta de Charlie al crítico sobre si ha intentado escribir poesía alguna vez, éste miente al responder: *I have too much respect for myself to attempt it. I do not like to do what I cannot do well. (103)* Aunque el crítico reconoce su incapacidad para escribir poemas, sigue insistiendo, como decíamos, a lo largo de toda la novela en que la función del crítico es fundamental. Y vuelve a contestar de manera similar a las anteriormente citadas, a la pregunta que formula Bradshaw: «*Why are poetry critics necessary, Mr. Luft?*» asked Charlie (...) «*Because no work can describe itself. Therefore critics are needed to describe it.*» (184)

Otra intervención en la que se trata un tema relativo a la poesía tiene lugar en «Long Meadows», una residencia de ancianos en la que se sospecha que se ha cometido un crimen. En ella, Ted Davis, un anciano residente, escribe un poema sobre la muerte de una enfermera que se supone en principio muerta a causa de un accidente, y luego resulta haber sido víctima de asesinato. Al mostrar el poema al detective Charlie Bradshaw, el anciano comenta: *It's written in iambic hexameter. (...) That, like a wounded snake, drags its slow length along? That's Pope. (38)*

Pasemos ahora al momento en el que el director de la colonia de artistas sugiere al jefe de policía que el detective Charlie Bradshaw se introduzca en la colonia de artistas haciéndose pasar por uno de ellos, con el fin de investigar las irregularidades que están teniendo lugar allí con respecto al acoso que recibe Alexander Luft. Pensar en este hecho produce la hilaridad del jefe de policía, que hace bromas sobre el cambio de imagen y de actitud al que deberá someterse el detective: *You can dye your hair pink (...) and wear a pink velvet suit. Isn't that what poets wear? (46); You'll have to get a quill (...) and probably a beret. (47); You might even write some poems (...) you know roses are red, violets are blue (...) (50).* En estos comentarios podemos intuir la crítica que Stephen Dobyns hace a la creencia que existe en ciertos ambientes en cuanto a

que el poeta es un ser socialmente elitista, extraño o extravagante. Crítica que viene apoyada por la explicación que el director de la colonia de artistas, un tal Webster, da al jefe de policía para justificar la sugerencia de que Charlie se haga pasar por poeta y no por cualquier otro tipo de artista: *I only suggested that Mr. Bradshaw pose as a poet (...) because that would require the least evidences of expertise. It would be far easier to pretend to be a poet than to be a painter or a composer* (46-47). Bradshaw propone hacerse pasar por novelista en lugar de por poeta, ya que la poesía es un campo totalmente ajeno a él y, aunque tampoco tiene conocimientos sobre novela, «al menos ha leído algunas.» A esto responde Webster con una explicación con la que el mismo Stephen Dobyns está de acuerdo, ya que hace referencia a que la novela es algo más mecánico que la poesía y, en definitiva, menos creativo: *The novelists tend to stay in their studios and put in long hours, (...) and one can always hear them typing. The poets also put in long hours but they wander around* (47). A propósito de esta forma de trabajar que tiene el poeta, citaremos una frase -que pone una nota de humor- de otro de los personajes que aparecen en la novela, Lucy Feinstein, que a propósito de James Thurber dice: «*The only story I remember about Thurber,*» said Lucy Feinstein, «*was he once said that his hardest job was to convince his wife he was working when he was looking out the window.*» (87)

Las citas seleccionadas nos parecen representativas de ciertos condicionantes que pueden tener los poetas tanto a la hora de escribir sus poemas, como a la hora de poder incorporarse a los círculos literarios. Estas hacen referencia a la figura del crítico y a su labor en el mundo literario. En este caso, aluden al personaje de Alexander Luft:

*Along with being a critic, he is also a reviewer and some of his reviews, especially of poets, have been extremely harsh. (...) he has also reviewed fiction and written art reviews as well (...) He is also a powerful man who sits on many boards and committees. If he had not done very reputable work, we would never have considered accepting him, no matter how many boards he sat on. But given that reputable work it would have been difficult and perhaps even foolhardy to turn him down.* (49)

En el mismo tono de reprobación un personaje explica a Charlie por qué no puede ignorar a Luft cuando éste dice tonterías o inconvenien-

cias, como se podría ignorar a cualquier otra persona. La clave radica en el poder que los críticos tienen a la hora de hacer que un libro triunfe o se hunda sin éxito alguno. Podemos ver que en estos comentarios hay una crítica abierta, y quizá resentimiento hacia el sistema que opera en el mundo literario, donde el éxito o el fracaso de un libro está mediatizado por la crítica que de él se haga:

*But Luft can get me a grant or he can turn me down. He can give my book a good review or he can trash it. So I find myself saying to myself, Go on, suck up to him, offer to shine his shoes. Then I find myself saying to myself, Just kick his ass, just insult him so you never have to think about him ever again. (63-64)*

Aparte, y siguiendo con el tono de crítica, Stephen Dobyns pone en duda en algunos casos, el conocimiento de ciertos críticos, como cuando en la novela Luft se jacta de su saber, con comentarios pedantes o juegos de palabras en los que intenta poner de manifiesto sus conocimientos sobre teorías literarias o escuelas críticas, como por ejemplo, cuando está jugando al ping-pong y le dice a su adversario a modo de ocurrencia ingeniosa: *First I will deconstruct you, then I will demolish you. (63)* Luego sabremos que es un tema que desconoce o no domina en absoluto, cuando el crítico recibe una postal con un juego de palabras acerca del tema:

*Luft unlocked the back door to the mansion, then checked the mail table. He found his telephone bill forwarded from New York and a witty postcard from his chairman containing some sort of word play on derring, derring-do, derriere, and Derrida. Luft couldn't make sense of it. (99)*

Otro de los inconvenientes con el que, aduce Stephen Dobyns, se encuentran los escritores es el hecho de que tengan que hacer algún otro trabajo, aparte de su producción literaria para vivir. La mayoría de los escritores americanos, además de realizar su labor creativa, tienen otra ocupación paralela, como por ejemplo, dedicarse a la enseñanza en un departamento de inglés en una universidad, ya que el propio autor nunca sabe cómo va a vender su último libro, o si su capacidad creativa va a seguir en la misma línea, o si, como dice Stephen Dobyns, «has tocado fondo.» (Morillas Sánchez, 1997). En *Saratoga Hexameter* se desarro-

llan estas ideas hacia la mitad de la novela; en una conversación que mantienen Charlie («Mr. Fletcher» en la colonia) y la novelista Lucy Feinstein, se pueden ver algunas de estas ideas:

*«For a writer to teach» she was saying, «he or she has to love it, otherwise it chews away at you. Fortunately I love it, but I know plenty of writers who teach because they think it gives them time to write, but they're not happy and they feel sorry for themselves and they have no respect for what they are doing. It gnaws at them. They dislike their colleagues and they either mock or envy their students. Perhaps both.»*

*«I'd think an English department would be a perfect place for a writer,» said Charlie (...)*

*«No, Mr. Fletcher, stuck to your agency»<sup>5</sup>. Of course I have close friends in my department, but mostly the attitude ranges from indifference to hostility. Among the most extreme post-structuralists I am simply regarded as a self-deluded throwback to the nineteenth century, but even with the traditionalists there can be friction. Writers and academics have opposite drives. A good writer is a discoverer of information while a good academic is just the opposite (...) A good writer should be pushing at the very edge of his or her craft. (...) He or she is looking for new ways of doing things, not just for the sake of originality but because writing itself is a process of discovery. A writer is on the side of disruption. Every page becomes a new place, a place never seen before. An academic, on the other hand, tries to order and classify and catalog and codify. Even the most radical is basically a tidier of information. The two tasks are nearly opposite but both are completely necessary to the culture.»*

*«So they clash?» asked Charlie. «Worse. A writer fits into an English department about as snugly as a fox into a Spartan boy's tummy.»*  
(134-135)

No queremos dar a entender que Stephen Dobyns reniegue de su labor docente, ni siquiera insinuar que pueda encontrarse incómodo con

<sup>5</sup> Charlie ha dicho en la colonia de artistas que se gana la vida en una agencia de publicidad. De este modo no levanta sospechas sobre su verdadera identidad, ya que, al parecer, nadie en la colonia se dedica a este campo de trabajo.

tal trabajo, pues sabemos por el mismo escritor que, aparte de ser algo que le reporta beneficios económicos, le supone un entrenamiento, ya que tiene que leer muchísimos trabajos, así como contestar a los estudiantes con las correcciones<sup>6</sup>, lo que significa mucha lectura y mucha escritura, entrenamiento indispensable para cualquier escritor que se precie. Pero también es cierto que el autor piensa que un escritor no puede desarrollar su capacidad como artista plenamente si tiene que realizar además otro tipo de trabajo. Pero la realidad es que hay ciertos imperativos a los que un artista ha de someterse, y dentro de estas limitaciones, como sugería Charlie, un departamento de inglés en una universidad americana parece el lugar idóneo para un escritor. De hecho, la mayoría de los escritores contemporáneos americanos prestan hoy día labor docente en departamentos de universidades americanas.

El discurso de Lucy Feinstein nos presenta una ideología de escepticismo en cuanto a las relaciones personales de académicos y escritores en la convivencia de un mismo departamento. Lucy se refiere a su universidad en la ficción, para que así, podamos trasladarlo a la universidad en la que trabaja Luft -también en la ficción- que es precisamente el académico conflictivo en la novela. Con respecto a este tema del conflicto que puede presentar un crítico así en un departamento, el mismo Dobyns tiene un poema, «Utopian Melodies» (1990a: 95), del que incluye parte en esta novela como pretexto para expresar su ideología al respecto. La forma de introducir el poema en la novela es la siguiente: en la lectura de poemas que tiene lugar en la colonia de artistas, un poeta, Harry Rostov, lo lee (en realidad sólo aparecen los cinco últimos versos) como si fuera suyo, advirtiendo antes a Charlie de que se trata de un poema dedicado a Alexander Luft:

*‘I’ve got one poem just for your buddy Windy Luft. You’ll know it when you hear it.’ (...) (216)*

*Rostov glanced back at Charlie and winked. «Here’s a poem called **Utopian Melodies**», he said. «It’s about the place where I teach.» The poem dealt with a critic or post-structuralist who hated literature and wanted to replace it with his own criticism.*

<sup>6</sup> Cuando habla Dobyns de este tipo de trabajo, se refiere al programa MFA en Warren Wilson College, más que a su labor docente en la universidad.

*«His ambition», read Harry Rostov, «is for a single emotion, a wintry one and no lies, a life focused like a microscope upon a virus and from his studies he will fashion a music from metal being trusted and breaking glass.» (217)*

Apreciamos aquí que Stephen Dobyns hace una crítica abierta al post-estructuralismo, a los críticos desconstruccionistas que se basan de una forma obsesiva en el lenguaje para hacer críticas a los poemas. Nos permitiremos referirnos al poema completo, i.e. tal y como aparece en *Body Traffic*, para apoyarnos en dos puntos fundamentales, uno de los cuales no aparece en esta cita elegida por Dobyns para ponerla en la pluma de uno de los personajes de su novela.

En «Utopian Melodies», Stephen Dobyns hace una crítica al post-estructuralismo en el verso 3: *the department's most severe post-structuralist*, y más concretamente al tipo de crítica o análisis que esta escuela sigue (versos 4-5): *feels all the world's books buffet against him / and fall away*. El autor no está de acuerdo con este tipo de crítica que propugna que la relación entre significado y significante es inestable, o no está clara y, por tanto, el significado general de la obra es difícil de captar. El resultado de esta crítica es que existe poca unidad textual y de ahí que el análisis que los post-estructuralistas hacen del texto sea contrario a las interpretaciones tradicionales. Dobyns lo expresa en su poema de la siguiente forma: *It forms his duty to the future to overturn / the lies of the past. And what lies: / the anger of Achilles, the madness of Lear;* (versos 7-9). Calificando irónicamente de «mentiras» los presupuestos del análisis tradicional, el autor pone de manifiesto su censura a este tipo de crítica literaria, diciendo que falla en sus presupuestos fundamentales, ya que, para él, el lenguaje no está formado por unidades aislables, sino por un todo que no se puede dividir. De este tipo de análisis resultará, pues, algo estéril e improductivo:

*Even language has betrayed him, being like smoke, not stone, and so he will reinvent it just as he intends to remake all the things. His Eden will have a chainlink fence, Little will grow there, nothing flower (...) (versos 16-20)*

Es en los últimos versos del poema -los que el poeta incluye en *Saratoga Hexameter*- donde tenemos constancia de que el poeta se está refiriendo a un tipo de análisis desconstruccionista o post-estructuralista en el que el texto se desmenuza en unidades mínimas: *a life focused like a microscope upon a virus / and from his studies he will fashion a music / from metal being trusted and breaking glass.* (versos 26-28)

Por otra parte, y volviendo a la novela, no tenemos duda de que Dobyns no comulga con este tipo de crítica, pues, desde su punto de vista, destruye las emociones de la poesía y la considera extraliteraria. Podemos ver cómo Stephen Dobyns introduce esta idea en el diálogo que tiene lugar entre Charlie y Potter (Potter es el que expresa esta ideas y Charlie, una vez más, se limita a preguntar):

*«I see Luft's criticism as like the weather: sometimes it rains on parched fields and sometimes there's a drought.»*

*«Does Luft have some particular theory that he pushes?»*

*«Not really. He calls himself «an aesthetic critic,» meaning he believes each work of art should be judged on its own terms, rather than how it matches up with a certain set of extraliterary principles: Marxism, feminism, post-structuralism, and the like. It is his apparent open-mindedness that leads editors to seek out his articles. Also he is energetic and enjoys exercising his power.» (89)*

En *Saratoga Hexameter*, Stephen Dobyns no se limita a hacer una crítica a estos planteamientos post-estructuralistas, sino que, como ya hemos dicho anteriormente, introduce pinceladas sobre lo que podemos considerar su propia teoría poética, como por ejemplo, que para escribir poesía un autor necesita tener ciertos «impulsos creativos» que, si bien pueden parecer procedentes del mundo exterior, encuentran su origen en la imaginación -mundo que considera en ocasiones más verdadero- y no en el mundo real. Estas ideas están desarrolladas en dos diálogos entre Charlie Bradshaw y Alexander Luft, y esta vez será Charlie el que exponga sus propias ideas:

*«My body makes the poetry» (...) «It sorts of explodes it outward and then I try to make the parts fit.» (...) Afterward I try to get the poem published» (...) I'm like an unemployment office, (...) and my*

*poems are the guys who wander in off the street and need work. I find them places where I hope they'll be happy.» (...) (67-68)*

*«As a poet,» said Charlie (...) «I try not to let the world affect me too much (...) Otherwise it distracts me from the truer world of the imagination (...)»(104)*

*«I find that to be a poet is to construct from my imagination a larger world which I can set over the real world much in the way that a tea cosy covers a tea pot.» (104).*

*«In the same way that the outlaw is outside the society. (...) so is my imagined world outside the real world. And my imagination attacks reality much in the same way was that Bill Doolin robbed banks<sup>7</sup> -with an equal mix of violence and good humor.» (105)*

Cuando Charlie alude al humor implícito en sus poemas, podemos atisbar la tan importante consigna de Stephen Dobyns de incluir ciertas notas de humor en sus poemas, hecho que ha sido muy alabado por la crítica.

En la novela Dobyns introduce otros personajes que también están en esta línea ideológica, en tanto en cuanto conciben la poesía como algo que no viene de fuera, del mundo real, sino del interior del mismo artista, y que sirve para crear algo válido para sí mismo, y no de cara a la crítica:

*«If that's the case,» said Potter, «then you should stop writing right now. Thinking about Luft and his likes and dislikes will only damage your work. In that way he has destroyed dozens of poets. In fact, there's hardly been a poet he has praised who has turned out well. I promise you, if you write for any reason outside of yourself, then you will certainly fail. That's one of Luft's worst influences. he gets inside a poet's head and tampers with the intuitions, with the creative impulse.» (90)*

Así, Charlie va comprendiendo poco a poco, casi sin darse cuenta, el mundo del poeta y el valor de la poesía, así como su efecto en el lector

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<sup>7</sup> Charlie dice a Luft y al resto de los artistas que está escribiendo una serie de poemas inspirada en el ladrón de bancos Bill Doolin.

que, como promulga Dobyns, le sirve para conocerse más y para establecer su relación consigo mismo y con la sociedad. En este sentido, Charlie dice a su amigo Victor Plotz: *«It's powerful stuff, Victor, powerful stuff.»* (125)

Si volvemos a la primera cita con la que el crítico Alexander Luft interviene en la novela, en la que dice que el poema debe ser como una iglesia barroca (4-5), nos podemos hacer una idea del modo de concebir la poesía que tiene el crítico, y por tanto el tipo de poesía que alaba en sus críticas. Se trata de una poesía recargada y complicada en la que, por supuesto, el metro y la rima juegan un papel fundamental. De este modo, más adelante, el mismo crítico hace una comparación entre la música y la poesía, en la que podemos ver cómo considera la poesía como una estructura cerrada regida por reglas estrictas en cuanto al número de sílabas de cada verso:

*Luft turned to the composer beside him and began discussing the formal qualities of poetry as compared to the formal qualities of music. Both, he said, began with counting, which had begun with the presence of fingers and toes. Even the word iamb derived from a word meaning «to limp», while dactyl referred to finger bones.* (58)

Al oír todos los planteamientos de este crítico sobre la rigidez de la poesía (de la buena poesía, según él) Charlie no sabe qué pensar, pues se siente totalmente ajeno al ambiente y a la materia. En este momento las ideas de Charlie en cuanto a la poesía son muy confusas, pues los poemas que ha leído no riman y le parecen escritos en prosa y divididos en verso al azar. Charlie aboga por una concepción de la poesía más opuesta no a la concepción tradicional sino a la simbolista (baile, música, etc.) Así, podemos conocer las sensaciones que tiene con respecto a la poesía cuando habla con su novia, Janey Burris:

*«I'm supposed to be here as a poet and so I have to produce some poems. You know, I was reading these poems in this anthology I bought and they don't even rhyme.»*

*«That should make them easier to write.»* (70)

Más tarde, cuando Charlie vuelve a su habitación, sigue obsesionado con los poemas que ha de escribir, y hojea las revistas de poesía. En una encuentra un poema y lo lee. No se trata de un poema cualquiera porque, aunque Dobyns no lo dice en la novela, son los doce primeros versos de su poema «Spiritual Chickens» (1987: 36) los que dan a Charlie confianza al ver que el poema parece estar escrito en prosa:

*He glanced through one of the magazines. It contained mostly poetry. Charlie read one.*

*«A man eats a chicken every day for lunch, and each day the ghost of another chicken joins the crowd in the dining room. If he could only see them! Hundreds and hundreds of spiritual chickens, sitting on chairs, tables, covering the floor, jammed shoulder to shoulder. At last there is no more space and one of the chickens is popped back across the spiritual plain to the earthly. The man is in his process of picking his teeth. Suddenly there is a chicken at the end of the table, strutting back and forth, not looking at the man but knowing he is there, as the way with chickens.»*

*The poem continued in that vein. Charlie wondered what made it a poem. Couldn't he write something like that about Bill Doolin? He could write it in prose, make it sort of crazy, then break it into lines. Charlie felt a little better. (71-72)*

Los planteamientos que exponía Luft no carecen de lógica, pero para escribir poesía se necesita algo más, aparte de todos esos condicionantes formales, algo que sólo un artista puede conseguir. En la siguiente cita veremos cómo otro personaje de la colonia de artistas, Milsaps, hace una crítica a la necesidad imperante que expone Luft de que los poemas tengan que rimar y someterse a cierto modelo formal en el que el ritmo está controlado por el metro. Este es el momento de la novela en el que se descubre que Luft es un poeta frustrado, cuyos poemas, construidos de acuerdo con todos estos presupuestos que él defiende, fueron un completo fracaso:

*«What was his poetry like?» asked Charlie*

*«Very smart, of course. His poems bristled with intelligence. Unfortunately, they were short on feeling and he had absolutely no ear. He's never had one, as a matter of fact. I remember him once arguing that rhythm is a result of metrical control, which is foolish. Meter is only one of the many elements of rhythm. But when you lack an ear, then meter is what you hang onto most.»*

*«How come?» asked Charlie.*

*«Well, anybody can count but not everyone can dance. Alexander would argue and argue and all his arguments seemed logical and true but his poems still clumped along.» (158-159)*

Este fracaso no evitará que Luft siga con sus duras críticas, ni con sus discursos con tono protector. Cuando pregunta a Charlie si le gusta leer novelas de misterio<sup>8</sup>, antes de dejarle dar ninguna explicación, lo ridiculiza y le dice lo que tiene que hacer como poeta:

*«How can you engage in such foolish pursuits, Mr. Fletcher? As a poet you must develop a consciousness of the past. You must contain within you the whole of literature from Homer to the present. You are the Grecian urn in which the culture's wine is preserved. It is this historical sense that makes a writer.» (88)*

Las ideas que Luft tiene sobre la poesía son las típicas de alguien que quiere considerarse a sí mismo un escritor de élite, y al que no le importa si se comunica con el lector o no, o si éste le entiende, y lo que es más, no parece tener ningún interés en que la poesía sirva al lector para aprender algo sobre su propia vida. Una vez más, los planteamientos de Luft se muestran contrarios a los que Dobyns defiende. A este discurso de Luft responde Frank, el pintor, con una opinión que sirve de estímulo al crítico para seguir hablando:

*«I thought emotion made an artist» said Frank (...)*

*«You painters love to splash about in fecal matter,» said Luft, «and*

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<sup>8</sup> Dobyns introduce un tema que le afecta a él directamente, pues en ocasiones se le ha criticado que se dedique a escribir novelas de misterio, que pueden incluso considerarse como un subgénero. De nuevo Stephen Dobyns basa su defensa en poner las críticas en cuanto a las mismas en boca de este personaje, un poeta fracasado cuyas actitudes son ridículas.

*perhaps that clouds your perceptions. The emotion of art is impersonal. Poetry is not a freeing of emotion but an escape from it. A keen sense of the past offers suitable alternatives to emotion. It offers a range of subjects to set against the I-am-unhappy poems which constitute the unfortunate hallmark of so many of your contemporaries.» (88)*

El discurso de Luft da pie a Charlie para buscar en la biblioteca el libro de un tal Potter, y leer sus poemas. La siguiente cita sobre este libro, y la manera que tuvo Charlie de recibirlo, nos muestra, una vez más, lo que interesa a Dobyns: la claridad, el que el lector sea capaz de entender el poema, en definitiva, que el poema le «diga» algo. Así, Charlie, un lector totalmente inexperto, es capaz de entender estos poemas, incluso tratando sobre un tema del que tampoco entiende el lector medio: la pintura impresionista. El tema de este libro es una mera excusa para que Dobyns pueda mostrar al lector de su novela que un tema que a simple vista puede parecer árido para unos poemas, es de hecho un tema comprensible y agradable para Charlie. No podemos olvidar que una de las tendencias de Stephen Dobyns es incluir en sus libros poemas que traten sobre pintores, pintura, o basados en cuadros: «*Charlie had glanced through Potter's book of poems in the library and was pleased that he could understand them even though they didn't rhyme. The poems dealt with Impressionist painters: Monet, Pissarro, Renoir*» (88-89). De este modo Stephen Dobyns una vez más da a sus lectores una idea de sus preferencias temáticas y de sus intereses artísticos. La pintura es uno de ellos, como podemos comprobar simplemente echando un vistazo a su producción poética en la que incluye un poema, «Contingencies» (On the painting «Les Enerverves de Jumièges» by Evariste Vitans Luminais) en su libro *Concurring Beasts* (1972: 8-9), un libro compuesto por treinta y dos poemas que recrean las pinturas de Balthus: *The Balthus Poems* (1982), y catorce sonetos inspirados en la vida y obra del pintor Cézanne, en su libro *Body Traffic* (1990).

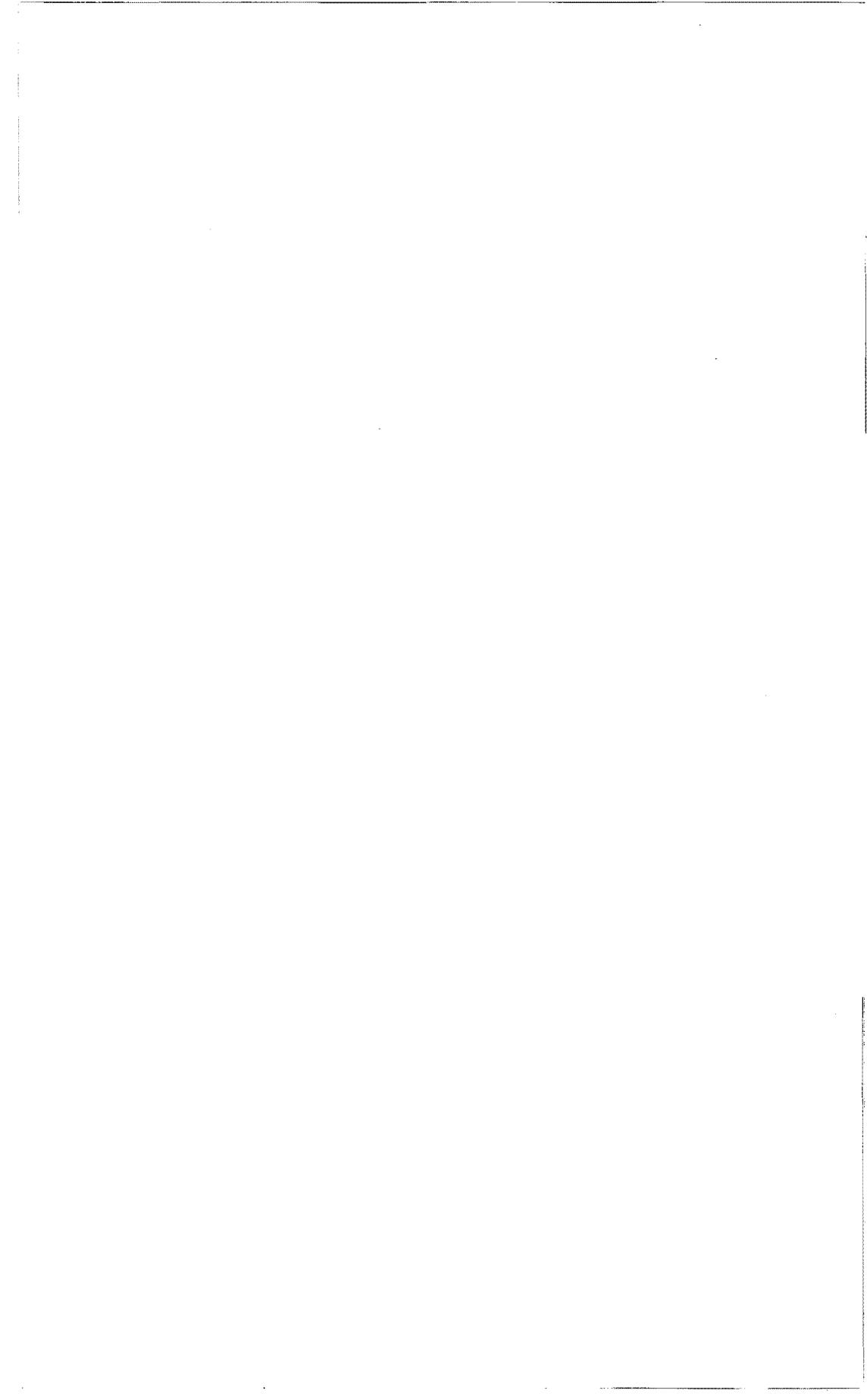
Tras analizar las ideas expuestas por Dobyns en su novela, podemos concluir que aunque el marco empleado por Dobyns en esta ocasión para exponer su teoría poética puede parecer, en principio, producto de un reto personal -pues no aparenta ser el más idóneo por lo dispar de ambos géneros- es interesante observar cómo su propósito queda sobra-

damente cumplido, y el resultado es muy satisfactorio. Poner en boca de diferentes personajes ideas relativas a la poesía, y diferentes concepciones de la misma, da como resultado un amplio espectro de opiniones con respecto a este tema. Es más, elegir al detective como portavoz de las ideas que el propio autor sostiene acerca del discurso poético -comunicación entendida como: claridad, precisión y funcionalidad (Dobyns, 1984: 194-246), y el éxito de la lectura de poemas que -supuestamente- Charlie lleva a cabo, se traduce en una crítica de gran agudeza e ironía a la concepción tradicional de la poesía por parte del propio Dobyns.

