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What Interpretive Divergence Can Teach Literary Semantics: Reconsidering Wordsworth's 'A slumber did my spirit seal'[1]

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Introduction

This paper aims by way of a test case to show how literary studies in general and literary semantics in particular could broaden its scope by embracing a holistic view of literary communication that seeks to take into account its intentional, textual and interpretive aspects. In a sense, it is a companion piece to my 'multidimensional' re-readings of *Huckleberry Finn* and Frank Norris's *The Octopus* and their criticism on the basis of a tentative pragmatics of literary interpretation (see Pettersson 1999a, Pettersson 2002: 244-247 and Pettersson 1999b).

The test case is one of William Wordsworth's so-called 'Lucy' poems, 'A slumber did my spirit seal', a short poem often used as a theoretical touchstone in literary-theoretical debates in the late twentieth century. I shall start by quoting the poem and reflecting on the theoretical intentionalist debate it has spawned; then go on to discuss the rather different discussion of the poem in Wordsworth criticism; and finally draw some conclusions on what interpretive divergence – even in the criticism of a single poem – might teach us.

Here is the poem in the first published version in the *Lyrical Ballads* edition of 1800.

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[1] This paper was written under the auspices of Helsinki Collegium for Advanced Studies. A version of it was first read at the Third Conference of the International Association of Literary Semantics at University of Birmingham, England, in April 2002. The author would like to thank Professor Roger D. Sell for an important reference.

A slumber did my spirit seal,
I had no human fears:
She seem'd a thing that could not feel
The touch of earthly years.
No motion has she now, no force
She neither hears nor sees
Roll'd round in earth's diurnal course
With rocks and stones and trees!
(Brett and Jones 1963: 152)

Often critics do not discuss the version they are using, but in fact there are rather marked differences in punctuation (and, to a lesser extent, in ortography) in the 1850 version in *Poetical Works* (as quoted in Caraher 1991: 15; for a discussion of the different versions see 15-18, especially 18n6):

A slumber did my spirit seal;
I had no human fears:
She seemed a thing that could not feel
The touch of earthly years.

No motion has she now, no force;
She neither hears nor sees;
Rolled round in earth's diurnal course,
With rocks, and stones, and trees!

In brief, we may note that the semicolons and commas added to the 1850 version render the poem more staccato-like in rhythm.

Intentionalist Interpretations and Their Shortcomings

Since I feel that intentionalist positions have been underrated in the literary theory and criticism of the last few decades, let me first consider some such readings of Wordsworth's poem. An evaluation of the strengths and shortcomings of these intentionalist readings will, I hope, pave the way for a more comprehensive reading of the poem.

It was E. D. Hirsch, Jr., who in an appendix titled 'Objective Criticism' in his *Validity in Interpretation* (1967) first highlighted

the interpretive divergence in the criticism of 'A slumber did my spirit seal'. Hirsch's study is an intentionalist critique of new-critical positions, and its pages on Wordsworth's poem (in its final version) are intended as a refutation of René Wellek's notion of the most inclusive interpretation as the most correct (on Wellek's position see Hirsch 1967: 226-227). Hirsch takes two incompatible interpretations of the poem as examples of the untenability of the notion of interpretive inclusivity: Cleanth Brooks' reading, according to which 'she' in the poem is 'touched by and held by earthly time in its most powerful and horrible image' and that of F. W. Bateson, which holds that 'Lucy is actually more alive now that she is dead, because she is now part of the life of Nature, and not just a human "thing"' (both quoted in Hirsch 1967: 228).

Having proved that the two interpretations cannot be reconciled by a third inclusive reading, Hirsch (1967: 239) claims that adjudicating between the two readings should be done by establishing 'the most probable context' of the poem. But he establishes that context in rather sweeping biographical terms.

> Instead of regarding rocks and stones and trees merely as inert objects, he [Wordsworth] probably regarded them in 1799 as deeply alive, as part of the immortal life of nature. [---] From everything we know of Wordsworth's typical attitudes during the period in which he composed the poem, inconsolability and bitter irony do not belong in its horizon.

Hence, although censoring Bateson for overstating his case, Hirsch (1967: 240) deems that 'since Bateson grounds his interpretation in a conscious construction of the poet's outlook, his reading must be deemed the more probable'. But even though Hirsch's quote from Bateson is longer than the one I provide above, Bateson does no such thing: his reading is as narrowly textualist as that of Brooks. He may, of course, be implying that Wordsworth held pantheist views, but does certainly not ground 'his interpretation in a conscious construction of the poet's outlook'. However, more important than the fact that Hirsch projects his view of Wordsworth's outlook at the time on Bateson's interpretation is Hirsch's theoretical point about trying to establish the most probable context by the

intentionalist endeavour consciously to construct the author's view of life when the poem was written.

More than a decade later another intentionalist, P.D. Juhl (1980: 70-82), returns to Wordsworth's poem. Just as in the case of the internal coherence of the poem, Juhl (1980: 82) claims that

it can be easily shown that to invoke complexity in support of an interpretation is to appeal to what the author is likely to have meant.

Juhl views the entire debate about the meaning of the poem as revolving around whether one interprets the line 'Rolled round in earth's diurnal course' as signifying 'gentle motion' (cf Bateson's reading) or 'violent motion' (cf Brooks' reading). He summarizes his position as follows.

> 'Since the words "in earth's diurnal course" are a more appropriate means to suggest gentle motion than to suggest violent motion, the author is more likely to have used them, and hence the phrase "rolled round," to suggest the former than the latter.' (Juhl 1980: 75)

Note what Juhl does: First, he narrows the interpretation of the entire poem to one line (with a mention of his presumption that the final position of 'trees' supports his reading); second, despite arguing a case for intentionalist interpretation, he mainly looks for *textual* evidence for two classic new-critical notions: coherence and complexity; and, third, in his final summary, as an intentionalist he blatantly puts the cart in front of the horse by maintaining that textual evidence and language use in general suggest that the gentle-motion reading is more appropriate and that *therefore* the author is more likely to have implied that reading.

Let me mention one final intentional instance in which Wordsworth's poem has been discussed. After his remarks on 'A slumber did my spirit seal' Juhl (1980: 82-86) goes on to discuss texts produced by chance, such as texts accidentally typed by a monkey or or produced on a rock by erosion. Apparently Steven Knapp and Walter Benn Michaels (1982/1985: 15-24) take Juhl's remark as their cue to use Hirsch's and Juhl's positions as a backdrop for

introducing their own kind of intentionalism, which uses Wordsworth's poem as a mere instance of marks that waves washing up on a beach may have created. Their point is that such marks 'merely seem to *resemble* words' and that 'there is no such thing as intentionless language' (Knapp and Michaels 1982/1985: 16, 17). Hence, they add nothing to the interpretation of the poem as such. But in stating their case, Knapp and Michaels are of interest, not by defending the early Hirsch's (1967) point of equating the author's intention with the meaning of the text but by providing literary studies with the most strongly argued, allegedly anti-theoretical intentionalist theory. But, as W. J. T. Mitchell (1985a: 5) has pointed out, Knapp and Michaels 'seem quite indifferent to the question where the intention is discovered (in "the work itself," in ancillary documents, or in the author's testimony)'. In other words, they end up with a theory (which they claim is not a theory, but something superior) to which they provide little grounding in the very practice outside of which they claim 'no one can reach a position' (Knapp and Michaels 1982/1985: 30).

Before going on to Wordsworth criticism per se, let me sum up the three intentionalist positions discussed by considering Wordsworth's poem, which most likely was written in Germany in the last months of 1798 (see e.g. Gill 1989: 159 and Mason 1992: 246). All three are purportedly intentionalist in outlook, but in fact provide little grounding for their framework in interpretive practice, and even less as far as Wordsworth's poem is concerned. Hirsch (1967) may speak in rather general terms of 'everything we know of Wordsworth's typical attitudes during the period in which he composed the poem', but since he provides very little biographical or other ancillary evidence for his allegedly intentionalist reading of the poem and even falls prey to the rather common misdating of the poem (see the above quote from Hirsch 1967), his case stands on rather shaky ground. Juhl, on the other hand, does not even attempt to present any intentional substantiation but on the contrary relies on textual evidence, which makes him seem rather like the new critics he attacks. Knapp and Michaels in providing no practice on which to base their anti-theoretical intentionalist stance end up with

a position, which not only misrepresents Hirsch and Juhl (and their intentions) but floats in a theoretical stratosphere lacking the practical anchorage they suggest literary studies should have. Hence, three of the strongest intentionalist positions in literary theory in recent decades have discussed Wordsworth's poem, but have furnished literary criticism with rather little practical advice in how to go about defining the author's intention in general and Wordsworth's in penning 'A slumber did my spirit seal' in particular.

Towards a Holistic Reading of 'A slumber'

So how about Wordsworth criticism? Perhaps the first thing to note is that many commentators on *Lyrical Ballads* have simply neglected 'A slumber did my spirit seal' and thus implicitly suggested that it is one of its minor poems (for instance, some casebooks and special journal issues on *Lyrical Ballads*, such as Jones and Tydeman 1972, Campbell 1991 and Trott and Perry 1998, include no sustained discussion of it). Fair enough, but I would claim that although one of Wordsworth's lesser creations it does epitomize much that is central to *Lyrical Ballads* and to the young Wordsworth.

Of the criticism we do find on the poem (and on the 'Lucy' poems in general) much is directed at trying to pin down who Lucy is. This tendency is perhaps understandable as a vestige of the Romantic-biographical tradition in literary criticism, but it was still prevalent in the 1950s. Like Harold Bloom and Lionel Trilling (1973: 152), the editors of the *Romantic Poetry and Prose* volume of *The Oxford Anthology of English Literature*, I am tempted to side with H. M. Margoliouth's argument that 'she' in the 'Lucy' poems does not seem to be inspired by Wordsworth's sister Dorothy (even though even Coleridge thought so), nor by Anette or by Mary Hutchinson, but by Mary's younger sister Margaret (or Peggy), a dear friend who died of consumption in 1796 (see Margoliouth 1953: 52-53).

But perhaps more importantly we should keep in mind the self-evident fact that the motif of the death of a child, maiden or young man was prevalent in pre-Romantic poetry and was introduced to

Wordsworth at an impressionable age when at Hawkshead school his headmaster William Taylor 'instigated and encouraged' Wordsworth's 'earliest efforts', not least by 'the melancholy of the graveyard poets' he affected (Schneider 1957: 76). That is, the many Wordsworth critics who maintain that 'she' in the 'Lucy' poems is a complex creation and not directly inspired by any one person are most likely right, especially as concerns the most elusive and vague poem, 'A slumber did my spirit seal'. One might add that for Wordsworth there was plentiful possible non-literary inspiration of moribund thematics: his parents both died rather young; the village churchyard was right by Hawkshead school; his beloved tutor William Taylor died as a young man; and much of Wordsworth's early poetry exemplifies thematics related to the 'Lucy' poems (see Schneider 1957: 76-79, 243-244).

As you may have noticed, I have consistently employed inverted commas when referring to the 'Lucy' poems. Certainly the so-called 'Lucy' poems were composed at roughly the same time (in late 1798 and early 1799), but neither in *Lyrical Ballads* nor later did Wordsworth conceive of them as a suite. In fact, as is well known the four so-called 'Lucy' poems were finally placed in two different categories: 'Poems Founded on the Affections' ('She dwelt among th' untrodden ways' and 'Strange fits of passion have I known', both composed in the last months of 1798) and 'Poems of the Imagination' ('A slumber did my spirit seal' and 'Three years she grew in sun and shower', written in the last months of 1798 and in late February 1799, respectively) (see Caraher 1991: 16n1, 121 on Wordsworth's groupings and Mason 1992: 243-246, 299 on the dating of the poems; see also Davies 1965 and Caraher 1991: 27-37 for elaborate arguments against reading the 'Lucy' poems as a cycle of poems).

Now let us briefly compare the imagery of the poem with other poems by Wordsworth. Where else in the early Wordsworth do we come across similar imagery of a speaker contemplating a man or a woman in nature, with an awareness of its force and magnificence? Perhaps the most conspicuous instance of such imagery – in addition to that of the other 'Lucy' poems (on which see eg Durrant 1970) – is to be found in 'Lines (Written a few miles above Tintern Abbey)', composed in the July of 1798:

For I have learned
To look on nature, not as in the hour
Of thoughtless youth, but hearing oftentimes
The still, sad music of humanity,
Not harsh nor grating, though of ample power
To chasten and subdue. And I have felt
A presence that disturbs me with the joy
Of elevated thoughts; a sense sublime
Of something far more deeply interfused,
Whose dwelling is the light of the setting suns,
And the round ocean, and the living air,
And the blue sky, and in the mind of man,
A motion and a spirit, that impels
All thinking things, all objects of all thought,
And rolls through all things.
(ll. 89-103 in Brett and Jones 1963: 114)

Here, in a poem written less than half a year before 'A slumber did my spirit seal' we find what to me seems its motifically closest counterpart – and one that may help to clarify some of its vague and rather general imagery. As critics have observed, this passage seems to draw on Virgil's *Aeneid*, perhaps even on his *Georgics* (see Mason 1992: 212n). Still, this need not preclude that these lines – or indeed the second stanza in 'A slumber did my spirit seal' – also may be inspired by a reading of Newton's *Principia Mathematica* (which by the way includes a footnote to a passage about the pre-existence of the soul in the *Aeneid*; see Schneider 1957: 247). In fact, 'in his best poetry', as Ben Ross Schneider (1957: 249, 250) has pointed out, Wordsworth assumed 'a Copernican universe', and as early as in 1794 he decided to revise a poem written at Cambridge to fit 'the Newtonian reality'. Such a view finds support not only in Wordsworth's 'Preface' to *Lyrical Ballads* in which he considers at some length the affinities between the Poet and the Man of Science (see Mason 1992: 75-78), but also in J. A. V. Chapple's (1986: 144-146, 160-161) analysis of the interrelation of science and literature in 19th-century Britain and in Mary Midgley's (2001/2002: 55) recent claim that '[a]ll the great Ro-

mantics made [the] effort to bring both sides [science and literature] together, which is just what makes them great'.

The above lines from 'Tintern Abbey' suggest the enduring influence of Newtonian notions: 'motion' is compared to 'spirit' (see Newton's *Principia* as quoted in Durrant 1957: 101) and 'rolls through all things'. Furthermore, in the famous skating scene in Book First of 'The Prelude' (composed roughly contemporaneously with 'A slumber did my spirit seal'), Wordsworth was even more precise about the earth's motion: when skating

> the solitary cliffs
> Wheeled by me - even as if the earth had rolled
> With visible motion her diurnal round!
> ('The Prelude', Book First, ll. 458-460 in Bloom and Trilling 1973: 196)

Now although Wordsworth often seems carefully to have grounded his poetical descriptions of nature and the heavens on the natural sciences he had studied at Cambridge, this does not mean that we should accept Geoffrey Durrant's (1970: vii) claim that his poems form a 'coherent poetic grammar' portraying Newton's 'great system' or that the image portrayed in 'A slumber did my spirit seal' is one in which 'the destructive forces [...] prevail'.

What I find patently missing in most readings of Wordsworth's poem is a holistic interpretation of it on the basis of what we actually know of the poet's life, reading, writing, studies and world view as it was composed. Before summing up some notions pertaining to such an admittedly sketchy interpretation let us consider one particular aspect that most critics have disregarded in their quest for the real-life model for Lucy and their quibble about whether her death is to be understood as tragic or simply as a natural occurrence in the grand scheme of things.

Only in Geoffrey Hartman (1971/1977) have I come across an emphasis, which tallies with the fact that Wordsworth grouped the poem among 'Poems of the Imagination' and that Wordsworth, just as in the above quote from 'Tintern Abbey' – a poem also included in 'Poems of the Imagination' –, introduces his ruminations on man and nature by an observing consciousness, a crucial notion in all of Wordsworth: 'A slum-

ber did *my* spirit seal, (/) *I* had no human fears'. Hartman (1971/1977: 158-159 emphasis original) simply points out that

> it must be remembered that we view her ('Lucy') exclusively through the eyes of the speaker, so that the emphasis falls always on what she is to *him*, which strongly internalizes her meaning.

No reader of *Lyrical Ballads* and its preface, of 'Ode: Intimations of Immortality' or of 'The Prelude' could miss Wordsworth's highlighting of the perceiving consciousness, the influence of which on modern poetry is immeasurable. As Bloom and Trilling (1973: 125) have it: 'Before Wordsworth, the poetry had a subject. After Wordsworth, its prevalent subject was the poet's own subjectivity'.

To put it differently, everything we say about the entire poem – and the second stanza in particular – should be seen as filtered through the speaker's consciousness, just as in the lines quoted from 'Tintern Abbey' and 'The Prelude'. In fact, those motifically related lines seem to suggest that although human death indeed is tragic, since 'she' in death lacks motion and force, there is some consolation in the fact that the earth keeps on turning, that life goes on. The final exclamation mark may even suggest that that realization is of some grandeur, perhaps even of some consolation – to the speaker, that is. (Although Coleridge most likely read the poem too biographically in surmising that the poem drew on Wordsworth's fear that his sister might die, 'A slumber did my spirit seal' seems to some extent to have consoled him in his grief when learning about the death of his son Berkeley in a letter from his friend Thomas Poole written in March 1799, since in his answer to Poole he includes the poem; the letter dated 6 April 1799 is discussed in Caraher 1991: 28-30, 124-125.) But as readers we may want to go further in our interpretation of the poem by, for instance, noting that the speaker did not have 'fears' *before* her death, which may suggest that he now harbours apprehension, perhaps even dread.