Con *Saratoga Hexameter* consigue el autor un equilibrio perfecto entre poesía y ficción detectivesca. Los comentarios teóricos y críticos constituyen un placer añadido a la novela, sin que mermen en absoluto la tensión propia del género de misterio. Como se apuntaba en la sección «Briefly Noted» del *New Yorker*: «Mr Dobyns is himself a well-regarded poet, and it is instructive to hear his comments on the colony's discussions.» (1990: 31)

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## LA ESTILÍSTICA COMO MATERIA INTEGRADORA EN EL CAMPO DE LA FILOLOGÍA

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### **Resumen**

*El propósito de esta contribución es el de analizar la utilidad de la estilística dentro de los estudios de Filología inglesa. Por lo tanto, en primer lugar se dará una definición de la estilística discursiva en contraste con una estilística puramente textual, para centrarnos a continuación en un breve análisis de las principales aportaciones ofrecidas por distintas escuelas, en el que se incluirá una breve referencia bibliográfica a materiales que pueden representar cada una de dichas concepciones. En la tercera sección se asociarán los distintos campos de la lingüística moderna con algunos de los rasgos estilísticamente relevantes de un texto creativo. Por último, se ofrecerá una breve reflexión sobre distintas formas de organizar un comentario y las posibles ventajas e inconvenientes de cada una.*

### **Abstract**

*In the following pages I intend to discuss the place that stylistics has in the frame of English studies. With this purpose in mind, I will first of all concentrate on the definition of discursal stylistics as distinct from textual stylistics. In the second section I will comment briefly on the way different schools have approached the analysis of creative texts, including a brief bibliographical reference to the most outstanding proposals up to date. Thirdly, I will relate each of the fields of linguistics to the study of some stylistically relevant features in a text. Finally, in the fourth section I will reflect on some of the different forms of structuring a stylistic analysis and the inherent strengths and possible weaknesses of each method.*

## 1. Introducción: estilística y filología

Dentro de un intento de clasificación de los estudios literarios, en fechas recientes se han tratado de diferenciar una serie de aproximaciones que de alguna forma caracterizan una metodología y un foco de atención determinados<sup>1</sup>. En lo que coinciden estas tipologías es en la distinción dentro de la tradición de estudios literarios entre dos corrientes claramente diferenciadas, de un lado lo que se ha dado en llamar genéricamente socioliteratura o macroestudio y de otro la lingüoliteratura o microestudio. Dentro de la primera se tiende a cubrir ante todo aspectos contextuales o referenciales, estudiando las relaciones entre los autores, su tiempo y la sociedad circundante. Por contra, dentro de la segunda se tiende a analizar los aspectos más puramente expresivos de textos concretos, relacionándolos con unos modos de expresión determinados para centrarse en los textos propiamente dichos más que en las circunstancias que rodean a su creación y recepción<sup>2</sup>. Aunque estas dos aproximaciones ni se pueden ni se deben considerar mutuamente excluyentes, ya que de lo contrario se desvirtuaría en gran medida el estudio de la literatura en su sentido amplio, no es menos cierto que la mayoría de los estudios realizados hasta el momento en este campo han venido a cubrir aspectos ante todo contenidistas y se han centrado en temas, autores y épocas más que en el análisis detallado de los propios textos y en los medios expresivos utilizados. Se podría decir que hasta los primeros estudios de críticos como I.A. Richards y F.R. Leavis en el Reino Unido y la Escuela Formalista en la Unión Soviética no se produjeron las primeras aproximaciones más o menos sistemáticas al estudio de los textos literarios<sup>3</sup> en su capacidad expresiva<sup>4</sup>. No obstante, el mayor problema que presentan todas estas aproximaciones iniciales al estudio lingüístico de

<sup>1</sup>Véase al respecto la introducción a Carter & Burton (eds) (1982), así como Littlewood (1986), Pickett (1986), Carter & Long (1991, capítulo 1) y Zaro Vera (1991).

<sup>2</sup>Nótese, por cierto, que hace ya casi cincuenta años, en 1949, R. Wellek & A. Warren señalaban la diferencia entre la aproximación extrínseca y la intrínseca, que coincidirían en términos generales respectivamente con el macroestudio y el microestudio.

<sup>3</sup>Aunque hay que recordar aquí que, sin embargo, ya en el Siglo IV antes de Cristo Aristóteles en su *Poética*, y posteriormente otros escritores como el Dr. Johnson en el S. XVIII y los románticos en el XIX habían demostrado un particular interés por las formas expresivas más que por los propios temas tratados.

<sup>4</sup>Para una introducción breve a estas escuelas críticas, véase, por ejemplo, Belsey (1980: 7-29) y Durant & Fabb (1990: 23-39).

los textos literarios es que hasta fechas bastante recientes no se ha dispuesto de un sistema de descripción de la lengua exhaustivo y científico, con lo que todas ellas se limitaban a articular generalizaciones bastante acertadas de forma global pero fundamentalmente intuitivas y parciales, como muy acertadamente señala R. Fowler (1986: 4-5), quien aboga por la utilización de una terminología que sea lo suficientemente amplia y sistemática, rechazando parcialmente anteriores aproximaciones en las que se utilizaban toda una serie de términos provenientes de la tradición retórica griega y latina junto con términos de la gramática tradicional y otros más actuales pero generalmente empleados de una forma que podríamos denominar 'impresionista' al aludir a generalizaciones con poca base científica.

Por lo tanto, antes de la difusión de los estudios lingüísticos posteriores a F. de Saussure, no se puede hablar propiamente de la aplicación científica de los estudios lingüísticos a la literatura, dando lugar con ello a la creación de la estilística moderna como disciplina propia, que podría definirse de forma aparentemente muy simple como *'that part of linguistics which concentrates on variation in the use of language, often, but not exclusively, with special attention to the most conscious and complex uses of language in literature'*<sup>5</sup>. (G.W. Turner, 1973: 7)

Centrándonos en la estilística literaria, que es el campo donde más fructíferos e interesantes estudios se han producido hasta el momento, como comprobaremos en la sección 2, no podemos limitarnos a dar una definición tan global como la antes propuesta sin analizar en detalle algunas de sus consecuencias. Quizá la más evidente es que esta definición se centra en un primer plano expresivo sin analizar en detalle los efectos y consecuencias de esta variación en el uso, más que la propia naturaleza del texto en sí, lo que es acertado pero no suficiente; es decir, como argumentan Leech & Short (1981: 13), *'the motivating questions are not so much what, as why and how.'* De lo contrario, nos quedaríamos en los aspectos más puramente expositivos sin tratar de explotar al máximo unas capacidades analíticas y razonadoras que son deseables en un especialista en Filología.

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<sup>5</sup>Posteriormente, Widdowson (1975: 3) reflejó muy acertadamente la naturaleza bivalente de la estilística al mencionar que ésta se puede entender como una forma de unir la lingüística y la crítica literaria.

Probablemente lo que subyace en el fondo de esta cuestión es la diferencia primordial entre la concepción de la obra literaria como *texto* y una visión más global que nos hace pensar en ella en su calidad de *discurso*, es decir, entre el análisis del propio texto como artefacto puramente lingüístico cuya función es la de transmitir un significado, y una concepción más amplia en la que el mismo es simplemente un vehículo de comunicación entre un emisor y un receptor, dando lugar con ello al discurso, que se debe entender como el propio texto dentro de un contexto determinado<sup>6</sup>. Por lo tanto, dentro del campo de la estilística moderna también se ha visto reproducida la discusión entre forma y función que ha afectado a la lingüística moderna en los últimos años, con una diferencia que podríamos considerar básica, y que estriba en que si dentro del estudio de la lengua ya resulta esencial una referencia al porqué y al cómo de una determinada expresión, quizá la necesidad de respuesta a estas preguntas resulte aún más perentoria en el caso de la comunicación literaria, al no producirse la explicitación natural de las mismas que es más propia de un uso más puramente instrumental del lenguaje que se produce en otras situaciones más abiertas. A modo de ejemplo, si aludimos a los componentes del discurso de los que habla D. Hymes (1972), y por centrarnos tan sólo en un aspecto aparentemente tan inocuo y objetivo como los participantes, podemos establecer una serie de claras diferencias entre un discurso instrumental, cuyo objetivo inicial es la transmisión de información, y un discurso literario, que inicialmente es más creativo. En primer lugar, en el estudio de los participantes en aquel tipo de discurso, podemos decir que hay una coincidencia real entre el remitente y el emisor de un lado y el receptor y el destinatario de otro lado. Por contra, como señala H.G. Widdowson (1972 y 1975, capítulo 4), en el discurso literario tal coincidencia no se produce de forma real, al existir, por una parte, un remitente inicial que es el autor implícito diferenciable de un emisor interno que se podría identificar con el narrador o un personaje, y por otra parte, un destinatario final, el lector implícito, distinto en principio del receptor interno que puede ser un narratario explícito u otro personaje. Por lo tanto, si nos limitamos a analizar la forma externa del texto, sin prestar atención a

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<sup>6</sup>Sobre las nociones de *texto* y *discurso*, véase Edmondson (1981, capítulos 1-2), así como Fowler (1986: 69-66).

aspectos más puramente discursivos, estamos obviando algunas de las funciones probablemente más interesantes y reveladoras de la obra literaria como instrumento creativo.

Como punto de partida en nuestra aproximación a la estilística del texto literario, hay una serie de afirmaciones que se pueden hacer con respecto al estudio del estilo y que en definitiva vienen a plasmar lo que sería un estudio de los textos literarios desde una perspectiva eminentemente lingüística y discursiva:

- El estilo es una forma de utilizar el lenguaje, es decir, en términos de Saussure, pertenece al campo del *habla* más que al de la *lengua*.
- El estilo consiste en una serie de elecciones dentro del sistema de un lenguaje.
- Un estilo determinado se define en términos de un dominio del uso del lenguaje, es decir, en relación con las elecciones de un autor en un texto dentro de un género.
- El estudio del estilo tradicionalmente se ha asociado con el lenguaje literario.
- La estilística literaria ha de atender a explicar la relación entre el estilo y la función literaria o estética.
- Un estilo puede ser relativamente transparente u opaco, lo que implica que éste se pueda parafrasear con mayor o menor propiedad y que para su interpretación el lector tenga que hacer un mayor o menor esfuerzo inferencial.
- La elección estilística se limita a aquellos aspectos de la elección lingüística que están relacionados con las distintas formas de expresar un mismo tema<sup>7</sup>.

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<sup>7</sup>Todos estos aspectos se recogen en Leech & Short (1981: 38-39), y resumen de forma muy acertada los principales puntos de la estilística literaria moderna.

## 2. Concepciones y escuelas

Precisamente el hecho de que se haya relacionado la estilística moderna con unas teorías lingüísticas y literarias determinadas ha llevado también a que no se pueda hablar de una concepción única, aun existiendo una cierta uniformidad de criterios con respecto a los postulados arriba mencionados. Por lo tanto, prácticamente para cada una de las escuelas de descripción lingüística y de aproximación a la teoría de la literatura se puede hablar de una aproximación diferente al campo de la estilística, es decir, que conforme han ido evolucionando los estudios lingüísticos, de la misma forma han ido evolucionando paralelamente las escuelas de análisis estilístico correspondientes, pudiendo a grandes rasgos generales hablarse de las siguientes aproximaciones al estudio del estilo<sup>8</sup>.

**La nueva crítica.** Como hemos indicado con anterioridad, a pesar de no estar fundamentada en una teoría lingüística lo suficientemente sistemática y coherente, en el caso de la nueva crítica nos encontramos quizá por primera vez dentro del campo de la Filología Inglesa con un interés primigenio en el texto en sí más que en las circunstancias que rodean su creación. De esta forma, se empezaron a poner las bases de lo que más tarde sería una aproximación intrínseca a la estilística literaria del inglés. Sus postulados básicos son el recurso al texto en sí, la falta de teorización y la visión de la literatura como una forma del conocimiento humano. Entre sus representantes más conocidos se pueden citar los nombres de C. Brooks y W.K. Wimsatt, recordando por añadidura su relación con I.A. Richards como precursor<sup>9</sup>.

**El formalismo.** Dentro de las teorías formalistas desarrolladas en torno a 1930 en la U.R.S.S. y Checoslovaquia fundamentalmente, también se presta un gran interés a la utilización consciente del lenguaje en la creación de obras literarias, centrándose principalmente en la propia naturaleza del texto literario y en la creación de obras de arte por medio

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<sup>8</sup>Lo que no significa en absoluto que sean mutuamente excluyentes, ya que de hecho consideramos que un cierto eclecticismo en el análisis de textos literarios es, hasta cierto punto, inevitable, pues no podemos olvidar que, por mucho que se hayan criticado determinadas aportaciones al campo de la lingüística, no es menos cierto que han venido a aclarar aspectos que hasta ese momento escapaban a una explicación racional de cuestiones de la ciencia lingüística.

<sup>9</sup>Véase con respecto a la nueva crítica Belsey (1980: 15-20).

del lenguaje, estudiándose conceptos tales como la desfamiliarización, la puesta en primer plano y la función estética. Entre los integrantes de esta escuela podríamos citar a V. Shklovsky, B. Uspensky y J. Mukarovsky<sup>10</sup>. Como una forma de conjugar las teorías de esta escuela con las de una crítica más propiamente marxista, que trataremos brevemente más adelante, se dieron los escritos de M. Bakhtin y V. Voloshinov, entre otros, que trataron de compaginar la crítica más puramente lingüística del texto como artefacto creativo con una aproximación mucho más social que les permite estudiar la naturaleza polifónica de la obra literaria, sobre todo de la narrativa, o, en otras palabras, lo que se entiende por dialogismo. Con ello contrarrestaron muchas críticas que se centraban en la interpretación radicalmente descontextualizada tanto de esta escuela como de la nueva crítica<sup>11</sup>.

**El estructuralismo.** La estilística estructuralista se basa en las teorías lingüísticas desarrolladas dentro de esta escuela, fundamentándose en las dicotomías inicialmente diseñadas por Saussure (1916), y centrándose en la utilización del signo lingüístico en la obra literaria, es decir, entendiendo que había que tender a la interpretación del mensaje emitido por medio de un sistema lingüístico en un texto determinado, estudiando las relaciones entre los dos componentes del signo lingüístico, el significado y el significante. De esta forma inicialmente se centraron en el lenguaje poético<sup>12</sup> para posteriormente ir ampliando sus objetivos a otras formas de lenguaje literario, como la prosa narrativa o, de forma más global, a la interpretación de los signos en general, por medio de ciencias relacionadas, como la semiótica. De esta forma, dentro del estudio de la obra narrativa, con la creación de una ciencia nueva, la

<sup>10</sup>Los grandes movimientos de población que tienen su origen en el auge del nazismo, la consiguiente invasión de Checoslovaquia y las purgas estalinistas dieron lugar a que algunos integrantes de esta escuela o sus continuadores emigraran con el tiempo a Estados Unidos, difundiendo sus teorías en ámbitos influyentes en los estudios de Filología Inglesa en este país y, consiguientemente, también en otros de habla inglesa. Véase con respecto a los postulados básicos de esta escuela Selden (1989, capítulo 2), y para una selección de artículos fundamentales, Garvín (ed) (1964) y Matejka & Pomorska (eds) (1971).

<sup>11</sup>Sobre las aportaciones de esta escuela véase, junto con las referencias contenidas en la nota anterior, Holquist (1990), que es una introducción muy útil y asequible, así como Wales (1989), que resulta inestimable tanto por su carácter práctico como por la amplísima bibliografía que incluye esta autora sobre las teorías de esta aproximación.

<sup>12</sup>Buena prueba de ello es Jakobson (1960), que aunque inicialmente hace referencia a cualquier forma de lenguaje literario, se justifica ante todo dentro de su aplicación concreta a los textos poéticos, o, como mencionamos anteriormente, a estilos opacos, más que transparentes.

narratología, se intentó crear una morfología propia que distinguiera acontecimientos y personajes universales en este género, de la misma forma que en la ciencia lingüística se estudiaban los universales lingüísticos. Entre los autores más significativos se puede mencionar a R. Barthes, G. Genette, R. Jakobson, Y. Lotman y T. Todorov<sup>13</sup>.

**La estilística generativo-transformacional.** Después de las primeras aproximaciones estructuralistas al campo de la lingüística se inició en Estados Unidos la corriente generativo-transformacional, que ha tenido durante muchos años una importancia capital en el pensamiento occidental. Su punto de partida es la diferencia que se establece entre competencia y actuación, que inicialmente se aplicó en el campo de la lengua para posteriormente ampliarse también al campo de los estudios literarios<sup>14</sup>. Se argumenta por lo tanto que, al igual que en el uso de la lengua, en los estudios literarios se ha de partir del grado de conocimiento previo que un lector tiene de esta forma de discurso, un hecho que hasta ese momento no se había formulado explícitamente. No obstante, a pesar de la importancia capital de esta escuela dentro del campo de la lingüística, su aportación a la estilística contemporánea no corre de forma paralela, probablemente por la tendencia a no buscar explicaciones sobre los efectos y sus posibles causas que menciona R. Fowler (1986: 7). Por lo tanto, más que hablar de una escuela generativo-transformacional de estilística propiamente dicha podríamos referirnos a las aportaciones parciales fundamentadas en sus postulados y métodos analíticos, especialmente en lo que se refiere al análisis de la estructura sintáctica del inglés, ya que, a pesar de la crítica de R. Fowler, antes mencionada, él mismo, y la escuela de lingüística crítica en general, se basa a menudo en el estudio de las transformaciones efec-

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<sup>13</sup>A modo de introducción a este tema se pueden citar Selden (1989, capítulo 3), así como dos obras introductorias, teóricas ante todo, las de Culler (1975) y Hawkes (1977) y una esencialmente práctica, Scholes (1982).

<sup>14</sup>De hecho, es precisamente en una obra de inspiración tan claramente estructuralista como Culler (1975), donde se señala la existencia de lo que él llama 'competencia literaria' (capítulo 6), definida como *[the] implicit understanding of the operations of literary discourse which tells one what to look for.* (p. 114)

tuadas sobre una oración original para apreciar los cambios estilísticos resultantes<sup>15</sup>, o sea, que aunque no compartan las bases filosóficas de esta escuela, sin embargo aplican muchos de sus métodos de forma coherente.

**La estilística pragmático-social.** Como una reacción a las anteriores formas de entender el análisis de textos literarios llegaron a finales de los años setenta las primeras propuestas en las que se contemplaban los textos creativos<sup>16</sup> dentro de una dimensión social, uniendo con ello la pura visión de los textos literarios como artefactos creativos, propuesta por el Formalismo ruso, a una visión que, además, trata de analizar las circunstancias contextuales que afectan la emisión del texto como mensaje, es decir, centrándose en la obra literaria como discurso más que como texto. De esta forma, aunque se siga prestando atención a los demás ámbitos de la lingüística, esta aproximación se centra ante todo en el análisis de la dimensión pragmática, en otras palabras, el uso del lenguaje. De ahí que esta aproximación se haya relacionado con áreas de la pragmática tales como la teoría de los actos de habla y el análisis del discurso. Otro nombre al que se ha asociado con frecuencia esta concepción del análisis de textos ha sido el de la crítica práctica, por entender que más que proponerse una teoría literaria concreta y a partir de ahí aplicar sus conclusiones al análisis de textos, se aplica directamente una aproximación práctica sin preocuparse en exceso de postulados teóricos previos. Por último, también existe una conexión implícita entre esta aproximación y las que se relacionan de forma global con las teo-

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<sup>15</sup>Véase, por ejemplo, Fowler (1981, capítulo 2). Para una ejemplificación más global de la lingüística generativo-transformacional en el campo de la estilística, véase la colección de artículos seleccionados por D.C. Freeman (ed) (1981), cuyas bases se encuentran, por lo general, en los postulados teóricos de esta escuela.

<sup>16</sup>Esta es precisamente una de las propuestas de base de esta concepción del análisis de textos, la de entender que hay que superar la estricta barrera que se había levantado hasta entonces entre los textos literarios y los no literarios, centrándose en su creatividad más que en el uso que se les dé posteriormente, y por lo tanto estructurando uno o varios métodos analíticos igualmente válidos para otras variedades de lenguaje, como puede ser, por ejemplo, el publicitario. Véase al respecto Fowler (1979).

rías orientadas al lector, es decir, aquéllas que se centran en la figura del propio receptor del texto, más que en el emisor<sup>17</sup>.

**La estilística sistémico-funcional.** Al igual que en el caso del estructuralismo, esta escuela se fundamenta en una teoría lingüística muy sólida, que tiene su origen en las investigaciones del lingüista británico M.A.K. Halliday, quien señala la existencia de tres funciones básicas del lenguaje, la ideacional, relacionada con la forma de conceptualizar las realidades externas por medio del lenguaje, la textual, por medio de la cual se organizan los componentes lingüísticos en oraciones y textos, y la interpersonal, por la cual se utiliza el lenguaje adecuadamente dentro de una situación social determinada. Esta teoría estilística está muy relacionada con la anterior en lo que ambas tienen de funcionales, al atender ante todo más que a la forma lingüística del texto, con toda la importancia que ésta tiene, a la función para la cual éste ha sido creado, contemplando al mismo tiempo la estructura lingüística en sus tres funciones y estudiando las repercusiones de éstas en el discurso, tanto el literario como el no literario<sup>18</sup>.

**El postestructuralismo.** Como una continuación de las tesis estructuralistas surge esta corriente que en realidad recoge a su vez muchas escuelas claramente diferenciables pero cuyo nexo de unión es el de haber surgido, como decimos, a raíz de la preocupación de la escuela estructuralista por el signo lingüístico, estudiando en este caso ante todo la inestabilidad de la relación entre el significante y el significado.

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<sup>17</sup>Aunque la bibliografía en este campo es muy amplia, como obras más significativas podemos citar en relación con la crítica práctica a Cluysenaar (1976), con respecto a las teorías más puramente pragmáticas, a Pratt (1977) y la selección de artículos editados por Carter & Simpson (1989) y, por último, sobre las teorías de la recepción, el análisis de Selden (1989, capítulo 5), así como la introducción de Holub (1984), de la que hay que destacar la amplísima bibliografía comentada.

<sup>18</sup>Al igual que en el caso anterior, en fechas recientes también se han producido muy notables contribuciones al campo de la estilística sistémico-funcional. Como obras básicas por su importancia podríamos mencionar a nivel introductorio Hasan (1989), quien, junto a un estudio teórico importante nos ofrece una aplicación práctica a un relato breve y a un poema, así como Haynes (1989), donde, además de una aplicación exhaustiva inicial, se puede encontrar, a continuación, toda una serie de explotaciones parciales referidas a textos de todo tipo, tanto lingüísticos como no lingüísticos. Por último, como una forma de aplicar los principios sistémico-funcionales al análisis de textos narrativos, podemos mencionar la obra clásica de Leech & Short (1981), que se encuadra sólo parcialmente en esta escuela al tener dos partes claramente diferenciadas, una inicial general basada en una gramática descriptiva tradicional y una segunda centrada en los postulados de la escuela sistémico-funcional pero en la que también tienen un peso específico importante las teorías comunicativas y discursivas.

Entre estas aproximaciones podríamos citar la crítica feminista practicada en Francia, entre otras, por J. Kristeva y L. Irigaray, la crítica marxista de J. Lacan, la escuela psicoanalítica, y, finalmente, las aportaciones de la desconstrucción de, por ejemplo, J. Derrida y P. De Man, que se cuenta entre las escuelas más prolíficas de cuantas en la actualidad desarrollan su actividad en este campo del saber<sup>19</sup>, y que no por ello se restringe a la crítica literaria sino que en gran medida es una corriente filosófica y humanista en el sentido amplio del término.

### **3. Niveles y rasgos analizables: la estructura lingüística**

Como hemos podido comprobar en el apartado anterior, al menos para cada teoría lingüística y/o literaria tenemos unas bases determinadas para el análisis de textos. Ahora bien, como nexo de unión entre todas ellas podemos hallar un interés primigenio por el propio texto en sí, lo que nos ha de llevar por fuerza a plantearnos un modo o unos modos de aproximación determinados. Para ello hoy en día disponemos de una serie de estudios lingüísticos que nos permiten analizar la composición del texto en todos sus elementos significativos, desde las unidades inferiores de significación hasta las superiores. Partiendo de esta idea, por lo tanto, pretendemos en esta sección mencionar cada uno de los niveles lingüísticos junto con una breve delimitación de su campo de estudio y los aspectos más relevantes del análisis estilístico a los que se pueden aplicar.

En primer lugar tenemos los propios recursos visuales utilizados para la representación de los signos, lingüísticos o no lingüísticos, en la página, es decir, el análisis del nivel grafológico, que en principio puede parecer uniforme y totalmente dentro de la norma de uso del idioma pero que en ocasiones puede señalar expresiones como marcadas, y por lo tanto dentro de la posibilidad de interpretación estilística puesto que entraría plenamente en los postulados mencionados en la introducción. Pensemos por ejemplo en la utilización de letra cursiva u otros recursos

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<sup>19</sup>A modo de introducción a todas las corrientes postestructuralistas podemos citar a Selden (1989, capítulos 4 y 6), junto con, como una obra mucho más detallada, Culler (1983), que viene a recoger sucintamente la mayor parte de las aportaciones significativas dentro del postestructuralismo. Por último, más concretamente relacionada con la desconstrucción, véase Norris (1982).

similares para marcar énfasis, en la escritura irregular de palabras habituales para caracterizar el habla de un personaje determinado (por ejemplo, 'wos' por 'was'), en el uso exclusivo de letras minúsculas en la poesía de ee cummings, o, de forma muy especial, en la convención grafológica que nos indica que las unidades de significación en la poesía son mayoritariamente la estrofa y el verso y no el párrafo y la oración. En cuanto a formas notorias de utilización de recursos grafológicos no lingüísticos, pensemos en la frecuencia con la que se recurre a signos icónicos e indicativos<sup>20</sup> en *Tristram Shandy*, como la página en blanco, la página negra, el trazo del bastón en el aire, etc.

De forma paralela y directamente relacionado con el plano grafológico, podemos hablar del fonológico, que refleja la constitución acústica del idioma. Aunque también es un factor importante en ciertos ejemplos de prosa narrativa, quizá sea en los géneros que están pensados para leerse en voz alta, recitarse o declamarse en los que se haya dado desde hace siglos mayor importancia a los aspectos puramente fonológicos en la estructura textual. De esta forma, y dejando a un lado ciertos géneros no literarios como el del lenguaje publicitario (especialmente el destinado a un medio audiovisual), es en el género poético y en ciertas formas de teatro clásico, más que en el teatro naturalista, donde debemos prestar una mayor atención al plano fonológico como medio para la expresión creativa y, en ocasiones, para conseguir la puesta en primer plano del significante. Entre los principales fenómenos a estudiar en relación con la naturaleza fonológica del texto podemos mencionar esquemas tales como la rima, la aliteración, el metro, etc.