I myself would be inclined to find more affirmation than denunciation of life in the poem as a whole, that is, I would opt for a qualified Batesonian reading, if you like – perhaps based on Wordsworth's works

and his life and letters; perhaps owing to the orderly progress of the rhythm and rhyme of its simple but stately ballad metre; or perhaps owing to my interpretation (based on the above) of how the Newtonian view intriguingly is voiced but remains enveloped by the perceiving speaker's elation. Still, in the final analysis I find that Wordsworth's genius in this poem, as in all his *Lyrical Ballads*, lies in his shifts in language, consciousness and perspective and in his juxtaposition of vivid and moving notions and images on different levels. Or, as Patrick Campbell (1991: 162) notes, we should not 'diminish the sense of paradox and surprise that informs *Lyrical Ballads*, whereby our anticipations need constantly to be revised and modified'.

Broadening the Field of Literary Semantics: Caraher's Reading of 'A slumber'

Before drawing conclusions on the interpretive divergence as concerns Wordsworth's poem and the somewhat hesitant manner in which – in part, at least – I have tried to settle it, let me discuss another central monograph. Brian G. Caraher's *Wordsworth's "Slumber" and the Problematics of Reading* (1991) is a study theoretically and critically entirely centring on this one poem by Wordsworth. I have left Caraher last in my discussion, since his book conveniently summarizes most of the critical controversy in a way that seems to me to some extent symptomatic of literary semantics and even – expressly in Caraher's case – of literary pragmatics.

Caraher argues at length for no less than three different but supposedly mutually compatible readings: one according to which 'she' has an antecedent in 'my spirit' and so that the entire poem is about the speaker's spirit, which dies a vicarious death; another according to which the poem is one of the 'Lucy' poems and hence that 'she' refers to the dead girl (see Caraher 1991: 27-44). His third reading suggests that the syntax of the first line may read as '"My spirit" sealed "a slumber"' and since hence the agent in the poem 'appears cold-blooded, as if inhuman', Caraher (1991: 45-81, quotes 45, 45-46) claims that "[t]he speaker chillingly confesses a murder'. At first glance this may seem rather far-fetched an interpretation, but

Caraher tries at length to prove (though I for one am not entirely convinced) that such a reading would be in line with the tradition of Romantic death fantasy with which Wordsworth was well acquainted.

However, Caraher's (1991: 81) point is expressly not that the poem is ambiguous, but that all three readings are possible, since it simply represents 'a striking exercise in understanding'. This leads him to plead for the kind of literary interpretation that is aware of how the reading of a poem like 'A slumber did my spirit seal' can be 'problem-generating' and thus hold the various readings in suspension, precisely because so many of its features cannot interpretively be decided on once and for all (Caraher 1991: 83).

Caraher goes through the entire spectrum of literary theorists and critics who have commented on the poem. Of the intentionalists he dismisses Juhl's as well as Knapp and Michaels' readings in footnotes as based on 'oversimplification' and 'unexamined theoretical assumptions' (Caraher 1991: 74n13, 66-67n3). Hirsch's view is also found untenable, since Hirsch lets his theoretical stance override the actual critical interpretation. That is, as I noted above, Hirsch sides with Bateson's reading, but briefly provides 'the most probable context' himself in accordance with the intentional grounding he thinks criticism should have (see Caraher 1991: 73-74).

Textual critics fare even worse in Caraher's study. The interpretive stances by no lesser authorities than Norman Holland, Paul de Man, J. Hillis Miller and Geoffrey Hartman are – after quite thorough analyses – straightforwardly termed 'textual murders':

> The undermining, bypassing, or rejecting of the temporal interaction of work and reader and the complexities and particulars of the activity of reading yield critical fatalities: dehumanized and textualized readers, insubstantialized and detextualized texts, dehumanized and displaced temporality, and the sacrifice and burial of the evidence of the activity of reading. (Caraher 1991: 98-99)

After such rather scathing critique of intentionalists, textualists and one reader psychologist (Holland), Caraher (1991: 238) is ready to present his 'four definitive features of a literary experience', drawing

on the philosophies of John Dewey and Stephen Pepper and the reader-oriented theories of David Bleich and Louise Rosenblatt:

(1) a literary work, (2) a reader, (3) the activity of reading - that is to say, the temporal interaction of work and reader, and (4) the quality or qualities developed and made distinct within and through the temporal interaction of work and reader.

We might query many aspects of Caraher's study: Is not the rather stark rhetoric when dismissing other readings of 'A slumber did my spirit seal' rather unwarranted? How tenable are Caraher's three interpretations of the poem and can we really hold them simultaneously? Is the 'problem-generating' reading really that different from new-critical notions such as ambiguity or vagueness? And most importantly: Are there really only four features of literary experience and are they really definite and immutable?

But the main point this case study of 'A slumber did my spirit seal' has led me to is this: Caraher's view of literary experience seems symptomatic in the sense that (1) it narrows literary communication to the literary work and its reading, even to the point of committing what I have termed *the interactional fallacy* (the literary work and the reader allegedly *interact*, as if an object like the literary work could perform as an agent; see Pettersson 1999b: 49), and (2) it rather casually dismisses intentional and biographical-contextual aspects of the communicative spectrum, mainly owing to the fact that the intentionalists discussed cannot cut the mustard.

Conclusion: Interpretive Divergence, Contextualist Intention Inference and Literary Studies

Now I too started out by briefly assessing intentionalist readings of Wordsworth's poems, but went on to suggest that intentional aspects can be studied with greater theoretical acumen and critical precision. In the last two decades scholars in literary semantics have done a wonderful job by analysing textual features and interpretive constraints. But I would suggest that the comparative neglect of intentional aspects in the spectrum of literary communication has led to the fact that the very

foundations of literary semantics have not been as robust as they might. In fact, this widespread tendency in literary studies has contributed to the kind of interpretive divergence studied in this paper.

There seems to be a renewed interest in the critical discussion of authorial intention in literary studies – however, not for the most part in the strong theoretical forms evinced by the theoreticians discussed at the start of this paper but in modified positions recently advanced in philosophical aesthetics (by Jerrold Levinson, Paisley Livingston, Gary Iseminger and Noël Carroll; see Pettersson 1999b: 55-56) and by psychologists and cognitive scholars, such as Raymond W. Gibbs, Jr. (1999). As I tried to show by my brief and tentative discussion of intentional and biographical features based on the poem itself, other poems by Wordsworth, his life, letters and reading as well as on other ancillary documents, such contextualist intention inference (as I have termed it elsewhere; see Pettersson 1999b: 57) may be the best way to hold excessive interpretive divergence in check. That is, if the pursuit of authorial intention is to have some validity in literary studies, it must be analysed in conjunction with the other parameters in literary communication: the literary work (and the oeuvre of which it is part), its mediation and reception.

Still, the critical disagreement as concerns Wordsworth's poem may suggest other things. We can learn how a meta-critical analysis of interpretive divergence may be of use to practical criticism and how it can clarify implicit or explicit theoretical and critical predispositions. Perhaps critical – and pedagogical – reflection on interpretive divergence can help us be more wary when devising praxis-free literary theories or providing one-sided interpretations of complex works of literature.

What is more, literary studies in general and literary semantics in particular would do well to expand their efforts to study the entire spectrum of literary communication – so that Wordsworth, among others, need not sit on his cloud, shake his head and perhaps mumble: 'A slumber did the critics seal'.

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Dwelling upon Time: Memory's changing function in the poetry of Wordsworth

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Wordsworth is widely and justly characterized as a poet of recollection. Few writers have been more consistently preoccupied with the workings and signification of remembering.[1] Not only is memory often the matter of Wordsworth's song, but it is also intimately involved with the genesis of that song, as the famous description of poetical composition as feeding upon "emotion recollected in tranquillity" makes clear. This side of Wordsworth's singular involvement with the phenomenon of memory has been minutely scrutinized, especially in its connection with *The Prelude* and the early poetry, but the subsequent development of the same problematic has been neglected. How does memory function in his later poetry, and does it diverge there in any significant respect from the celebrated instances of recollection in *The Prelude*?[2]

By confronting the changing function of reminiscence in Wordsworth's poetry, we will in the process gain a deeper understanding of why he famously compares his most ambitious poem,

[1]In what remains the best large-scale study exclusively devoted to Wordsworth's use of memory, Christopher Salvesen claims that "a turning of the personal past to full account is an essentially Wordsworthian achievement, something which particularly deserves to be identified with Wordsworth" (*The Landscape of Memory: A Study of Wordsworth's Poetry*. Edward Arnold (Publishers) Ltd., London: 1965, p. 5).

[2]For pragmatic reasons, I have chosen to utilize the conventional distinction between the "early" and "late" Wordsworth, the watershed falling roughly around 1807, in order to throw light upon a process of change which is, of course, neither sudden nor strictly linear. (For a fine critique of a too adamant division of Wordsworth's career into two phases, see Alison Hickey, *Impure Conceits: Rhetoric and Ideology in Wordsworth's 'Excursion'*. Stanford University Press, Stanford: 1997, pp. 7-11.)

The Recluse, to a gothic church. This metaphor is not simply a straightforward use of a presumably "organic" image in order to show how his poems are interconnected.[3] In addition, this famous comparison is linked to two different lines of development in Wordsworth's career as a poet, both of which will be scrutinized in turn: firstly, we will show how his poetry evinces a tendency towards understanding memory in terms of spatial images, in which the most important functions of the psychological process of habit are assimilated by a poetical metaphor of habitat. Secondly, we will observe a progressive tendency away from his early preoccupation with memory as self-reflection (where Wordsworth's main object is his own memory of childhood and adolescence) over to forms of reminiscence which transcend the individual. In the latter case, the individual act of memory becomes increasingly supplanted by an ethics of mourning. As we shall see in conclusion, though, mourning has an ambivalent status and value in Wordsworth's poetry, and there is no satisfying solution or teleological appeasement to his life-long grappling with the processes of memory.

From habit to habitat

Let us first look at the process of spatialization. An early poem such as the "Intimations" Ode clearly utilizes metaphors of spatiality and habitation in order to express the genesis of subjective identity:

> Not in entire forgetfulness,
> And not in utter nakedness,
> But trailing clouds of glory do we come

[3]In the preface to *The Excursion*, the relationship between *The Prelude* and *The Recluse* is said to be similar to that which "the anti-chapel has to the body of a gothic church," while his "minor Pieces [...] have such connection with the main Work as may give them claim to be likened to the little cells, oratories, and sepulchral recesses, ordinarily included in those edifices" (*William Wordsworth: The Poems*, 2 vols. Edited by John O. Haydon, Penguin, Harmondsworth: 1977, vol. II, p. 36. This collection will also provide my text for all cited poems by Wordsworth, apart from *The Prelude*). For some of the scope and import of this particular metaphor, see Kenneth R. Johnston, *Wordsworth and 'The Recluse'*. Yale University Press, New Haven: 1984, pp. xi-xxiv.

From God, who is our home:
Heaven lies about us in our infancy!
Shades of the prison-house begin to close
Upon the growing Boy,
But He
Beholds the light, and whence it flows,
He sees it in his joy; (lines 62-71)

These lines became problematical for Wordsworth, as he strenuously rejected any extraction of a literal endorsement of the Platonic understanding of *anamnesis* from the poem. There is a metaphorical identification here between an abode and the absolute, as well as a figuring of forgetfulness in terms of spatial constriction in the image of the gradually narrowing shades of the prison-house. More importantly, Wordsworth invests the instance of mediation between the alienated present and the blissful sacredness of the past with spatial metaphors. In the early poetry in general, the most frequent metaphor of this kind is that of the heart, as in the Winander Boy episode where we are told that the sky "sank down / Into my heart and held me like a dream" (*The Prelude*, II, lines 179-180).[4] In any case, an inner repository is created and from its treasure box, or knapsack, choice experiences of the long lost past can be retrieved.

Memory is something more than a mere cache or container, though. Not only does Wordsworth conceive of it as an active and transformative process, in "Tintern Abbey" it has also acquired a certain monumentality, metaphorically becoming a kind of secondary home which represents a reconstructed version of the original divine habitation of childhood or pre-natal experience. Here Wordsworth tells Dorothy how she will follow his example in the interiorization of the past:

When these wild ecstasies shall be matured
Into a sober pleasure, when thy mind

[4]All subsequent references made to *The Prelude* refer to book and line numbers of the 1805 version printed in William Wordsworth, *The Prelude: 1799, 1805, 1850.* Edited by Jonathan Wordsworth, M. H. Abrams, and Stephen Gill, Norton, New York: 1979.

> Shall be a *mansion* for all lovely forms,
> Thy memory be as a *dwelling-place*
> For all sweet sounds and harmonies, oh, then
> If solitude, or fear, or pain, or grief,
> Should be thy portion, with what healing thoughts
> Of tender joy wilt thou remember me
> And these exhortations. (lines 139-147, emphases added)

In such metaphors of internal dwelling-places, Wordsworth's later understanding of the church as a place of memory will find its bearings. Even when memory is said to "summon fancies out of Time's dark cell" ("To Rotha Q–", line 14), thus procuring an escape from one spatial repository, it is only in order ultimately to lodge those fancies safely within another, less constrictive site.

Memory, then, is a kind of space–or at least it cannot be thought of completely independent from spatiality. In the act of displaying this connection, Wordsworth's poetry bears out the dictum purveyed by Kant and other philosophers, which states that time cannot be presented except via the outer medium of space.[5] Even in Wordsworth's most theoretically abstract articulations of the act of memory and poetic recollection, one might argue for the ineluctability of space. In such theoretical accounts, time is specifically a matter of *edification*, in the widest sense of the term. Of particular interest, in this respect, is a passage following immediately upon the famous pronouncement on poetry's necessary connection with the spontaneous overflow of powerful feelings, in the preface to the *Lyrical Ballads*. Wordsworth supplements this demand for spontaneity with another one: it is also imperative that the poet

> has thought long and deeply. For our continued influxes of feeling are modified and directed by our thoughts, which are indeed the representatives of all our past feelings; and, as by contemplating the relation of all these general representatives to each other we discover what is

[5]Cf. pp. 167-168 (B 155-156) of *Immanuel Kant's Critique of Pure Reason*. Translated by Norman Kemp Smith, Macmillan, London: 1929.

> really important to men, so, by the repetition and continuance of this act, our feelings will be connected with important subjects, till at length, if we be originally possessed of much sensibility, such habits of mind will be produced, that, by obeying blindly and mechanically the impulses of those habits, we shall describe objects, and utter sentiments, of such a nature and in such a connexion with each other, that the understanding of the being to whom we address ourselves, if he be in a healthful state of association, must necessarily be in some degree enlightened, and his affections ameliorated.[6]

Linked with the social engineering mustered on behalf of the improvement of mankind, the phraseology of eighteenth-century associationism pervades this passage. The thought of Hartley and other associationist philosophers also provides a backdrop to Wordsworth's assumption of a widespread prejudice, earlier in the preface, "that by the act of writing in verse an Author makes a formal engagement that he will gratify certain known habits of association."[7] The preface is written in recognition of a conscious, and possibly contrived, conflict between the *Lyrical Ballads* and the habits of association shared by most of its possible readers. Wordsworth desires a communication of "habits of mind" that have now become second nature for him, but which are alien to his audience. Through a contemplation of the relationship between new feelings, new habits will be constructed.

In the later poetry, this new habit is envisaged as a new *habitat*. These two words share the same etymology, deriving from the Latin verb *habere* which meant to have or to hold. Wordsworth wishes to simultanously hold on to, and build up a configuration of, memories. Memory is germane to the concerns of the introduction to the *Lyrical Ballads*, since–as the passage cited above shows–the establishment of a habit only comes about through the retentive gathering of "thoughts" which again are "representatives of all our *past*

[6]"Preface to *Lyrical Ballads, with Pastoral and Other Poems*," in *The Poems*, I, p. 871.
[7]Ibid., p. 868.

feelings" (emphasis added). Habit is presented here as being made possible by an assembly of memories, and the latent spatiality of this assembly rises to the forefront if we now turn to a passage from a later poem, of 1816:

> Preserve, O Lord! within our hearts,
> The memory of Thy favour,
> That else insensibly departs,
> And loses its sweet savour!
> Lodge it within us!
> [...]
> What offering, what transcendent monument
> Shall our sincerity to Thee present?
> –Not work of hands, but trophies that may reach
> To highest Heaven–the labour of the Soul;
> That builds, as thy unerring precepts teach,
> Upon the internal conquests made by each,
> Her hope of lasting glory for the whole.
> ("Ode: The Morning of the Day Appointed for a General Thanksgiving. January 18, 1816," lines 161-165, 169-175).

The language and thought of Protestantism are here superimposed upon the early theory of associationism. Concomitantly, the process of an edification of associations here is converted into something like an internal building project. The true believer selects the true gifts of divine grace, lodges those gifts within, and subsequently builds a "lasting" and "transcendent monument."

This monument, a specifically religious structure rather than the theatrical image of the mind famously evoked by Hume, is the site which the late Wordsworth wants to redirect his readers towards. In the form of a transcendental gothic church, it will be *the* spot of time. The metaphor from the introduction to *The Excursion* gains added meaning from this evidence, and does not only concern how Wordsworth pictures the grouping of the poems of his projected grand poem–how the minor and major works are to combine in one structure. That metaphor is also, through association with

Wordsworth's overall conception of the functioning of churches, an image of overarching synthesis of recollection which constitutes the "Temple" which the poet has "In my mind's eye."[8] A little later in this essay, a more detailed look at how sacred edifices function in Wordsworth's later poetry will flesh out this understanding of the gothic church of *The Recluse* as a site where both a collection of poems and a collection of memories are compounded.

Remembering others

One should be wary, though, of reducing this sanctuary to the state of being merely an allegorical representation of Wordsworth's previously held, and epistemologically informed, theory of personal improvement. To do so would be to overlook that the fact that the very essence of the given of experience–the nature of the first feelings or impressions bound together in memories–undergoes a transformation from Wordsworth's early to later writing. This transformation is particularly characterized by a change of emphasis from personal forms of memory to more inclusive and widely encompassing ones. Although Wordsworth's poetry never adheres completely to any single view, there is a strong tendency in the acclaimed early work–particularly in *The Prelude*–towards privileging the self-reflective instances of memory. Hence the pinnacle to be attained by the most elevated minds is a form of habitual self-consciousness:

> Such minds are truly from the Deity,
> For they are powers; and hence the highest bliss
> That can be known is theirs–the consciousness
> Of whom they are, habitually infused
> Through every image, and through every thought,
> And all impressions; (*The Prelude*, XIII, lines 106-111)

On this point Wordsworth is attuned to the precedent of the German Idealists: an instance of self-consciousness, transcending all dichotomies of subject and object, accompanies all external

[8]Quoted from the first line of "In my mind's eye a Temple, like a cloud."

sense data. For Wordsworth, though, this self-comprehension is not a given, but rather something that has to be continuously recaptured through acts of remembrance.[9] Furthermore, every individual is in danger of gradually losing the full vitality and import of that self-comprehension due to the progressive diminution of its intensity over time.

According to one possible, though ultimately too reductive, reading, Wordsworth does indeed find such remembering reconstructions of his self increasingly obstructed after *The Prelude*. His pursuit of the "egotistical sublime," as it was dubbed by Keats, thus allegedly loses its urgency and direction as he grows older. In this sense, the following lines from *The Prelude* can be read as being anticipatory of a drawn-out process of depletion:

> The days gone by
> Come back upon me from the dawn almost
> Of life; the hiding-places of my power
> Seem open, I approach, and then they close;
> I see by glimpses now, when age comes on
> May scarcely see at all; (*The Prelude*, XI, lines 333-338)

Taking this dramatized self-reflection at face value can provide too tidy a justification for an unwillingness to seriously grapple with Wordsworth's later poetry, though. To read his entire poetical career as a tale of the rise and fall of personal memory, is to uncritically supply it with a simplistic organic trajectory. For one thing, such a reading is too credulous towards Wordsworth's occasional professions of achieved unity through acts of memory. There is another strand in his writings which owns up to the fact that Wordsworth actually was attempting to grasp that which was just beyond the reach of any memorization. A sense of once having experienced intense belonging and immediacy is the driving force of his "love for days / Disowned by memory" (*The Prelude*,

[9]On the precedence of Locke, Descartes, Rousseau and others, for Wordsworth's understanding of the self as a temporal achievement, see Eugene L. Stelzig, *All Shades of Consciousness: Wordsworth's Poetry and the Self in Time*. Mouton, The Hague: 1975, pp. 13-53.

I, lines 642-43), but the articulations and distinctions which are part and parcel of the workings of the Understanding, as well as of language, necessarily make any later conjuring up of this immediacy into an inherently indirect and shadowy undertaking. Even while defending the worth and necessity of pursuing this goal, the Wordsworth of book II of *The Prelude* cannot omit mention of the insurmountable problems involved:

> I deem not profitless those fleeting moods
> Of shadowy exultation; not for this,
> That they are kindred to our purer mind
> And intellectual life, but that the soul–
> Remembering how she felt, but what she felt
> Remembering not–retains an obscure sense
> Of possible sublimity, to which
> With growing faculties she doth aspire,
> With faculties still growing, feelings still
> That whatsoever point they gain they still
> Have something to pursue.
> (*The Prelude*, II, lines 331-341)

According to a possible reading of these lines, the impossibility of completely attaining self-comprehension through memories of one's own past is productive–for that impossibility is the guarantee for an infinite desire, an endless process of pursuit and self-expansion.

Ultimately, though, the impossibility of such an act of self-remembering undercuts its value as a privileged means towards a founding security or any absolute sense of identity. From this perspective the problem of constituting a self-identity becomes no more successful than, nor strictly dissociable from, the project of constructing a sense of community between different individuals, or even between a human individual and an element of nature. This point is glimpsed by Wordsworth as early as in 1799, when a rare lapse of confidence at the beginning of the second book of the two-part *Prelude* leads him to despair of successfully remembering the experiences of his own past and more passionate self:

> A tranquilizing spirit presses now
> On my corporeal frame, so wide appears
> The vacancy between me and those days,
> Which yet have such self-presence in my heart
> That sometimes when I think of them I seem
> Two consciousness–conscious of myself,
> And of some other being. (*The Prelude*, II, lines 27-33)[10]

This passage ironically undercuts Wordsworth's own definition of the genesis of poetry, as it is precisely the *tranquillity* of the poet that is deemed to be an obstacle to any successful recollection of past emotion. More to the point, in the very "heart" of the inner space of the self the gap between the past and present of memory is here presented as being so great as to almost constitute a complete rupture. Hazlitt founds an ethics on such a temporal division, arguing that the heterogeneity of the self evinced through time is the precondition, and explanation, for acts of identification with other individuals.[11] For Wordsworth, the consequences are less clear-cut. However much this discovery of an absolute gap between past and present selves needs to be exposed to modification and sophistication, it will arguably be what prevents his poetry from pursuing any narcissistic implosion. In the following passage from *The Convention of Cintra*, published in 1809, one can detect how far Wordsworth is from languishing in any contracted project of inward self-remembering:

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[10]In the original two-part *Prelude*, these were lines 25-31 of part two. See David Bromwich's fine commentary on these lines in *Disowned by Memory: Wordsworth's Poetry of the 1790s*. The University of Chicago Press, Chicago: 1998, pp. 137-138.

[11]Published in 1805, *An Essay on the Principles of Human Action* attempts to effect "the direct subversion of one of the most deeply-rooted feelings of the human mind, namely that of the essential difference between the interest we have in promoting our own welfare by all the means in our power, and that which we take in promoting the welfare of others" (William Hazlitt, *The Complete Works*, I. J. M. Dent & Sons, London: 1930, p. 9). This subversion is made possible due to a fissure dividing the present and future instances of the self: "so long as there is an absolute separation, an insurmountable barrier fixed between the present, and the future, so that I neither am, nor can possibly be affected at present by what I am to feel hereafter, I am not to any moral or practical purpose the *same* being" (Ibid., p. 11). On Wordsworth's familiarity with this essay, see note 34 on page 286 of James K. Chandler, *Wordsworth's Second Nature: A Study of the Poetry and Politics*. The University of Chicago Press, Chicago: 1984.

> Despair thinks of *safety*, and hath no purpose; fear thinks of safety; despondency looks the same way:–but these passions are far too selfish, and therefore too blind, to reach the thing at which they aim [...]. All courage is a projection from ourselves; however short-lived, it is a motion of hope. But these thoughts bind too closely to something inward,–to the present and to the past,–that is, to the self which is or has been. Whereas the vigour of the human soul is from without and from futurity,–in breaking down limit, and losing and forgetting herself in the sensation and image of Country and of the human race; and, when she returns and is most restricted and confined, her dignity consists in the contemplation of a better and more exalted being, which, though proceeding from herself, she loves and is devoted to as another.[12]

The self is directed towards both the outside, and towards moments transcending the present. The final sentence of this passage shows that the self is also distanced and divided from itself, loving a projected instance of itself, due to this self-surpassing tendency. This is, quite literally, fighting talk from an author who, of all things, certainly will not be limited to writing exclusively about the growth of his own mind.

Wordsworth's turn towards that which is "from without" does not only direct itself towards the future, though. Gradually, his poetics of reminiscence (which of course also has future-oriented consequences) will become more and more embroiled in the project of remembering others. In order for Wordsworth to construct a unified vision of a harmonious cosmos, which excludes nothing, a full interiorization of *dead* others becomes a necessity. Hence his poetic project logically devolves from the autobiographical one of self-fashioning, briefly entertained during the writing of *The Prelude*, to a growing emphasis on the seemingly more conventional practices of elegy and mourning which are particularly prominent in the texts devoted to the memory of Hogg, Sir Walter Scott, and others. Indeed, in some cases–most prominently,

[12]Quoted from vol. I, pp. 291-292 of *The Prose Works of William Wordsworth*, two vols. Edited by W. J. B. Owen and Jane Worthington Smyser. Clarendon Press, Oxford: 1974.

perhaps, in the *Ecclesiastical Sonnets*–an entire tradition is to be ideally reconstituted through an active performance of recollection:

> Communities are lost, and Empires die,
> And things of holy use unhallowed lie;
> They perish;–but the Intellect can raise,
> From airy words alone, a Pile that ne'er decays.
> ("For a Seat in the Groves of Coleorton," lines 17-20)

Combined with the edification, or spatialization, of the self of memory, which we initially sketched, the shift towards acts of community in remembering others, rather than remembering personal encounters with nature, arguably leads Wordsworth to the pursuit of something like an architectonic of pure mourning. The symbol of the church comes to be predominately associated with the achievement of community through reminiscence. So central is this association to Wordsworth's late conception of the church, that the poem titled "A Place of Burial in the South of Scotland" even celebrates the presence of a *churchyard* where "No vestige now remains" (line 6) of the actual church itself. Without the re-membering of the dead, the organic body of the church would not be a fully unified community of all possible members. It is a requisite of Wordsworth's ideal church that it be a "visible centre" for such a realized unity of the "community of the living and the dead."[13] A conventional expression of this unity can be found in "Ode: 1815," where the burial of the deceased heroes of the battles with the French is envisaged in the following terms:

> Be it not unordained that solemn rites,
> Within the circuit of those Gothic walls,
> Shall be performed at pregnant intervals;
> Commemoration holy that unites
> The living generations with the dead; (lines 63-67)

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[13] *Essays on Epitaphs*, I, p. 56, in *The Prose Works*, II. See also page 66 of the second essay on epitaphs. Wordsworth's community of the living and the dead is given an early expression in *The Prelude*, X, 967-969, and is also propounded in *The Convention of Cintra*: "There is a spiritual community binding together the living and the dead; the good, the brave, and the wise, of all ages" (*The Prose Works*, I, p. 339).

The last two lines make a strong statement: commemoration actually "unifies" the living and the dead. Due to his pressing need for such unification, Wordsworth is even led to grant, in a poem on the monastery at St. Bees, a qualified defence for the Catholic practice of paying others for prayers and vigils for one's dead. This ritual, he writes, has a natural source in "passion's sharpest agonies," and it beneficently aims to "fix a wiser sorrow in the heart" ("Stanzas suggested in a Steamboat off Saint Bees' Heads," lines 74, 76).

The boundaries of mourning

Despite the importance of mourning to Wordsworth's late poetry, it cannot be said that he achieves any settled or satisfying conception of its process. In fact, he displays a profoundly ambivalent and vacillating stance with regard to mourning, asking of interpersonal memory both that it may preserve and rid one of the deceased. This mixed stance comes about through a confrontation with the Christian scenario of recompense in the afterlife. In its most radical consequence–insofar as the deceased, if a believer, is thought of as being born again in heaven, come what may–the Christian view actually renders human commemoration superfluous. Indeed one might ask, with the Pastor of *The Excursion*, "wherefore murmur or repine? / The memory of the just survives in heaven" (VII, lines 387-388). And–as the consoling voice of the poem "In due observance of an ancient rite" states–even if one mourns, "soon, through Christian faith, is grief subdued: / And joy returns, to brighten fortitude" (lines 13-14). Even if the temptation is there, Wordsworth cannot accept such a divine mechanization of catharsis wholeheartedly. This is a general trait of the time: romantic art takes upon itself the responsibility for presenting the absolute, and thus the successful interiorization and spiritualization of the sensual is considered to be an active, human process.[14] It does not occur by itself. Both philosophy

[14]Salvesen suggests that a reading whereby Wordsworth "had, by the time he completed *The White Doe*, worked through, by way of memory, to an attitude of passiveness in time, after which memory had no real function, and so poetry no real aim, is one very possible interpretation of his development" (Salvesen, p. 183). My point is that Wordsworth's poetry avoids such a state of

and the divine (here Hölderlin's gods function similarly) are in need of the transformative powers characteristic of art.

In Wordsworth, poetry transforms and elevates through memory. This process, whereby the dead are saved through the preservative recollection undertaken by those remaining, is the characteristic work of the poet. The latter, as the ecclesiastical sonnet called "Apology" states, is one of the "*good* Spirits free to breathe a note / Of elevation" (lines 6-7). And even were the need for that work of elevation absent, the process and problem of overcoming grief could not be avoided. At times, Wordsworth seems to recommend what one might call a pure therapeutics of detachment on this issue: the living have to free themselves from the fetters of memory, in order to live fully. In the words of Freud, "when the work of mourning is completed the ego becomes free and uninhibited again."[15] For Wordsworth, this act of liberation finds its justification in something beyond the individual: only by freeing oneself from the memory of the loved person, can one live in harmony with the joyful essence of nature. If one acts otherwise, mourning risks becoming a ghastly business draining all the resources of life. In "The Brothers," one of Wordsworth's earliest meditations upon the value of mourning, the priest and the other inhabitants of his secluded valley embody the calm quiescence which follows upon a completed process of commemoration. For the inhabitants of the valley, internalization of the dead is a swift and almost painless affair, wherein the "thought of death sits easy" (line 182).[16] Leonard's painful and laboured mourning for his brother, on the other hand, supplies a stark contrast to their untroubled naïveté.

Wordsworth never manages to fully and exclusively embrace any one of these alternatives, indeed his later poetry will often em-

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superfluousness by committing itself more and more to an ethics of remembering other people (partially in identification with the church's medieval role in mourning), combined with its submerged retaining of ancient forms of nature worship.

[15]Sigmund Freud, "Mourning and Melancholia," p. 166, in *General Psychological Theory.* Edited by Philipp Rieff, Collier: New York: 1963.

[16]For a contrast of the differing views on time held by Leonard and the priest, see Salvesen, pp. 143-147.

brace both at once. This is the stumbling block encumbering what Eugene L. Stelzig has called his "presentment of the self as a unity in time, an organic process of personal growth."[17] For as well as desiring an overcoming, or dismissal, of the work of mourning, Wordsworth's poetry *also* seems to advocate a never-ending process of mourning, where the continued retention of the deceased, or of tradition, is akin to the necessary and continuous act of creation whereby God keeps the universe in existence. One can sense an uneasy compromise between these demands of both remembering and forgetting in "Yarrow Visited," where the morning sun is greeted as a

> Mild dawn of promise! that excludes
> All profitless dejection;
> Though not unwilling here to admit
> A pensive recollection. (lines 21-24)

The church, as the paradigmatic place of mourning, is involved in a double bind, according to its conflicting debts to the earth and the beyond. Hence as a collective monument of memory, a church–such as the chapel evoked in "To the Lady Flemingon Seeing the Foundation Preparing for the Erection of Rydal Chapel, Westmoreland"–must "exalt the passing hour; / *Or* soothe it with a healing power / Drawn from the Sacrifice fulfilled" (lines 25-27, emphasis added). On the one hand, nothing must be sacrificed, in order for nature's devotees to live fully in the sanctity and immediacy of nature's embrace. On the other hand, since "Heaven upon earth's an empty boast" ("After-thought," line 9), all must be subjected to the internalizing sacrifice of the sensual at the threshold of the divine.

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[17]Stelzig, p. 17. The two stances to mourning represent positions related to what Esther Schor identified as being Wordsworth's "two faces of grief," or his two genealogies of morality: "The elegiac genealogy curbs its salvific powers by framing its narratives within natural limits. The organicist genealogy, conversely, employs the mediations of elegiac imagery to strain against natural limits, toward transcendental powers" (*Bearing the Dead: The British Culture of Mourning From the Enlightenment to Victoria*. Princeton University Press, Princeton: 1994, p. 149). My stance differs most importantly from Schor's in that I see the transcendental stance as ulimately entailing a transcending of grief *per se*, a transcendence which makes the mourning process superfluous.