El componente léxico nos indica la naturaleza de los elementos con significado pleno en un texto. Este componente puede indicar el grado de concreción o generalidad de un mensaje, el registro al que supuestamente pertenece, el grado de innovación al que un autor pretende llegar con la utilización de neologismos y términos especiales, etc. Por supues-

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<sup>20</sup>C.S. Peirce señala una clara diferencia entre símbolo, cuya conexión con el objeto depende de una convención o regla, índice, que mantiene una conexión existencial con su objeto, por ejemplo de causa-efecto, e icono, que mantiene una similitud con el objeto. A grandes rasgos podríamos decir que mientras las representaciones grafológicas de palabras o estructuras mayores son símbolos, de uno u otro tipo, los efectos visuales no lingüísticos son icónicos o indicativos. Para una breve introducción práctica a la teoría del signo, véase Fiske (1990, capítulo 3).

to, el análisis exhaustivo de este componente en un texto de una longitud media puede resultar muy arduo y trabajoso, pero en cualquier caso ciertos efectos que en principio se pueden apreciar de forma intuitiva pueden corroborarse o, por el contrario, rechazarse, con un estudio detallado de una o varias de estas categorías léxicas analizables desde muy diversos puntos de vista<sup>21</sup>.

En el plano morfológico se estudia la composición y naturaleza de los grupos y sintagmas de la oración, así como su formación por medio de morfemas en el caso de las palabras flexivas. El estudio de la morfología en el terreno estilístico puede resultar de gran ayuda para el análisis de las relaciones temporales establecidas dentro de un texto, del papel más o menos presente del narrador en la historia, por medio de las oraciones genéricas, por ejemplo, de un ritmo narrativo más o menos vertiginoso por medio de formas que denoten transición y movimiento, etc.

El terreno de la sintaxis completa la composición gramatical de la oración, aludiendo en esta ocasión a las relaciones entre las oraciones y sus componentes más que a la naturaleza de los mismos. En este plano, a modo de ejemplo, podemos estudiar la mayor o menor complejidad de un texto, según que se tienda a emplear relaciones de subordinación, coordinación o yuxtaposición entre las oraciones simples que lo componen, así como el grado de explicitación de las relaciones de causalidad o temporalidad entre los distintos componentes del texto, dando lugar con ello a un grado mayor o menor de inferencia por parte del lector, la presencia de oraciones no finitas o incluso no verbales que pueden dar lugar a un cierto grado de ambigüedad intencionada por parte del autor, etc.

En un plano superior de composición tenemos el nivel correspondiente a la gramática del texto, que señala la estructura del mismo por medio de las relaciones establecidas entre las oraciones, y que nos puede ayudar a identificar el énfasis retórico que se utiliza con respecto a una expresión determinada, por medio, por ejemplo, de la utilización de

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<sup>21</sup>A modo de ejemplo del tipo de análisis que se puede hacer con respecto a este componente, véase Leech & Short (1981: 75-76), en donde podemos encontrar una lista exhaustiva de cuestiones relacionadas con el entramado léxico.

un recurso de reiteración léxica en vez de referencia gramatical o elipsis, la mayor o menor coherencia entre los elementos del texto por medio de recursos cohesivos explícitos, la relación más familiar entre el narrador y el narratario por medio del uso de la referencia catafórica al principio de un texto *in medias res*, el mantenimiento de la intriga por medio de una secuenciación presentacional más que puramente cronológica, etc.

A un nivel diferente a los anteriores podemos observar la plasmación del significado por medio de las palabras y expresiones, es decir, el terreno de la semántica. Como ocurría en el caso del componente léxico, aquí también sería tarea ardua hacer un análisis completo de este plano, porque tal hecho implicaría llevar a cabo una división total de funciones semánticas, especialmente de las expresiones con valor léxico completo y muy particularmente de verbos y sustantivos. No obstante, como ya indicamos con respecto al análisis del léxico, en este caso también podemos utilizar nociones procedentes de los estudios semánticos recientes para corroborar o desechar intuiciones iniciales con respecto a microefectos en un texto concreto. Por ejemplo, un estudio detallado de la transitividad en un texto puede ayudarnos a identificar la expresión de causalidad y culpabilidad para apreciar una mayor o menor presencia de un narrador o su toma de partido con respecto a un personaje, la presencia de un agente responsable o, por contra, de unas circunstancias que no se pueden achacar a nadie en particular, etc. Otra función importante del estudio de la estructura semántica en un texto está relacionada con el uso del lenguaje figurativo y los tropos, más concretamente, nos puede ayudar a desentrañar el uso y la función dentro de un texto, generalmente poético, de figuras retóricas como la metáfora, la metonimia y la sinécdoque.

Por último, el estudio de la pragmática define la relación entre las expresiones lingüísticas y las personas que las usan. Los actuales estudios de pragmática cubren muchos aspectos de esta relación y son, dadas las bases mencionadas en la introducción, esenciales para entender el texto literario como discurso. A grandes rasgos, entre los distintos usos que pueden tener dichos estudios para la estilística literaria del inglés, podemos mencionar el análisis de la relación escritor-lector a partir de casos de presuposición e inferencia, las relaciones de poder o colaboración entre los personajes por medio de la aplicación de los principios y

máximas estudiadas dentro del estudio del discurso hablado, el grado de aproximación a la representación del lenguaje natural en obras de teatro contemporáneas y fragmentos conversacionales en la narrativa, el tipo de acto de habla que se pretende llevar a cabo en la obra literaria como tal, el uso de la deixis en los distintos géneros y subgéneros literarios a lo largo de los años y cómo ésta influye en la presencia del autor implícito, el narrador, los personajes, el narratario y el lector implícito, etc.

#### 4. El análisis estilístico de textos

De todo lo argumentado hasta ahora se puede deducir la naturaleza eminentemente práctica que una disciplina como la estilística tiene, ya que la propia estructura teórica viene dada de un lado por las distintas escuelas de teoría literaria mencionadas escuetamente en la sección 2 y de otro por la descripción de los distintos planos lingüísticos señalados en la sección 3. Por lo tanto, la naturaleza de la estilística moderna es la de, con una concepción inicial de la creación literaria, disponer de un conocimiento de la estructura lingüística de un idioma que nos permita aplicar un sistema analítico que lleve a una mejor comprensión y aprovechamiento de un texto. Esto nos lleva a la utilización de un instrumento esencial de aproximación que toma forma en la realización de un análisis estilístico, es decir, en un comentario que nos lleve a apreciar mejor el uso que un autor ha hecho del idioma en un texto dentro de un género concreto. Para ello el método propuesto pasa por un estado inicial de **descripción**, posteriormente la **interpretación** y finalmente una breve **evaluación**, de forma global<sup>22</sup>. Este método analítico es inicialmente aplicable tomando como base cualquiera de los modelos descriptivos mencionados en la sección 2, es decir, que de la misma forma que se le pueden dar a la primera fase tintes estructuralistas, igualmente se podría utilizar la gramática generativo-transformacional o la sistémico funcional para el mismo cometido. En cualquier caso, se debería tender a hacer un aprovechamiento óptimo de todos aquellos aspectos de la descripción lingüística que posteriormente nos sirvan para en-

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<sup>22</sup>Esta referencia a tres fases en el análisis estilístico de textos se basa en la propuesta de Short (1983), así como en Short & Candlin (1986).

tender y apreciar mejor la naturaleza discursiva de un texto, literario o no literario.

En la primera fase se debe proceder a presentar la naturaleza del texto en cuestión, es decir, qué rasgos lingüísticos y estilísticos le parecen más relevantes al lector. En la segunda fase se debe hacer una explotación de la primera, es decir, se debe explicar en el mayor detalle posible cuáles son los efectos conseguidos por medio de tales usos lingüístico-estilísticos y por qué considera el lector que el autor ha optado por esa elección determinada. Finalmente, en la tercera fase, se considera necesario hacer una breve apreciación global del texto en cuestión, argumentando hasta qué punto coinciden los efectos y propósitos mencionados en la interpretación con los medios empleados por el autor. Esta propuesta se ha de hacer indudablemente en líneas muy generales, ya que por razones de practicidad a la hora de hacer un comentario sobre un tema concreto parece más adecuado no establecer una línea divisoria muy marcada entre la primera y la segunda fase, al menos con respecto a la exposición, es decir, parece más ilustrativo mencionar un rasgo y a continuación razonar por qué se considera que se debe mencionar y qué es lo que se consigue por medio de dicho rasgo que simplemente presentar una larga lista de rasgos para posteriormente, en una segunda fase, volver a mencionarlos para no perder el hilo conductor del discurso o bien simplemente presentar, ahora, una larga lista de efectos. Si el primer procedimiento se acerca más al ámbito de un análisis lingüístico, el segundo parece estar más propiamente dentro del análisis estilístico. Otra consideración que pensamos debe hacerse con respecto a este método de análisis está relacionada con la naturaleza de la interpretación y la evaluación. A este respecto consideramos que quizá no sea del todo realizable una interpretación del texto sin, simultáneamente, estar haciendo un análisis más subjetivo que se halle más dentro del campo evaluativo. De ahí que la propuesta alternativa a la división estricta de estas dos fases sea limitar la última a una breve apreciación esquemática de los puntos más relevantes de un texto mientras que la segunda, tal y como se ha explicado anteriormente, sirva de extensión lógica y razonada a la descripción lingüístico-estilística.

Esta división en descripción, interpretación y evaluación ha de tener necesariamente un punto de partida, ya que de lo contrario no sa-

bríamos qué describir, interpretar y evaluar. La respuesta a este interrogante puede ser doble, ya que o bien nos centramos en nuestra propia impresión acerca de aspectos cruciales en un texto o bien en opiniones anteriores sobre el mismo tema, es decir, o tratamos de corroborar o refutar las primeras impresiones fundamentalmente intuitivas de otros o bien hacemos lo propio con las nuestras. Aunque pueda parecer lo contrario, no plantea este punto de partida una contradicción con nada de lo que se ha dicho con anterioridad, es decir, que si en la sección introductoria se ha hablado de la utilización de un método exhaustivo y científico para la descripción del componente lingüístico del texto literario y ello se ha contrastado con anteriores aproximaciones contenidistas basadas en opiniones poco sistemáticas, la defensa inicial que aquí se hace de un cierto componente intuitivo inicial no ha de entenderse como una defensa a ultranza de este último aspecto, sino únicamente como un punto de partida sin el cual prácticamente todo lo que se diga sobre el texto tendrá como objeto un análisis más puramente lingüístico que uno estilístico<sup>23</sup>. En otras palabras, y volviendo a un tema mencionado con anterioridad, la competencia literaria de un lector en cualquier caso facilitará la interpretación de un texto, pero sin un proceso descriptivo previo, difícilmente se sabrá si el componente lingüístico del texto, que en definitiva es el nexo de unión de cualquier tipo de texto verbal, ya sea literario o no literario, apoya esta intuición inicial, por muy basada que ésta esté en una competencia literaria óptima. Por poner un ejemplo relevante al efecto, poco sentido tendría hablar de unas modas y unos modos expresivos propios en la poesía de Pope en relación con las corrientes filosóficas de la época, en la que se pueden mencionar términos como 'equilibrio', 'ingenio', 'elegancia' o 'naturalidad', si previamente no se ha analizado en profundidad el uso que este autor hace del metro, la rima o las figuras retóricas, en la línea del análisis llevado a cabo por Stephens & Waterhouse (1990: 102-107) o por Bradford (1993: 69-76).

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<sup>23</sup>Este dato, junto con la referencia que haremos posteriormente a la competencia literaria del lector, explica que, partiendo de un método uniforme de análisis, el resultado ni pueda ni deba ser uniforme, como se pone de manifiesto en Short & Van Peer (1989), especialmente en las páginas 37-40, y en Alderson & Short (1989), especialmente en las páginas 91 y 109-110. En estas dos contribuciones los autores llevan a cabo, por separado, un análisis estilístico de un texto en verso en el primer caso y uno en prosa en el segundo. No ha de resultar sorprendente que, aunque coincidan en una serie de afirmaciones, no son pocos los casos en que no hay acuerdo entre ambos.

Lo que se propone aquí por lo tanto es proporcionar al estudioso, al nivel que sea, unos medios de enjuiciamiento crítico que le permitan llevar a cabo un estudio coherente en el que el conocimiento de la estructura lingüística de un texto pueda llevarlo a una serie de conclusiones sobre los efectos a que los usos y variedades de un idioma dan lugar. De esta forma, si por un lado el componente lingüístico, como acabamos de indicar, es esencial, no lo es menos el conocimiento del hecho literario, ya sea, como argüíamos, a nivel personal como la competencia literaria que permite a un lector obtener un mayor rendimiento de su lectura o bien como una forma de conocimiento de los principales períodos y autores de la literatura en lengua inglesa.

Esta visión de la estilística moderna como una forma de analizar en profundidad unas primeras impresiones está al mismo tiempo muy relacionada con lo que Leech & Short (1981: 134) definen muy gráficamente como microefectos y macroefectos, es decir, con el proceso por el cual, con la utilización reiterada y sistemática de unos medios expresivos determinados, un autor acaba dando lugar a unos efectos también expresivos generales que se puedan establecer ya sea en relación a su estilo personal o con respecto a una obra determinada diferenciada de las demás por dichos medios. De lo contrario, y recordamos con ello una afirmación previa, no tiene mucho sentido hacer un análisis exhaustivo de un texto si posteriormente no se extraen una serie de conclusiones que tengan relevancia a unos niveles dados que pueden establecerse en términos absolutos o relativos, es decir, con respecto a un solo autor o comparándolo con otros, o bien dentro de una dimensión histórica, es decir, a nivel diacrónico comparando la evolución estilística de un mismo autor o las influencias que puede haber recibido de autores anteriores.

Un aspecto final sobre la metodología a la hora de llevar a cabo un análisis estilístico de un texto ha de responder a una cuestión que ha suscitado no poca polémica desde hace tiempo, más concretamente, sobre el proceso a seguir a la hora de enfrentarse a un análisis de estas características. Con ello no estamos hablando de los pasos a seguir en el sentido indicado más arriba, es decir, el proceso que nos lleva a la evaluación por medio de la descripción y la interpretación, sino que más bien concierne a estos dos últimos aspectos, fundamentalmente con res-

pecto a si se deben seguir los pasos indicados en la sección 3, iniciando el análisis en los componentes superiores y descendiendo a los inferiores o viceversa, o bien si, por contra, se debe estructurar en función de una serie de apartados expresivos concretos y que el conocimiento de estos niveles lingüísticos sirva para articular un estudio coherente y exhaustivo. La respuesta a este interrogante no es fácil ni consideramos que pueda ser aplicable en cualquier circunstancia. De un lado, un análisis que gire en torno a la estructura lingüística de un texto y vaya explotando cada uno de los niveles señalados con anterioridad tiene la ventaja, por su exhaustividad, de que ningún elemento relevante se va a obviar, si bien, por contra, y por el mismo motivo, será de difícil aplicación en textos de una longitud media o, por supuesto, grande. En cuanto a la segunda opción, tiene la ventaja desde nuestro punto de vista de ser aparentemente un proceso más enraizado en la tradición literaria al centrarse en temas concretos como puedan ser el punto de vista, la cooperación o confrontación entre los personajes o los aspectos innovadores de un esquema métrico, por mencionar tres casos puntuales, pero por contra puede dar lugar a un análisis que no resulte muy enriquecedor en aspectos parciales por su falta de relevancia en textos concretos. Sin embargo, y a pesar de reconocer las limitaciones mencionadas, entendemos que un análisis sistemático que cubra aspectos concretos de distintos géneros literarios, es inicialmente más conveniente a la hora de ilustrar el proceso de creación de un texto y el énfasis en elementos concretos, aunque esto signifique que en multitud de ocasiones haya que empezar planteando una introducción de temas que están totalmente dentro de los estudios lingüísticos más que dentro de la aplicación que los mismos puedan tener. Consideramos que una vez más aquí estriba la distinción entre un análisis puramente lingüístico y uno que está más dentro del campo de la estilística, aunque esto suponga el estudio, marcado subjetivamente, de una serie de rasgos expresivos.

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## LA VIRGEN MARÍA Y EL *FIN'AMORS* EN LA POESÍA MEDIEVAL INGLESA.

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### **Resumen**

*El propósito de esta aproximación es hacer un seguimiento de algunos tópicos tenidos en común por la lírica provenzal y los poemas marianos ingleses escritos durante los siglos XIII y XIV. Ofreceremos un muestrario, en modo alguno exhaustivo, que ilustre esta afinidad.*

### **Abstract**

*The purpose of this paper is to point out some of the commonplace topics that both the Provençal lyric and the Marian English poems of the XIII and XIV centuries have in common. Our display, not exhaustive at all, will just be an attempt to illustrate this affinity.*

Sucede que siempre que se estudia la devoción a la Virgen María en los últimos siglos de la Edad Media o, igualmente, cuando analizamos la génesis del *fin'amors*,<sup>1</sup> inevitablemente nos topamos con que existen puntos de contacto entre ambas cuestiones, una realidad a la que E. Power ya aludiera en 1975:

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<sup>1</sup>. Cuando utilizamos el término *fin'amors* nos referimos a ese fenómeno que normalmente se conoce como «amor cortés», designación esta última acuñada por Gaston Paris en 1883, «L'Amour Courtois» (519). Preferimos, no obstante, *fin'amors* por ser ésta la forma que los mismos trovadores provenzales empleaban (Denomy 1953).

the devotion of the Virgin Mother was often indistinguishable in form from that which the knight lavished upon the mortal lady, except than the worship of the Virgin spread more widely and was shared by greater numbers than those with ideas of chivalry. It may therefore have done more to raise the current concept of womanhood. (20)

La consecuencia inmediata de este hallazgo es cuestionarse cuál de estos dos fenómenos fue anterior. Para algunos, la devoción a María precedió y favoreció la consiguiente adoración por las mujeres de la aristocracia, mientras que para otros fue el amor a las damas, en primer lugar, lo que determinó el sentimiento mariano. No es nuestro propósito abordar aquí esta polémica, defendida tanto en uno como en otro caso con similar pericia.<sup>2</sup> Opinamos que es difícil discernir qué fue primero, y nos inclinamos a pensar que lo que se produjo en realidad fue una sublimación de la feminidad misma. Así, el optimismo vital que a finales del siglo XI ennobleció el amor por las mujeres, suscitó al tiempo el fervor por la Madre de Dios: el hombre de finales del siglo XI siente un ansia de belleza que es satisfecho por la mujer en la tierra, y por María en el cielo.

Dejando a un lado esta polémica, sí parece evidente que el tono y convenciones formales de las poesías y canciones dedicadas a la Virgen desde el siglo XII no son otros sino aquellos que los trovadores de la Provenza habían ya creado para sus canciones de amor. Son precisamente a estas cesiones a las que queremos hacer un seguimiento, centrándonos especialmente en las poesías marianas inglesas de los siglos XIII y XIV.

Hasta el surgimiento de la lírica amorosa provenzal, los escritos medievales referidos a la Madre de Dios eran textos de carácter doctrinal, más o menos emotivos. Fue san Anselmo de Canterbury (1033-1109), benedictino italiano e impulsor de la escolástica, una de las figuras punteras en la nueva forma de ver a la Madre de Dios. La rigidez del pantocrátor, que simbolizaba en cierto modo a la Iglesia románica, va dejando espacio poco a poco al Niño-Dios descansando en los brazos de

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<sup>2</sup>. Opinan que el culto por la mujer fue primero, J.D. Bruce (nota 9, 105) y Jacques le Goff (355-6) principalmente. E. Power (20) y A.B. Taylor se inclinaban por la otra postura (195, 235).

una mujer que personifica todo el afecto y la ternura. San Anselmo fue quien habló extensamente de aquellos rasgos de María que la hacen tan próxima a los hombres (su compasión, su intercesión, su maternidad, su perfecta santidad,...) y quien recordó la necesidad de confiar en ella siempre, todo basado en un acontecimiento magnífico: *Maria Deum genuit* (Laurentin 105).<sup>3</sup>

La aportación de san Anselmo a la mariología se encuentra fundamentalmente en tres textos: un estudio sobre la Encarnación incluido en su famoso *Cur Deus Homo*; un tratado sobre la Concepción de María y el pecado original (*Liber de conceptu virginale et de originali peccato*); y tres oraciones a la Madre de Dios. Es en estas últimas en las que nos queremos detener.

Las *Orationes* V, VI y VII, probablemente escritas entre 1060 y 1078, reflejan un tono ciertamente novedoso y emotivo, todo en el marco de una retórica muy refinada y poética. Hilda Graef traduce parte de la plegaria séptima al inglés:

«O woman, filled with grace to overflowing, through whose abundant plenitude every creature is rejuvenated! O blessed and more than blessed Virgin, through whose blessing every creature is blessed, not only the creature by the Creator, but also the Creator by the creature!...O you, beautiful to behold, lovable to contemplate, delightful to love, how far you exceed the capacity of my heart! Wait, Lady, for the weak soul is following you!» (213)

Si tenemos en cuenta, por ejemplo, que Guillaume de Aquitania— el primer trovador conocido— nació en 1071, resulta no cabe duda revelador que en su oración S. Anselmo se refiera a María utilizando expresiones como «beautiful to behold», «lovable to contemplate» o «delightful to love». El mismo tono vuelve a repetirse en otras secciones de esta oración séptima:

«Mary, you great Mary, you who are greater than the [other] blessed Maries, you, the greatest of women; my heart wants to love you,

<sup>3</sup>. Para un buen estudio de los escritos de san Anselmo sobre la Virgen María, ver: Bruder, J. (1939) *The Mariology of Saint Anselm of Canterbury*. Dayton.

surpassingly great lady...because with my whole substance I commend myself to your protection» (Graef 214-5)

San Anselmo— «the knight of Mary», en palabras de Graef (213)— no duda en dirigirse a ella como un doncel enamorado lo haría con su dama, exaltando su belleza, poniéndose bajo su protección e implorando, como hace en la *Oratio VI*, esa misericordia —«merci»— que los caballeros suplicarán luego a sus señoras: «it is incredible that you should not have mercy on the miserable men who implore you» (Graef 215).<sup>4</sup>

Ya en el ámbito de la literatura popular en lengua inglesa, y desde el siglo XIII, se incrementa el número de poesías que dedicadas a la Virgen María respetan con fidelidad las aportaciones de la lírica del amor cortés. Inglaterra, país donde parece ser no cuajaron los principios del *fin'amors* (Valency 188), destaca en este campo haciendo uso de las

<sup>4</sup> Otros religiosos también siguieron esta tendencia. El mismo san Bernardo de Claraval (1091-1153), que fuera llamado el último de los Padres de la Iglesia, se había dedicado en su juventud a la poesía, conociendo sin duda el primer florecimiento de la lírica provenzal. No nos debe extrañar por tanto que en su sermón sobre la Anunciación describa este hecho milagroso en inequívocos términos de amor humano: «the King's going out is from the highest heaven, yet, his great desire giving him wings, he arrived before his messenger at the Virgin he had loved, whom he had elected, whose beauty he desired» (Graef 237). Desafortunadamente otros, y ante la creciente popularidad de la lírica cortés, continuarán esta tendencia iniciada por san Anselmo, pero sin su tacto y delicadeza. Amadeo de Lausanne (+1159), por citar un ejemplo prominente, escribió 8 homilías en las cuales la influencia del amor cortés es muy marcada, sobre todo en la tercera donde se describe la Encarnación del Hijo de Dios. Incluimos a continuación la traducción al inglés hecha por Graef de algunas frases de esta homilía en la que el escritor, a nuestro juicio, fuerza un poco la comparación:

Your creator has become your Spouse, he has loved your beauty...He has coveted your loveliness and desires to be united to you. Impatient of delay, he hastens to come to you...Hurry to meet him, that you may be kissed with the kiss of the mouth of God and be drawn into his most blessed embraces...Go out, for the nuptial chamber is already prepared, and your spouse is coming, the Holy Spirit comes to you...suddenly he will come to you, that you may enjoy happiness...The Holy Spirit will come upon you, that at his touch your womb may tremble and swell, your spirit rejoice and your womb flower...You, who will be worthy of such a kiss, who will be united to such a Spouse, who will be made fruitful by such a husband...For you, most beautiful Virgin, have been joined in close embraces to the Creator of beauty, and, having been made more a virgin, have received the most holy seed by divine infusion" (245)

Aelred de Rievaulx (+1167) también alude al amor entre María y Cristo en términos que delatan la influencia del espíritu caballeresco: «The spouse of our Lord is our mistress, the spouse of our King is our queen, therefore let us serve her» (Graef 249). Esta tendencia viene a culminar en Philip of Harvengt (+1183), miembro de una orden fundada por san Norberto en 1120, de cuyos escritos Graef hace la siguiente afirmación: «The climate of courtly love has indeed penetrated into the religious sphere; never before has the relationship between Christ and his Mother been described in such sensual terms». (255)

innovaciones formales que se habían popularizado en las canciones de amor de la vecina Francia. A propósito de esta influencia francesa en la lírica religiosa inglesa Patterson hacía en 1911 un interesante comentario:

Another influence that helped to develop the English religious lyric was the vogue of the *chansons* in France. (...) The English had always had a peculiar love for the Holy Virgin, a love that mysticism transformed into an ardent adoration. It needed only a hint from France to cause this enthusiasm to burst forth. So it is that among the earliest Middle English lyrics are some that are liturgical and some that sing in glowing terms of divine love. (20)

Las poesías más sencillas son aquellas en las que el poeta canta los dones y gracias de la Virgen. En ellas María es una flor, radiante como la luz del día y a ella se dirige el poeta mezclando los elogios a su belleza y la súplica por su mediación. Esta es la alternancia que observamos en un poema del siglo XIII recogido por Patterson y del cual incluimos los nueve primeros versos:

Of on that is so fayr and bright,  
*velud maris stella,*  
 Brighter than the day is light,  
*parens et puella.*  
 Ic crie to the, thou se to me.  
 Leuedy, preye thi sone for me,  
*tam pia,*  
 that icmote come to the,  
*maria.* (96-7)

Junto a las alabanzas a su belleza –las mismas que podríamos encontrar en un poema dirigido a una mujer de la tierra (más adelante, en el verso 28, la llama «flour of alle thing» (97))– el poeta intercala a modo de oración una serie de versos que nos recuerdan las peticiones del *Salve Regina*. Esta misma combinación de tonos, sacros y profanos, es la que nuevamente encontramos en otro poema del siglo XIII del que queremos citar dos estrofas muy representativas:

thu asteghe so the daigh rewe;  
 the deleth from [daigh] the deorke nicht.

of the sprong a leome newe  
 that al this world haueth ilight.  
 nis non maide of thine heowe,  
 swo fair, so sschene, so rudi, swo bricht.  
 swete leuedi, of me thu reowe,  
 & haue merci of thin knicht.

Spronge blostme of one rote,  
 the holi gost the reste upon,  
 thet wes for monkunnes bote,  
 & heore soule to alesen for on.  
 Leuedi milde, softe and swote,  
 Ic crie the merci; ic am thi mon,  
 bothe to honde & to fote,  
 On alle wise that ic kon. (vv. 9-24. Patterson, 93)

Las peticiones de protección en esta vida y en la futura son típicas de las oraciones a María, culminadas ambas estrofas con nuevos guiños a la lírica del *fin'amors*: el autor se refiere a sí mismo como fiel caballero de María («thin knicht» [v. 16]; «thi mon» [v. 22]) suplicando de ella su misericordia—«merci» (vv. 16, 22)—, detalle que vimos en san Anselmo y que se repetirá en poemas posteriores de los siglos XIV y XV. Otros elementos que van acordes con esta relación caballero-dama están también presentes en las dos estrofas citadas. Dejando a un lado que el autor se declare enteramente de María, «bothe to honde & to fote» (v. 23) —utilizando idéntica expresión a la empleada por Arnaut Daniel, «Sieus sui del pe tro qu'en cima»<sup>5</sup>—, se enfatiza el alto linaje de la Virgen («thu ert icumen of heghe kunne,/ of dauid the riche kyng» [vv. 41-2], su belleza sin par («Of alle wimmen thu hauest thet pris» (v. 6)) y la absoluta fidelidad del poeta a María, a quien está atado por amor («ic em in thine loue bende,/ & to the is all my draucht» [vv. 35-6]).