These contradictory imperatives of memory are perhaps most urgently presented by Wordsworth in the poem "Maternal Grief." The lines of this poem were first intended to be spoken by the wife of the Solitary of *The Excursion*, and even when it was denied its place in that work–and thereby also its place in *The Recluse*–its original connection with that work was nevertheless preserved by Wordsworth's mentioning it in a note dictated to Isabella Fenwick. Thus the work is connected in an even more intimate fashion with the planned cathedral of *The Recluse* than those other freestanding poems of Wordsworth's *oeuvre* which are said to function as its "little cells, oratories, and sepulchral recesses."[18] "Maternal Grief" is an interior haunt, placed, as it were, somewhere on the border between the nave (*The Excursion*) and these more external appendages of Wordsworth's cathedral. Thus it confounds the logic of exclusion and inclusion which would help demarcate the architecture of the planned poem, and we shall presently see that it also resists the boundaries set by the principles of mourning upon which Wordsworth implicitly wanted to rear that edifice.

"Maternal Grief" starts off with the citation of the speech of an ailing mother who has lost her daughter. We are presented with her struggle to cope with this loss, by comprehending it within a Christian view of the afterlife, as well as her struggle to care for a young son who survived his twin sister. In this latter motif, there is a thematization of the struggle between factuality and introjection: the mother has to concentrate so much of her psychic resources on the process of interiorizing her lost one, that the actual presence of the dead daughter's twin brother represents a problem. He is neglected, due to the mother's excessive emotional investment in the process of mourning. At length, a *rapprochement* between mother and son takes

[18] *The Poems*, II, p. 36. The note dictated to Isabella Fenwick deserves to be quoted in full, as it also interestingly brings up the threshold between fact and fiction, public and private: "This was in part an overflow from the Solitary's own description of his own and his wife's feelings upon the decease of their children [*The Excursion* III, lines 650-79], and, I will venture to add *for private notice only*, is faithfully set forth from my Wife's feelings and habits after the loss of our two children within half a year of each other" (*The Poems*, I, p. 1045).

place, but it grants no real closure to her process of mourning, and is manifested by the two of them wandering together in "walks whose boundary is the lost One's grave" (line 68).[19]

These walks are more of a sharing of the predicament of the grave, than a solution to it: mother and son share a fascination with the boundary between life and death, between the inside and the outside. The sharing of this boundary is not, however, strictly *within* its confines, since the son (as a twin of the deceased) bears it within his very being. He is, partially at least, a walking instance of death-in-life, due to the overlap between his and his sister's identity, just as the mother's virtualized and displaced desire, preoccupied as it is in the process of mourning, displaces her from partaking fully in the land of the living. Indeed, the mother dies of grief in the differing version of this story provided by *The Excursion*.

On the threshold between life and death, mother and son establish something like a minimal community in "Maternal Grief," a small-scale image of the collected congregation of the living and the dead that will be joined in mourning commemoration within the larger bounds of Wordsworth's transcendental architecture. It is evident, from the ending of the poem, that mourning does not end: if the mother "does not miss / Dear consolation" (lines 70-71) in her trips to her daughter's grave, she nevertheless blends "with that solemn rite / Of pious faith the vanities of grief" (lines 72-73). In the final lines, we are told that her sorrow, "As now it is, seems to her own fond heart / Immortal as the love that gave it being" (lines 80-81). In the original context of *The Excursion*, this grief was no doubt to be subsumed and transcended as a moment of weakness or self-indulgence.[20] Maternal grief was, most likely, meant to be clarified and replaced by a more stoic and *paternal* grief. But this explanation is never given in the poem itself: as it stands on its own, relatively

[19]This and all subsequent line numbers given directly in the text refer to "Maternal Grief."

[20]See the Solitary's description of his wife's ultimately lethal grief: "her pure glory, / [...] fell / Into a gulf obscure of silent grief, / And keen heart-anguish–of itself ashamed / Yet obstinately cherishing itself: / And so consumed, she melted from my arms; / And left me, on this earth, disconsolate!" (*The Excursion*, III, lines 672, 674-679).

independent of *The Excursion* as a whole, "Maternal Grief" contradicts the latter work. The cell, or oratory, or aisle, or whatever liminal site this excised poem might be said to inhabit within the sacred architecture of *The Recluse*, drifts apart and does not obey the logic of the more encompassing edifice. We find the contended point–where to draw a line to mourning, or where to fix the boundary between the sacred and its exterior–expressed with extreme lucidity, at the beginning of the mother's speech in "Maternal Grief." She turns to God and implores Him:

> Death, life, and sleep, reality and thought,
> Assist me, God, their boundaries to know,
> O teach me calm submission to thy Will! (lines 11-13)

No resolving delineation of these boundaries is provided–neither here, nor elsewhere in Wordsworth's poetry. His poetry can be said to enact a persistent fascination and puzzlement before such boundaries.

In the process, his architecture of the absolute–the projected site of *The Recluse*–is torn asunder by its internal cracks. No secure basis is given for the differentiation between what is internal and what is external to its structure, for any principle of articulation through which his life's work could be organized. Likewise, Wordsworth's poetry hesitates between different understandings of recollection: memory, as we encounter it in his verse, goes through a wide variety of guises and is neither pure temporality nor fossilized space, neither simple self-recollection nor exclusively the mourning of others, neither a beast of burden nor a blessing–but all and none of these. This richness, and Wordsworth's unremitting confrontation with its inherent aporias, has contributed to make his poetry so eminently, but also disturbingly, memorable.

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The Gaze of Tiresias: Joyce, Rossellini and the Iconology of "The Dead"

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A text always appears to us as emerging from some other text.
Mikhail Iampolski

This is an essay on transtextuality – the logistics of quotation – and literary/cinematic memory, though with a particular focus on their workings in James Joyce's "The Dead" and Roberto Rossellini's *Voyage to Italy* (*Viaggio in Italia*, 1953). Rossellini's film, shot on location in Naples and starring Ingrid Bergman and George Sanders as the middle-aged couple Katherine and Alex Joyce, contains only one scene which overtly references "The Dead". Yet I am going to claim that the subject of Rossellini's film proceeds crucially from this particular segment, and that the director deploys the Joycean intertext as a starting point from which to attempt a self-reflexive meditation on the nature of memory and the film image, or what André Bazin called "the mummy complex" (Bazin 1967: 9). Secondly, by reading *Journey to Italy* in the context of Mikhail Iampolski's theory of intertextuality, I hope to show that Rossellini's judicious citation of Joyce in fact both captures and extends some of the themes of the short story more dynamically than does another, more well-known adaptation of "The Dead", John Huston's acclaimed swansong *The Dead* (1987). Thirdly, I shall support my initial contentions by drawing attention to a host of intertextual motifs deposited onto the text of *Voyage to Italy*, motifs that only become legible by way of Joyce's novella.

Adaptations of Joyce's fiction are few and far between. While the work of many other major modern writers like Conrad, Chekov, Beckett – and even Faulkner – has been reworked for the screen repeatedly, only a handful of adaptations of Joyce exist: Mary Ellen

Bute's *Finnegan's Wake* (1965), Joseph Strick's *Ulysses* (1967) and *Portrait of the Artist as a Young Man* (1979), Werner Nekes's *Uliisses* (1982) and Huston's *The Dead*.[1] Arguably, the most widely known title is that of Huston. Praised as both a faithful and a visually accomplished adaptation, the legendary director's 37th and last feature has received a substantial amount of criticism. Long held to be unfilmable, "The Dead" possesses a kind of canonicity which, as James Naremore has pointed out, "weighs heavily on an adaptation" (Naremore 1994: 199); in view of this, the success of Huston's movie was not a given even for a director famous for his numerous realizations of literary works.[2] Because it is a straightforward adaptation, however, Huston's *The Dead* lacks the intertextual resonance that characterizes *Voyage to Italy*, with its intricately modulated relations to Joyce's story. Notwithstanding these points, I will refrain from pursuing a comparative approach, and I see no reason to argue that Huston's film is in any way aesthetically inferior to Rossellini's. My emphasis throughout the following pages will be placed solely on the Italian film, since I believe its relation to "The Dead" has been unduly neglected, and since it – unlike Huston's movie – keeps a sufficient distance to Joyce to allow the play of transtextuality to come to the fore.

In *Voyage to Italy*, sometimes described as the "first modern film" (Mulvey 2000a: 20-24), we meet Katherine and Alex Joyce, a British couple who have come to Naples to sell the house of a recently deceased relative. By contemporary standards Rossellini's film is virtually plotless, and rather than relying on a chain of dramatic events, the narrative structure is configured as a succession of revelatory excursions that in the course of seven days bifurcate and recon-

[1] However, a new version of *Ulysses*, directed by Sean Walsh, is currently in production and is scheduled for release in 2002.

[2] Huston had previously adapted work by among others Dashiell Hammett, Maxwell Anderson, Stephen Crane, Herman Melville, Tennessee Williams, Carson McCullers, Rudyard Kipling, Flannery O'Connor, and Malcolm Lowry. The director did in fact consider an adaptation of "The Dead" as early as 1956, when he was shooting *Moby Dick*. See Wieland Schulz-Keil. "Appreciating Huston – The Life in the Works". Stephen Cooper. Ed. *Perspectives on John Huston*. New York: G.K. Hall & Co., 1994. 213. According to Stephen Cooper, Huston's work is in fact fundamentally based on an "aesthetic of intertextuality". Stephen Cooper. "The Critical Coming of John Huston". In *Perspectives on John Huston*, 12.

verge.[3] At the relative's villa, Katherine happens to mention an old lover, the poet Charles Lewington, who during the war landed in Naples as an allied soldier. The memory of the poet occasions a marital crisis that eventually leads to reconciliation in the "miracle sequence" at the end of the film. Before this, Katherine and Alex embark on their separate transformative journeys which bring her to the Museo Archeologico Nazionale, the Cumaean Sibyl, the Phlegraean Fields and the Fontanelle Cemetery, and him to Capri. The last of these journeys, the one to the excavation site at Pompeii, they undertake together. While being thus substantially anchored in real spaces, in natural geographies, *Voyage to Italy* is also quite unambiguously about metaphorical journeys into the uncharted topographies of memory and self. Last but not least, Rossellini's film can also be seen as a journey into a particularly transtextual topos, at which center a host of different fragments and references intersect.

Before we begin to unearth the architextual strata inscribed onto the film, I want to concentrate briefly on the troubled production history of *Voyage to Italy*. As with Joyce's "The Dead", autobiography impinges significantly on the film, blurring the boundaries between the fictional and the real. When shooting commenced in Naples in February 1953 (the film was not released until September 1954), Ingrid Bergman's marriage was falling apart, and George Sanders had recently divorced Zsa Zsa Gabor. Rossellini decided to take advantage of his actors' real-life crises, which he deliberately exacerbated by having them work without a script (Bergman and Sanders were actors ill-prepared to handle improvisation), by isolating Sanders socially, and by generally behaving unpredictably and erratically. What Rossellini wanted was to forge the closest possible identification between the psychological state of the actors and that of their characters. As Laura Mulvey writes, "Bergman's and Sanders' off-screen situations are part of *Journey to Italy*'s aesthetic on a level that goes beyond naturalistic characterisation or a director's megalomania" (Brunette 1996: 164). During the shooting of the film Sanders suffered several nervous breakdowns, and was at

[3] As Peter Brunette has observed, environment plays an especially prominent part in this film, to the extent that it in fact becomes "a powerful third character" (Brunette 1996: 164).

one point actually on the verge of suicide (Gallagher 1998: 402). It is difficult to ignore the importance of such contextually embedded inflections for a full appreciation of the sensibility of Rossellini's film.

In addition, the immediate public reception of the film became no less a scandal than its tortured making. First, as Tag Gallagher submits, the film "was not sellable even as an art film; it flies in the face of both convention and the conventions of unconventionality" (Gallagher 1998: 403). Italian film critics were outraged at what they perceived to be the film's relentless opacity and aimlessness, as well as at the director's abandonment of the Neo-Realist style with which he had become so closely associated. The savage idiom in which this domestic criticism was couched finally led the esteemed French film critic André Bazin to write a letter to the editor of the Italian journal *Cinema Nuovo* in which he defended the film. Bazin's journal, *Cahiers du Cinéma*, praised the film for exhibiting "a style so new that it defies all definition" (Rohmer 1985: 206), and ranked *Voyage to Italy* the best film of the year (Hillier 1985: 285).

The allusion to Joyce's "The Dead" occurs early in the narrative, and is one of the film's two key scenes. As Katherine and Alex are sitting on the terrace of the villa, she recollects the memory of the poet, now dead, who had been so hopelessly in love with her:

> ALEX: Were you in love with him?
>
> KATHERINE: No. But we got on terribly well together. I saw a great deal of him at Copling Farm. Then he got desperately ill. I couldn't even visit him. For almost a year I didn't see him. Then on the eve of our wedding, the night before I left for London, I was packing my bags, when I heard a sound of pebbles on my window. Then, eh, the rain was so heavy that I couldn't see anyone outside. So I ran out, into the garden, just as I was. And there he stood. He was shivering with cold. He was so strange and romantic. Maybe he wanted to prove to me that in spite of the high fever he had braved the rain to see me. Or maybe he wanted to die.

> ALEX: How very poetic" Much more poetic than his verses! (Gallagher 1998: 409)

As we recall, in "The Dead" it is Mr. D'Arcy's singing of "The Lass of Aughrim" that prompts Gretta to resurrect the memory of Michael Furey, which in turn triggers Gabriel's sudden emotions of humiliation and jealousy. Gretta's narration of the following passage is highly evocative of Katherine's story:

> -- Then the night before I left I was in my grandmother's house in Nun's Island, packing up, and I heard gravel thrown up against the window. The window was so wet I couldn't see so I ran downstairs as I was and slipped out the back into the garden and there was the poor fellow at the end of the garden, shivering.
>
> -- And did you not tell him to go back? asked Gabriel
>
> -- I implored of him to go home at once and told him he would get his death in the rain. But he said he did not want to live. (Joyce 1992 [1914]: 222)

In *Voyage to Italy* it is Katherine rather than Alex who is moved to reflection by the memory of the dead lover. Laura Mulvey writes that in "The Dead", "jealousy and irritation give way to an intimation of universal mortality; in *Journey* Alex cannot escape from the jealousy and irritation which continue to haunt him" (Mulvey 2000a: 24). Not only does Rossellini reverse the spousal positions in terms of to whom insight is given, one might also claim that he begins his film at the narrative and perceptual point where Joyce chooses to end his story. The "Charles Lewington" scene in *Voyage to Italy* thus functions as a transtextual juncture from which the process of discernment in what Gérard Genette calls the hypotext is carried on in the hypertext (Genette 1982: 356). In Sandro Bernardi's view, the reference to "The Dead" in fact "explains the meaning of the whole film, which is a variant, or rather a continuation, of Joyce's story" (Bernardi 2000: 58). It is here that the disparity between Rossellini's film and Huston's adaptation with respect to their relation

their relation to Joyce becomes particularly palpable. While Huston's dedicated reading, though still an interpretation, is content merely to transpose Joyce's narrative into a different medium,[4] Rossellini's film uses "The Dead" as a point of departure for a creative contemplation of the ideas encountered in the short story. Hence, though Huston is adept at capturing Joyce's story as story, it is Rossellini who most convincingly captures its spirit. This contention finds support in James Naremore's reading of *Voyage to Italy*, in which he maintains that the film is in some ways a more fundamentally modernist and Joycean project than John Huston'srespectful adaptation... Rossellini and his co-scenarist are cunning and strategically silent artists who acknowledge their sources through sly allusions, planting clues for the cognoscenti and then going on to fashion an 'autonomous' work expressive of the director's personal authorship" (Naremore 1994: 198)

Unlike Huston's *The Dead*, of course, Rossellini's film is not an adaptation at all, but rather - as Bernardi has suggested – a sequel to Joyce's story (Bernardi 2000: 58).

Earlier I said that *Voyage to Italy* opens up onto what I referred to as a transtextual topos,[5] and by invoking the work of Iampolski I shall now attempt to clarify what I meant. In the first chapter of his seminal book *The Memory of Tiresias* (1998), the author carefully spells out the difference between iconographical and iconological forms of quotation. Relying on observations made by the art historian Erwin Panofsky, Iampolski notes that iconographic motifs in art – in contradistinction to iconological ones – convey a meaning that is essentially static. Such motifs, he writes, "do not participate in the production of new meaning; rather, they passively transmit significations from the past into the present" (Iampolski 1998: 10). For Panofsky, iconographical motifs were 'conventional' and 'secondary'

[4] Naremore has suggested that Huston's film in fact wants to be received as a kind of translation. 200.

[5] Though I use the term intertextuality extensively in this essay, *transtextuality* may be a more descriptive term, as it connotes an element of transitoriness, or transcience that better transmits the sense of flexibility and movement characteristic of the quotations I find in *Voyage to Italy*.

elements of intertextuality, and these he opposes to iconological fragments, which are capable of engendering new significations (Iampolski 1998: 10). If we allow that an entire text may be considered one long intertextual entity, Huston's *The Dead* appears to function largely iconographically (Panofsky's own example, by the way, is the motif of the Last Supper, signified by the image of thirteen men seated in a particular way around a table).