El binomio caballero-dama era empleado también a la hora de describir un episodio de la vida de la Virgen descrito con detalle en el Nuevo Testamento: la visita que hizo el arcángel san Gabriel a María para anunciarle que sería Madre de Dios (*Mt* I, 18-25; *Lc* I, 26-38). San Gabriel

<sup>5</sup>. «Suyo soy desde los pies hasta la cabeza» (Riquer *Resumen de Literatura Provenzal*, 55).

era siempre presentado por la imaginería medieval como un joven y bello guerrero ataviado de armadura, escudo y espada flamígera. Su encuentro con la Señora ofrecía un marco perfecto para adornarse con las convenciones de la lírica del *fin'amors*, haciendo de la escena un encuentro entre un gran paladín y su dama. Este es el caso de una breve composición ya datada en pleno siglo XIV (hacia 1375) en la que el autor anónimo se refiere a nuestra Madre continuamente como *ladye*; el poema se abre con una larga lista de elogios puestos en boca del arcángel san Gabriel:

Heyle be thou ladye so bryght!  
 Gabriel that seyde so ryght,  
 «Cryst ys wyth thee.»  
 Swettyst & swotyst in syght,  
 Modyr and mayde of myght,  
 Haue mercy on mee. (Brown, *XIVth Century*, 119)

También del siglo XIV es el poema «Maiden Mary and her Fleur-de-Lys», que describe con más detalle, y en términos plenamente caballerescos, la Anunciación de la Virgen:

Ful greithli was the graunted grace  
 Whom Gabriel from God the gret,  
 that fel to thi feet bi-fore thi face,  
 the Murieste meetyng that euer was met.  
 So sittyngli hire sawes heo set,  
 As a wommon bothe war and wys:  
 «To-seo thi seruaunt and thi soget!»  
 And ther bi-gon furst thi Flour-delys.

(vv. 25-32. Brown, *XIVth Century* 182)<sup>6</sup>

Todavía haremos referencia a otra composición más, fechada por Brown antes de 1350. Como en los dos poemas anteriores, la visita del arcángel a María es descrita como la de un doncel enamorado a su dama: la Virgen descansa —como si de una doncella aristocrática se tratase en su señorial aposento y allí la sorprende el saludo del arcángel.

<sup>6</sup>. Hay un cuadro de Simone Martini en la Galería Uffizi que representa la Anunciación. En él, el arcángel está también, como en los versos citados, arrodillado ante María (Gray, *A Selection of* 101).

thar thu lay in thi bright boure,  
 Leuedi, quite als leli floure,  
 An angel com fra heue(ne toure),  
 sant gabriel,

And said, «leuedy, ful of blis, ai worth the well!».

(vv. 11-15. *XIVth Century* 44)

Breeze apunta que «bright-bour» (v. 11) es un cliché típico del romance amoroso: así aparece en «Tale of Sir Thopas» de Chaucer, donde el caballero era amante de «‘many a mayde, bright in bour’»(129). La expresión «quite als leli floure» (v. 12) –referida al color del rostro de María– es también una cesión de la lírica provenzal: el rostro de la dama debía ser blanco como la nieve, resaltando así más el rosado de las mejillas.<sup>7</sup> Otras referencias al rostro de María en diversos poemas se ajustan también a esos cánones de belleza femenina en boga durante el Medioevo: «thou lilye whyt of face/ Godus Moder briht of ble» (vv. 130-1. Patterson, 117); «Nou skrinketh rose & lylie flour» (v. 1. Patterson 98).

A.B. Taylor recuerda una frase de la época que bien podría resumir el espíritu de muchos de los poetas del momento: «Love is sweet, but the best love is Mary» (175). El *Cursor Mundi*<sup>8</sup> (1300 aproximadamente), escrito doctrinal de gran trascendencia, aconseja a todos los hombres amar a María, pues no hay mejor amor en la tierra que el suyo; ella es la única que puede devolver afecto verdadero, «true love»:

<sup>7</sup> El canon exigía también que los ojos fueran grises y dorado el pelo. En una oración mariana recogida por Patterson (112-17), leemos que el poeta alude al color de los ojos de la Virgen: «Ladi Briht, with eiyen gray» (v. 93). El epíteto de los «ojos grises» suele acompañar a las heroínas del romance cortés, como comprobamos por ejemplo en unos versos de *Sir Gawain and the Green Knight* referidos a la reina Ginebra: «the comlokest to discrye/ ther glent with yen gray» (vv. 81-2. Ed. Tolkien).

La combinación de colores citada está presente, por ejemplo, en unos versos del trovador Bernart de Ventadorn:

Tant ai mo cor ple de joya,  
 tot me desnatura.  
 Flor blanca, vermelh'e groya  
 me par la frejura,  
 «Tengo mi corazón tan lleno de alegría que todo me lo transfigura: la escarcha me parece flor blanca, roja y amarilla,...» (Riquer *Resumen de literatura*, 68)

<sup>8</sup> Edición de Richard Morris.

Qua truly loues this lemman,  
 this es the loue bes neuer gan;  
 For in this loue scho failes neuer,  
 And in that tother scho lastes ever.  
 Off suilk an suld ye [mater] take,  
 Crafty that can rimes make;  
 Of hir to mak bath rim and sang  
 And luue hir suette sun amang.  
 Quat bote is to sette traueil  
 On thynh that may not auail,  
 that es bot fantum o this world,  
 Als ye haue sene inogh and herd. (vv. 81-92. 12)

La invitación que hace el autor a que los poetas canten su amor a María no es sino el reflejo de la tendencia que venimos ejemplificando. «Ich the grete wyth songe», decía William Shoreham en un poema de 1325 titulado «Marye, maide milde and fre» (Brown, *XIVth Century* 46-9) del que queremos incluir una estrofa:

thou art the bosche of synay,  
 thou art the rytte sarray,  
 thou hast ybrought ous out of cry  
     Of calenge of the fende.  
 thou art crystes oyene drury,  
     And of dauyes kende. (19-24. Brown 47)

El poeta canta a nuestra Madre con alabanzas sacadas del Antiguo Testamento, poniendo el énfasis en que María es de la estirpe de David: como toda gran dama, ella ha de ser de alta alcurnia. Además utiliza la palabra *drury* para referirse a la Virgen, siendo ésta una palabra típica del romance amoroso inglés.<sup>9</sup> Esta misma preferencia amorosa se aprecia también en otro poema religioso de finales del XIV, que por su brevedad incluiremos entero. Se trata del famoso «At A Sprynge Wel Vnder A thorn»:

<sup>9</sup>. Presentar la relación entre la Virgen y su Hijo en tales términos es algo que ya hiciera Philip of Harvengt en el siglo XII. Ya en el XIV el franciscano Ubertino da Casale (+1330) en su *Arbor Vitæ Crucifixæ Jesu* (1305) usaba el lenguaje del *Cantar de los Cantares* para explicar cómo Dios veía la belleza de María y cómo Cristo pedía a su Padre bajar a su jardín (Graef 293).

At a sprynge wel vnder a thorn  
 ther was bote of bale, a lytel here a-for;   
 ther by-syde stant a mayde,  
 Fulle of loue y-bounde.  
 Ho-so wol seche trwe loue,  
 yn hyr hyt schal be founde. (Brown, *XIVth Century* 229)

La enseñanza moral que este poema expone es la conexión existente entre la Virgen María y la Redención humana. Nuestra Madre está junto a una fuente, que no es otra cosa que el agua y la sangre que manaron del costado abierto de Jesús (Gray, *A Selection of 131- 2*) para redimir a la humanidad. Esta doctrina se presenta al lector recurriendo a la terminología usada en poemas amorosos: la fuente es el lugar donde se curará («bote of bale» (v. 2)) el mal de amores del poeta, pues junto a ella está su amada, que atada por amor («of love y-bonde» (v. 4)) es la única que puede ofrecerle afecto verdadero («trwe loue,/ yn hyr schal be founde» (vv. 5-6)).<sup>10</sup>

Queremos terminar nuestra revisión refiriéndonos a una canción de más de cien versos (Brown, *XIVth Century* 178-81) que ilustra a la perfección todas las características expuestas hasta el momento, pudiendo muy bien ser modelo acabado de canción de amor a la Virgen. El poema es ortodoxo desde un punto de vista doctrinal aludiendo a la maternidad divina de María, a su papel de intercesora, a su perfección,... Junto a esto el poeta expresa todo su amor por la que es también Madre de los hombres. Así, a caballo entre la primera y segunda estrofas, encontramos una rendida declaración de amor y fidelidad en términos plenamente caballerescos:

A loue-likyng is come to me  
           To serue that ladi, qwen of blis,  
 Ay better and better in my degre,  
           the lengor that I liue, I-wis.  
 So hertly I haue I-set my thought

<sup>10</sup>. Originariamente la fuente y la dama es un motivo recurrente en la literatura céltica lleno de resonancias mágicas: manantiales, nacimientos de agua o arroyos solían ser el lugar más apropiado para tener un encuentro con una *fée* del Otromundo. Esto es el origen, por ejemplo del romance medieval *The Lady of the Fountain*. También en la *Continuation-Perceval*, Gauvain encuentra a Tanree junto a una fuente cepillándose el pelo (vv. 29272ss).

Vppon that buyrde of buyrdes best;  
 For al-thauh I seo hire noght,  
 Min herte schal fully with hire be fest. (vv. 5-12)

Completa devoción y entrega a una dama por la que se siente un amor purísimo, que no puede ser manchado. Y como en «No sap chantar qui so non di» Jaufré Raudel cantara a la Condesa de Trípoli con la esperanza de verla algún día (Riquer, *Los Trovadores* 164), así el poeta vive con el deseo de que en la otra vida podrá admirar a María eternamente:

In hope to seo yor blessed face,  
 And dwelle with you at myn endyng» (vv. 29-30)  
 «Me logende neuere so sore, so sore,  
 To seo my loueli ladi deere;» (vv. 57-8)

Su hermosura va pareja a su rango y a sus gracias, destacando entre ellas su pureza, su bondad, su sabiduría y su fidelidad —*Mater Purissima*, *Mater Amabilis*, *Sedes Sapientiae* y *Virgo Fidelis*—, como se canta en la letanía Lauretana:

A louely lyf to loken vp-on,  
 So is my ladi, that Emperys;  
 Mi lyf I dar leye ther-vppon,  
 that princesse is peerles of prys;  
 So feir, so clene, so good, so wys,  
 And therto trewe as eny steel,  
 ther nis no such to my deuys-  
 Lor God, that I loue hire wel! (vv. 65-72)

A María pertenece todo el amor del poeta y ella recompensa su fidelidad ayudándole a luchar contra la impureza, vicio a ser evitado también por el buen amador cortés:

For al my loue is on you lent,  
 [Sweete] swetest of alles-kunnes thinge!  
 thiz is the remenaunt of my lust,  
 that I not whether my ladi mylde  
 To my loue haue inly trust,  
 .....

Sithen al my loue is leyed on the,  
 In heuene help me a boure to bylde,  
 Ladi, yif thi wille be. (vv. 79-83, 86-8)

Es apropiado recordar en este punto cómo el *fin'amors* —si era verdadero— debía de ser fiel y ayudaba a que el amador creciera en sus virtudes y purificara su pasión: «A man who is vexed by too much passion usually does not love», leemos en la vigésimonovena de las reglas del amor cortés (Capellanus 186). Volviendo al poema que venimos analizando, las últimas estrofas vienen a concluir que sólo el amor a la Madre de Dios satisface el corazón del hombre, por encima de cualquier otro amor terreno: «In eorhtly loue is luytel store,/ For al that nis but vanyte» (vv. 91-2).

Las ideas del *fin'amors* venían a enfrentarse frontalmente con la moral cristiana, o al menos así lo pensaron los clérigos del momento. Ya en el siglo XIII la Inquisición se estableció en la Provenza y, aunque no hay evidencia documentada de que se persiguiera a ningún trovador, lo cierto es que algunos dejaron de ejercer su oficio poco después. Otros prefirieron evitar las posibles censuras dedicando sus canciones a la Madre de Dios. Es el caso de Guiraut Riquier, cuya producción literaria va desde 1254 a 1292. Podemos afirmar pues, por este y otros ejemplos,<sup>11</sup> que en la última fase de la lírica provenzal algunos trovadores logran ajustar sus composiciones a la moral cristiana, poniendo su poesía al servicio de la Virgen María. Su culto absorbió poco a poco toda la adoración y la retórica que hasta entonces había estado destinada a las damas del Mediodía francés.

La lírica provenzal se extendió pronto a Alemania e Italia principalmente, mas no tuvo una gran acogida en Inglaterra. Con la excepción de unas cuantas canciones, todas ellas halladas en el Leominster Manuscript de principios del siglo XIV, no se escribieron poemas de amor cortés en Inglaterra (Ford 159). Sí se acogió, sin embargo, con entusiasmo la nueva corriente que despuntaba en Francia y de la cual san Anselmo de Canterbury había sido claro iniciador. Como hemos visto,

<sup>11</sup>. Junto a Riquier, destacan en esta modalidad Folquet de Marselha, Guilhem d'Autpol (...1269-1270...) con su «Esperansa de totz fermes esperans» y Cerverí de Girona (...1259- 1285...).

María reunía en sí todo un cúmulo de excelencias, humanas y sobrenaturales, que hacían que el amor por ella fuera la forma más perfecta y pura del amor cortés. Tanto es así que, cuando en el siglo XIV— momento en el que la lírica provenzal ha dejado de tener vigencia— se produce un tenue resurgir de las formas de la misma en los llamados «juegos florales», es a María a quienes los poetas exaltarán en sus trovas.

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**ELEONORA:  
INTIMIDADES CON LA MUERTE ENAMORADA.  
LA ORFANDAD AMOROSA DE POE**

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**Resumen**

*Se desvela en este artículo una de las constantes temáticas que Edgar A. Poe trazó en sus escritos y que tiene especial reflejo en Eleonora. La pérdida de su madre y diversos amores imposibles en brazos de la muerte llevaron al autor a delinear en su mundo literario diferentes feminidades imaginarias para llenar tales ausencias. Eleonora es una de esas concepciones subjetivas. En la primera parte del relato, de exaltado colorido poético, ella se presenta como idealización de la madre anhelada. Tras la aparición de la muerte, que acaba con la ilusión, la exquisitez se torna mórbida y nostálgica. En esa atmósfera, Eleonora se reencarna en Ermengarde, la amante. La extenuación del autor, en delirante final, abre las puertas a un posible reencuentro con la feminidad perdida en otra dimensión: la divina.*

**Abstract**

*This article deals with one of the themes Poe constantly reflected in his writings and which has a special emphasis in Eleonora. The loss by death of his mother and of several other impossible lovers made the author draw certain imaginary feminities in his literary world in order to fill their absence. Eleonora is one of these subjective conceptions. In the first part of the story, deeply colourful and poetic, she is presented as the idealization of the ever-longed-for mother. After the appearance of death, the end of hope, delicacy becomes morbid and dismal. In that atmosphere, Eleonora is reincarnated in Ermengarde, the lover. In a delirious end, the author's weakening results in hopes of a possible reunion with his lost femininity in another dimension: the divine one.*

De entre las viscosas pesadillas del maestro Poe, de entre toda su maraña -o telaraña- literaria de corte sobrenatural, sus delirios románticos en penumbra mental y sórdida cordura, *Eleonora* destaca con luz propia -esplendorosa y agónica a la vez- por la especial delicadeza y nostalgia con la que en sus líneas se reviste a la fatalidad, la intensidad poética y emotiva de su narración, casi susurrada -o tal vez vociferada en desesperación-, su atractiva y etérea simbología, y, por encima de todo, la crudeza acuciante que subyace en el compendio de sus imágenes y que convierte, en un parpadeo, el sosiego más ideal en la locura más purulenta, lo sutil en brutal, lo amado en temido, un mar de sensaciones contrastivas que no son sino el desequilibrio constante del alma y espíritu atormentado del autor.

*Eleonora* es un canto a la perfección y un planto a la caducidad, la inercia mustia de todo lo que nace puro, una revelación de intimidades amorosas que no son sino diálogos con la muerte, monólogos de vesania, todo ello mecido en un dinamismo sentimental que discurre en impresiones de claroscuro.

Como es constante en su producción literaria, en *Eleonora*, Poe nos presenta un único punto de vista, un sólo focalizador y ente que narra la realidad -o irrealidad- desde un presente diluido, amorfo, desde una vaguedad existencial que bien pudiera desembocar, de un momento a otro, en el último suspiro. El hoy del autor es sólo inercia del ayer. No es una instantaneidad habitable, ni es evolutiva, pues no desembocará en un mañana. Los relatos de Poe mueren al leerse. Son confesiones póstumas de pesimismo, responsos de condenado que hurgan en la conciencia del lector para anidar en forma de nostalgia y angustia tras la lectura. Sólo esos posos de desgracia persisten, sólo esa aflicción transmitida vive ulteriormente, no en la realidad sino en la mente del receptor.

Sus composiciones son reveladas en un presente sin horizonte. Son recuerdos acunados por unos momentos en el hoy. En el baúl de lo vivido, se pintan los impulsos que han desembocado en los estertores del ahora y en el porvenir sólo está la muerte. El final.

*Eleonora* en sí es esencialmente pasado y muerte. Su narración es un 'flashback' que nace en tonalidad de arco iris y que, súbitamente, cambia a penumbra gris; una musicalidad de deleite, tal vez el más pla-

centro de los silencios, que torna estruendosa danza de muerte. Las líneas del relato constituyen una reflexión apenada y vívida, agonizante y purificadora, un compendio de visiones relativas a un instante de ensueño, el recuerdo imborrable de un primer vistazo al infinito, como la primera vez que se vio el mar, todo atraído a la memoria del creador quien, tras el éxtasis, ha sido restituido de nuevo a la condena existencial.

Así, todo en Poe brota de la reminiscencia, porque sólo aquello que es pasado vive. Sus recuerdos están inspirados en la realidad ya habitada y, al mismo tiempo, fluyen por su mente adornados por la seda de imaginación, esa sensibilidad y creatividad singular, el cosmos individualista y particular del romántico frente a las leyes objetivas de la existencia.

En *Eleonora*, la memoria del creador traza unos dominios propios e infranqueables en los que el ego se encierra a conciencia para delirar y rodearse de los espectros del ayer. Sus escritos son siempre senderos hacia ese otro lado. Así, en el relato que tratamos, Poe se embarca en un viaje al infinito, pero antes de cerrar los ojos a la realidad para abrirlos a ese recuerdo onírico, al comienzo, se expresa taciturnamente desde su trono narrativo, estancado en la atemporalidad.

De la anodina bruma, de ese presente inmóvil, emergen las primeras palabras del autor, aisladas de la temática principal, pero cargadas con el ardor romántico cuya llama más altiva no podía ser otra que el eterno Yo, el centro de toda consideración individual y la estrella sin color dentro del firmamento nublado.<sup>1</sup> Poe comienza así el relato, iluminando su figura, anteponiéndola al flujo narrativo con la intención de declarar nítidamente que es su voz y su ser, su subjetividad, la que va a modelar las esencias que se encadenan en la narración. Así, el autor se define abiertamente. Él es parte de una raza versada en la locura, movida por la pasión y la fantasía, deseosa de imaginar más allá de los límites. De este modo, a partir de la más absoluta individualidad, Poe engloba su ego en una élite divina, una universalidad limitada, una progenie altiva que, a su vez, se contrapone a un contexto abstracto, la universa-

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<sup>1</sup> Poe no da nombre al narrador de este relato pues, como es característica propia de la corriente romántica, hay una identificación plena entre autor real y narrador interno.

lidad agria, el mundo que, sin comprender ni aceptar al romántico, lo asfixia y lo hastía hasta la extenuación:

«I AM come of a race noted for vigor of fancy and ardor of passion. Men have called me mad; but the question is not yet settled, whether madness is or is not the loftiest intelligence -whether much that is glorious -whether all that is profound- does not spring from disease of thought- from moods of mind exalted at the expense of the general intellect. They who dream by day are cognizant of many things that escape those who dream only at night. In their grey visions they obtain glimpses of eternity, and thrill, in awaking, to find that they have been upon the verge of the great secret. In snatches, they learn something of the wisdom which is of good, and more of the mere knowledge which is of evil. They penetrate, however rudderless or compassless, into the vast ocean of the 'light ineffable' and again, like the adventures of the Nubian geographer, **'agressi sunt mare tenebrarum, quid in eo esset exploraturi'**»

(Poe, 1986: 243)

Y él admite que, siendo la locura forma de conocimiento, la más fiable e intrépida, se le llame loco, pues prefiere el dinamismo intelectual de los soñadores lunáticos antes que el vegetar de los cuerdos. Atraído por horizontes aún no trazados, convirtiéndose en explorador de mares en tinieblas, Poe hizo de sus escritos constantes viajes al otro lado, más allá de lo puramente objetivo y sensible, vigiliando en lo ininteligible. Sobrevoló realidades alternativas, praderas de su ser, modos de existencia ocultos, no cotidianos, de los que trajo sentimientos, testamentos para dictar en un presente. Sus egos literarios, sus personajes, suelen embarcarse en estos trayectos trascendentales llevados por la agonía existencial y obcecados por un afán escapista de la realidad. Con ello, pretenden aislarse y enajenarse para, en éxtasis, palpar, sentir y transmitir la perfección suma, la belleza inigualable, lo sublime. A cambio, pagan con la pérdida de la razón a su regreso, pues el presente, como ya se ha dicho, se convierte en momento de condenación, atemporalidad e instante baldío donde el ente no puede concebir o cultivar porvenir alguno.

También el narrador de *Eleonora* saborea lo eterno para, después, caer en el pozo de la condenación. Así, el autor distingue claramente entre una etapa de luz y otra de sombras en el discurrir de su existencia. La primera de ellas corresponde a los instantes de ensueño, los exquisitos deleites sensibles experimentados durante el trance, momentos en los que se embriaga de perfección y moldea la eternidad, a la vera de su ninfa Eleonora:

«We will say, then, that I am mad. I grant, at least, that there are two distinct conditions of my mental existence -the condition of lucid reason, not to be disputed, and belonging to the memory of events forming the first epoch of my life -and a condition of shadow and doubt, appertaining to the present, and to the recollection of what constitutes the second great era of my being.»(Op. cit., 243)

Del 'I' subjetivo, convertido después en un 'we', con el que pretende dirigirse al lector, de un tema tan universal como la locura, Poe transciende de inmediato al 'she', el objeto de amor, la fuerza magnificadora que ilumina sus recuerdos, la emoción que impregna su presente, el espectro que encadena las palabras en sus labios y la luz que le lleva de la mano a la reminiscencia. Eleonora emerge del pantano del ayer como símbolo del amor primerizo. Desde un primer instante, como prima, aparece asociada a la eterna efigie muerta de la madre del autor, aspecto que, como veremos, lega fatalidad a su sino. La focalización de esta feminidad dorada, perdida en los parajes de adolescencia hace que, en un instante, Poe se sumerja en el otro lado del espejo, los dominios del recuerdo y la imaginación, para abandonar el presente.

Una vez intuida o designada la lúcida figura de Eleonora, el autor esboza unas circunstancias: ese valle de intimidad y apartamiento, un imperio en soledad habitado por ella, la madre de ésta y el propio Poe. En tal reino de naturaleza salvaje, al que nadie puede acceder sin guía -la imaginación, por supuesto- ellos aparecen como reyes y seres supremos:

«She whom I loved in youth, and of whom I now pen calmly and distinctly these remembrances, was the sole daughter of the only sister of my mother long departed. Eleonora was the name of my cousin. We had always dwelled together, beneath a tropical sun,

in the Valley of the Many-Colored Grass. No unguided footstep ever came upon that vale; for it lay far away up among a range of giant hills that hung beetling around about it, shutting out the sunlight from its sweetest recesses. No path was trodden in its vicinity; and, to reach our happy home, there was need of putting back, with force, the foliage of many thousands of forest trees, and crushing to death the glories of many millions of fragrant flowers. Thus it was that we lived all alone, knowing nothing of the world without the valley, -I, and my cousin, and her mother.»(Op. cit., 244)

La escena pronto va a quedar monopolizada por ambos, Eleonora y Poe, cuyos espíritus se unificarán en un solo sentimiento de gozo y dicha. La madre de Eleonora se difumina, se pierde en la memoria del autor. Sólo permanece la imagen de la joven, más como sentimiento abstracto de compañía, más como entidad que él precisa a su vera en todo instante, en un ansia obsesiva por luchar contra la soledad.

Curiosamente, sin embargo, el contexto espacial creado por Poe, su particular paraíso remoto, se ve invadido por un río cuyo curso viene del exterior, de una dimensión desconocida para ellos, la realidad circundante que yace fuera de los límites de su comprensión, lejos de sus conocimientos. El río, estrecho, profundo, vena cristalina, sigilosa, furtiva, como una serpiente de naturaleza, se convierte en el espejo donde Eleonora y Poe estancan su presente para contemplar otro mundo, un cubil de placidez en el que las piedrecitas descansan ajenas a la realidad de superficie. Su curso no es turbio, no susurra, sino que es flujo silencioso. Tal vez simboliza el latente paso del tiempo, del que ellos parecen completamente ajenos, al menos por ahora.

En la nitidez de las aguas se transparentan esas piedras aperladas, almas húmedas que no se agitan, que no se mueven, satisfechas, en su estado primitivo, brillando con orgullo, como estrellas de un firmamento de océano, reflejo de su propia alma, de su espíritu en sosiego, del estatismo y éxtasis del letargo. Son aguas cristalinas, fruto de la serenidad del instante, no tempestuoso oleaje de locura. La tranquilidad permite ver la esencia, aún en la más remota profundidad. La imagen de las piedras en el lecho del silencio sugiere la inmovilidad subjetiva, la eter-

nidad íntima en el cubil de lo móvil, la superficie objetiva que fluye aunque parece no moverse. El silencio y el gozo son sempiternos. Es la visión utópica de la vida en un paraíso de infancia o juventud, suspiros de lo perenne, la esperanza en compañía de una madre.

En el valle, Eleonora se erige como primer retrato de belleza, como primer símbolo de compañía y cariño, como primer abrazo que guarece a Poe.<sup>2</sup> En este mundo literario, ella es reflejo homogéneo del amor, como concepto universal y símbolo particular que representa a todas aquellas mujeres a quienes Poe amó, de una u otra forma, y la muerte difuminó de su camino. Es, por ello, personificación de la belleza mustia.

El referente real más explícito de Eleonora es, sin duda alguna, su prima Virginia Clemm, con quien el autor se casó en 1836, cuando ella sólo contaba catorce años. Tal matrimonio, polémico para muchos, fue pulcro y de dicha infantil para ambos. Virginia y su fatalidad laten en el corazón argumental de *Eleonora*. De hecho, Poe escribió el relato cuando ella ya sufría los primeros síntomas de tuberculosis, enfermedad que, como ya había ocurrido con su madre, acabó con la vida de la joven en 1847.