Iampolski introduces his theory of intertextuality by relating the anecdote of the blind and androgynous prophet Tiresias, who came to possess "a memory that would not fade", and whose blindness "has retained the past and its images in the dark" (Iampolski 1998: 2). Because it is blind, the gaze of Tiresias implies a metaphorical mode of seeing, one whose address is the space of memory and whose mandate is the synthesis of the "disjointed fragments" of the texts of our culture (ibid.). The work of intertextuality may thus be said to be Tiresian, in that it preserves the memory of sources across texts. Where the gaze of Tiresias is absent is where the text becomes afflicted with amnesia, disconnected from any sources it goes blind. "It is the very darkness of memory", Iampolski points out, "that allows visual images to come loose from their contexts, forming new combinations, superimposing themselves on each other or finding hidden similarities" (Iampolski 1998: 3). Preserving memory by transforming it, intertextuality likewise lays text upon text and meaning upon meaning in an infinite chain of new permutations and constellations. Drawing on the work of Ferdinand de Saussure, Iampolski takes the anagram as his model for understanding how this process of textual superimposition occurs: "The anagram permits us to see how another outside text, a hidden quotation, can both organize and modify the order of elements in a given text" (Iampolski 1998: 17). Iampolski's point, it seems, is that intertextuality is multi-directional; it does not have to involve the effect our knowledge of an earlier work has on our reading of a later work. In order to illustrate the logic of Iampolski's thinking here, I quote him at some length:

> a theory of intertextuality allows us to incorporate history into the structure of a text... 'history' began to seem less and less like a chronological sequence of

> events. By creating a specific intertextual field as its own environment, each text in its own way seeks to organize and regroup its textual precursors... in some way a later text can serve as the source of an earlier text. This reverse chronology is of course only possible from the perspective of reading, which is precisely the basis of an intertextual approach to culture (Iampolski 1998: 246).

Like Genette, Iampolski is concerned with what the French theoretician terms *textual transcendence*, which denotes "everything that brings [the text] into relation (manifest or hidden) with other texts" (Genette 1992: 81). It is the reader's transaction with the text that constitutes this virtual palimpsestic space; intertextuality and quotation are therefore not dependent upon artistic intentionality Iampolski 1998: 35). Iampolski furthermore appears to question the tendency in pundits like Roland Barthes and Jean-Luc Godard to view the intertextual function merely as a random accretion of fragments and references (ibid.). Quoting Laurent Jenny, he grants that intertextuality may instead consist in "'the work of transformation and assimilation of several texts performed by a centering text which retains its position of leadership in meaning'" (Iampolski 1998: 36). While I agree that the intertext serves as an 'interpretant' conducive to the production of new meanings (Iampolski 1998: 247), it can also specify, contextualize, elaborate, and modify the present meanings which we have already intuited form the hypertext, to use Genette's term.

According to Iampolski's theory, intertextuality is a process "particularly active in moments of narrative rupture" (Iampolski 1998: 248), and in *Voyage to Italy* the Joycean allusion represents such a disruption in that the moment becomes a turning point, a metabasis,[6] in the progression of the film. The effect of the quotation is to fracture the linearity of the narrative and redirect its trajec-

[6] The concept derives from the Greek *metabaio*, meaning a transition or passage from one point or subject to another. "Metabasis", *Webster Universal Dictionary*, 1970 ed. Though the term belongs to the field of rhetoric, it has recently been appropriated by some theoreticians (notably David Bordwell) to describe moments of narrative re-orientation in film. David Bordwell, "Narrative Theory and Film", Graduate seminar 960, Department of Communication Arts, University of Wisconsin-Madison, 18 Feb. 1999.

tory. In branching out into new directions concretized by Katherine's and Alex's excursions, the narrative comes to embody the potential for the kind of transfigurational insight that the characters experience at the end. Because it as a quotation destabilizes the text, the reference to "The Dead" stands out as what Iampolski calls a "textual anomal[y]" (Iampolski 1998: 30), a semiotic interstice where the process of signification produces a parallel discourse *which does not function merely to advance the narrative*. That is, the Joycean sequence participates in two chains of signification at once, in that it is *both* an enactment of a conversation from "The Dead" *and* a self-contained part of Rossellini's story. As actors, Bergman and Sanders represent at the same time the characters of Gretta/Katherine and Gabriel/Alex. Semiotically, therefore, this sequence contains far more than is necessary for a straightforward comprehension of the narrative. Forming a part of the narrative syntagm of the film, the sequence is also simultaneously richly overlaid with an additional narrative that amplifies our appreciation of Rossellini's text.

The interspace to which the Joyce segment provides us access indexes a multilayered geology of sources and references, one which seems to require a non-linear mode of reading. Just as the text of "The Dead" extends cataphorically to Rossellini's and Huston's films, it also extends anaphorically to a number of precursor sources, some of which even can be found to connect with *Voyage to Italy*. It is of course well documented that the character of Michael Furey in "The Dead" is modeled after Nora Barnacle's sweetheart Michael Bodkin, whose grave Joyce visited in 1912, shortly before he composed the poem "She Weeps over Rahoon" in Trieste (Beck 1969: 310). Joyce also commenced work on "The Dead" while in Rome in 1906-07, a time during which, as Richard Ellmann has noted, "[Joyce's] head was filled with a sense of the too successful encroachment of the dead upon the living city" (Ellmann 1982 [1959]: 244). The co-existence of the dead among the living is of course a major subtext in Rossellini's film, as the critic José-Luis Guarner has noted (Guarner 1970: 60). The autobiographical sources aside, the ending of Joyce's story is partly lifted from George Moore's *Vain Fortune* (1892), in which, on a couple's wedding

night, news of a rejected lover's suicide provokes a sudden, melancholic insight (Ellmann 1982: 244). In Sidonie-Gabrielle Colette's *Duo* (1934), from which aspects of *Voyage to Italy* derive, the protagonist's husband Michel, unable to cope with his jealousy of his wife's former lover, commits suicide.[7] It is worth noting that while the allusion to Colette was present in the film from the beginning, Rossellini never acknowledged his Joycean source, thus giving rise to speculations that his citation may have been inadvertent. Another source of Rossellini's narrative is Antonio Pietrangeli's script *New Wine*, which is about a quarreling English couple on holiday in Naples (Gallagher 1998: 397). Finally, as Bernardi remarks, *Voyage to Italy* also displays an obvious reference to Goethe's travels of 1786-87, published in 1816 as the *Italienische Reise* (Bernardi 2000: 58).

In our transtextual space there are a few more allusions in "The Dead" that periphrastically extend to *Voyage to Italy*. The title of Joyce's narrative has usually been attributed to one of Thomas Moore's *Irish Melodies* (1846), "O, Ye Dead!" (Ellmann 1982: 244), in which in the second stanza the dead answer the living:

> It is true - it is true - we are shadows cold and wan;
> It is true – it is true - And the friends we lov'd are
> gone
> But oh! thus even in death,
> So sweet is still the breath
> Of the fields and the flow'rs in our youth we wander'd
> o'er,
> That ere, condemn'd, we og
> To freeze 'mid Hecla's snow,
> We would taste it awhile, and dream we love once more!
> more! (Moore 1846: 182-183)

What particularly interests me in Moore's text is the reference to the Icelandic volcano and the implied juxtaposition of heat and cold, passion and tranquility, which animates the imagery. In Rossellini's

[7] Rossellini intended to adapt Colette's story, but had to abandon the project when he disovered that the rights had already been sold. See Gallagher, 397.

movie, the second key scene takes place near Vesuvius - at the excavation site at Pompeii - where Katherine and Alex are present as archeologists discover two bodies preserved by the lava. Like the rest of the film, this sequence was wholly improvised, and as it turned out, the archeologists themselves did not know what would be uncovered until after Rossellini's camera had started recording (Gallagher 1998: 412). Katherine's despairing realization that "Life's so short" is thus in every sense a celluloid epiphany.[8]47 Evidently, there is no direct textual relation between the image of Hecla and that of Vesuvius, but Joyce's story becomes the connective tissue that places them in transtextual proximity of one another. Furthermore, as phenomena of nature textualized, there is a compelling though abstruse parallelism between the notion of the lethal volcanic matter which preserves the shapes of dead on the one hand, and the gentle snow falling down to cover the dead on the other. As Franz K. Stanzel has shown, the snowfall in "The Dead" may be "a symbol at once of death and rebirth" (Stanzel 1992: 119); a conjunction, or paradox, reminiscent of that produced by the symbol of the lava in *Voyage to Italy*. While the eruption of the volcano means death, it also implies a rebirth of memory as facilitated by the preservational quality of the lava. Finally, the significance of the Pompeii sequence is further enriched by the lines that the dead poet Charles Lewington wrote while he was stationed in Italy during the war, lines which Katherine has memorized:

> ...stemple of the spirit.
> No longer bodies, but pure ascetic images,
> compared to which mere thought
> seems flesh,
> heavy,
> dim

[8] Katherine's exclamation is also emblematic of the death theme that permeates the film, and that culminates in the sequence so aptly described by Brunette in the following passage: "The parts begin to form themselves into a man and a woman; death has caught them making love, or at least wrapped tightly in each other's arms. Suddenly, the museum, the catacombs, and the Cumaean Sybil all come together in one startling image: the physicality and rawness of the ancient world, the ubiquity of death in life, and love, however inadequate and flawed, as the only possible solution". Brunette, 166.

As Mulvey discerns, Katherine appears to be searching for a meaning to the poet's verse, one which she perceives eventually in "the image of death that pervades the film" (Mulvey 2000: 24). The couple that embrace in the lava no longer have bodies. They have become the sublimated, "ascetic images" of Lewington's poetry, shapes formed by igneous rock. In Godard's *Le Mépris* (1963), this image of the petrified lovers resurfaces as a quotation (Guarner 1970: 61).

The second indirect transtextual allusion for which Joyce' story provides the link is no less opaque than the Thomas Moore reference, but it is one, I believe, that a theory of iconology would allow for. Early in "The Dead", as Gabriel looks over the headings for his speech, the narrative becomes self-consciously entangled in questions of quotation. Gabriel plans to cite some lines from Robert Browning, but eventually decides against it, assuming that Shakespeare or Thomas Moore would be more suitable references for his audience. Had Gabriel known that Roberto Rossellini fifty years on would make *Voyage to Italy*, I am sure that he would have opted for Browning's "Love Among the Ruins" (1853),[9] a text which by way of Joyce engages saliently with the thematic preoccupation of Rossellini's film. Browning's first two stanzas read:

> Where the quiet-colored end of evening smiles,
> Miles and miles
> On the solitary pastures where our sheep
> Half-asleep
> Tinkle homeward through the twilight, stray or stop
> As they crop—
> Was the site once of a city great and gay
> (So they say),
> Of our country's very capital, its prince
> Ages since
> Held his court in, gathered councils, wielding far
> Peace or war

[9] The poem is the first in the collection *Men and Women* (1855).

Now – the country does not even boast a tree,
As you see,
To distinguish slopes of verdure, certain rills,
From the hills
Intersect and give a name to (else they run
Into one),
Where the domed and the daring palace shot its spires
Up like fires
O'er the hundred-gated circuit of a wall
Bounding all,
Made of marble, men might march on nor be pressed,
Twelve abreast (Browning 1995 [1855]: 5-8)

It is generally conceded that Browning composed this poem in Italy, and it is quite possible that the ruins the title refers to are those of one of the country's Etruscan cities. Etruria, however, was located in the northwestern region, and more important than the exact geographical placement are the subject and technique of the poem, which share a conspicuous affinity with *Voyage to Italy*. Like the film, Browning's poem imagines a meeting of two lovers in the context of an aesthetics of archeology and the past. Invented by the author himself, the curious stanza form is structured by the negotiation of past and present. One half of each stanza devoted to a particular temporality, the poem contrasts the topographical present with its respective past: "Where the quiet-colored end of evening smiles... Was the site once of a city great and gay". Rossellini's main interest in the film, Mulvey writes, was "the visible presence of the past and its material legacy" and "the continued presence of the dead among the living" (Mulvey 2000a: 24). The latter also appears to have been a major concern in all of Joyce's fiction, as Ellmann has noted (Ellmann 1982: 244). Thus, an interaction between past and present materializes as Tiresian memory, a memory that rescues the dead from Lethean oblivion. Facilitated by transtextual readings, this memory performs the Bazinian work of embalming of which the cinema – fossilizing images on celluloid (Mulvey 2000a: 24) – becomes a supreme epitome.

Toward the end of his magisterial study, Iampolski concludes that a theory of intertextuality "is particularly effective in addressing

narrative leaps, moments in which narrative logic gives way to discursive anomalies" (Iampolski 1998: 247). In this essay, I have attempted to read such an anomaly in *Voyage to Italy* with reference not only to "The Dead" but to other precursor texts for which the novella acts as a catalyst. One objective has been to show how the phenomena of what I call transtextuality and memory are intimately inter-connected, another to reveal how quotation, as a limbus structure, multiplies the meanings of both the hypotext and the hypertext. Adaptations in the stricter sense do not always accomplish that, probably because they tend to preclude the dialectic engendered by the confluence of two or more individual texts. All adaptations are evidently interpretations of a pre-existing source, sometimes even in the form of radical re-imaginings like Peter Greenaway's *Prospero's Books* (1991) or Roland Joffé's *The Scarlet Letter* (1995). However, unless we consider an adaptation a single, sustained quotation – which some have done, but which to me seems counter-productive – adaptations are not involved in the kind of transtextual dialectics that establishes a new text on the ruins of other texts.

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Migrancies and Modernities in Jamal Mahjoub's *The Carrier*

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Postcolonial fictions of dislocation and exile are many, ranging from Sam Selvon and Bessie Head to Salman Rushdie. They map the fates, paths and histories of various migrant groups, often backtracking the routes of slavery and the Middle Passage. By thematizing the representation of history, postcolonial historical novels also pay attention to resistance to European and Western colonization and traditional historical writing. This can be seen in such works as Bharati Mukherjee's *The Holder of the World* (1993), an Asian-American novel focussing on the journeying of a seventeenth-century American woman to the courts of India, and Caryl Phillips's *Crossing the River* (1994), a text ranging in time and space from nineteenth-century Liberia to the American West and post-Second World War Yorkshire. In this essay I will present a reading of *The Carrier* (1998), a migrant novel written by the Sudanese/British novelist Jamal Mahjoub (b. 1960). I will argue that migrant and diasporic identities are not restricted to the Black Triangle, but that they are present more generally in the (hi)stories told of European identities. It is my intention in this paper to show how a postcolonial text, by thematizing and racializing movement and migrancy, is able to question the alleged stability of identity and reveals the constructed nature of home peculiar to Euro-American discourses of modernity.

Mahjoub's historical novel, where issues of 'race' are connected with Europe and its Enlightenment, problematises the issues of belonging and home. *The Carrier* explores the movement of the seventeenth-century Arab scholar and scientist Rashid al-Kenzy from Africa to Europe and eventually to Denmark, with the intention of

gaining the possession of the telescope, the recent Dutch invention. Rashid's slow journey in search of this chimera-like "form of magic which is not sorcery" (59) is narrated partly as a traveller's tale, partly as a quest for knowledge. Though Rashid never enters Dutch soil, he finds himself in Denmark, owing to a shipwreck. Captured by the Danes, incarcerated and forced to submit to painful medical experiments, the black man is saved by the Danish astronomer Verner Heinesen, whose friend and colleague he becomes, a process that hybridizes everyone involved. Yet the local reaction to their privileging of science over religion leads to violence and murder: the end of the novel finds Heinesen dead, his house burnt and Rashid back in movement. This curious story of migrancy and exile reveals itself gradually to Rashid's twentieth-century counterpart, the historian and archaeologist Hassan. An immigrant to Denmark, Hassan finds in Rashid's narrative a site for self-reflection and a way of countering nationalist narratives emphasising the purity of Nordic lands.

The Carrier, like Mahjoub's earlier fictions *Navigation of a Rainmaker* (1989) and *Wings of Dust* (1994), is not a celebratory text praising the opportunities provided by the opening up of transnational spaces, but a much more melancholic novel telling of loneliness and racism lurking in various contact zones at different times. As I will show, the novel, by telling Rashid's (and Hassan's) story, explores issues of 'home', of belonging and of mapping new spaces. In doing so, the novel contributes to the critique of the Enlightenment's western fantasies of knowledge and progress, and explores what Paul Gilroy has labelled the experience of black modernity in his study *The Black Atlantic: Modernity and Double Consciousness* (1993). Indeed, *The Carrier* thematizes and rewrites a number of features peculiar to the black counternarrative of modernity, ranging from the sense of alienation and dislocation to a critique of the dominant western narrative explaining the history of the sciences. Hence, in this essay I will problematise the role given to home in Mahjoub's novel, and seek to present a reading arguing that in its emphasis on movement and mobility, the novel hybridises the binary model of modernity identified by Caren Kaplan (1996: 49).