En Eleonora también están pinceladas otras feminidades de trágico final dentro de la aciaga vida de Poe, efigies difuntas de amores imposibles, como la hermosa Helen, su primera novia, y, sobre todo, su madre, a la que el autor buscó incansablemente en los espacios torturados de sus escritos y en cada uno de esos viajes trascendentales que tejió en las líneas de su prosa y poesía. Eleonora es la maternidad que él tanto deseó y que nunca tuvo, la fuerza progenitora que siempre le faltó, el reflejo de la madre perdida prematuramente. Al mismo tiempo, como ente de su imaginación, es hada del paraje que no tardará en fundirse a la naturaleza.

En realidad, el río sirve como primer paso de su metamorfosis. Poe compara la refulgencia de las aguas con el brillo de los ojos de la joven:

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<sup>2</sup> Sabemos que, en la vida real, el autor fue torturado por el látigo de la fatalidad desde su más temprana infancia. Su padre desapareció al poco de nacer él y, antes de que cumpliera tres años, en 1811, Elizabeth Arnold Poe, su bella madre, espiraba en una de las más precarias habitaciones de Richmond a causa de la tuberculosis.

«From the dim regions beyond the mountains at the upper end of our encircled domain, there crept out a narrow and deep river, brighter than all save the eyes of Eleonora; and, winding stealthily, about in mazy courses, it passed away, at length, through a shadowy gorge, among hills still dimmer than those whence it had issued. We called it the 'River of Silence'; for there seemed to be a hushing influence in its flow. No murmur arose from its bed, and so gently it wandered along, that the pearly pebbles upon which we loved to gaze, far down within its bosom, stirred not at all, but lay in a motionless content, each in its own old station shining gloriously forever.»(Op. cit., 244)

Tal armonía sosegada es la que reina en todo el paraje. Poe, maestro del paisaje mental, juega con nuestras sensaciones y nos sumerge en una dimensión irreal con maestría realista, emotiva y seductora, un imperio que se pinta de forma cada vez más vívida ante nuestros ojos. Lo que comenzó siendo sólo un espejismo de recuerdo y fantasmagoría, se ha convertido ahora en un espacio real donde el colorido y las exóticas fragancias sugieren felicidad. Poe no deja de enfatizar la mágica perfección de 'su' naturaleza imaginada. Idílico y bucólico, el ambiente no es sino reflejo, por analogía romántica, de su espíritu a la vera de Eleonora. Además, esa tonalidad verde que cubre la extensión sugiere frescura, pubertad, esperanza. La hierba es suave, como las caricias en un regazo maternal, llana, uniforme y predomina un agradable aroma a vainilla, infantil, reflejo de la candidez y ternura que flota etérea entre Eleonora y Poe, entre madre e hijo.

Por otra parte, el valle es naturaleza viva, pincelada en arco iris de encantamiento: amarillos ranúnculos, margaritas blancas, purpúreas violetas y asfódelos rojo rubí. El valle acuna la belleza en su más altivo y grandioso esplendor. Dentro de la familia de la flora, personificadas en el éxtasis onírico del autor, las margaritas y violetas púrpura hablan a la madre y al hijo en un lenguaje directamente susurrado al corazón, un secreto de sensibilidad que les hace espectadores de la magnificencia y gloria divina. Y el valle también transparenta la fuerza que creó tanta perfección a partir del caos. Dios está presente, como Paternidad Suprema, como Entidad incluso superior al demiurgo creador e imaginador

del ensueño. Ellos, Poe y Eleonora, como Adán y Eva, son los elegidos para habitar el espacio de gloria:

«The margin of the river, and of the many dazzling rivulets that glided, through devious ways, into its channel, as well as the spaces that extended from the margins away down into the depths of the streams until they reached the bed of pebbles at the bottom -these spots, not less than the whole surface of the valley, from the river to the mountains that girdled it in, were carpeted all by a soft green grass, thick, short, perfectly even, and vanilla-perfumed, but so besprinkled throughout with the yellow buttercup, the white daisy, the purple violet, and the ruby-red asphodel, that its exceeding beauty spoke to our hearts, in loud tones, of the love and the glory of God.»(Op. cit., 244)

Y acompañando sus presencias compartidas, los árboles se erigen como testigos del enlace, tallos que, en su flexibilidad, buscan la luz maternal del sol, tal y como él busca en la compañía de Eleonora y el abrigo del paisaje el místico y eterno sentir del cobijo maternal. En la contemplación del ensueño, en el horizonte de árboles, en el palpar terso y moteado de sus cortezas, concibe Poe una analogía con las mejillas de Eleonora. Es el segundo paso de la metamorfosis de la joven, el segundo estadio de su evolución:

«And here and there, in groves about this grass, like wilderness of dreams, sprang up fantastic trees, whose tall slender stems stood not upright, but slanted gracefully towards the light that peered at noon-day into the centre of the valley. Their bark was speckled with the vivid alternate splendor of ebony and silver, and was smoother than all save the cheeks of Eleonora.»(Op. cit., 244-5)

En un principio, Eleonora había sido descrita como ente de cotidianidad, su prima, pero, paulatinamente, en la mente del autor, ella adquiere dos personalidades diferenciadas. Por un lado, se va contagiando de rasgos utópicos, es absorbida por la naturaleza, envuelta por tal esplendor en una metamorfosis continuada, porque su excelencia la hace confundirse con la grandeza del paisaje. Se la compara con entes mitológicos que sugieren perfección clásica. Así, se convierte en un hada del paraíso, un personaje etéreo cuya existencia está íntimamente liga-

da a las constantes naturales del paraje. Pero, al mismo tiempo, en tal olimpo, Poe talla imágenes de enamoramiento, un vínculo especial e incestuoso. A medida que el autor se siente más hipnotizado por la beldad del lugar, su imaginación va dotando a Eleonora de una existencia ajena al paisaje. La hace propia y familiar. La posee mentalmente y se deja poseer por ella. Es así como Eleonora torna amor y protección, madre, y el valle, aislado y hermético, se convierte en vientre materno, cobijo de Poe:

«Hand in hand about this valley, for fifteen years, roamed I with Eleonora before Love entered within our hearts. It was one evening at the close of the third lustrum of her life, and of the fourth of my own, that we sat, locked in each other's embrace, beneath the serpent-like trees, and looked down within the waters of the River of Silence at our images therein. We spoke no words during the rest of that sweet day; and our words even upon the morrow were tremolous and few. We had drawn the god Eros from that wave, and now we felt that we had enkindled within us the fiery souls of our forefathers. The passions which had for centuries distinguished our race, came thronging with the fancies for which they had been equally noted, and together breathed a delirious bliss over the Valley of the Many-Colored Grass. A change fell upon all things. Strange brilliant flowers, star-shaped, burst out upon the trees where no flowers had been known before. The tints of the green carpet deepened; and when, one by one, the white daisies shrank away, there sprang up, in place of them, ten by ten of the ruby-red asphodel. And life arose in our paths; for the tall flamingo, hitherto unseen, with all flowing birds, flaunted his scarlet plumage before us.»

(Op. cit., 245)

Este sentimiento, este sopor o delirio, se concibe como un despertar de la predestinación, pues, teniendo ambos la misma sangre, siendo ambos esclavos de la fantasía y la emoción, toda la ternura e idealización desemboca en la cristalización del enlace, un amor que es vigor de

sus antepasados -reencarnado en ellos tras un período de siglos-, amor heredado, genético, biológico, como lo es el que existe entre madre e hijo.

Ese dulce néctar emerge sensualmente, no como arrebató. Ellos se funden en un abrazo y marcan el antes y el después. Es una primavera propia y particular, el reencuentro con la madre perdida tiempo atrás en la niebla de muerte. Apenas hablan tras la confesión sigilosa. Sólo profieren palabras tremolantes, silabeos de emoción. Los seres de ensueño se entienden con las miradas o el tacto. Se dedican a atisbar el espejo de sus almas, las aguas del río del silencio que immortalizan el abrazo. El curso está en calma, pero ellos han levantado una ola para atraer a Eros. Es el culmen de los deseos, la máxima dicha.

El silencio de los enamorados, la quietud del río y el sigilo del valle se corresponden con un repentino florecer de la naturaleza, la exaltación de la flora, acompañada también por la súbita aparición y llegada de entes de fauna paradisíaca, de colorido lustroso. Arriba el flamenco y otras aves, que, orgullosas, muestran su plumaje. Y en el río, otras criaturas de fantasía, esos peces dorados y plateados, emergen de las aguas y provocan una melodía divina, comparada con la melosa voz de Eleonora. Es éste el tercer estado de su metamorfosis.

Además, el aislamiento, la intimidad del vientre materno, se intensifica aún más cuando el valle, la urna de ensueño, es cerrado por una nube que se posa en las cumbres y que hace del valle una prisión de gloria y magnificencia:

«The golden and silver fish haunted the river, out of the bosom of which issued, little by little, a murmur that swelled, at length, into a lulling melody more divine than that of the harp of Aeolus -sweeter than all save the voice of Eleonora. And now, too, a voluminous cloud, which we had long watched in the regions of Hesper, floated out thence, all gorgegous in crimson lower and lower, until its edges rested upon the tops of the mountains, turning all their dimness into magnificence, and shutting us up, as if forever, within a magic prison-house of grandeur and of glory» (Op. cit., 245)

Saboreando el abrazo de su amada y madre, Poe estudia a Eleonora como parte integral del paraíso. Su belleza no es artificiosa; más bien

preciosista y directa, sincera y angelical, como la de las flores entre las que ha convivido:

«The loveliness of Eleonora was that of the Seraphim; but she was a maiden artless and innocent as the brief life she had led among the flowers. No guile disguised the fervor of love which animated her heart, and she examined with me its inmost recesses as we walked together in the Valley of the Many-Colored-Grass, and discoursed of the mighty changes which had lately taken place therein.»(Op. cit., 246)

Pero, de repente, Poe derrite la atemporalidad de la dicha, esa eternidad virgen, y nos habla de un día en particular, el primer suspiro en tinieblas. Eleonora y él, como entes superiores, como señores del paraíso y poseedores de la gloria, comienzan a platicar sobre la vida y, sin quererlo, se refieren a la agónica inercia de la existencia. Ellos mismos rompen el equilibrio del gozo, el silencio del valle y la eternidad de sus esperanzas. La reflexión en el paraíso no puede ser más pesimista: la Humanidad camina hacia la muerte. Es la fatalidad que se ocultaba tras tanta ventura:

«At length, having spoken one day, in tears, of the last sad change which must befall Humanity, she thence forward dwelt only upon this one sorrowful theme, interweaving it into all our converse, as, in the songs of the bard of Schiraz, the same images are found occurring, again and again, in every impressive variation of phrase.»(Op. cit., 246)

Así tientan al destino. La muerte también arriba a lugares perdidos, como el valle, y puede anidar letalmente en lo más bello. La catástrofe se especifica. La magia se derrite en las palabras de Eleonora, quien bordada en perfección, más idealizada que nunca, jamás antes madre tan amada, muestra la mueca de la desgracia y, entonando el pesar en responsos de Eros, se convierte en mensajera de su propia muerte. A partir de este momento, la madre se hunde en el pesimismo y ya no brota. Poe siente que su regazo se hace cada vez más yerto. La eternidad está herida.

El 'enamoramamiento' ha sido un fugaz ascenso en la escala de placeres, una evolución que, a punto de materializarse, desemboca en trage-

dia.<sup>3</sup> Desgraciadamente, la inercia de tal ascenso, de tal sublimación, no es otra que el vertiginoso descenso, la caída desde lo más alto, la involución, el desequilibrio, porque, como afirmaba Poe, en toda contemplación de la belleza había siempre un lugar para las lágrimas.<sup>4</sup>

Una terrible sensación sirve el escalofrío en este momento del relato. El dedo de la muerte, que surge como ente abominable, traumático y sacrílego entre tanta belleza, se atreve a palpar el pecho y el regazo de Eleonora. La condenación se interpone entre madre e hijo y comienza a desligar su lazo compartido, esa mirada que parecía sempiterna. Cruelmente, la muerte prolonga el tacto. No sólo palpa la totalidad de Eleonora, no sólo acaricia sus formas sino que congela la sensación, posa sus palmas en ella para siempre. La madre no se queja explícitamente en las líneas de la historia. Es la subjetividad dolida de Poe la que traduce los sentimientos de aquella:

«She had seen that the finger of Death was upon her bosom- that, like the ephemeron, she had been made perfect in loveliness only to die; but the terrors of the grave, to her, lay solely in a consideration which she revealed to me, one evening at twilight, by the banks of the River of Silence.»(Op. cit., 246)

Ella, como todas las entidades femeninas que surgieron en la vida de Poe, se convierte en cenizas de muerte. Poe sabe que la perfección y la dicha están condenadas a desvanecerse en el deceso. Eleonora, lo efímero, había sido creada sólo para sufrir ese destino. En ella se reencarna, pues, la fatalidad y condena que ha perseguido al autor durante su vida. Eleonora ha sido el reflejo trascendental e idolatrado del huérfano y amante desolado, la búsqueda incansable de la compañía femenina imperecedera, el consuelo de una madre que finalmente agoniza hasta morir,

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<sup>3</sup> Estos pasos han emergido como latidos breves en la composición. *Eleonora*, formalmente una historia corta, es, en contenido y sentimiento, un poema extenso que presenta una sucesión de breves instantes poéticos, tal y como el autor concebía, encadenados para producir un efecto de trance, de sublimación, lo que el autor llamaba 'intoxicación del corazón', que, a punto de concebirse, escapa de las manos como arena escurrida y modela la nostalgia.

<sup>4</sup> El triunfo de la emoción se basa, por tanto, en la nostalgia, siendo la más intensa, por supuesto, la del amante que pierde a su amada. Es una forma masoquista de concebir la felicidad. Para moldear lo bello hay que destruirlo, alejarlo, no poseerlo, sumirse en la tristeza y en la desgracia más álgida. Es la nostalgia, como consecuencia, el germen de los más bellos gritos poéticos, la elevación del alma del pesar tras la pérdida del paraíso.

el retrato de un amor violado por la fatalidad, el regreso constante de aquella muerte que primero le arrebató a su madre y después continuó segando las feminidades de su existencia, el combate perdido entre el amor y la muerte. No es extraño que para Poe la madre fuera una figura nocturna, una silueta anhelada que jamás venía a su vera o, como se concibe en su poema 'The Sleeper', un espectro aparecido en la noche, vestido en seda de funeral o boda, que provocaba los escalofríos más intensos. De esta imagen derivó posteriormente la galería de personajes cadavéricos y sensuales que Poe creó: Morella, Ligeia o Berenice, amadoras diabólicas, que vuelven de la tumba como vampiras psíquicas para poseer a su amado y que tienen cierta relación con Eleonora.

Es esta última celosía, el afán de la mujer que va a morir por preservar el favor de su compañero, los temores de una madre que teme perder a su hijo en manos de una joven, lo que obsesiona a Eleonora en los instantes previos a su muerte. Ella desea atar eternamente el lazo con Poe, aunque ambos van a estar en diferentes estados, pues ella permanecerá muerta, enterrada en el valle y él regresará de su viaje trascendental al mundo real, a la dimensión de los vivos. En una intimidad morbosa, bajo las sombras del crepúsculo y junto al curso muerto del río, ella le confiesa que no teme a la muerte física. Siente pavor al pensar que su unión se destruirá. Sabe que él la enterrará, porque ella pertenece al paraíso, y teme la infidelidad, cuando ella esté en la profundidad, cuando ella sea naturaleza y él la deje allí, en aquel paraíso, en aquella primavera, en aquellos recuerdos y ronde otros parajes de superficie.

Obcecado por la atmósfera idílica, Poe no duda en hacer voto de castidad eterna a su amada y madre. No contaminará el sentimiento eterno haciéndolo efímero en el matrimonio con una dama del mundo. No se dejará poseer por los deleites de la realidad. Su amor no será sensibilidad perecedera, sino inteligibilidad; su amor será devoción, no reminiscencia. Poe se impone a sí mismo el castigo, la condena, si rompe tal voto. Hace el juramento ante el Sacerdote Supremo, Dios. Es éste, por tanto, un casamiento divino, con su amada y con su madre, la consumación del incesto:

«She grieved to think that, having entombed her in the Valley of the Many- Colored Grass, I would quit forever its happy recesses, transferring the love which now was so passionately her own to

some maiden of the outer and every-day world. And, then and there, I threw myself hurriedly at the feet of Eleonora, and offered up a vow, to herself and to Heaven, that I would never bind myself in marriage to any daughter of Earth -that I would in no manner prove recreant to her dear memory, or to the memory of the devout affection which she had blessed me. And I called the Mighty Ruler of the Universe to witness the pious solemnity of my vow. And the curse which I invoked of **Him** and of her, a saint in Helusion, should I prove traitorous to that promise, involved a penalty the exceeding great horror of which will not permit me to make record of it here. And the bright eyes of Eleonora grew brighter at my words; and she sighed as if a deadly burthen had been taken from her breast; and she trembled and very bitterly wept; but she made acceptance of the vow, (for what was she but a child?) and it made easy to her the bed of her death.»(Op. cit., 246)

Es así como Poe consuela a su 'niña' en el lecho de muerte y atenúa su agonía. Como respuesta, ella, que siente su alma confortada por la fidelidad expresa de aquél, promete que hará regresar su espíritu del más allá para que él sienta su presencia.<sup>5</sup> Sin duda, es una forma de vigilar su voto. En placidez, ella expira. La metamorfosis culmina con la muerte. Así, su presencia **postmortem** se traducirá en fenómenos naturales, tales como el soplo del viento de tarde.

Con la muerte de Eleonora, culmina también la primera etapa existencial de Poe. El ensueño culmina en la angustia, base de la segunda parte del relato:

«And she said to me, not many days afterwards, tranquilly dying, that, because of what I had done for the comfort of her spirit she would watch over me in that spirit when departed, and, if so it were permitted her, return to me visibly in the watches of the

<sup>5</sup> Poe trascendió siempre la muerte física. Así, el afán por vivir que caracteriza a Eleonora -y también a otras féminas de su creación, como Ligeia o Madeleine Usher-, esa vivacidad psíquica, es la principal energía que provoca su ulterior regreso de la tumba. Aún así, no se puede decir que la reencarnación de Eleonora tenga los matices góticos y ténebres que revisten la vuelta a la vida de las citadas femineidades -Ligeia y Madeleine- insertas en relatos de atmósfera hórrida y escalofriante.

night; but, if this thing were, indeed, beyond the power of the souls of Paradise, that she would, at least, give me frequent indications of her presence; sighing upon me in the evening winds, or filling the air which I breathed with perfume from the censers of the angels. And, with these words upon her lips, she yielded up her innocent life, putting an end to the first epoch of my own.»

(Op. cit., 246-7)

El autor regresa por unos momentos a la atemporalidad desde la que narra. Se evade del sopor trascendental y, sobrevolando su relato, haciendo un inciso personal, atiende a consideraciones externas al desarrollo del mismo. Es una pausa en la que afirma que todo lo contado hasta ese instante es cierto porque pertenece a la etapa de razón lúcida. De nuevo se sumerge en las oscuras aguas de la reminiscencia, vuelve al valle y se ve invadido por el desequilibrio agónico de la nostalgia. Tras la muerte de Eleonora, el tiempo, desconocido, acude para marcar su camino. La atemporalidad del gozo junto a la madre torna paso lento, pues el pesar transparenta los instantes, delimita las horas, los días y los dilata a su antojo. Ese dolor es el que se aglutina en su mente, única testigo de su reminiscencia. La pena ensombrece los pasajes ulteriores de su vida; los posos de tristeza aletargan su razón.

Esclavo de la desgracia, trata de vivir aún en la compañía vaga que rezuma de la memoria, esos vestigios condenados también a extinguirse. Son años de añoranzas, de anhelos. Vuelve a ser el huérfano que siempre fue. En el trance agónico, ella aún parece permanecer en aquel paraíso junto a él, pero el gozo del valle se ha difuminado. Poe habita un vientre materno sin vida. La ausencia de Eleonora, la muerte de la ninfa, de la madre, tiene reflejo patético en la naturaleza. Así, paralelísticamente a aquel súbito emerger, toda la belleza del valle muere en una involución instantánea. El imperio de los sentidos se mustia. Como Eleonora, lo excelso se torna efímero y muere. La fertilidad sensible se convierte en desierto baldío. El fragor verde se disipa. Aparece el aura oscura y tétrica de las violetas negras, un color que no es purificado por el rocío. Del sendero común (Poe aún utiliza el posesivo 'our') huye la vida. Y al deceso de la flora le sigue la evasión de la fauna. El flamenco marcha, llevándose tras de sí la estela de otras aves que vinie-

ron a compartir la dicha. Los peces dorados y de reflejos plata se sumergen hasta la invisibilidad de sus dominios. Es un cataclismo. Con ellos se va la musicalidad y vuelve el silencio, la ausencia solemne.

Y la urna de intimidad se abre al exterior. La nube se eleva. Difuminado el hermetismo, se extingue la gloria divina. Una vez que Eleonora muere, el valle -el vientre- se abre al mundo. Poe está a punto de nacer en el presente:

«Years dragged themselves along heavily, and still I dwelled within the Valley of the Many-Colored Grass; -but a second change had come upon all things. The star-shaped flowers shrank into the stems of the trees, and appeared no more. The tints of the green carpet faded; and, one by one, the ruby-red asphodels withered away; and there sprang up, in place of them, ten by ten, dark-like violets that writhed uneasily and were ever encumbered with dew. And Life departed from our paths; for the tall flamingo flaunted no longer his scarlet plumage before us, but flew sadly from the vale into the hills, with all the gay glowing birds that had arrived in his company. And the golden and silver fish swam down through the gorge at the lower end of our domain and bedecked the sweet river never again. And the lulling melody that had been softer than the wind-harp of Aeolus and more divine than all save the voice of Eleonora, it died little by little away, in murmurs growing lower and lower, until the stream returned, at length, utterly, into the solemnity of its original silence. And then, lastly the voluminous cloud uprose, and, abandoning the tops of the mountains to the dimness of old, fell back into the regions of Hesper, and took away all its manifold golden and gorgeous glories from the Valley of the Many-Colored Grass.»(Op. cit., 247)

A pesar de ello, la presencia espiritual de Eleonora sigue patente. Se escucha el rumor de los coros angelicales, el balanceo de los incensarios. Los vientos bañan su pesar. La naturaleza le arropa. En un sueño muerto, Poe recibe la visita de su madre. Ella lega un beso, que refleja la simbiosis de ultratumba, una caricia sincera que funde lo sobrenatural y lo real, lo etéreo y lo material. En su fantasía, macabra y dulce, se diluye la frontera entre la vida y la muerte, y se abre un sendero hacia lo trascendental:

«Yet the promises of Eleonora were not forgotten; for I heard the sounds of the swinging of the censers of the angels; and streams of a holy perfume floated ever and ever about the valley; and at lone hours, when my heart beat heavily, the winds that bathed my brow came unto me laden with soft sighs; and indistinct murmurs filled often the night air; and once -oh, but once only! I was awakened from a slumber like the slumber of death by the pressing of spiritual lips upon my own.»(Op. cit., 247)

Sin embargo, a pesar de la culminación espiritual del amor, a pesar del idílico contacto venido de los labios de Eleonora, el autor se sume en una desazón y depresión instantánea. El paraíso es reflejo del desamparado vacío de su corazón. La desesperación apaga la utopía y los recuerdos se convierten en tortura. Es la claustrofobia de la pena. El anhelo y vigor pasional piden que su corazón rebose y se embriague de sentimiento:

«But the void within my heart refused, even thus, to be filled. I longed for the love which had before filled it to overflowing. At length the valley **pained** me through its memories of Eleonora, and I left it forever for the vanities and the turbulent triumphs of the world.» (Op. cit., 248)

Es así como Poe extingue las llamas de su imaginación y huye a la realidad. Prefiere escapar al mundo, salir de sí mismo y emanar del vientre materno. Nacer. Es como volver a enfrentarse a la vida sin el amparo de la madre o el cariño de una amada. Regresa del viaje trascendental. Del trayecto de vuelta nada se sabe. Mediante una elipsis efectiva, el autor desemboca directamente en la pesadilla real.

La belleza natural del valle, la intemperie, el silencio purificador, los aspectos de naturaleza tornan opresión urbana, representada en el esplendor agitado de una corte, el bullicio, el griterío, la turbulencia. Poe afirma despertar en una extraña ciudad, una cualquiera, que simboliza, sin duda, el laberinto de sombras en el que vaga en desasosiego, perdido.

Él es sólo sombra, ente de nostalgia. Su verdadera esencia ha quedado enterrada en el valle, junto a su ilusión. Lo único que trae a la ciudad de su regreso, un lugar al que no corresponde, es el vacío y el ansia, la sed, los ecos de su llanto. En tal marco de vesania flota la alie-

nación y la perdición. Hay locura suficiente como para difuminar todos sus bellos recuerdos, que, ahora, de regreso a la realidad, parecen sólo sueños, efímeros sorbos de lo sublime en el paraíso poético:

«I found myself within a strange city, where all things might have served to blot from recollection the sweet dreams I had dreamed so long in the Valley of the Many-Colored Grass. The pomps and pageantries of a stately court, and the mad clangor of arms, and the radiant loveliness of woman, bewildered and intoxicated my brain.»(Op. cit., 248)

Desaparecidas las colinas que limitaban sus sentimientos, lejos de la prisión gloriosa, la ciudad refleja el libertinaje, la perdición, la cotidianidad servil y llana. Incluso su ser parece rebelarse contra sí mismo. En tal **maremagnum** de impresiones, enfrentada su inocencia a la estampa del caos, Poe comienza a sentirse esclavizado por el encanto radiante de la mujer como abstracción. No sólo es siervo de esas briznas encendidas de su tentación sino que además dice servir al rey de tal corte urbana, mientras que en el valle, ambos, Eleonora y él, madre e hijo, habían sido señores indiscutibles de los dominios, los entes más elevados de la jerarquía. Desconcertado, siente que su mente se contamina.<sup>6</sup>

Se produce así una alienación entre su mente y su alma, aún comprometida en votos de fidelidad con Eleonora, quien ahora ya es sólo recuerdo. Su alma sigue siendo fiel a ella. Su mente es efluvio de tentación. El espíritu de su madre lo ha seguido, como últimas bocanadas de ese pasado, que no tardarán en difuminarse en el silencio de la noche. Una vez la madre deja de manifestarse, el mundo se convierte en un averno de sombras. El hijo tiene que enfrentarse a una nueva realidad. Puede que éste sea el momento en el que Poe se da cuenta realmente de su soledad, de su orfandad:

«Suddenly, these manifestations they ceased; and the world grew dark before mine eyes; and I stood aghast at the burning thoughts which possessed - at the terrible temptations which beset me(...)»

<sup>6</sup> Si en el viaje trascendental se había embebecido de belleza y perfección, había intoxicado su corazón, ahora Poe siente que es su cerebro el que se intoxica.