In his novel, Mahjoub contests the role of fixedness of home peculiar to nationalism, one of the Enlightenment's master narratives, which assumes a normalized sense of home and rootedness. This can be defined as a notion, normally related to place, of belonging to a community or a nation with a particular geographical space. In the view of Anthony Smith, territory is a central factor in the production of national identity:

> But the earth in question cannot be just anywhere; it is not any stretch of land. It is, and must be, the 'historic' land, the 'homeland', the 'cradle' of our people, even where, as with the Turks, it is not the land of ultimate origin. A 'historic land' is one where terrain and people have exerted mutual, and beneficial, influence of several generations. The homeland becomes a repository of historic memories and associations, the place where 'our' sages, saints and heroes lived, worked, prayed and fought. All this makes the homeland unique. (1991: 9)

In such thinking the idea of being home is contrasted with that of not being home. Biddy Martin and Chandra Mohanty, criticizing the ideological baggage of home and domesticity, suggest that we can distinguish between

> two specific modalities: being home and not being home. "Being home" refers to the place where one lives within the familiar, safe, protected boundaries; "not being home" is a matter of realizing that home was an illusion of coherence and safety based on the exclusion of specific histories of oppression and resistance, the repression of differences even within oneself. Because the locations acquire meaning and function as sites of personal and historical struggles, they work against the notion of an unproblematic geographic location of home. (1988: 196)

In so arguing, Martin and Mohanty both problematise the idea of home as an alleged site of harmony, suggestive of the hidden and gendered histories of domestic violence, and, more importantly from

the perspective of this paper, pointing to the threats that the Other space lacking safety may pose to the individual subject because of its status as a space of strangeness. As Smith's view (1991) cited above shows, narratives of nationalism in particular have emphasised the place-related character of home, however imaginary and mythic such spaces are. Therefore the fixedness of the nationalist's home is in stark contrast with that of the migrant. In discussing migrant identities, David Morley mentions that from the perspective of the nationalist, migrants, foreigners and strangers are particularly suspicious because of their mobility and possibility to challenge the maintenance of stability (2000: 34). According to Morley's view, migrants construct their sense of home in a way in which place-relatedness is not always the crucial issue, but more symbolic objects, such as keys and suitcases, may help to connect the individual to home and the emotions it evokes when living an exilic life in the territory of the Other (2000: 44-5).

Mahjoub's novel represents home by allowing different conceptions of home to conflict with each other. Denmark, for instance, is both the home of its inhabitants and the not-home of the migrant– from the perspective of those who rely on the sacred character of their homeland, Rashid is a colonizer and an intruder. The novel plays with the narrative perspective of the traveller's tale by selecting a non-western character as its protagonist, transforming the genre's traditional roles. The role of Oriental (or American or Asian) space usually exoticised by the western traveller (cf. Said 1991) is now played by a Europe that is Othered and appropriated by the non-European traveller who, like his numerous western counterparts, is captured by the savage natives poking irons at him, as can be seen when Rashid is subjected to a medical examination by a Danish doctor. This not-home is contrasted with the more civilized seventeenth-century Mediterranean spaces that Rashid is familiar with. For Rashid , the shores of Jutland are spaces inhabited by Others "speak[ing] the language of forest creatures" (174). The Danes of the period are "[m]uddy children" (260) and "exhausted men covered in soot and grime" (261). According to the novel, "[t]heir faces were grimy with sweat and dirt, their hands were hardened and bruised from work. Their clothes were simple, rough garments"

(260). Yet Rashid's presence in this space intimidates these barbarian-like people and threatens their mythic homeland.

The solution of rewriting the traveller's tale is not a mere intertextual trick aiming at producing a counternarrative. *The Carrier* problematises the idea of home by showing that Rashid has no home but his life has been one of exile and migration. It is only temporarily that he has been able to find a sense of being home, each time in a setting allowing him to enjoy a connection with tradition and learning. Libraries and schools, tradition and education, form a home for him. The role of the more dominant fixed and geographical sense of home is also undermined in the fact that Rashid is a stranger and a foreigner in both Algiers, his point of departure, and Denmark, his destination. While a traveller's tale may imagine a return to a happy home, Rashid has no high hopes of such a return, and the journey to Europe is a mere act of survival for a man blamed for murder by his neighbours in Algiers claim.

Issues of racism and xenophobia play significant roles in the novel. Both Rashid and Hassan are harassed by the Danes, who think that Rashid is an embodiment of evil, an "apprentice of Satan's, whose body is the colour of darkness, a sure sign of his tarnished spirit? He carries the blackness of Lucifer into the world" (263); the local youth consider Hassan a freak. While the text's repeated representation of racism appears to generate an understanding of its universal character, it may also be argued that *The Carrier* is not merely a didactic text preaching the message that racism is wrong, but that it scrutinizes the binary model organizing colonial discourse and the relations between the colonizer and the colonized. In searching new ways of representing home, nation and identity, Mahjoub's novel seeks to work through what Caren Kaplan calls the binary model of modernity, a model distinguishing "between past and present, home and away, center and periphery" (1996: 48), to present a hybrid form of identity. In so doing, the novel performs what Kaplan finds central in the deconstruction of these mutually exclusive categories: it is through travel, migration and dislocation that "new concerns over borders, boundaries, identities and locations arise" (1996: 102), a process that transforms fixed notions of nation and race for instance, as seen in the story of Rashid (and Hassan).

When Euro-American notions and discourses of modernity have stressed the maintenance of binary categories, they have celebrated exile, the sense of being cut off from one's home, and emphasised its role in the creative process. As Caren Kaplan mentions, nomadism has been defined as a romantic opportunity enabling the modernist subject to return to premodern times (see 1996: 90). Literary critics such as Terry Eagleton, in his *Exiles and Émigrés* (1970), have emphasised the role of exile in the making of such writers as Conrad, Joyce and Beckett, the great heroes of modernism. Alternatively, they have praised, as Malcolm Cowley does in his *The Exile's Return* (1982), the unrestrained life of American intellectuals in the European metropolises of the 1920s (see Kaplan 1996: 41-49). Yet Kaplan argues that in the era of postmodernity modes of travel and migration change: "the difference between modernist and postmodernist imaginary geographies may be a nostalgia for clear binary distinctions between 'country and city' on the one hand and an attachment to less oppositional hybrid cosmopolitanisms on the other" (1996: 31). For Kaplan, postmodernity is the era of migration(s) and hybridity, of continuous displacements that question the binaries peculiar to modernity mentioned above (see 1996:49).

What marks Mahjoub novel is the the blurring of these binaries, suggesting that it seeks to work these oppositions peculiar to western modernity. The first binary mentioned by Kaplan, the relationship between past and present, is blurred: *The Carrier* problematises the writing of history, the task of its contemporary protagonist Hassan, by making it a dubious task where the boundary between the subjective and the objective appears to be easily crossed. As a result of his research, this twentieth-century migrant becomes fascinated with the story of his predecessor, identifies himself with Rashid, and allows the past enter the present. While, on the individual level, Hassan's desire to find out more about the earlier migrant functions as a cure for his failing marriage, it is also important for the dissolving of binaries that his task transforms from that of a professional archaeologicist to a

form of story-telling. This leads him to question the boundaries of what counts as science in the West:

> He was beginning to wonder to himself what he could do with all this material when he had finished. It could not be described as an academic dissertation, for he had long since stepped over the line between the available facts and his imagination. A work of fiction then, describing the apparent arrival of a visitor from the Middle East at the beginning of the seventeenth century? An unlikely story in its own right. (251)

The novel also thematizes another one of Kaplan's binaries, that between centre and periphery, a binary showing modernity's fascination with metropolitan centres as voiced by such critics as Malcolm Bradbury (see Kaplan 1996: 29-31). According to well-established views emphasising the cosmopolitanism of modernism, it is in the centre, the modernist metropolis, that intercultural and other transactions occur and new identities are formed, rather than in rural and colonized spaces. Metropolitan spaces are, of course, present in *The Carrier*. It tells of movement between metropolitan spaces (it is Rashid's aim to enter the period's Dutch centres) and of economic interaction around the Mediterranean and its major port cities. This can be seen in its representation of Cadiz, where "trading houses were packed; with timber and grain, beams from the Hanseatic states, silver from America, Valencian perfumes, caps from Cordoba and cloth from Toledo" (73). The metropolis is also present in its twentieth-century incarnation, as the (dangerous) site of cultural contact and migranthood. This can be seen in the discussion between Hassan and his colleague Okking and the latter's wife during a one-off dinner supposed to mark the end of the project. During the small talk, the couple mention uneasily that their daughter is living so far off, in the big city. In picking up the topic, they voice repressed and silenced fears of more cosmopolitan life-styles where identities more mobile than theirs are prevalent:

> 'It is such a busy place. So many people, and so much happening.' The mother clasped her hands together on the table.
>
> Hassan was wondering if this was leading towards an oblique comment about immigrants. Of course the capital was more 'cosmopolitan' than the province, she was saying, but young people today are so much better at taking care of themselves than we imagine.
>
> They were worried. The city was hours away by train– another world, and one inhabited by people like him. (256)

The Okkings' thinkin is based on their acceptance of nationalist ideologiest, as is shown in their way of contrasting the purity of their rural space with the hybrid metropolis populated by Hassans, Rashids and migrants with different lifestyles. Their territory is not Hassan's and the black man's presence threatens their identity: as a solution, they praise the virtues of rural life, the nation state and racial homogeneity, phrases familiar from any anti-immigration discourse.

Thus *The Carrier* voices a critique of such Eurocentric models contrasting centre and periphery by showing that all European spaces, regardless of whether they are remote, rural and uncivilized like seventeenth-century Jutland, are revealed to have their silenced histories of migration and to function as spaces where the reconstruction of identity is possible (though often disliked). Undoing official histories, Hassan's rewriting of the past of the village shows that it has never been without external influence though it may think so. As a result, the racism of its contemporary inhabitants, marked in their final acts of hatred, the spraying of foam onto Hassan's windows and the nailing of a toy monkey onto his door (see 257), can be seen as their unwillingness to abandon the security of fixed boundaries, locations and neat identities, their fantasy of purity. By showing that Hassan comes to know more of the history of the village and its inhabitants than they do themselves, the novel argues for a historical understanding of cultural contacts. As the

archaeologist finds hybridity where purity was thought to have reigned, he deconstructs fixed national histories and identities. When the inhabitants' naturalized image of the ethnically homogenous nation-state, represented here synecdochically by a rural village, is contrasted with the hybrid multicultural history of Europe and its migrations, Mahjoub questions the prevailing ideological paradigm stressing national purity. As the modernist politics of location and rootedness is contrasted with a more postmodernist narrative of movement, *The Carrier* shows that the villagers' insufficient awareness of history forces them to adhere to ideas of fixed home and stable identity. As Martin, the boy in the shop whom Hassan makes friends with, asks the visitor: "'Well, I don't know anything abut it, but I always thought that having a family... I mean a child and a wife. I mean, there's something special about that, isn't there? I mean, something worth protecting'" (221). What the question formulates is the problem of roots in the rhetoric of domesticity and, by extension, of nationalism. The fixedness of identity and location practically haunts Martin, who has just finished school and does not know what to do with his life. For him, Hassan represents, rather romantically, movement and cosmopolitanism, an alternative way of life. Yet Hassan status as a migrant (and the presence of race in the white village) questions Martin's naturalized idea of the sacredness of family, home and nation, as his blurredness shows.

The third binary, that of home and away, is also blurred in the novel. It shows that Rashid's sense of home is not place-related in the manner that modernist discourses would require. In this movement and negotiation between home and not-home figures prominently the chronotope of the ship, the eponymous carrier of the novel, a central maker of the black modernity (Gilroy 1993: 4). While the galleys, carracks and urcs of Mahjoub's novel, unlike the ships in Gilroy's text, do not cross the Atlantic with cargoes of slaves (though several references to the riches of the New World are to be found in the novel), they provide their owners with wealth by connecting Mediterranean spaces with the most remote coasts of Scandinavia. However, Rashid, a bastard son born to a Nubian slave-woman and her master in Aleppo, does not locate himself in any

particular geographical space or nation (though he does claim to have a good reputation in Cairo) but makes his home in tradition and knowledge. He is shown to "swallow" libraries, to "drink the ink, eat the paper" (220). Where the arts and sciences are respected, he is able to construct a sense of home. One particular site is "the academy in the Valley of Dreamers" (58). Though it has been destroyed by the time of narration, as the place of his education it appears to be central to his values:

> The great stone arches rose again before his eyes. The Beit al-Hikma, named after that House of Wisdom founded by the illustrious Caliph al-Mamnu in Baghdad. From the distant, cool shadows beneath the elegant script which read, '*The ink of the scholars is worth more than the blood of the martyrs*', the echoes of chanting voices reached him. He had dreamed then of visiting the great libraries of Cairo, of travelling through the world and living in an observatory, devoting himself to the science of the celestial spheres, *ilm al falaka.* (58)

As Rashid does not identify himself with any particular nation and has no proper home to return to, nationalism's idea of rootedness is practically erased in the novel. As a sign of this, the commonsense understanding of the stability of home with its familiar landscapes is shown to be a mere illusion. Hassan, driving through Jutland, makes this explicit by contrasting nostalgic views of home with historical realities. In referring to the constructedness of landscape, the passage deserves a closer look:

> The air was cold and the surface of the water calm and motionless. On the left flank, which he worked out must have been due east, there was a plantation, a thickly wooded rectangle of straight pines that marched like a column of foot soldiers towards the lake. People look at a landscape and think it must have been like that for all eternity. The idea that the ground under one's feet is reliable. The plantation trees were no more than

> thirty years old. Before that this would have been open, unkempt moorland shaped by the last ice age. (37)

As the passage makes clear, the stability of home is a historical illusion and its traditions invented. Here Rashid's task as an archaeologist, to shake people's sense in the reliability of ground, is connected to the presence of the hidden histories of the Danish landscape. This national landscape, thought to be unchanging and "reliable", is literally shown to be hybrid, a Danish *moor*land. Thus the novel interrogates fixed ideas of history, identity and home, and calls for the historicization of the apparent fixedness of identity. To pinpoint the issue and Rashid's deterritorializing identity, the novel works further into the modernist logic and seeks to transgress its fixed identities. During his stay in Denmark, Rashid transforms from a migrant labourer, one who "is among them, but [...] will never be one of them" (181), into Heinesen's colleague, friend, and almost his sister's lover. This process of making home in another's space is made possible by Rashid's and Heinesen's finding a common language and sharing in the scholarly astronomical project. In both cases scholarship is valued more than nationalist rhetoric; dialogue is the prerequisite for salvation.

This narrative of emerging cross-cultural dialogue is explored in the novel through Rashid, who initially feels that his identity is under threat. His resistance to the process of making home in the space of the Other is narrated in the novel as his fear of losing self, of losing the fixed boundaries of his identity based on a naturalized world view and knowledge:

> So he struggles day after day to try to fathom the knowledge of this new world. He has been drawn into a net where all that he has learned previously serves only to tie his feet more firmly. He must fight to break free, but where will that leave him? He is afraid that he will lose everything, including his mind, to end his days shackled to a post like a dumb animal, staring vacantly at the sky, his soul eaten by the stars. (215)

This fear posed by the Other and its knowledge is now shaking the foundations on which a fixed identity rests and forcing the subject to change through dialogic action. It should be emphasised that my understanding of dialogue is different from what has been identified as a liberal discourse in which the mutual and equal worth is recognized but one remains the same, though more enlightened. As Bhabha's critique of Charles Taylor shows, relations of power remain unquestioned in liberal discourse (see Bhabha 1998: 32-3). In this context dialogism should be understood in Bakhtin's and Bhabha's sense, where through its doublings it generates a transformation, a sense of hybridity, defined by Bhabha as a "construction of cultural authority within conditions of political antagonism and inequity" (1998: 34).

Following Bhabha, it can be argued that Mahjoub's novel explores the construction of hybridity in a politicized space from a number of perspectives, ranging from the subaltern's appropriation of the space of the dominant (colonizer, majority) to the dangers inherent in forming a hybrid subjectivity. A particularly good example of the former is the way in which Rashid manages to deterritorialize the majority by introducing the double-sided character of utterances. As the priests suggest that Rashid is in charge of the burning of the town church and should be punished with death, he first howls and then reverts to his elementary Danish to greet the suspicious and unsympathetic general public. Not only does this gesture generate surprise and transform the inevitable death into general laughter, but it carnevalizes the whole witch-hunt:

> The crowd instantly fell motionless. They stopped breathing. There was a deathly silence. He surveyed them from on high. He gasped or laughed, in exhaustion, in relief. He struggled to control his breathing.
>
> 'Good day, dear people,' he said loudly, addressing them in their own language. 'Is there food on the table? Is there fire in the hearth?'
>
> There was utter silence for a moment. Whatever else Rashid might have been about to say, and his knowl-

> edge of their tongue was so severely limited that he would have had difficulty uttering another world, was left unsaid, for the silence was broken by the sound of laughter. It broke out in fits and starts, rolled itself into a ball and rattled around the town square in from of the charred ruins of the cathedral. (264)

According to Homi Bhabha, the hybrid may emerge in conditions where power may belong to one party but the other has access to language, leading not to "assimilation or collaboration" (1998: 34). In this particular situation dialogism and hybridity are solutions through which Rashid renegotiates the power relations temporarily. Unfortunately, the humiliated authorities have a different view of the situation and later burn down the Heinesen estate, the site of hybridity, which threatens the maintenance of 'pure' national, religious and ethnic categories.