(Op. cit., 248)

Sin la protección maternal, lejos del regazo de Eleonora, lejos de su vientre y entregado a un mundo hostil, el huérfano se siente cercado por las tentaciones y es víctima del embrujo de una mujer que llega a la corte. Experimenta ahora otro tipo de amor bien diferente al que había sentido por Eleonora:

«(...)for there came from some far, far distant and unknown land, into the gay court of the king I served, a maiden whose beauty my whole recreant heart yielded at once -at whose footstool I bowed down without a struggle, in the most ardent, in the most abject worship of love.»(Op. cit., 248)

Su corazón, romántico, inestable, enterrado en pesar, concibe el súbito enamoramiento como antídoto a la pena. Olvidando sus votos, presa de la fragilidad y acallando los designios de su alma leal, se tiende a los pies de la dama. Esta nueva feminidad parece despertar en él pasiones mucho más avasalladoras, tempestivas e intensas, un amor que ya no es la pasión maternal de Eleonora, aquel sentimiento más infantil, utópico y susurrado. Ermengarde se convierte en deseo, ardiente y vigorosa atracción de amante, éxtasis, delirio y fervor. A ella, otro ángel, le entrega de inmediato su alma, pero, incluso en la extasiada admiración de la nueva feminidad, incluso en la profundidad silenciosa de sus ojos, Poe ve a Eleonora:

«What indeed was my passion for the young girl of the valley in comparison with the fervor, and the delirium, and the spirit-lifting ecstasy of adoration with which I poured out my whole soul in tears at the feet of the ethereal Ermengarde? -Oh bright was the seraph Ermengarde! and in that knowledge I had room for none other. -Oh divine was the angel Ermengarde! and as I looked down into the depths of her memorial eyes I thought only of them -and of **her**.»

(Op. cit., 248)

Finalmente contrae matrimonio con Ermengarde, sin temor alguno a la condena venida del cielo por haber roto sus votos. La alusión al enlace es fría y somera. De nuevo vuelven los susurros de Eleonora. En

realidad jamás ha dejado de estar ahí. Se podría hablar de segundo casamiento, terrenal, con Ermengarde, siendo el primero aquél contraído en el paraíso con Eleonora. Se podría hablar de infidelidad. Sin embargo, ni en el presente, desde el que Poe narra estos recuerdos, ni al final de su recuento, disocia el autor a Ermengarde de Eleonora. Ambas feminidades son una misma esencia, si bien diferente amor. Eleonora vuelve del más allá –“far distant and unknown land”–, a través del sendero trazado con aquel primer beso desde la muerte, y se reencarna en la entidad de Ermengarde, tal y como Ligeia resucita en Rowena, por propio arrepentimiento y deseo enfervorizado del narrador, o Morella vuelve a la vida a través de su hija, también por la aflicción del ego romántico. Ermengarde es, pues, materialización del anhelo del autor, más intenso cuando deja de sentir las manifestaciones etéreas de la madre. Es un sentimiento más maduro, más frenético. Es la seducción muerta, un espejismo de su sed, más ardoroso, más erótico.

Es esta simbiosis de ambas feminidades la que evita la ambigüedad que parece empapar el final del relato: si la voz que a la postre habla a Poe en sueños le absuelve de sus votos para con Eleonora, ¿podemos decir que la difunta permite finalmente que el amor anide entre dos vivos, entre Poe y la tal Ermengarde, comprendiendo quizás que el corazón pasional del narrador necesita algo material?

Poe no resuelve el dilema -sólo él queda emplazado a conocer tales razonamientos en el Cielo- pues no se vuelve a dirigir al lector. Son las palabras de Eleonora las que cierran la historia, quedando como eco espectral y esperanzador que enmarca el relato. El narrador ya las tenía en mente cuando comenzó a referirlo. Queda esa voz como catarsis del hijo-amante, redención e invitación a la salvación. No hay castigo pues no hay infidelidad. Eleonora y Ermengarde son el mismo ente:

«And once -but once again in the silence of the night, there came through my lattice the soft sighs which had forsaken me; And they modelled themselves into familiar and sweet voice, saying:

‘Sleep in peace! -for the Spirit of Love reigneth and ruleth, and, in taking to thy passionate heart her who is Ermengarde, thou art absolved, for reasons which shall made known to thee in Heaven, of thy vows unto Eleonora.» (Op. cit., 249)

Ella lo llama desde otro paraíso, el del más allá. Esas últimas palabras, en estilo directo, son las únicas que parecen tener existencia independiente, autónoma, no contaminadas por el subjetivismo del autor. Y ese "Sleep in Peace" es, tal vez, una invitación de Eleonora a que Poe cruce el umbral de la muerte y acabe con su agonía. Es una voz que emerge del relato, de la memoria, pero que habla a su presente estéril. Toda la historia, por tanto, es reflexión acerca de esas palabras que vuelven a la mente del autor y le hacen recordar una y otra vez los pasajes de su vida, la existencia en el valle y el errar en la ciudad, como si estuviera sumergido en una condena centrífuga, cíclica, que cesará cuando, por fin, acepte la llamada al otro lado, esa tentación repetida y constante, y acuda junto a Eleonora, atravesando el sendero, más allá del valle, hasta llegar al Cielo, la irrealidad más remota, en un nuevo viaje, el definitivo, y se cumpla así el casamiento divino.

En resumen, tres movimientos constituyen la excelsa sinfonía del relato: Ensueño, nostalgia –encadenados en relación causa-efecto– y, finalmente, esperanza, liberación final. Eleonora fue abrazo, muerte y, tras ello, beso, constancia y resurrección. Ahora es eternidad y salvación, venida del cielo al que Poe ofreció su voto. El sendero está abierto y ella aguarda. Como dicta el epigrama de Raymond Lully que abre la narración: "Sub conservatione formae specificae salva anima", el alma del autor alcanza la redención al haber preservado su amor. El sentimiento ha sido eterno y constante. No es en vida donde Poe encontrará a su querido espectro. Quizás en ese cielo, habiendo dejado ambos la muerte atrás, liberados de ella, en esa otra existencia, ningún ente oscuro de guadaña vuelva a arrebatarle la preciada feminidad: Eleonora, la madre; Ermengarde, la amante.

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**THE LITERARY CANON AND THE TRUTH.  
WHAT IF SHAKESPEARE DOES NOT COMPENSATE  
A LIFETIME'S REREADINGS?**

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**Resumen**

*La antigua idea cristiana del canon como grupo de textos, aceptados oficialmente como verdaderos y sagrados, se ha traducido en nuestro siglo a un catálogo de escritores y textos literarios inmortales que se consideran representativos, se compilan en antologías y se estudian en nuestras instituciones educativas. Este artículo defiende que, aunque el concepto de canon sea útil en términos pedagógicos, la elección de un canon determinado no puede defenderse con inocentes argumentos literarios, sino como reflejo de una serie de preferencias culturales y normas de evaluación extrínsecas a lo que los puristas califican como literatura. Proponemos, pues, abrir el canon de acuerdo con parámetros estadísticos y funcionales e incluir tanto las literaturas de minorías como las llamadas menores.*

**Abstract**

*From the early Christian idea that a canon was a specific group of texts officially recognized as genuine, true and sacred, we have moved to the 20th century idea of the canon as a catalogue of immortal authors, always already past, and authoritative texts judged representative, compiled in anthologies and required for study at our educational institutions. The present article argues that, although the category canon is useful in pedagogical terms, one's choice of a canon cannot be defended on ideologically innocent literary grounds, but as a reflection of evaluative norms extrinsic to literature. I propose opening up the canon along statistical and functional lines to include both minority and minor literatures.*

## 1. Introduction

If we want to be considered cultured, Alan Bloom, Professor of Political Science in the University of Chicago, asserts<sup>1</sup> that certain texts recognized as touchstone of taste and value must occupy center stage in our program of education. He bewails the fact that lesser works are becoming the educational order of the day, and regrets the universities' betrayal of the civilizing mission for which they were created, altering their liberal arts curricula on ideological and political grounds. The result of this process is a host of spiritually illiterate students interested solely in easy sex and rock music.

Then, what should we read? Obviously the "superhistorical" classics of Western tradition. The list of authors Harold Bloom<sup>2</sup> proposes in *The Western Canon* is made up of twenty six men and just a few women writers, influenced, defined and contained in the two centers that hold the canon together: Shakespeare and Dante, who amply "compensate a lifetime's rereadings" (1995:30).

Why should we read them? Because they are canonical. And, how can a text win canonical status? H. Bloom asserts that what makes a work canonical is its weirdness, its originality in the "representation of human beings, the role of memory in cognition, (and) the range of metaphor in suggesting new possibilities for language" (1995:10). That strangeness<sup>3</sup> "constitutes itself through the process of interartistic influence" (p. 24) and is achieved by way of repetition and departure from previous "real" works: "There can be no strong, canonical writing without the process of literary influence" (p. 8)<sup>4</sup>. No other influence, other than the literary, is recognized by Bloom. The aesthetic is thus

<sup>1</sup>See his educational treatise, *The Closing of the American Mind*.

<sup>2</sup> Michele Wallace calls H. Bloom "the godfather of white, patriarchy-obsessed literary theory" (1990: 173).

<sup>3</sup> Nothing strange to the readers familiar with Victor Sklovsky and his *Art as Device*.

<sup>4</sup> This argument was already developed in *The Anxiety of Influence: A Theory of Poetry* (New York: Oxford University Press, 1973). There H. Bloom argued that there existed a complex tension between the "strong" poets in any tradition and the predecessor poets whose influence they have to cope with and turn to advantage. The poet suffers the guilt-ridden hatred of the father that Freud detected. His will to expression is pursued through defensive "tropes," which at the same time disguise and elaborate the will to acknowledge no previous influence. Christopher Norris wonders how this theory, whose terms are so exclusively Oedipal, might apply to the woman poet (1982:117).

autonomous, irreducible to ideology and metaphysics, and perfectly useless in social terms. Furthermore, it can only be apprehended by the competent critic<sup>5</sup> who never gets tired of rereading the canonical text, if the text qualifies and provides “the high unpleasure or more difficult pleasure that a lesser text will not provide” (p. 30).

Literature is thus to be treated strictly in terms of excellence or lack of excellence, independently of its “ideas” or its “content;” and complexity and subtlety in their highest degree are the criteria for such excellence. But, who says so? Let me reformulate the question: who is invested with the power of judging a text’s excellence? H. Bloom believes it should be authors “who feel themselves chosen by particular ancestral figures” (1995:20) the ones to select the works we have to study if we want to be considered educated.

## 2. Literature by Minorities

### 2.1. Tradition is Fiction

Be it “great” authors, institutions of education, traditions of criticism or successful advertising and propaganda campaigns the ones in charge of selecting the “great” works, there is something clear: they have the cultural power to choose, and their choice responds to a sole interest: legitimize the prevailing social order, guard the dominant power structure and smash any threat to it by other cultural groups that differ from it because of language, ethnic origin, religion, geography, sex, or any other element<sup>6</sup>. How can we otherwise explain that the literary canon Harold Bloom presents is largely formed by the works of white males following the parameters of a Western European tradition, in such a

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<sup>5</sup>In *A Map of Misreading* (New York: Oxford University Press, 1975) H. Bloom argues that the critic is the creative competitor of the poet: “reading is ... a miswriting just as writing is a misreading... all poetry necessarily becomes verse criticism, just as all criticism becomes prose-poetry” (p. 3).

<sup>6</sup>Raymond Williams defines the literary canon as “the selective tradition” (1980:39), where “tradition” may be understood as “an aspect of *contemporary* social and cultural organization in the interest of the domination of a specific class,” as “a version of the past which is intended to connect with and ratify the present” (1977:116).

way that the "marginal" sectors of the population (women blacks, Native-Americans, Hispanics, etc) are left unacknowledged? Is it that they have produced nothing worth mentioning?

We have to recognize, Mary Helen Washington, a distinguished critic of black literature, claims, "that the creation of the fiction of tradition is a matter of power, not of justice, and that power has always been in the hands of men -mostly white" (1990:32) Kathy Acker rounds up the comment :

The idea that art has nothing to do with politics is a wonderful construction in order to mask the deep political significance that art has to uphold the empire in terms of its representation as well as its actual structure (1989:33).

What anybody writes about anything at a given moment is always specific in space, time and situation. Works do not exist in some aesthetic limbo<sup>7</sup> All intellectual or cultural work occurs somewhere, at some time and on some terrain. Far from agreeing to a crude Marxist determinism, we have to accept that all literature is produced within a complex set of ideological or social arrangements and is, therefore, related to the material conditions of its production.

Let us consider Postcolonial literatures or the new literatures in English<sup>8</sup>. They stem from a political position of social discrimination and oppression, unveil intraracial conflicts, tamper with received history - which they rewrite and realign from the point of view of the victims of its destructive progress - and break away from dominant ideologies. In sum, they give a new and strange perspective from which to view reality in order to change this world into a more egalitarian society. As Nadine Gordimer has put it, "*The transformation of experience* remains the writer's basic essential gesture" (1988: 298). The idea of art existing for its own sake is also rejected by Chinua Achebe in "The Novelist as Teacher" when writing:

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<sup>7</sup>The formalist basis of Bloom's argument - the notion of an autotelic art object and the concomitant notion that to read literature qua literature (rather than, say, as a sociological document) one must stay within the terms intrinsic to the text - has been seriously contested by structuralism, by deconstruction, and by some reader-response theory.

<sup>8</sup>The second term avoids the inclusion of any reference to colonialism. See Ashcroft, 1989, pp. 23-24.

The writer cannot expect to be excused from the task of re-education and regeneration that must be done. In fact, he should march right in front...I for one would not wish to be excused. I would be quite satisfied if my novels (especially the ones set in the past) did no more than teach my readers that their past - with all its imperfections - was not one long night of savagery from which the first Europeans acting on God's behalf delivered them. Perhaps what I write is applied art as distinct from pure art. But who cares? Art is important and so is education of the kind I have in mind (1965:45)

Be postcolonial art applied or be it pure, be it wonderfully conducive to social change or be it not, it is the discomfiting view of reality it presents and its disturbing cultural and political implications the reason for its having been dismissed from the canon. This brings us to another issue: how to evaluate in aesthetic terms a work of art that one finds politically distasteful?

## **2.2. Aesthetic Ethnocentrism and New Theories of Reading**

Marginal literatures destroy our aspirations to truth, they draw us from our secure, comfortable beliefs and bring into question the entrenched cultural values we inherit and hold. One of these is the aesthetic.

The history of opinions as to what constitutes aesthetic value shows a bewildering variety. From a diachronic point of view, aesthetic value judgements are always at the mercy of change and contingency, and therefore historically relative. Victorian writers were deeply committed to the values of denotation, presence, metonymy, immediacy and full communicative intentionality, whereas postmodernist writers hold connotation, implication, intertextual play and irony as the criteria for literary excellence. Aesthetic values come and go, so what today seems aesthetically excellent may no longer have that effect in a few years from now.

Harold Bloom sides with the aestheticists and speaks of the aesthetic element as a supersensuous subsistent entity, thus turning his

own value, or for that matter, that of his society, into a universal. In the synchronic axis there exist as many aesthetic values as cultures, determined by an infinite set of factors, from religion to biology through geography. Let me digress just here to illustrate my argument with several examples.

Native American literature derives from an ecosystemic, nonanthropocentric perspective on the world we are not attuned to. It is rooted in oral traditions, considerably different in their procedures from the dominant text-based culture, in precise measure as the speaker/listener relationship differs fundamentally from the writer/reader relationship. The spoken word is always more dynamic, is directed to a specific audience and provokes it to react, as opposed to the relative reticence of the written word with its general and unspecified target<sup>9</sup>. Therefore the rhetorical devices it uses are different from what we consider the most important stylistic devices. This is particularly clear in the case of Harry Robinson, a British Columbian Native writer born in 1900, whose stories abound in constant explication, much intentional repetition, dramatic pauses and frequent addresses to the listener.

The problem relates to the way the language itself is being used. In *The Great Code*, Northrop Frye, adapting an idea from Vico, speaks of the sequence in which language develops, from the metaphoric to the metonymic to the descriptive (1982:6-25). Simply put, Frye suggests that in the descriptive phase, words are used to refer to something outside the structure of words; in the metonymic phase, the criterion of truth is the integrity of the verbal structure rather than its relation to something outside; and in the metaphoric phase, everything is potentially identifiable with anything else. In the metaphoric phase, subject and object are linked by a common power or energy, no true verbal abstractions exist. This is the language of immanence, rather than of transcendence and description - and it is at the heart of much Native writing.

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<sup>9</sup>The idea that the delivery is an intrinsic part of the very nature of the work was one of the reasons why in many Native tribes there existed a straightforward form of copyright: individuals, or in some cases families, "owned" certain tales, and were the only ones permitted to express them. And these tales - i.e. the right to tell them - could be traded or sold or inherited.

Another crucial aspect of orality - and of the metaphorical phase of the use of language - is its discontinuity. "Cause" is not efficient and sequential, and things do not move or happen in a "rational" space or time. There is a great deal of jumping about; action is fragmented; narrators move in and out of their stories; causes are not explained; and past, present and future are at times fused. This is a particularly difficult aspect of Native writing to grasp, for it goes against the general sense of an ending, of a "point" to which the story is leading. Much Native writing leaves its "point" hidden. The contrast with our formal conventions has been pointed out by Lee Maracle. Since the reader/listener is as much a part of the story as the writer/narrator, she says, he or she must share in creating the conclusion too:

Most of our stories do not have orthodox "conclusions": that is left to the listeners, who we trust will draw useful lessons from the story - not necessarily the lessons we wish them to draw...The listeners are drawn into the dilemma and are expected at some point in their lives to actively work themselves out of it (1990:12)

It is not up to the storyteller to explain, just to present the dilemma tersely<sup>10</sup>.

African-American literature also differs in formal and verbal ways from which we are used to, so much so that the Martinican Aimé Césaire and the Senegalese poet and politician Leopold Sedar Senghor developed the concept of *Négritude*, which claimed a distinctive African aesthetics which separated itself from the "universal" values of European taste and style. In the '70s the *bolekaja* critics - Chinweizu, Jemie and Madubuike - rejected Eurocentric criticism of African fiction as based on the perception of the African writer as an apprentice European with no canons other than Western ones to emulate. And in the '80s, Henry Louis Gates Jr. continued to assert the existence of a distinctive Black literary aesthetic and started to work in a new critical theory that would combine post-structuralism with theories derived from the vernacular language and culture.

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<sup>10</sup>And Maracle adds that one of the reasons Natives are so frustrated when forced to attend non-Native schools, is that the stories they are supposed to read are so obvious that nothing is left to the imagination and the Native children are simply bored (1990:11-12).

Different aesthetic practices demand different methodological frameworks. Tey Diana Rebolledo, a Chicana critic, confesses in "The Politics of Poetics" having become suspicious of a criticism "which seems alien to the text about which it purports to talk, by a theoretical basis of patriarchal norms or a theory which does not take the particular concerns of minority writers and culture into account" (1988:137)

The critical tools learned from mainstream theoreticians are no longer valid. New methods, which arise from the object studied and are not artificially fastened on from outside, are needed, argues Gloria Alzandúa, Chicana poet and political activist:

*Necesitamos teorías* that will rewrite history, using race, class, gender and ethnicity as categories of analysis, theories that cross borders, that blur boundaries - new kinds of theories with new theorizing methods. We need theories that will point out ways to maneuver between our particular experiences and the necessity of forming our own categories and theoretical models for the patterns we uncover" (Alzandúa 1990:xxv) <sup>11</sup>.

It is then obvious that there are different writing practices, moved by different aesthetic modes, that require analyses which cannot be undertaken merely by extending once again familiar concepts appropriate elsewhere. And it is obvious they are worth analysing.

### 3. Popular Versus High Culture

I began this discussion of the canon with the concept of the canon itself; but at several points it may have seemed that I should, instead, have begun with the concept of literature, and thus define what is at stake in the various critical understandings of the term before speaking of the make-up of the literary canon.

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<sup>11</sup>Feminists have also theorized on aesthetics. Virginia Woolf endorsed a feminine mode of textuality and claimed that Dorothy Richardson developed "the psychological sentence of the feminine gender" (1971, 191); Annette Kolodny spoke in "Some Notes on Defining a 'Feminist Literary Criticism'" of a feminist mode and a feminist style; in *The Madwoman in the Attic*, Gilbert and Gubar aspired to elaborate a new theory of women's literary creativity, and Elaine Showalter coined the term "gynocritics" to refer to a feminist poetics.

The humanists believed in literature as a sacred instrument of education in values. I. A. Richards expressed it thus:

The common avoidance of all discussion of the wider social and moral aspects of the arts by people of steady judgement and strong heads is a misfortune....the critic is as closely occupied with the health of the mind as the doctor with the health of the body....the healthiest mind is that capable of securing the greatest amount of value ( 1989:25)

By reading “great works” the student would become a finer human being. The great author was there because he had managed to convey an authentic vision of life; and the role of the reader was to listen respectfully to the voice of the author as it was expressed in the text. Nothing changed with the advent of the New Critics - descendants of the aestheticist tendency in Romantic literary theory - who overtook the quasi-religious orthodoxy of the humanists and turned the poetic text into a sacrosanct and autonomous object free from all reference to empirical impurities. The formalists continued to posit the autonomy of the work of art, the discontinuity of the language of literature from other kind of language, and even outdid in purism the English and American New Critics, with whom they had much in common. All endorsed the essentialist view - according to which literature is a type of discourse qualitatively distinct from other types, with distinctive traits and unique functions - and all founded literary study on the opposition between high or serious literature and popular culture, subliterature or “paralittérature”.

The antinomies between high and popular cultural discourses are defined by Antony Easthope in the following list of opposites (1991:89):

<b>Literature</b>	<b>Popular subliterature</b>
abstract	concrete
complex	simple
connotation	denotation
figurative	literal
meaning deferred	meaning immediate

implicit	explicit
plural	univocal
moral reflection	physical action
verbal	visual, iconic
ironic	unironic

To the list we should add:

revered though seldom read	pervasively read and enjoyed wholeheartedly by the "common reader"
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The literary text commits itself to creating the effect of inward significance and psychological depth through transgression, discord, excess and irony. Its ideology is complexified and its reader's expectations constantly frustrated. In contrast to the orthodox narrative, the popular text is straightforwardly lineal, presents much physical action and little moral reflection. It aims to be denotative, a purpose achieved through an unironic and closed discourse, which works to efface the level of the signifier. The nature of its material is formulaic and repetitive, the ideology reproduced entirely overt and the reader's gratification immediate. A feature Easthope does not contemplate in his list, and one which certainly crosses the artificial boundary, is the immortal character of both high and low art.

The classical detective story genre is a good example of the low, popular type. Considered as the most highly ritualistic and formalized of all popular formulas, it was dismissed as wasteful of time and degrading to the intellect since Edmund Wilson published in 1950 "Who Cares Who Killed Roger Akroyd?"<sup>12</sup>. The fact is that a lot of people do care and that detective fiction persists more than 150 years after its inception. Its appeal is made obvious in the frequent revivals in films and television of series featuring Sherlock Homes, Hercule Poirot or Philip Marlowe; the number of its practitioners- who publish under their

<sup>12</sup>Our age places a particular high value on innovation and originality, but an examination of formulaic art also suggests that there is artistry based on convention and standardization.

own names with no diminution of respect - the increasing variety of responses from literary theorists and critics, and the amount of *aficionados* who delight in the restful pleasures of the lisible texts<sup>13</sup>.

Nevertheless, those who, like Harold Bloom, prefer the challenging pleasures of the scriptible texts, may also turn to detective fiction whose form, despite the persistence of traditional assumptions, has recently developed, according to David R. Anderson, in the direction of greater variety and turned its conventions into a site of play (1990:190) In fact, mainstream novelists presumed to have serious artistic ambitions, like Thomas Berger, Norman Mailer, Joyce Carol Oates, Carlos Fuentes, Alain Robbe-Grillet, Thomas Pynchon and Umberto Eco have drawn heavily on detective genre elements in recent works of fiction.

If certain forms of popular culture are being taken up with a high cultural form -following precedents that go back to Dada and Surrealism - it is apparent that the split between high and popular culture is vanishing in postmodern culture. This has made an impression on critics, who are studying high and popular forms alongside each other as gauges of popular tastes and of key ideological shifts. A theorist like Roland Barthes, who would devote an entire book to the structuralist close reading of a literary text by Balzac, could also be found doing a close-reading of the covers of women's magazines, or of professional wrestling matches on television. Umberto Eco might spend part of one book analyzing Joyce, and parts of another analyzing superman comics or Ian Fleming's James Bond series. Michel Foucault devoted only one work solely to literature, and spent the rest of his life focusing on the actual textual practices of society itself.

In direct contrast to the essentialist view there are the defenders of the instrumentalist perspective, who argue that literature has no essence and that what is or is not literature is whatever those empowered to define it, say it is. Leslie Fiedler asserts that "literature is effectively what we teach in departments of English; or, conversely, what we teach in departments of English is literature" (1981:73) Or, in Barthes's words,

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<sup>13</sup>According to John G. Cawelti "those who have most enthusiastically testified to their love of classical detective stories have been middle-class professionals and, in particular, academics" (1976, 105)

“the teaching of literature, is for me almost tautological. Literature is what is taught, that’s all” (1971:170) If we dismantle binary oppositions, avoid artificial dualisms and undertake the analysis of the many sibling “minor” genres that form the larger cultural family of writing as part of our university arts curricula, academics like the Blooms might come to accept popular narratives as “serious” literature not lacking in merit.

#### 4. Conclusion

I cannot dispense entirely with the concept of the canon. For one thing, we cannot deprive ourselves of useful explicative tools. For another, we never start from scratch. We have not invented our civilization or our values and, in any case, we should not pretend we have. Our civilization transmits us a canon of great writers that we are appointed to pass to future generations, with a certain humility but not uncritically.

However, I propose opening the canon and argue for parallel canons, in constant process of renovation, which promote books according to statistical and functional criteria. America is not exclusively made up of Western white men. So, courses on American literature should face that reality and offer a kind of proportional representation of what is actually there. The functional category means the promotion of books that are useful, satisfy psychological needs and interests, reflect cultural attitudes, are directly relevant to their audiences’ experiences and intimately connected with daily life.

The expansion of the canon is for the Blooms a reason to despair. If we pursue this direction, they claim, we will remove the very underpinning of common knowledge that holds Western civilization together, and give way to a relativism that will destroy the supposedly stable, unchanging human values and verities. For other academics, and for myself, this is reason to celebrate, for it acknowledges the complexity of real life and may foster tolerance. Opening the canon would not simply result in the inclusion of a few strange works in the syllabus, but would transform those works already contained within the traditional canon.

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## HARDY Y EL LECTOR VICTORIANO

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### **Resumen**

*Este artículo estudia la relación de Thomas Hardy con sus lectores y en qué medida dicha relación determina el proceso evolutivo de su narrativa. Por una parte veremos sus concesiones hacia el lector convencional victoriano y por otra la gradual búsqueda de un lector alternativo que culmina con las novelas finiseculares del escritor. Analizaremos las ambigüedades y contradicciones evidentes en esta relación y buscaremos, finalmente, su resolución en la última novela de Hardy, The Well-Beloved.*

### **Abstract**

*This article explores the relationship between Thomas Hardy and his readers: the conventional Victorian reader and the alternative Aesthetic reader. After approaching the evolution of Hardy's narrative as a conflict between his concessions to the former and gradual search for the latter, we find the solution to this conflict in Hardy's final novel, The Well-Beloved.*

La ambigua relación con el lector convencional victoriano mantenida por Thomas Hardy durante las tres décadas en las que se desarrolló su carrera como narrador es un aspecto importante a tener en cuenta antes de adentrarnos en sus novelas. Podemos acercarnos a esta relación siguiendo dos vías diferentes: la primera traza la alternancia entre autocensura y defensa en los prefacios de las novelas; la segunda nos conduce hacia las marcadas diferencias existentes entre las versiones para la publicación por entregas y en volumen de dichas novelas<sup>1</sup>. El hecho de que esta contradicción se vaya acentuando en su obra a medida que su carrera avanza se debe fundamentalmente a la respuesta de los lectores. Los lectores de los 70, década en la que se publican las primeras novelas de Hardy, buscaban entretenimiento en la narrativa, gustaban del melodramatismo de las novelas por entregas, y exigían el cumplimiento más estricto del decoro por el que debía regirse la producción literaria. Sin embargo, a lo largo de las dos décadas siguientes Hardy consigue conectar con un nuevo tipo de público que responde favorablemente a aquéllo que desagrada al mayoritario.