Yet the construction of hybrid subjectivity is not entirely unproblematic because it occurs in a space defined by Bhabha as the Third Space. According to Bhabha, this is a space of both promise and terror where the postcolonial subject is constructed anew in a space beyond modernity's binaries, free from the limitations of home and away and also from those of cultural authorities (1994: 34); in its in-betweenness, this ambivalent and uncanny space is dangerous because it changes the subject's once fixed identity (see Nyman 2000: 165-191). The process is represented in the novel in what may appear to some readers as morbid homesickness, sleeplessness and loss of appetite. Read from the perspective outlined above, these are signs of the reconstruction of Rashid's increasingly hybridized subjectivity, telling of his gradual acceptance of the Other space with its narratives. Yet this process of hybridization is both a slow and painful one. In *The Carrier*, Rashid's initial sense of "being eroded" (226), of losing fixed boundaries, is strengthened by his growing awareness of the fact "that his entire life encompassed a process of dislocation" (226). Indeed, the novel represents his progressive loss of identity in geographical terms and refers to it as the disappearance of once familiar routes/roots: "Now he floated in a sea of voices, none of which was his. His sense of the stars was now

betrayed by magic. His geography had crumbled into confusion" (227). Yet in Rashid's case the sense of threat gives way to an acceptance of living in the northern hemisphere. This can be seen in his attachment to Heinesen's scholar/poet sister, who as an exceptional seventeenth-century woman is able to discuss and debate astronomy and knowledge. Dreams of escape turn into different fantasies; as fixed items of knowledge transform, so does the migrant subject:

> She was guiding him along the path, feeding him fragments crumbs to keep him on the right track. The irregular motions of the planets were difficult to explain. If one followed the Ptolemaic model of concentric circles describing the paths of the orbs, how does one then explain the varying distances of the planets?
>
> A circle, then, is no longer a circle. (237)

Thus movement is not standard, circle-like, but elliptical; it is no longer fixed and revolving around the centre, the Earth or some points near it, as was the case in the Ptolemaic model. In this text, then, the blurring of astronomical models marks the reconstruction of a hybrid migrant subject. Rashid's desire for the knowledge of the infidels by far exceeds his suspicions:

> Silently he made a prayer to the almighty creator that he might forgive him for entertaining such vagaries. But he has been drawn in. His ears hunger for more of these tales, for they are as seductive and filled with wonder as any story he has ever heard or read, and they are the key. He is mesmerized, spellbound. (236)

As Rashid learns about the Western models, he also teaches the Heinesens about the other tradition, thus changing through dialogue their understanding of scientific models. In more theoretical terms, the learning process promotes the view that identity is a process, a matter of becoming rather than being, as Stuart Hall would put it. As Heinesen's sister puts it: "'Your perspective is changing,' she said. 'It is nothing to be afraid of.'" (238). In the novel this

issue is raised by replacing the fixed idea of identity with an emphasis on more mobile forms of identity where the notion of movement-related change is made central; the trope of translation is also evoked at a crucial point: "He is looking for a translation, a transformation, a change of form. A metamorphosis that would enable him to reach her" (249; cf. the task given to Rashid, to translate astronomical texts for Heinesen [see 212]). Rashid's crossing of geographical, linguistic and cultural boundaries is brought to a conclusion in the novel's epilogue, where stasis and movement are equated, respectively, with death and life. After the deaths of the Heinesens, "[t]he world has stopped moving" and Rashid appears to lie "on a frozen stretch of unfamiliar land in territory" (277). A sudden movement in the form of an out-of-body experience restores his need to carry on living. Only mobility can offer salvation:

> He lifts one foot, and then the other. Slowly he begins, like a child learning to walk for the first time, to move.
>
> In the quickening distance there is a nameless ship waiting for him and a passage to work his way south, back to the world he left behind. With each step, he tells himself, it will get easier. (278)

As the project of making home in the North ends in its xenophobic inhabitants' violent reaction to Rashid's reterritorialization of their space and the loss of his love, his only hope of survival appears to be to seek his way out of loneliness, to regain contact with his tradition: "He has been chasing a sarab, a mirage–science cannot lead us anywhere, but back to ourselves" (278).

This closure of the novel, with its nostalgic glimpse of home and evocation of the long-dead mother's voice, appears to reinforce rather than to criticize the model of modernist binaries that I have argued the text has been testing. Yet there is another way of reading the protagonist's rejection of science and sudden nostalgization of his homeland. It can also be argued that the emphasis on home is not so a much an act of privileging it as an expression of the desire for a politics of location of a particular kind. Here location can be

defined following James Clifford, for whom it "is not a matter of finding a stable 'home'" but

> being aware of the difference that makes a difference in concrete situations, of recognizing the various inscriptions, "places," or "histories" that both empower and inhibit the construction of theoretical categories like "Woman," "Patriarchy," or "colonization," categories essential to political action as well as to serious comparative knowledge. "Location" is thus, concretely, a *series* of locations and encounters, travel within diverse, but limited spaces. (qtd. in Kaplan 1996: 168; italics original)

If location is understood as suggested by Clifford, the politics of location promoted in this novel do not seek to promote nationalism. They argue for the recognition of the fact that postcolonial subjects are not outside 'official' western histories but have made their mark there, occupying different positions in different narratives. While locations are passed through and homes are merely temporary, as Rashid knows from experience, and identities are in constant flux, what unites the Rashids of Algiers, Cyprus, Denmark and the Valley of Dreamers is an idea of community.

In this novel the trope of travel and the function of movement, rather than stasis, are important in constructing identity, showing that one 'changes one's perspective' through encounters. While the movement is physical for Rashid and Verner Heinesen, both of whom cross borders in their search for knowledge, in the case of Heinesen's sister Sigrid the movement is mental, opening up new vistas of thinking. Through learning and creative writing she crosses the boundaries of gender, but also sacrifices herself by making herself a stranger in her own society. In closing his novel and deciding to send his protagonist 'home', Mahjoub's ending remains open. If Rashid returns, as we would like to happen, he returns not intact but transformed, aware of different positionalities and histories, wishing not to "fall into the darkened gaps between the frail flickers of silent unspoken light" (278), as the final sentence of the novel puts it. The same goes for the parallel twentieth-century narrative

which closes in Hassan's decision to telephone his wife, seeking change by means of making contact. Therefore the novel's politics of location are not those of any fundamentalism but positioned historically in the different narratives of modernity and those of postcolonial Europe. In other words, the novel shows how the minority deterritorializes the majority and leaves its mark in history, showing the presence of 'race' in the allegedly white spaces and narratives of Enlightenment Europe.

As I have argued above, Mahjoub's novel tests what are known as the fixed binaries of modernity by defining the migrant's identity as a process and movement contrasted with more place-related identities. The novel's narrative of the exilic migrant subject shows that the migrant subject may be transformed during travel and stay in the spaces of the Other where she may find community where it does not appear to exist. As exile, therefore, appears to unfold in a positive manner, its representation in Mahjoub's novel may seem to resemble that peculiar to dominant Euro-American modernist discourses of displacement. To quote Caren Kaplan's valuable study,

> Euro-American modernisms celebrate singularity, solitude, estrangement, alienations, and aestheticized excisions of locations in favor of locale–that is, the "artist in exile" is never "at home," always existentially alone, and shocked by the strain of displacement into significant experimentations and insights. Even more importantly, the modernist exile is melancholic and nostalgic about an irreparable loss and separation from the familiar or beloved. (1996: 28)

As its attempt to work through the binary model of modernity reveals, the case with *The Carrier* is more complex than that of canonized Euro-American modernisms. While Mahjoub's semi-existentialist novel uses the same tropes of exile round positive by modernists (e.g., Camus) to thematize its protagonists' exile and estrangement, it rewrites, from a racialized perspective, the tropes of silence (e.g., Hassan's "empty" flat and the silence in the village that he encounters [see 9]), solitude (e.g., the condition of Rashid's ini-

tial months working at the Heinesen estate, where the workers treat him with caution: "He sat alone, his head down, savouring each sip, each mouthful of the salty bread. He heard their comments, but he learned to ignore them" [167]), melancholy and alienation.

As the alienation and melancholy of Mahjoub's characters is related to their problem of constructing identity in societies dominated by racism, their representation in *The Carrier* can be explored with reference to Paul Gilroy's use of the same tropes of exile, estrangement, alienation and displacement in his *The Black Atlantic.* In his work Gilroy calls for the recognition of "ambivalence over exile and homecoming" (1993: 24) with particular reference to the dislocated histories of (and discourses on) the experience of the black people on all sides of the Atlantic where different ideas of home have often been raised. In exploring the experience of black modernity and the case of Richard Wright, Gilroy discusses Wright's theory of modernity, concluding that the alienated and dislocated black characters of the American writer's later fiction contribute to his explicit attempts to rewrite Continental existentialism in a distinctly black idiom (see 1993: 163). According to Gilroy, Wright's voiced criticism of "European and ideology and culture in its religious and communist forms" stems from "their special history in the modern world. It originated in slavery and stood at the centre of a space unevenly triangulated by industrialisation, capitalism and the institution of democratic government" (1993: 172). Here a narrative of the black experience is evoked as a counter-narrative to the Enlightenment's story of progress and development: "Wright did not see this destructive pattern of modern experience as unique to blacks, though, for a variety of reasons, he felt that blacks encountered its effects at a special intensity" (1993: 172). The Other has always been present in the making of modernity, though often limited to a position in the margins (cf. Eze 1997; Gikandi 1997).

Wright's and, in particular, Gilroy's ideas open up a new way of thinking about Mahjoub's novel. It is not a mere existentialist treatise but a text providing us with a further representation of the experience of dislocation as the state of black modernity, showing that Mahjoub's black North Sea is another part of the black diaspora.

This guides toward a rethinking of migrancy in relation to spaces other than those of the more canonical metropolises and to reconsider silenced histories of race. As a historical novel set around the invention of one of the most important devices of modernity, the telescope that was to promote the scientific world view, *The Carrier* constructs a counter-narrative to the western story of the origins of modern science, showing its hybrid character and usually forgotten interrelations with Arab scientists. In representing the clergy's denial to accept such new narratives and their subsequent definition as mere Satanic plots, it refuses all fundamentalisms. Rashid and Hassan, dislocated and diasporic, are two historically different examples of the estrangement peculiar to the racialized experience of modernity. Their recognition of the split within the self marks their problematic inclusion in the larger national community. While Rashid manages to surprise the locals by learning a few words of their language, upon the death of his protector his difference is highlighted and his act of deterritorialization is understood as one of colonization. Yet Rashid's, as well as Hassan's, story of exile and estrangement expresses what Gilroy finds central in Wright (and what I find central in Mahjoub), namely that he "articulates simultaneously an affirmation and a negation of the western civilization that formed him" (1993: 186). They (and we) are all insiders and outsiders at the same time, present (and absent) in different histories in different ways.

The same dilemma is also expressed daily in all western societies with increasing migrant populations and destabilizing national borders. Questions of community, nostalgia and national (and often also) European identity have been raised: Whose home can these spaces be? In Mahjoub's novel, which shows the fates of Others within, the question of belonging appears to be separated from a particular nation-state, which nevertheless does not mean that it becomes a free-floating transnational experience. By voicing a black critique of modernity and showing the historical character of the migrant experience, I would argue that the novel appears to test the limits of constructing a European identity. It shows that no periphery can be a pure *Volk*ish *Heimat* but that the Other is always already there, calling for recognition rather than harassment. In de-

constructing naturalized identities of home and nation, *The Carrier* reveals the extent to which all identities are constructed through movement and mobility, through encounters with alterity, in a process that changes hosts and migrants alike.

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V.S. Naipaul's *The Mimic Men*: Narrative Transcending of Order and Disorder

TUOMAS HUTTUNEN

The purpose of this article is to examine the construction of migrant identity in the above mentioned novel by Naipaul. The narrator-protagonist of the novel, Ralph Singh, has no strong bonds to any one discourse or geographical place. He lives amidst, and in between, the often antagonistic cultural discourses that are present in the reality surrounding him. I aim to show how a person who occupies this kind of cultural border area, or liminal space, is capable of creating a new identity for him/herself through the narrative rearrangement of the past. This narrative construction forms into a third dimension, which has its own peculiar temporal and spatial structure and its own logic, which differ considerably from the traditional Western ideology of linear time and causal relationships.

In Naipaul's body of fictional work *The Mimic Men* (1967) represents a change to a more self-reflexive form of writing as compared to his earlier and more satirical works (*The Mystic Masseur* 1957, *The Suffrage of Elvira* 1958 and *A House for Mr Biswas* 1961). It is also his first novel set (partly) outside Trinidad. He also uses the first person narrator for the first time, and the structure of the novel is rather complex with its continuous juxtaposition of separate times, events and places. The self-reflexivity of Singh in his rearrangement of past events almost "gains the formal status of a trope", as Fawzia (101) puts it, with the whole memoir appearing as "a carefully constructed paradigm of an empirically determined state of mind". The trope Fawzia refers to is that of distancing self-reflexive irony. Singh continuously objectifies and distances his past self from his present self through the self-conscious examination of his own past deeds. John Thieme has characterized this change in Naipaul's writing as

corresponding to a shift from Dickens to Conrad, in the sense that *MM* represents a more self-reflexive and contemplative writing, a kind of probing of the Conradian darknesses of the mind as opposed to the more satirical and caricature-like creations of e.g. *A House for Mr Biswas*.

I will begin by outlining a theoretical frame, which sees identity as formed through a narrative process that unites the levels of personal images and official history, as well as the dimensions of imaginary and real, or fiction and historiography. I shall first examine how Stuart Hall and Hayden White connect identity with narration. I shall then bring this subject to a specifically postcolonial context and examine the nature of time and space in narration through the ideas of Homi Bhabha and Fredric Jameson.

Historiography and fiction / real and imaginary – constructing narrative identity

Stuart Hall maintains that people use the resources of history, language and culture in the construction of identity. According to him, identities are constructed within representation:

> They arise from the narrativization of the self, but the necessarily fictional nature of this process in no way undermines its discursive, material or political effectivity, even if the belongingness, the `suturing into the story` through which identities arise is, partly, in the imaginary (---) and therefore, always, partly constructed in fantasy, or at least within a fantasmatic field. (4)

In the kind of narration used for the purposes of self-definition described by Hall above, the aspects of real and imaginary often intermix with each other. Hayden White (1987) has characterized real and imaginary as the referents of historiography and fiction respectively. There is a correspondence between the subjective and the social poles of identity construction, and the imaginary and real referents of narration. The `real` or historical aspect of a narrative (e.g.

a novel) can be seen as representing the discourses coming to the subject from the outside (the social pole). The imaginary aspect can be seen as representing the subject's own contribution to the construction of identity (the subjective pole). In this way,

> narrative is revealed to be a particularly effective system of discursive meaning production by which individuals can be taught to live a distinctively "*imaginary relation to their real conditions of existence*," that is to say, an unreal but meaningful relation to the social formations in which they are indentured to live out their lives and realize their destinies as social subjects. (1987 x) (emphasis added)

In other words, in narration used for self-definition the subject creates a relationship between him/her and reality, and this relationship represents identity. Since this relationship is created by the subject through narration, it is necessarily partly imaginary, or rather a mixture of the imaginary and the real. As described by White (1987 x), narration is a process which produces meanings by substituting the extra-discursive entities (real or imaginary) that are its referents with conceptual contents. In another words, through narration the subject produces meaning to the surrounding reality.

Homi Bhabha brings all this into the postcolonial context. He describes cultural space and the social and psychological poles that create it as forming a "double time" (145). In the same context (147) he defines the two sides of this double time as *pedagogical* and *performative*. The pedagogical pole, which is represented by Western historiography and ideology, is discourse which comes to the subject from the outside. This Western discourse has linear temporality and the events in it proceed via logical causal relationships to construct a certain version of reality. The performative pole is the discourse produced by the subject in normal everyday life by plotting and ordering experiences to give them meaning, i.e. the production by the consciousness of memories, images, etc.

Both the Western pedagogical and the performative produced by the subject represent one way of producing meaning by plotting

experiences of reality via different logics. However, although they are both present in the consciousness of the subject, these two discourses cannot be united within each other's areas. This results in an ambivalent attitude for both of them, a kind of in-between state. The constructing or narrating of identity happens in this ambivalent cultural space, which produces in the narration "a temporality of representation that moves between cultural formations without a centered causal logic" (Bhabha 141).

Bhabha emphasizes the temporality of this cultural situation. Fredric Jameson, on the other hand, writes about space and distances in connection with the multiplicity of cultural discourses. Like Bhabha, he maintains that the world surrounding the subject consists of differing realities that cannot be united. However, the subject can observe these realities simultaneously, despite the fact that it is not possible to unite them:

> The new modes of perception seem indeed to operate by way of the simultaneous preservation of just such incompatibles, a kind of incommensurability-vision that does not pull the eyes back to focus but provisionally entertains the tension of their multiple coordinates[.] (Jameson 372)

With this incommensurability vision the subject has to act in a jungle of differing realities, just as is the case with Bhabha's pedagogical and performative. Like Bhabha, Jameson sees that this situation creates a new "aesthetics of information" (375): "[T]he obligation to disregard items in other columns or compartments opens up a means of constructing false consciousness which is tactically far more advanced than older and more primitive tactics [.]"

In other words, the subject can combine or close off parts of these incommensurable realities in his/her observation, or narration. This is comparable to Bhabha's model of producing narration by a process that alternates from one cultural and social dimension to another without causal relationships (141). According to Jameson this kind of new consciousness "is a new way of defusing information, making representations improbable, discrediting political posi-

tions and their 'organic' discourses" (Jameson 375). This kind of consciousness is capable of constructing a more harmonious identity by combining components from different realities, or different dimensions of spatial and temporal logic. The disturbance caused by the simultaneous presence of incommensurable realities or discourses can be cured.