En este artículo proponemos un recorrido por los vaivenes de la actitud de Hardy hacia las exigencias del lector convencional, y su constante intento de captación de un receptor alternativo. La relación de Hardy con estos dos públicos se transmite a sus obras, haciéndolas partícipes de una interesante carga de ironía y contradicción.

La relación de Hardy con los lectores y editores de sus novelas sigue una trayectoria marcada desde el principio por el rechazo de su primera novela, *The Poor Man and the Lady*, en 1868. Esta novela, que Hardy aseguraba haber arrojado al fuego tras su fracaso, se caracterizaba, según sus propias palabras en *The Life of Thomas Hardy*, por su excesivo atrevimiento, «the tendency of the writing being socialistic, not

<sup>1</sup> Diferencias que, a su vez, respondían a la necesidad de editar, revisar y suprimir material presente en los manuscritos originales, seguida del recurrente intento de Hardy, una vez publicadas las obras en forma de serial, de volver cada una de ellas a su concepción inicial para su publicación en volumen. Como Peter Widdowson apunta:

*Perhaps the most striking contradiction in Hardy's novel-writing career is his willingness to accommodate these pressures, to change, revise, cut, suppress, to play the system for all its worth and, conversely, to produce novels which time and again reject fictional stereotypes...and which were bound to shock the Victorian moral conscience.*

Peter Widdowson, *Hardy in History: A Study of Literary Sociology* (Londres y Nueva York: Routledge and Kegan Paul, 1989), p. 136

to say--revolutionary»<sup>2</sup>. No es de sorprender que fuese rechazada por el conservador Alexander Macmillan y que George Meredith, entonces censor de la editorial Chapman and Hall, a la que también había enviado la novela, sugiriese a Hardy cambiar de rumbo y no publicarla, con objeto de no definirse si quería llegar lejos en el mundo de las letras, «for if he printed so pronounced a thing he would be attacked on all sides by the conventional reviewers, and his future injured» (*Life*, pp. 61, 63). Consejo importante que Hardy, deseoso de complacer a sus lectores, parece apresurarse a seguir escribiendo su segunda novela, *Desperate Remedies* publicada anónimamente en 1871 por Tinsley, que recibió una favorable acogida de manos de revistas como *Athenaeum* o *The Morning Post* y pocas críticas. Si bien se establece en este momento un pacto de sumisión con el lector convencional, salvaguardado por los editores de las «family magazines», en las que las novelas de Hardy se publicarían por entregas, era éste un pacto que, a pesar de cumplir su cometido de elevar a Hardy a la categoría de escritor popular, evidenciaba fisuras incluso en sus albores. *Desperate Remedies* contenía escenas que tuvieron que ser suprimidas para su publicación con la editorial Tinsley<sup>3</sup>, y ni siquiera el producto final se adapta totalmente al tipo de narrativa que Meredith le había sugerido escribir. De ahí las críticas de *The Spectator*, donde se denunciaba la inmoralidad de la obra, se instaba a los lectores a rechazarla y se aconsejaba a Hardy seguir en el anonimato hasta que consiguiese escribir mejores novelas<sup>4</sup>.

Aparentemente fruto también de este intento de congeniar con el lector convencional son las dos novelas siguientes *Under the Greenwood Tree* (1872), *A Pair of Blue Eyes* (1873) con las que Hardy se define como

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<sup>2</sup> Aunque *The Early Life of Thomas Hardy 1840-1891* y *The Later Years of Thomas Hardy 1892-1928* fueron publicadas en su momento (1928 y 1930 respectivamente) por Florence Emily Hardy, es opinión generalizada entre la crítica hardiana que fueron escritas por el propio Hardy.

Las referencias a estas obras que aparecen en adelante se incluirán en el texto con el título abreviado de *Life* y están tomadas de la edición de Michael Millgate *The Life and Work of Thomas Hardy by Thomas Hardy* (Londres: Macmillan, 1984). Esta referencia: p. 56.

<sup>3</sup> Estas escenas ya habían llevado a Morley, editor de Macmillan, a rechazar la novela.

<sup>4</sup> «we have said enough to warn our readers against this book, and, we hope, to urge the author to write far better ones»

Reseña anónima en *The Spectator*, 22 abril, 1871, pp. 481-3. (Las reseñas en revistas victorianas que aparecen en este artículo están tomadas de la recopilación hecha por R. G. Cox en 1970, *Thomas Hardy. The Critical Meritage*. Londres: Routledge.)

el novelista de la felicidad rural, tópico que le proporcionaría la fama y contaría con el beneplácito tanto de los lectores de la época como de las generaciones que les separan de nuestros días.

El tópico habría de consolidarse al año siguiente con *Far from the Madding Crowd*, tras cuya aparición en *Cornhill Magazine* la crítica responde con elogios dirigidos, sobre todo, a aquellos elementos de la novela que más se asimilaban a las novelas pastorales de George Eliot. *Far from the Madding Crowd* gozó de tanta aceptación que se publicó siete veces durante 1874. Lo cierto es, sin embargo, que el producto final dista mucho del manuscrito original de la novela, y es fruto de las severas correcciones impuestas por el editor de *Cornhill Magazine*, Leslie Stephen, que, recordemos, dirigía su revista a un público conservador cuyos gustos se vanagloriaba de conocer y defender<sup>5</sup>. Una carta a Stephen, recogida en la autobiografía de Hardy nos muestra a éste cediendo su autoridad sobre el texto por el bien del consumo masivo de sus novelas,

The truth is I am willing, and indeed anxious, to give up any points which may be desirable in a story when read as a whole, for the sake of others which shall please those who read it in numbers.

(*Life*, p. 100)

Debemos, sin embargo, poner en tela de juicio la sinceridad de este ofrecimiento por varias razones. En primer lugar, las concesiones a Stephen no eran en absoluto del agrado de Hardy, como se puede apreciar en *Life*, donde el escritor adopta varias poses al referirse a su relación de dependencia con el editor y a su servil aceptación de la censura que éste le imponía: bien narrar tal relación a modo de anécdotas que resultan divertidas vistas desde la distancia temporal de su autobiografía, bien, presentarse acomodaticio y fingir indiferencia con respecto a la calidad de su obra e incluso a su reputación como escritor. Ambas actitudes enmascaran, como nos recuerda Rosemarie Morgan, su malestar ante la traición perpetrada tanto a su obra como a su propia dignidad,

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<sup>5</sup> El primer mandamiento que todo escritor debía obedecer era, en su opinión, «Thou shalt not shock a young lady» ( Cf. Frederick William Matland, *The Life and Letters of Leslie Stephen*. Londres: Duckworth & Co., 1906, pp. 266).

malestar que sólo se ve paliado por la trabajosa tarea de reconstrucción de las novelas tras haber sido mutiladas<sup>6</sup>. En segundo lugar, Hardy apostillaba su ofrecimiento con un curioso comentario en el que decía no renunciar, en un futuro, a plantearse otras metas más altas:

Perhaps I may have higher aims some day, and be a great stickler for the proper artistic balance of the completed work, but for the present circumstances lead me to wish merely to be considered a good hand at a serial.

(Ibid.)

Elevadas aspiraciones que hicieron su aparición antes de lo que «some day» parecía indicar: a pesar de la intención profesa de convertirse en «a good hand at a serial», sorprendente y paradójicamente tras la popularidad de *Far from the Madding Crowd*, en 1876 Hardy publica una novela que representa la antítesis del bucolismo de ésta, *The Hand of Ethelberta*. Fiel a la afirmación en su autobiografía de que «he had not the slightest intention of writing forever about sheep farming, as the reading public was apparently expecting him to do» (p. 103), Hardy «set off, with what seems in retrospect an almost perverse determination, upon an entirely different task»<sup>7</sup>. *The Hand of Ethelberta* es una novela urbana que se caracteriza por su tratamiento radical de las diferencias sociales y su tono mordaz, en la línea de los supuestos de su primera obra *The Poor Man and the Lady* y de las que habrían de llegar en los 90<sup>8</sup>. Tras su publicación Stephen, escribió a Hardy para intentar persuadirle de que imitase a novelistas como George Eliot y siguiese en la línea de *Far* donde, en su opinión, se hallaba su verdadero talento<sup>9</sup>. Influído por Stephen, Hardy trivializa *Ethelberta* en el prefacio de 1895 describiéndola como «This somewhat frivolous narrative» y «an interlude

<sup>6</sup> Ver Rosemarie Morgan, *Cancelled Words. Rediscovering Thomas Hardy* (Londres y Nueva York: Routledge, 1992), p. 106.

<sup>7</sup> Michael Millgate, *Thomas Hardy: A Biography* (Oxford: OUP, 1982), p. 171.

<sup>8</sup> La novela está llena de pasajes autoconscientes que dirigen la atención del lector hacia la propia situación de Hardy como artista y hacia su difícil relación con los lectores victorianos. Es, como apunta Richard H. Taylor, «a study of the physical and personal deracination» expresada en las novelas de los noventa. (Richard Taylor, *The Neglected Hardy. Thomas Hardy's Lesser Novels*. Londres: Macmillan, 1982. P. 71).

<sup>9</sup> Cf. Morgan, op. cit., p. 179. El texto original procede de una carta de Stephen a Hardy el 16 de mayo de 1876. Cf. Matland, op. cit., pp. 291-2.

between stories of a more sober design»<sup>10</sup>, si bien en la edición «Wessex» de 1912 confronta el primer prefacio calificándola de obra precoz e incomprendida en su época,

Imaginary circumstances that on its first publication were deemed eccentric and almost impossible are now paralleled on the stage and in novels, and accepted as reasonable and interesting pictures of life; which suggests that the comedy (or, more accurately, satire)...appeared thirty-five years too soon. (p. 12).

En cualquier caso la infracción de Hardy al escribir *Ethelberta* llevó a Stephen a desconfiar y a negarse a publicar *The Return of the Native*, que fue entonces ofrecida a *Blackwood Magazine* con la siguiente nota: «Should there accidentally occur any word or reflection not in harmony with the general tone of the magazine, you would be quite at liberty to strike it out if you chose» (*Life*, p. 188). De nada sirvieron las concesiones, sin embargo, pues también Blackwood rechazó la novela, que finalmente tuvo que ser vendida a *Belgravia* por mucho menos de lo que Hardy había cobrado por la serialización de las novelas anteriores.

La dificultad para publicar *Return*, que había llevado al escritor de nuevo a ofrecerse a sacrificar su texto de ser ello conveniente, no evitó que éste volviese a las andadas con *Two on a Tower* publicada en 1882 y cargada de elementos que suscitaban críticas como las del *Saturday Review* que le acusaba de llenar la novela de desagradables episodios<sup>11</sup>; o como el artículo de Harry Quilter que en el *The Spectator* consideraba la novela «repulsiva»<sup>12</sup>.

Otro tanto sucede tras la aparición en volumen de *The Woodlanders* en 1887 que genera críticas como las de R. H. Hutton quien se queja en *The Spectator* de la actitud tolerante de Hardy hacia el libertinaje de Fitzpiers y de su ataque a la institución del matrimonio. Estas críticas hicieron necesario un prefacio en la edición de 1895 en el que Hardy se

<sup>10</sup> Todas las referencias a los prefacios de las novelas de Hardy están tomadas de la edición de Harold Ore1, *The Personal Writings of Thomas Hardy* (1967; Londres: Macmillan, 1990). Esta referencia: p. 11

<sup>11</sup> como el matrimonio de uno de los personajes con un obispo para legitimizar su hijo, que *Saturday Review* califica de «a most repellent incident, which the author was extremely ill advised to include in the scheme of his plot» (18 de noviembre de 1882)

<sup>12</sup> *Spectator* 3 febrero de 1883, p. 154.

define como observador neutro y asegura compartir la opinión de la mayoría de sus lectores acerca del carácter depravado de las relaciones extra-matrimoniales (p. 20), defensa poco convincente a la vista del inquestionable ataque contra el matrimonio que llena las páginas de *Jude*, publicada también en 1895.

Lo más curioso es que, a pesar de provocar conscientemente el escándalo, Hardy intentara contrarrestar su atrevimiento a través de los prefacios, que nos muestran a un escritor sumamente sensible hacia la crítica recibida, capaz de enfrentarse a ella por medio de su narrativa pero inánime y poco dispuesto a hacerlo abiertamente durante su carrera como novelista. Es por ello que las sucesivas etapas de purga y supresión de material de *Tess of the d'Urbervilles* chocan con la insistencia de Hardy por subtítular el volumen «A Pure Woman», lo que no pasó desapercibido para la crítica<sup>13</sup>. Mowbray Morris se centraba en el subtítulo para denunciar en *The Quarterly Review* la contradicción entre dicho subtítulo y la prestancia de Hardy a la hora de editar y censurar su propia obra y concluía que con *Tess* Hardy había contado «a disagreeable story in an extremely disagreeable manner»; Margaret Oliphant hablaba de «grossness, indecency, and horror»; y Andrew Lang definía la novela como «a sermon on modern misery»<sup>14</sup>.

En parte esta vez el clamoroso rechazo de la obra había estado provocado por la propia actitud de Hardy que en su prefacio a la primera edición de *Tess* abandona por primera vez la actitud defensiva, se enfrenta a sus posibles detractores y se resiste a censurarse: «If an offense come out of the truth, better it is that the offense come than that the truth be concealed» (pp. 25-26). Del mismo modo en el prefacio a la quinta edición Hardy habla del propósito de su novela «the plan of laying down a story on the lines of tacit opinion, instead of making it to square with the merely vocal formulae of society» (ibíd). Se trata del primer

<sup>13</sup> Sobre los cambios sufridos por la novela véanse las notas de N. Furbank a la edición New Wessex de la misma (Londres: Macmillan, 1974), pp. 469-71; y J.T. Laird, *The Shaping of Tess of the d'Urbervilles* (Oxford: OUP, 1975).

<sup>14</sup> Oliphant, op. cit., p. 126; Mowbray Morris, «Culture and Anarchy» en *Macmillan's Magazine*, abril 1892, pp. 319-26; Margaret Oliphant, «The Anti-Marriage League» *Blackwood's Magazine*, enero de 1896, pp. 135-49 (Cf. Laurence Lerner y John Holmstrum, ed., *Thomas Hardy and His Readers. A Selection of Contemporary Reviews*. London: The Bodley Head, 1968, pp. 126-27;

Andrew Lang, en *New Review*, febrero de 1892, vi, pp. 247-49

ataque directo de Hardy hacia el «too genteel reader», postura que decide, como reconoce Hardy en *The Life of Thomas Hardy* el principio del fin de un trayecto, «the book, notwithstanding its exceptional popularity, was the beginning of the end of [Hardy's] career as a novelist» (p. 240).

A pesar del tremendo escándalo que *Tess* provoca tanto en los círculos literarios como en toda la sociedad victoriana, Hardy insiste en echar más leña al fuego cuatro años más tarde con *Jude the Obscure*, novela de concepción más crítica incluso que *Tess*. Una vez más se ve obligado a modificarla para su publicación por entregas y de nuevo, pese a anticipar el escándalo que se avecinaba, Hardy devuelve la novela a su concepción original cuando la publica en volumen. La reacción entre los lectores no se hace esperar, de ahí los famosos incidentes que siguieron: el obispo de Wakefield manifestaba su indignación en una carta dirigida a *The Yorkshire Post* donde calificaba *Jude* de «basura» y mantenía que no pudiendo resistir la tentación había arrojado el libro al fuego; Margaret Oliphant en su famoso artículo a raíz de la novela acusaba a Hardy de ser el promotor de una conspiración contra el matrimonio que ella bautizaba «The Anti-Marriage League» y concluía «nothing so coarsely indecent as the whole history of Jude ... has ever been put in English print»; A. J. Butler titulaba su reseña de *Jude* en *National Review* «Mr. Hardy as a Decadent» y aseguraba que «there can be nothing more certain in literature than that a tendency to dwell on foul details has never been a «note» of any but third-rate work»; *Pall Mall Gazette* hablaba de «Jude the Obscene» e instaba a Hardy: «Give us quickly another and cleaner book to take the bad taste out of our mouths»; R. Y. Tyrrell en *Fortnightly Review* afirmaba «the book is steeped in sex» y planteaba el siguiente dilema: «Either Mr. Hardy's powers have undergone a sad deterioration...or he has determined to try the patience of his public and to see whether they will accept in lieu of a novel a treatise on sexual pathology»; J. B. Allen se preguntaba en *Academy* por qué Hardy incluía en su novela temas que normalmente se excluían de la conversación; y finalmente, B. Williams escribía en *Athenaeum* que la novela era «a titanically bad book by Mr. Hardy»<sup>15</sup>.

<sup>15</sup> A. J. Butler, «Mr. Hardy as a Decadent», *National Review*, Mayo 1896, pp. 384-90; *Pall Mall Gazette* «Jude the Obscene»; R. Y. Tyrrell, *Fortnightly Review*, Junio 1896, pp. 857-64; J. B. Allen, *Academy* 15 febrero de 1896, p. 134; B. Williams, *Athenaeum* 23 de noviembre 1895, p. 709.

Debido al carácter explícito de su novela y a las iras que anticipaba, Hardy había intentado paliar las críticas con su prefacio a la primera edición, un prefacio cargado de ironía a modo de escudo protector frente a posibles acusaciones. En él Hardy comienza desviando la atención del tema fundamental de la obra y adoptando el discurso que precisamente critica en la misma. Así, afirma que la lucha entre «la carne» y «el espíritu» lleva a su protagonista al fracaso, palabras que contradicen el mensaje de sus páginas en las que el ataque fundamental no va dirigido hacia la existencia de dicha lucha sino hacia la represión que las instituciones victorianas ejercen tanto sobre la carne como sobre el espíritu. Paradójicamente, sin embargo, la mera alusión a estos dos términos contribuyó a agravar la situación al apuntar hacia el tema tabú de la prosa victoriana. Años más tarde Hardy corregiría el error en el prólogo de 1912 en el que, desde la posición del escritor consagrado, no duda en protestar por el malentendido de los lectores y se lanza de nuevo al ataque adoptando un tono que está mucho más en consonancia con los temas de *Jude*, parodiando al lector convencional que se opone a su novela simplemente porque no expresa «a view of life that [those] who thrive on conventions can permit to be painted» (p. 35) y, finalmente, enfrentándose al discurso burgués al desvestir el matrimonio de su condición sacramental y definirlo como contrato: «the famous contract – sacrament I mean – is doing fairly well still» (ibíd).

Si bien *Tess* y *Jude* señalan su ruptura con las convenciones literarias victorianas y su recepción por parte del lector mayoritario, no es menos cierto que también marcan su captación de un receptor totalmente distinto al que estaba representado por las exigencias editoriales de las que nos hemos ocupado. Es lo que intuía Margaret Oliphant cuando, a raíz de su lectura de *Jude*, se planteaba:

I do not know... for what audience Mr. Hardy intends his last work... Is it possible that there are readers in England to whom this infamy can be palatable... The transaction is insulting to the public, with whom he trades the viler wares under another name... If the English public supports him in it, it will be to the shame of every individual who thus confesses himself to like and accept what the author himself acknowledges to be unfit for the eyes – not of girls and young persons only, but of the ordinary reader –

the men and women who read the Magazines, the public whom we address in these pages<sup>16</sup>.

Oliphant no se equivoca al señalar que ese lector alternativo no es precisamente «the ordinary reader», ni el lector de las revistas populares que habían sido el foro de la narrativa de Hardy, si bien dicho lector existía en mayor número de lo que estas palabras llevan a suponer. Es el público que reacciona favorablemente ante las novelas más atrevidas del escritor y que, al igual que éste, antepone la libertad artística al respeto al decoro, defiende un tipo de literatura distinta de la oficial y valora la osadía del escritor al adoptar la misma postura. Son lectores simpatizantes o miembros de movimientos alternativos que fueron surgiendo durante el último tercio del siglo: el esteticismo, o sus facetas tardías conocidas por «decadencia», o «new-fiction movement».

Cabe destacar entre estos otros lectores a Algernon Swinburne quien dirige una carta a Hardy expresándole su admiración por *Jude* y refiriéndose a un grupo de simpatizantes de la narrativa de Hardy de los que dice formar parte,

I will risk saying how thankful we should be (I know that I may speak for other admirers as cordial as myself) for another admission into the English paradise «under the greenwood tree»<sup>17</sup>.

Otros estetas se expresan de forma parecida como ocurre con Richard Le Gallienne, asiduo colaborador del *Yellow Book*, el famoso periódico esteta, cuya reseña para su columna periódica del *Star* elogia el estilo de *Tess* que considera la mejor novela de Hardy hasta la fecha debido a que en ella Hardy se compromete mucho más que en obras anteriores con causas polémicas como la denuncia sobre la discriminación sexual en la sociedad victoriana<sup>18</sup>. Así mismo William Watson, poeta y amigo personal de Hardy y colaborador en el *Yellow Book*, en su reseña de *Tess* para *Academy* considera la novela «a tragic masterpiece»

<sup>16</sup> Oliphant, op. cit., p. 126.

<sup>17</sup> La carta completa aparece citada en *Life*, pp. 288-89.

<sup>18</sup> 23 de diciembre de 1891. (Cf. R. G. Cox, ed., *Thomas Hardy. The Critical Heritage*. Londres: Routledge and Kegan Paul, 1970, pp. 178-180). Años más tarde Le Gallienne saldría también en defensa de Hardy en su artículo sobre *Jude* publicado en *Idler*, otra de las revistas asociadas con el movimiento esteta.

y, como Le Galliene, termina aplaudiendo la valentía de Hardy al tomar partido ante la injusta desigualdad entre el hombre y la mujer<sup>19</sup>.

Hay también una recepción femenina alternativa de signo contrario a la representada por Oliphant que puede apreciarse en el artículo sobre *Tess* que Clementina Black publica en *Illustrated London News*. En él se describe a Hardy como «one of that brave and clear-sighted minority»<sup>20</sup> que osa desafiar el modelo de novela tradicional e intenta socavar los inamovibles esquemas del lector convencional. Además, Black define exactamente la transgresión de Hardy con una intuitiva radiografía del lector convencional y sus esquemas:

[T]his very earnestness, by leading him to deal with serious moral problems, will assuredly cause this book to be reprobated by numbers of well-intentioned people who have read his previous novels with complacency. The conventional reader wishes to be excited, but not to be disturbed; he likes to have new pictures presented to his imagination, but not to have new ideas presented to his mind. He detests unhappy endings mainly because an unhappy ending nearly always involves an indirect appeal to the conscience, and the conscience, when aroused, is always demanding a reorganization of that traditional pattern of right and wrong which it is the essence of conventionality to regard as immutable.

(ibid)

En la misma línea liberal de este artículo debemos mencionar también la reseña de *Jude* que aparece en el *Saturday Review*, donde el autor se plantea: «whether for many years any book has received quite so foolish a reception as has been accorded the last and most splendid of all the books that Mr. Hardy has given the world», recepción sólo comparable, asegura, a «the New England Witch Mania». Dada la situación quizás fuese preferible, propone finalmente, cambiar el término «lectores» por el de «sanitary inspectors of fiction»<sup>21</sup>.

Para finalizar este recorrido por la recepción alternativa de Hardy

<sup>19</sup> 6 de febrero de 1892, pp. 125-6.

<sup>20</sup> Artículo del 9 de enero de 1892, p. 50.

<sup>21</sup> 8 febrero de 1896, pp. 153-4.

citaremos el artículo sobre *Jude* publicado en el *Savoy Magazine* por *Havelock Ellis*, también colaborador del *Yellow Book*. Ellis se muestra acertado cuando afirma que la carrera narrativa de Hardy ha sido la historia de su gradual liberación de las exigencias de los lectores contemporáneos: «The whole course of Mr. Hardy's development, from 1871 to the present, has been natural and inevitable, with lapses and irregularities it may be, but with no real break and no new departure»<sup>22</sup>.

La resolución de esta accidentada trayectoria de ambigüedades, contradicciones y oscilaciones entre los dos polos descritos se encuentra en su última y más autobiográfica novela, *The Well-Beloved*. La obra, que narra la vida de un artista y el constante sufrimiento que para éste representa la búsqueda de la belleza, no podría entenderse sin tener en cuenta la trayectoria personal de su autor. Es curioso que a diferencia de sus otras novelas, *The Well-Beloved* presente dos versiones marcadamente diferentes, tanto que incluso el argumento difiere entre la versión por entregas, publicada en 1892 y la versión en volumen de 1897. La primera presentaba a un héroe rebelde y romántico, al modo de Tess o Jude, capaz de intentar cometer suicidio en defensa de sus ideales, y, si bien al final la realidad se impone, esto ocurre en contra de la voluntad del protagonista. Por el contrario en la versión de 1897, Pierston, el protagonista, renuncia voluntariamente a su búsqueda de la belleza para convertirse en un miembro útil de su comunidad. Del mismo modo, al haber definido sus objetivos como narrador y al encontrar imposible el llevarlos a cabo, Hardy tenía la intención de despedirse del género narrativo y reintegrarse en la comunidad, derribar su imagen como novelista inmoral y construir una nueva, mucho más aséptica y aceptable de sí mismo como poeta. Como comenta en su autobiografía con *The Well-Beloved* «ended his prose contributions to literature... his experiences of the few preceding years having killed all his interest in this form of imaginative work» (*Life*, p. 304). Es por ello que la novela denuncia la incompreensión del público que le llevaría a cambiar el rumbo de su carrera,

At present... his productions are alluded to as those of a man not

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<sup>22</sup> «Concerning *Jude the Obscure*», *Savoy Magazine*, Octubre 1896, pp. 35-39

without genius, whose powers were insufficiently recognized in his lifetime.

Teniendo en cuenta que ésta es la última frase de la última novela de Hardy, no podemos evitar considerarla el autoanálisis del artista desde el espíritu de «fin de siècle»: alguien cuyo talento como novelista no había sido comprendido por su generación<sup>23</sup>. El abandono definitivo de la búsqueda de la «bien amada» de Pierston es, en resumidas cuentas, el adiós definitivo de Hardy hacia un proyecto narrativo que, en su época, sólo podía conectar con un lector minoritario.

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<sup>23</sup> Michael Ryan, «One Name of Many Shapes: *The Well-Beloved*», en Kramer, ed., *Critical Approaches to the Fiction of Thomas Hardy* (Londres: Macmillan, 1979), p. 189.

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# LA REIVINDICACIÓN DE LA NATURALEZA LINGÜÍSTICA DE LA NOVELA COMO BASE DE LA TEORÍA NARRATIVA DE DAVID LODGE

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## **Resumen**

*El presente artículo pretende hacer una exposición y discusión de los dos pilares fundamentales que determinan la producción crítica y narrativa de David Lodge. Como novelista declaradamente entroncado en el realismo, y como crítico literario, el interés de Lodge era en primer lugar reivindicar la validez literaria del lenguaje narrativo, y encontrar un método descriptivo propio, no tomado de otros géneros. Lo que este trabajo muestra es cómo su teoría del discurso literario en realidad se retrotrae a dos ideas básicas, derivadas de esta preocupación suya por validar y estudiar el modo narrativo que él practica: a) la importancia del lenguaje tanto en textos poéticos como narrativos, y b) que esta naturaleza verbal de la novela realista como texto literario permite su caracterización y descripción, a la altura del texto poético, en la tipología del lenguaje literario de Lodge, basada en los dos polos del lenguaje: el metafórico y el metonímico.*

## **Abstract**

*This paper attempts a journey back to the basic principles upon which David Lodge built his understanding of the language of fiction, his own narrative practice and his career as a literary critic. In this view, the ultimate aim of this article is to show the relevance and the convenience of the two ideas explained here for an author like Lodge, rooted in the realistic tradition. What this article does is explain these two basic ideas, that Lodge needs to vindicate the realistic narrative mode as a kind of literary discourse as aesthetically valid as the poetic one, and in the end, as a discourse inherently novelistic. The first of these ideas is the importance of language to fulfill the mimetic purposes of the realistic novel, but also, as the basis that will level it with the poetic language. From this notion stems the second principle discussed here: Lodge's linguistically based typology of literary discourse, structured along the lines of the metaphoric and metonymic poles of language.*

La obra de David Lodge como novelista posee una serie de características comunes, entre las que nos interesa particularmente la preocupación del autor por la forma de la novela. Este interés se manifiesta en la diversidad de formas y de discursos presente en su narrativa así como en su pieza teatral, y por supuesto en su producción crítica, cuyos pilares fundamentales son los que nos ocupan en este trabajo. El objetivo de este artículo es, por un lado, exponer los planteamientos iniciales del pensamiento crítico de Lodge, planteamientos que, como base de los conceptos que Lodge desarrollaría más tarde en su teoría del lenguaje de la novela, hemos dividido básicamente en dos. Estos dos elementos son sendas constantes en la obra tanto creativa como crítica de David Lodge. Por otro lado, al tiempo que este trabajo revela el esqueleto que subyace al pensamiento y la creación del autor, también persigue analizar las premisas que conducen a Lodge a la primera constante fundamental de su obra, y a continuación revelar la conexión de ésta con la segunda constante de su obra crítica. Las dos ideas centrales de este autor que define su obra novelística como «basically antimodernist, but with elements of modernism and postmodernism»<sup>1</sup>, donde antimodernismo es sinónimo de realismo, son las siguientes:

1. Por una parte, el interés de Lodge por revalorizar el modo literario narrativo, y en particular, el realista, cuyos logros artísticos han sido tradicionalmente ignorados por la crítica, en favor del estudio del lenguaje poético. Puesto que la validez de la literatura realista se basaba en su capacidad de imitación del mundo fenoménico, el análisis del discurso narrativo realista se descartaba. En este sentido, Lodge está especialmente interesado, sobre todo al principio de su trayectoria crítica, en *Language of Fiction*, en establecer de forma clara la naturaleza lingüística y formal de la obra literaria, sea ésta poética o en prosa, realista o no.
2. Sobre la base de lo anterior, Lodge se propone, ya desde *The Novelist at the Crossroads*, y realiza por fin plenamente en *The Modes of Modern Writing*, una tipología de la narrativa moderna,

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<sup>1</sup> Estas palabras fueron pronunciadas durante el transcurso de una conferencia inaugural titulada «Modernism, Antimodernism and Postmodernism», celebrada el 2 de diciembre de 1976 en la Universidad de Birmingham, y publicada meses más tarde. El extracto citado aparece en *Modernism, Antimodernism and Postmodernism* (Birmingham: University of Birmingham, 1977), p. 13.

para lo que previamente desea caracterizar contrastivamente los discursos poético y narrativo. Entonces establece dos modos de lenguaje literario, el metonímico, y el metafórico, que explicarán las diferencias y semejanzas entre los modos narrativo y poético, y servirán a Lodge como el instrumento perfecto para su tipología de la narrativa moderna.

### 1. LA IMPORTANCIA DEL LENGUAJE: LA NOVELA COMO ARTE RETÓRICO (LA FALACIA TRANSPARENTE)

Se ha dicho en numerosas ocasiones que la novela como género comienza propiamente con Cervantes, y según Robert Alter<sup>2</sup> el hecho de que aparezca precisamente en este período no es, como casi nada en cualquier proceso histórico, gratuito. En realidad, aparte de otras consideraciones sociohistóricas, la novela es el único género literario mayor que nace después de la aparición de la imprenta. Este hecho, como veremos, está íntimamente ligado tanto a su aparición como a su posterior evolución. En efecto, según Alter la novela, en tanto género ficticio que es, resulta posible al cabo de un proceso de erosión de la creencia del lector en la autoridad y en el poder de la palabra escrita: este es el resultado de la progresiva accesibilidad del hombre a la recepción de la literatura, que ha continuado en progresión geométrica hasta nuestros días. La historia de la transmisión de mensajes dispuestos formalmente de manera artística se remonta a las figuras del bardo, juglar, etc., que relataban historias a sus oyentes, que se agrupaban ritualmente alrededor del oficiante-narrador. Más tarde, según esta teoría, la palabra manuscrita difundida entre una minoría seguía conservando un carácter sagrado o mágico. El paso siguiente, la palabra impresa, privaba de exclusividad a la obra por el proceso de multiplicación al que la sometía distanciándola considerablemente de su autor; el propio proceso reproductor trivializa la obra, que se convierte en algo más barato, en una copia, pero sin embargo aún conserva como vestigio de sus antecesores literarios un cierto sentido de sacralidad por el que a veces se

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<sup>2</sup> Véase de este autor el capítulo «The Mirror of Knighthood and the World of Mirrors», en *Partial Magic: The Novel as a Self-Conscious Genre*.

siente que lo que dice un texto debe de ser verdad puesto que está escrito en un libro. Desde entonces, la autoridad de la palabra queda cada vez más en suspenso, e incluso más aún a medida que diferentes métodos de reproducción, como la fotocopidora o el fax, así como el concurso de los medios informáticos, entran en escena distanciando aún más al lector del original de la obra, y posibilitando así a cualquiera confeccionarse su propio libro a partir de fotocopias o versiones manipuladas digitalmente de una misma o diferentes obras. Precisamente por la erosión de la fe en la autoridad de la palabra, consecuencia de este proceso, es por lo que adquiere sentido la función retórica del lenguaje literario. En este sentido, Lodge muestra tanto en *The Art of Fiction* como en *Language of Fiction* su convencimiento, de acuerdo con Wayne Booth, de que la narrativa es esencialmente un arte retórico, y nos referimos aquí al sentido clásico de la palabra «rhetorica», porque no sólo tiene como finalidad la producción de significado, como cualquier otro arte está llamado a hacer, sino que persigue la inmersión del lector en el mundo creado por su ficción. Por tanto, el novelista intenta persuadirnos para que participemos de la realidad imaginaria reflejada en su obra, y nos la creamos mientras dura la lectura.<sup>3</sup>

Esta es la premisa de la que parte la tradición realista literaria: la mimesis ejecutada de modo retórico, para convencer al lector de la verosimilitud de lo narrado, de forma que se produzca la identificación necesaria para abstraernos de la realidad ajena a la obra. Este arte de convencer con que Lodge define la narrativa caracteriza incluso la producción de novelistas que deliberadamente rompen la ilusión de realidad para enfrentar a sus lectores con la falacia del realismo y la naturaleza del proceso creativo, porque para poder romper esta ilusión, o como lo llama Lodge, este «hechizo» es necesario que antes hayan tenido que trabajar para conjurarlo y hacerlo funcionar.<sup>4</sup> El realismo clásico se caracteriza por intentar reflejar el mundo exterior por medio de un lenguaje discreto formalmente, que se diferencia poco del lenguaje cotidiano, con el fin de presentar de forma «transparente» la realidad según la percibe el autor. Sin embargo, el lenguaje transparente no existe. Como apunta Paul de Man en *Allegories of Reading*, los tropos del lenguaje

<sup>3</sup> Véase *The Art of Fiction*, p. 10.

<sup>4</sup> *Ibid.*, p. x.

impiden un uso literal, referencial del mismo. En definitiva, como concluye en *Blindness and Insight*, el lenguaje literal es en realidad un lenguaje figurativo cuya figuración ha sido olvidada.<sup>5</sup> En nuestra opinión, el discurso realista tradicional funciona sobre las dos convenciones sobre las que se asienta el uso retórico del lenguaje literario: la convención de verosimilitud y la que podríamos llamar convención de la *distancia ficcional*. En primer lugar, el novelista se esfuerza en crear un contexto de circunstancias temporales, locales, situacionales, culturales, etc. que resulten más o menos verosímiles o incluso verificables de acuerdo con nuestro conocimiento del mundo empírico. La función retórica del lenguaje entonces opera en tanto en cuanto estos datos persiguen convencer al lector de algo, que no es otra cosa que de su autenticidad como un pedazo de realidad semejante a la que el lector conoce en su vida cotidiana. La segunda convención se refiere al segundo paso del novelista al construir su ficción: el movimiento de lo real a lo ficcional, de una realidad extralingüística (unos datos y unos escenarios) a otra de naturaleza verbal: la obra literaria. En este sentido, aunque la presentación de los elementos referenciales de la obra trata de ocultar el hecho de que la novela existe en un plano diferente al de la vida real, esta convención lleva implícita la anuencia del lector. Este, aunque sea momentáneamente arrastrado al entramado circunstancial dispuesto retóricamente por el novelista, es consciente del desplazamiento de lo real a lo ficticio, y no interpreta lo narrado como algo verdaderamente sucedido y susceptible de verificación. Los elementos extralingüísticos dotan de realismo a la obra, y forman parte de la vida *real*; la disposición de estos elementos en la novela por medio de un determinado uso del lenguaje nos hace verlos como plausibles, pero apreciando que pertenecen a otra dimensión, no fenoménica: la de la palabra. David Lodge ha manifestado en numerosas ocasiones la importancia que él concede al uso del lenguaje en la novela, y por ende, en las de su creación. En 1964 Lodge afirmaba en «The Critical Moment» que una obra literaria

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<sup>5</sup> En este sentido, está claro que nos referimos a la dimensión retórica del lenguaje, en cuanto que éste está conformado no sólo por términos denotativos, sino también por tropos y figuras. Así, cuando hablamos de la novela como arte *retórico*, lo hacemos refiriéndonos a la doble significación del término. Por una parte, a la función persuasora, recuperadora del poder y la autoridad de la palabra que todo texto realista pretende, y por otra, a la importancia de los recursos del llamado lenguaje poético, que es tan propio de la prosa como de la poesía.

«acquires its unique identity by virtue of its verbal organization».<sup>6</sup> Por otra parte, ya en su primera obra crítica, *Language of Fiction*, Lodge argumenta con diversos ejemplos el papel fundamental que desempeña el lenguaje como medio de expresión del novelista. De hecho, el análisis crítico de diferentes textos que Lodge realiza en esta obra muestra cómo el discurso realista consigue cumplir su objetivo (presentar al lector todo un mundo de relaciones y experiencias que éste pueda identificar y sentir como real) no por mor de construir el mundo ficticio de su novela sobre la base de una estricta fidelidad al *mundo real*, sino por medio de la habilidad del autor para crear personajes, situaciones, lugares, sentimientos, y experiencias en general, de forma que el lector las perciba como *recreadas*, como una reproducción de estos elementos sucedidos realmente. Este hecho es presentado como indicativo de la importancia del papel del lenguaje en la obra literaria. En efecto, en *Language of Fiction* Lodge afirmaba repetidamente que el medio y el material del novelista es el lenguaje, y no la vida: «the novelist's medium is language: whatever he does, *qua* novelist, he does in and through language.»<sup>7</sup> Al hacer hincapié en la importancia que la forma de expresión tiene sobre las referencias extraliterarias de contenido, Lodge recoge las preocupaciones de formalistas rusos y estructuralistas sobre la importancia del lenguaje como elemento determinante de la literariedad de una obra. Por una parte, Lodge se alinea con el axioma estructural que Barthes expone en su «Structural Analysis of Narrative»: «What takes place in a narrative is from the referential point of view literally nothing; «what happens» is language alone, the adventure of language, the unceasing celebration of its coming.»<sup>8</sup>

Por otra parte, Lodge asume los presupuestos de los formalistas rusos, a los que se remonta en realidad el estructuralismo, como Shklovsky y Tinianov, por los que la literariedad de una obra reside en el uso que ésta hace del lenguaje, en virtud del cual el arte puede romper el automatismo de la percepción. Según este razonamiento, la misión especial del arte sería, pues, devolvernos a través del lenguaje la imagen de los objetos que se han convertido en algo habitual en nuestra

<sup>6</sup> David Lodge, «The Critical Moment», p. 267.

<sup>7</sup> Véase *Language of Fiction*, p. ix.

<sup>8</sup> Cf. *Language of Fiction*, p. 295.

conciencia cotidiana. Por tanto, en la concepción formalista, que divide los elementos que conforman el objeto literario en material y procedimiento, el lenguaje como procedimiento es el encargado de impedir que al leer una obra tengamos una visión automatizada de las cosas que aparecen aludidas en ella. Y como se desprende de todo lo anterior, la premisa inicial para esta visión del arte consiste en el uso especial del lenguaje literario, bien alejado del lenguaje práctico y *transparente* que nos comunica con el mundo. Si dentro del esquema formalista el arte es procedimiento, como reza el título del famoso ensayo de Victor Shklovsky de 1917, y, por tanto, el proceso de percepción se convierte en un fin en sí mismo, Lodge en su *Language of Fiction* expone una visión del lenguaje literario similar. David Lodge piensa que el lenguaje literario (tanto poético como narrativo) debe significar y ser al mismo tiempo. A partir de esta premisa surgen toda una serie de implicaciones. En primer lugar, esto significa elevar al lenguaje en prosa de su relegación a la función referencial. Lodge niega la exclusividad del lenguaje poético para mostrar sus cualidades literarias por medio de tropos y figuras retóricas tradicionalmente asociadas a este discurso, como metáforas, alegorías, simbolismos, etc. Efectivamente, la poesía llama la atención sobre sí misma mientras que la prosa por lo general nos acerca más a un referente, el mundo más o menos cotidiano. Esto explicaría la poca importancia que tradicionalmente se ha prestado al lenguaje literario en prosa, como señala Lodge y como evidencia además el hecho de que convencionalmente una novela se haya recordado por su trama, sus personajes, o cualquier otro elemento relacionado con el contenido, pero no por el sistema de símbolos, imágenes, etc. que el autor hubiese creado en ella.<sup>9</sup> En vista de esta laguna crítica en torno al lenguaje narrativo como forma literaria, Lodge se propuso en *Language of Fiction* encontrar un método crítico formalista aplicable a la novela, del mismo modo que el «New Criticism» había hecho centrándose en la poesía y el drama poético, para solucionar el problema, como expondría él mismo más adelante, de “how to account aesthetically for the realistic novel - how to analyse

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<sup>9</sup> El propio Jakobson, precursor de la tipología del lenguaje literario que asociaba ambas escrituras, como veremos, había advertido esta preferencia de la crítica literaria “towards metaphor rather than metonymy, a bias reflected in the relative neglect of realistic fiction by poetics and literary stylists until recently.” (*After Bakhtin*, p. 91)

its formal devices in terms proper to itself and not drawn from drama and poetry."<sup>10</sup>

## 2. TIPOLOGÍA BINARIA DEL LENGUAJE LITERARIO: POÉTICA Y NARRATIVA

Tras conocer la teoría de Jakobson de la metáfora y la metonimia que éste exponía en «Two Aspects of Language and Two Types of Aphasic Disturbances»<sup>11</sup>, Lodge elabora sobre la base del análisis de Jakobson su propia teoría sobre la naturaleza del lenguaje narrativo y poético, así como de la narrativa contemporánea, y publica sus conclusiones primero en «Metaphor and Metonymy in Modern Fiction» (1975), y más adelante en *The Modes of Modern Writing* (1977). En *The Modes of Modern Writing* David Lodge aplica esta teoría para el análisis de diversos textos literarios entre los que incluye textos narrativos realistas, de manera que pone de manifiesto la literariedad del lenguaje en prosa y realista al prestar atención a los elementos formales de su discurso, e ilustra por medio de ellos la tipología que expone sobre la base de esta teoría.

La tipología de Jakobson del lenguaje literario se articula sobre los polos metafórico y metonímico, tomados de la retórica de los tropos, y tiene una clara filiación estructuralista, en cuanto toma el análisis lingüístico como base para el estudio de la literatura, y obtiene así una caracterización a base de un sistema de opuestos. Es significativo, además, el paso hacia adelante dentro del método estructuralista que supone la teoría de Jakobson. Por medio de su tipología del lenguaje literario, Jakobson amplió el objetivo estructuralista del análisis de la forma al análisis de la significación. Superando la postura de los primeros formalistas rusos y estructuralistas, que despreciaban el uso de imágenes y tropos, Jakobson no sólo retoma estos dos tropos sino que los pone como ejes de su análisis del lenguaje literario. Al hacer esto, supera a su

<sup>10</sup> Véase *The Modes of Modern Writing*, p. viii.

<sup>11</sup> Véase la reedición de gran parte de este trabajo que con el título «The Metaphoric and the Metonymic Poles» (originalmente publicado en *Fundamentals of Language* de Jakobson y Morris Halle en 1956) aparece en *Modern Criticism and Theory* (pp. 57-61), junto con el artículo «Linguistics and Poetics», en el que se expone la teoría de Jakobson sobre la dimensión lingüística del fenómeno literario (pp. 31-56).

vez los intereses formales, y eleva la categoría del significado, considerándola como el objetivo último del método estructural. La base de la teoría de Jakobson reside en el concepto estructuralista saussuriano de la doble naturaleza del lenguaje, pues para su funcionamiento implica dos operaciones, selección y combinación: la selección de determinadas unidades lingüísticas, elegidas dentro de un eje paradigmático, y su posterior combinación para construir unidades lingüísticas más complejas en el plano sintagmático. El proceso de selección implica similitud y sustitución: la elección del escritor se efectúa entre elementos entre los que existe una base de semejanza, pero también las diferencias que hacen que se decida por la utilización de uno y no de otro. Precisamente las similitudes y diferencias entre los elementos del eje paradigmático (que Jakobson hace corresponder con los conceptos de «langue» y de código) posibilitan la sustitución de uno por otro, con la conservación del sentido básico global de la comunicación, al tiempo que en virtud de su diferencia se introducen nuevos matices de significación. Este es, en definitiva, el proceso básico por el que se rige el funcionamiento de la metáfora. La segunda operación implícita en el funcionamiento del lenguaje a que aludíamos más arriba es la combinación. El proceso de combinación de las unidades lingüísticas seleccionadas en el plano paradigmático se realiza en el plano sintagmático de la expresión, para componer unidades lingüísticas de mayor grado de complejidad. En la oposición binaria «langue»/«parole», código/mensaje, el eje de combinación se corresponde con el segundo de estos términos. El proceso de combinación implica continuidad, pues las palabras seleccionadas se suceden unas a otras en el sintagma y se relacionan por contigüidad. Este es a su vez el principio por el que funciona la metonimia. En la tipología de Lodge, éste contempla que, si bien el lenguaje funciona por medio del concurso de ambos mecanismos, el predominio de uno u otro marcará el tipo de discurso en cuestión:

The development of a discourse may take place along two different semantic lines: one topic may lead to another either through their similarity or their contiguity. The metaphorical way would be the more appropriate term for the first case and the metonymic for

the second, since they find their most condensed expression in metaphor and metonymy respectively.<sup>12</sup>

Esta visión del lenguaje literario lleva a Lodge a una primera conclusión: la predominancia del polo metafórico caracteriza la construcción del lenguaje poético, mientras que el proceso metonímico caracteriza el discurso en prosa. En cuanto al lenguaje poético, en primer lugar, la primera motivación metafórica la encontramos en la concepción del poema en general: como la metáfora, la finalidad del poema es ser interpretado, evocar una realidad, íntima o externa al poeta, por medio de diferentes relaciones de semejanza con ésta. El proceso por el que se establecen estas relaciones de semejanza entre los términos del texto y las realidades extraliterarias que éstos evocan es un proceso subjetivo. Este elemento de subjetividad interviene por una parte en la interpretación de metáforas individuales dentro del poema. Evidentemente, las relaciones de semejanza que el poeta establece - y que el lector en sintonía con la particular sensibilidad del poeta encuentra - entre diferentes elementos, de manera que permitan su agrupación dentro del mismo paradigma, son externas al texto; es decir, la asociación que el poeta encuentra entre el vehículo de la metáfora - el término *in praesentia* - y el tenor - el término *in absentia* - tiene lugar precisamente *fuera* del texto. Así, esta naturaleza inherentemente subjetiva del lenguaje metafórico explica la capacidad expresiva que tradicionalmente se le ha reconocido al lenguaje poético para trascender su propia textualidad, para evocar emociones y visiones íntimas e individuales apelando a una sensibilidad hermana en el lector, a su subconsciente, en definitiva, a una percepción particular de las cosas y del mundo, etc. cercana a la del poeta. Además, el lenguaje poético se construye sobre el polo metafórico del lenguaje, esto es, sobre el principio de semejanza, en otros sentidos también. Es evidente que otras muchas características formales del lenguaje poético además de los tropos tradicionales tienen su origen en las relaciones de semejanza. Diferentes variaciones sobre este eje (repetición o supresión de elementos o estructuras semejantes o idénticos) determinan fenómenos como el ritmo acentual, los pies métricos, la rima, aliteración, simbolismo fónico, y numerosas figuras (paronomasia, anáfo-

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<sup>12</sup> Véase *The Modes of Modern Writing*, p. 79.

ra, reduplicación, anadiplosis, etc.). Por otra parte, la subjetividad inherente al polo metafórico del lenguaje interviene asimismo en la interpretación global del poema, que entendemos como un elemento que evoca otra realidad diferente a la que lo constituye, pero con la que poeta y lector lo relacionan por semejanza.

El polo metonímico del lenguaje es el que atrae más la atención de Lodge en cuanto es el que predomina en la composición del lenguaje en prosa. Su «legibilidad», en contraste con la «oscuridad subjetiva» de la poesía, reside en la importancia del contexto: el proceso por el que se hilvana el texto y las palabras se relacionan unas con otras está determinado por la contigüidad de éstas en el discurso. El concepto de contigüidad se aplica aquí en su sentido más amplio - relaciones de sucesión temporal, causal, de contigüidad física, etc -, por lo que este tipo de lenguaje resulta el apropiado para la descripción incluso objetiva del mundo que nos rodea. Así, este modo narrativo no es sólo el ideal para la progresión del mal llamado lenguaje *transparente* - el discurso periodístico, científico, historiográfico, biográfico, etc. - sino también para el discurso realista, que al fin y al cabo pretende establecer una relación mimético- descriptiva similar con el mundo.

La distinción entre estos dos polos del lenguaje es útil en el contexto de la teoría y crítica literarias no sólo a nivel retórico, como rasgo diferenciador de dos discursos, sino también a nivel narratológico, como se observa en *Working with Structuralism* primero y en *Write On* más adelante. En definitiva, ambas figuras retóricas sirven para establecer la tipología de una obra (su adhesión a la estética realista o a su opuesta, la modernista) en función de que predomine el polo metonímico o metafórico respectivamente en el lenguaje utilizado, pero sobre todo, en su estructura narrativa. Puesto que, según Lodge, la trama argumental es «the basic principle of cohesion in any novel»,<sup>13</sup> es razonable concluir en principio que una obra será básicamente realista o modernista según los acontecimientos de la trama se sucedan unos a otros en virtud de su contigüidad o de su similitud. Como señala Jakobson en «Two Aspects of Language and Two Types of Aphasic Disturbances»

<sup>13</sup> David Lodge, *Write On*, p. 195.

...the realist author metonymically digresses from the plot to the atmosphere and from the characters to the setting in space and time. He is fond of synecdochic details.<sup>14</sup>

Además del predominio de la metonimia en general, la novela realista progresa a base de otros tipos de contigüidad. Las relaciones por las que entendemos y explicamos el mundo fenoménico son fundamentalmente metonímicas, y así las ha de reflejar el texto realista:

the realistic, antimodernist novel...tends to imitate as faithfully as discourse can, the actual relations of things to each other in space-time. Characters, their actions and the background against which they perform these actions, are all knitted together by physical contiguity, temporal sequence and logical cause and effect - parts standing for the whole.<sup>15</sup>

El texto realista se ofrece además doblemente como arte metonímico; no sólo lo es su modo de escritura, sino que la obra en su conjunto se presenta al lector no como una metáfora de la realidad, o un modelo de la realidad, sino como una parte representativa de ella. El autor realista crea la ilusión de que sus obras son «a slice of life», que están sacadas de la vida misma, a la que sinecdóquicamente representan. Por el contrario, el texto modernista se construye sobre un patrón narratológico metafórico; no sólo su lenguaje se construye por medio de relaciones de semejanza, sino que la propia estructura argumental e incluso formal (tipo o tipos de discurso empleados, disposición de las diferentes partes, etc.) de la obra se construye sobre la base de la similitud con otros modelos literarios o extraliterarios.

Para Lodge, el gran acierto de Jakobson consiste en que su tipología del lenguaje no era excluyente de ninguno de los dos tropos, sino que suponía el predominio de uno sobre el otro. En el capítulo ocho de *The Modes of Modern Writing*, «The Metonymic Text as Metaphor», Lodge señala que ambos ejes del lenguaje operan en cualquier texto - lo contrario supondría una anormalidad afásica -, sólo que uno predomina sobre el otro, y esto determina el tipo de texto en cuestión. No es solamente

<sup>14</sup> R. Jakobson y M. Halle, *Fundamentals of Language*, cf. Jakobson, «Two Types of Language and Two Types of Aphasic Disturbances», p. 59.

<sup>15</sup> David Lodge, *Working with Structuralism*, pp. 11-12.

que una cierta progresión metonímica sea necesaria para la lectura de una obra esencialmente metafórica, sino que también cualquier texto metonímico es, asimismo, metafórico en el sentido de que, como cualquier objeto literario, es susceptible de ser interpretado en función de las relaciones de similitud que el lector encuentre entre el texto y otras realidades, y nos proporciona «a plethora of data, which we seek to unite into one meaning». En realidad, todo texto literario es esencialmente metafórico, porque su fin es ser interpretado, como afirma Lodge:

The literary text is always metaphoric in the sense that when we interpret it, when we uncover its 'unity'... we make it into a total metaphor: the text is the vehicle, the world is the tenor.<sup>16</sup>

Por tanto, tras una breve visión de las implicaciones de su tipología narrativa, volvemos al punto inicial de este trabajo, e incluso un paso antes. Efectivamente, por medio de esta tipología Lodge buscaba validar estéticamente el discurso realista, y la lógica de su metodología lo consigue, porque lo sitúa dentro de un sistema binario en el que se opone al lenguaje metafórico, de forma que ambos toman su valor de su relación de oposición e igualdad, dado que ninguno está subordinado al otro. Esta tipología, además, revela el interés de Lodge por el lenguaje literario, y en definitiva, por la forma de la novela, cuyas posibilidades están comprendidas entre ambos extremos de su clasificación. En *The Novelist at the Crossroads*, Lodge describía el panorama literario del momento como protagonizado por dos modos literarios opuestos, ante los que el escritor se encontraba en la encrucijada epónima: el modernismo y el realismo o antimodernismo. A esta encrucijada se han añadido otros posibles derroteros, el postmodernismo entre ellos, y la posición de Lodge, como evidencian sus últimas obras, sigue proponiendo la compaginación dialógica de los diferentes extremos que éste y posteriores estudios suyos han ido estableciendo. Al fin y al cabo, la compatibilidad de diferentes tipos de discurso, y su cabida dentro de la novela realista, ha sido un interés constante en la trayectoria de Lodge. Esta preocupación conciliadora, que ya se manifestaba desde sus comienzos, al tomar como sus dos modelos narrativos máximos dos obras tan opuestas y aparentemente irreconciliables como el *Ulysses* de Joyce y *Lucky Jim* de

<sup>16</sup> Ambas citas, *The Modes of Modern Writing*, p. 109.

Kingsley Amis, se revela más adelante en la obra de Lodge como otra constante que lo mueve a buscar nuevas teorías narrativas que puedan dar cuenta de la multiplicidad de la novela.

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