The Mimic Men - between two imaginary worlds

The incommensurable realities that surround Singh as a child are divided into the Aryan past of his race, the circumstances on Isabella and the influences coming from the West (Britain and London). He does not experience his life on Isabella as real, but lives in a fantasy world that is two-fold. It consists on the one hand of the Aryan past which he reads about in books, and on the other hand of the influence of the colonizing culture, which is especially present at school. The past that is not real comes to mean more to him than the actual circumstances on the island. He dreams alternately of an escape to the glorified past of his race and to a future in the metropolis (London), and sees his current presence on Isabella as an unhappy "shipwreck", a temporary situation.

The school remains a private area that shuts out the reality of the island:

> We had converted our island into one big secret. Anything that touched on everyday life excited laughter when it was mentioned in a classroom: the name of a shop, the name of a street, the name of street-corner foods. The laughter denied our knowledge of these things to which after the hours of school we were to return. We denied the landscape and the people we could see out of open doors and windows, we who took apples to the teacher and wrote essays about visits to temperate farms.(95)

Despite the attempt to suppress them, reality and surrounding circumstances on the island merge in the images of the narrator.

He sees his mother leading a cow in a landscape that is a mixture of English gardens and Isabellan villages of mud and grass (89), or distinctly remembers having taken an apple to his teacher, although this is impossible in reality, because there are no apples on Isabella (90). Here the discourses coming from Britain (apples and gardens) and Isabella (villages of mud and grass) respond to Jameson's incompatible realities and Bhabha's pedagogical and performative discourses. As stated before, they cannot be united at the time of observation, but they are united here in Singh's narration and the remembrance or image of what happened. Memory forms a kind of third space and produces a strange mixture of discourses that does not correspond to 'reality' as either of the original discourses understands it. This mixture of realities is the only version that Singh has. As he states: " The editing is clearly at fault, but the edited version is all I have." (90).

Singh's fantasies are constructed according to the Western formula which he has adopted from the heroic tales of Aryan war leaders and from British and European history books. These stories, and subsequently Singh's fantasies, are in the sphere of Western ideal narration. This type of narration contradicts Singh's actual every-day experiences and activities on Isabella. The Western histories correspond to Bhabha's pedagogical discourse coming from outside. Actual everyday reality on the island and the giving of meaning to events and their experiences corresponds to the performative mode, the discourse produced by the subject. Singh tries to live in a fantasy world and deny the reality of the island, but fails, as that reality, which he confronts every day, mingles with his fantasies. These realities of fantasy and actuality are, to use Jameson's term, incommensurable.

After leaving the island, Singh tries to create a meaningful relationship between himself and the surrounding discourses by sensitively responding to various kinds of false identities which he thinks other people see in him. In other words, he tries to define himself through other people, to get rid of his fantasies and the feeling of aimlessness and disorder. Later he describes these attempts to find himself as "roles".

Adopting roles

Bhabha (89-90) discusses the adoption of roles by persons with a postcolonial past via the notion of *mimicry*. According to him, this mimicry describes well the tendency of the colonized to imitate roles typical of the culture of the colonizer (in this case, those of student, dandy, husband and politician). These roles adopted by the colonized are metonymic, meaning that the person tries to express his/her whole identity by adopting a feature he/she recognizes as representative of the colonizing culture as a whole. Singh throws himself into the roles listed above and thinks every time that he has found order and stability for his life, or that he has finally been able to find a harmonious identity, although the truth is that these roles represent only a part of his identity and consciousness. His identity is so dispersed that it cannot be expressed via one role. The result is that every role is followed by breakdown.

Singh describes the birth of his role as dandy as follows:

> In London I had no guide. There was no one to link my present with my past, no one to note my consistences or inconsistences. It was up to me to choose my character, and I chose the character that was easiest and most attractive. I was the dandy, the extravagant colonial, indifferent to scholarship. (20)

A couple of sentences later, he contradicts himself by admitting that he did have a guide; it was actually Lieni, his landlady, who created his role as a dandy. He states that he just did not see this at the time, which implies that, with the help of his writing, he was already beginning to discern meaningful relationships among the dispersed experiences and events of his past. A little later he writes that he had tried to adopt a personality as so many times before, but that he no longer knew who he was. All his life, Singh has been trying to become what he imagines others see in him. In other words, he has defined himself through others (and on a more general level through Western discourse): He has "this feeling of being adrift, a cell of perception, little more, that might be altered, if only fleetingly, by

any encounter." (27). Each encounter drags out of him a role of the kind he thinks is being expected of him.

At this stage, Singh is not capable of creating a third space, a synthesis of his incommensurable realities or discourses. He moves from one role to another, all the time experiencing the same feeling of meaninglessness, uncertainty, disorder and being outside everything. This feeling leads him to "this switching back and forth between one world and another, one set of relationships and another." (154). As a child on Isabella, he had experienced feelings of not belonging and of disorder, and had longed for the order of the metropolis. Soon after arriving there, he again begins to feel disorder and wants to go back to the certainties of Isabella, to which he now thinks he belongs. Once again, this sense of belonging proves to be false, as his political career on the island shows. The adoption of roles is repeated many times and always followed by similar consequences, as is the travelling back and forth between London and Isabella.

The detachment resulting from the ambivalence in his relationships to the discourses around him leads to a situation where Singh becomes incapable of action on his own initiative and where he keeps on drifting from one event to another as a kind of outside-observer of his own life and doings. Every action he makes is in reality prompted by someone else. As Singh himself realizes during the process of his writing, the dandy-figure is actually created by Lieni the landlady, the initiative for marriage is taken by Sandra, and he is pushed into politics by Browne.

Order and disorder

The life-situation on Isabella is connected by Singh with disorder (118). The metropolis is associated with order, which can be explained by the fact that he has received his information of the outside world from school books that come from England. These are naturally compiled to contain carefully chosen events that are presented in a certain light via developmental linear time and precise

causal relationships. He leaves for London, but is disappointed to discover that London and the life there are not as well constructed and pure as the books had given him to understand. Singh marvels at the "physical aspect of the city" (18), its solidity, light and order. But the ideal of the city he had created on Isabella remains with him, and this he cannot find in the real London. He tries to find "the god of the city", which is this ideal, by pronouncing the names of famous buildings at the sight of them, but all in vain. He soon begins to long for the "certainties" of Isabella that he had previously dismissed as "shipwreck" and "chaos", because he cannot found in the metropolis the order he saw to be missing from the disorder of Isabella (27).

Singh`s longing for order is also apparent in his interest in the history of Western culture, especially the history of Rome, Roman literature and the Latin language. After all, the Romans were reputedly a very organized people, and they lie at the heart and origin of Western culture. To Singh, Western discourse, culture and history also appear as firmness and solidity. This is symbolized by the Roman-type house of stone he builds on Isabella, the solidity of which he constantly emphasizes. As a child on Isabella, he had feared that the family`s wooden house would tumble down (146). This clearly symbolizes the chaos and uncertainty of the island, but one should not forget the common analogy between one`s inner self and a house. In Singh`s case, the inner self kept constantly tumbling down.

The order Singh sees in the discourse coming from the West and the disorder he sees in the circumstances of Isabella and in his own actions again respond to Bhabha`s pedagogical and performative respectively, as well as to Jameson`s discontinuous realities. Those dimensions where Singh sees order (the Aryan past, the metropolis) are provided from the outside. They are realities which function through linear developmental time and causal relationships that effect the selecting of events to be included in them. In the performative dimension, which he produces himself and observes in the surrounding reality (Isabella) he sees no order or logic of the kind present in the realities found in books.

To sum up, the socio-cultural circumstances and contradictory affiliations of his childhood have led Singh to a state of incertainty and disorder, which prevents him from assimilating to his surroundings. The influences coming from London and from the descriptions of a glorious origin in Asia are stronger than anything the chaotic island without history can offer, and Singh is torn between them. He appears detached from his actual circumstances and lives in a fantasy which causes him to become incapable of real action. As he grows older, the fantasies about belonging to London prove to be false, and his confusion increases as he realizes he is doubly excluded; excluded both from the life on Isabella and from that in London. He does not belong anywhere, but is passively adopting false roles he thinks others expect of him. There appears to be no connection between himself and his deeds, rather he appears to be an objective observer of his own involuntary actions.

In the following section I shall examine how Singh, through the process of his writing, builds a new consciousness that is "tactically far more advanced than the older and more primitive tactics of lying and repression" and that can be used "to exclude not merely older kinds of syntheses but even the therapeutic estrangement effects that used to result from confronting one piece of evidence with a seemingly unconnected one" (Jameson 375). It can be said that, so far, Singh's tactic has been one of "lying and repression", since he has tried to express his whole identity via just a part of it, and that he should learn to get rid of the feeling of "estrangement" resulting from this tendency.

Reconstructing the past - narrating a new order

Instead of the original plan of writing the history of the Caribbean region, Singh begins to write down his own memories. He is startled by the "formlessness" of his experiences (243), but soon realizes that, through writing, the events in his memory become "historical and manageable" (243) as they are being re-created and retrieved. By this means, the events find their place and cease to disturb and create dispersion. It becomes his goal to "impose order on my own history,

to abolish that disturbance which is what a narrative in sequence might have led me to." (243). In other words, he does begin to write a history, but a personal one. In addition, he abandons the idea of writing down his memories and experiences in temporally linear order, or via causal relationships that point to some premeditated objective. This would mean the Western idea of narrativity and order, which is something that Singh, with his dispersed identity and affiliations, has never been able to discern in his own undertakings. The order he is aiming at now has a different logic of time and place.

During the writing process Singh`s impressions of his own actions alter. He had placed his marriage and his political career, the active part of his life, in "parenthesis". He had felt that they were "aberrations, whimsical, arbitrary acts which in some way got out of control." (183). Now he begins to doubt whether any action is after all totally arbitrary or dishonest. He also begins to doubt whether personality is formed from other people`s views and ideas, as he had thought it was when he kept adopting roles that others had seen as fitting for him (183). The writing becomes an end in itself; the recording of a life becomes an extension of that life (244).

In the anonymous suburban hotel where Singh writes his book, he finds, for the first time, a concrete order which exists in observable reality and not in books or private images. This order he sees in small things, like an accurate timetable, regular dinner and breakfast times, the unchanging order of the scarce furniture and the overall constant tidiness of the hotel. It is remarkable that, as he begins to create order for his own past and memories, he also begins to see order around him for the first time. This implies that, as he begins to achieve a meaningful relation to his memories, through producing a new meaning to his past actions via narration, he also achieves one to his actual present life and surroundings.

After arranging his past into a narrative, Singh feels that he is at the beginning of a new life (250). He feels ready for fresh action, this time the action of a free man (251), who has defined himself and is free of other people`s views. As Nightingale (119) notes, it is at the beginning of the writing process that Singh first learns to see

some truth and meaning in his undertakings (marriage and politics) that he was previously unable to find. It can be deduced that, at this stage, he began to understand the nature of the roles he had adopted; that they were not wholly arbitrary, and that they after all represented parts of his identity. Now at the end of the process, he once again sees them as dishonest and arbitrary (251). This is because he now, after having created a past of his own and consequently a more harmonious identity, emphasizes the faulty side of the roles that were forced upon him from the outside. Lindroth (529) sees Singh as having moved from the area of mimicry to that of mimesis, the authentic creative action. Through his narrative he has freed himself from the repetitious cycle of roles.

Hayden White (1973 31-38, 1978 1-25) sheds light on this process by which the subjects endow the world and their experiences of it with meaning. He argues that narrative discourse is itself a kind of model of the processes of consciousness, that the mind functions according to the same kind of logic as that through which semantic meaning spreads in narrative. To describe the functioning of these figurative moves, he introduces the notion of *tropology*. Tropology works via the semantic relationships implied by linguistic tropes. Narrative is the product of efforts by the consciousness to come to terms with problematical areas of experience. The four "master tropes" of metaphor, metonymy, synecdoche and irony in the realm of language correspond to the successive stages of the consciousness in its effort to produce meaningful relationships between experiences, and consequently a harmonious identity.

The tropological process can be briefly outlined as follows. At the metaphorical level of consciousness, no ordering of the elements within perception (e.g. experiences or memories) has been made. There appears to be no meaningful connection between them, and the subject is in a state of bewilderment. He/she does not know what to make of the experiences under observation. At the next level, the metonymic, there occurs an integration of these elements of reality (or experiences of it) within different orders, classes, species etc. This is fitting, because the metonymic relationship requires that some kind of connection between the experiences thus ordered be

known. Now the subject begins to discern meaningful relationships between his/her experiences; they become understandable and make sense. At the synecdochic level, these classes and orderings are then re-examined to find out how much the previous metonymic classifications fail to take account of certain features of the experiences thus classified. Again there is a correspondence, because the trope of synecdoche requires a relationship of the part to the whole to be known. Different parts of the `wholes` formed at the metonymic stage are here being re-examined to find out whether all their features really fit in. The subject realizes, that some aspects of the experiences that seemed totally understandable at the metonymic level do not make sense after all. The categories have to be re-arranged. Finally, at the ironic stage there appears self-reflection in the attempt to determine how much this way of ordering reality and experience, this one way of looking at things, is the product of the subject`s own needs, and why it could not be ordered otherwise.

These, according to White, are the stages which consciousness goes through in the process of giving meaning to reality and the experiences of it. This ordering is the action the subject performs when confronted by the often antagonistic social, cultural and political discourses of surrounding reality, or when re-arranging past experiences for the purposes of self-definition. In other words, by plotting experiences as in a narrative the subject gives meaning to his/her world.

It is illuminating to present the above described development of Singh via this concept of tropology. Singh is creating order by producing meaningful relationships between his experiences through narration. It was noted above that the order Singh creates through this re-arrangement of past experiences is not similar to the logico-developmental order of the Western mode of historical discourse. Rather, his order can be seen as functioning through the logic provided by White`s idea of tropology. As this tropological process advances, the subject gradually forms re-arranged "domains of experience" (White, 1978 5).

As indicated above, according to White no substantial ordering or integrating of experiences in the memory has happened at the metaphorical stage. When Singh begins his memoir, he is at this

stage and continually complains about the arbitrariness of his experiences and the lack of order in the surrounding circumstances (e.g. 36). In the course of his writing, he proceeds to the metonymic level. Metonymy by definition refers to a known relationship between entities. Gradually, Singh learns to discern truth and meaning in his undertakings, for instance in his roles as politician or husband. He has learned to integrate his experiences, to "assign them to different orders, classes, genera, species" (White, 1978 6). It follows that he begins to question the arbitrariness and whimsicality of his actions and to question whether his personality is formed through the vision of others (183). He realizes that his roles had not been wholly arbitrary, but that there had been a connection, an understandable relationship between himself and them; they presented a part of his identity. The metonymic stage reduces phenomena so that a part of them becomes to stand for the whole. Singh now discerns relationships between his experiences and roles: he realizes that there is a connection, after all. He then moves to the synecdochic level. Synecdoche refers to the relationship of a part to a whole. At this stage the subject begins to examine to what extent the previous ordering fails to take account of certain features of the experiences thus ordered. Now Singh once again sees his roles as fraudulent (251), because he now understands that they only represented a part of his indentity, only a part of the whole, and that the previous metonymic relationship appears imperfect when examined in more detail. His roles represented in the end only a part of his identity, but now he integrates these parts into the whole domain of experience, which is his re-arranged past. At the last stage, the ironic, the subject achieves a certain level of self-reflexivity and becomes capable of discerning to what extent some particular way of ordering experiences is meant to serve his/her own interests and to what extent it differs from some other ways of ordering experience. Singh does now realize that the order he imposes on his history will have to be other than that of the traditional Western narrative sequence, which would only produce more disturbance in his life (243).

So in the process of writing Singh finds, or creates, meaningful relationships between his memories and experiences. Consequently,

he now also sees in his present surroundings an order he had not discerned when he began writing.

Time and space in the new order

Singh has spent his life looking for a remedy for the disorder and restlessness he feels. Now he has achieved order by creating it himself. But this order and its temporal structure do not work purely according to the traditional laws of Western fictional or historiographic discourse, which sees time as a linear continuum along which events are placed so that causal relationships can be discerned between them. Singh's order has a logic different from that of the histories of the Aryans, the histories of Rome, or the descriptions of London and Britain. Compared to these, his order seems to connect temporal dimensions and places quite arbitrarily.

When Singh writes in his London hotel about the fear he had experienced as a child of their house tumbling down on Isabella, he combines in his mind the houses surrounding him in London and the houses typical of Isabella, which he wants never to see again. He then reflects on his own thoughts:

> Certain emotions bridge the years and link unlikely places. Sometimes by this linking the sense of place is destroyed, and we are ourselves alone: the young man, the boy, the child. The physical world, which we yet continue to prove, is then like a private fabrication we have always known. (154)

Here Singh is observing two different times and places, two different realities, imaginary (memory) and real (present perception), at the same time and as a result experiences a feeling of placelessness. This happens because, as noted in the earlier discussion of Bhabha and Jameson, these different dimensions or realities cannot be properly united in the observation although they are both present in it, because they somehow seem to occupy the same space. The result is that Singh in a way moves to a third space, which is neither that of past images of memory (Isabella) or that of the present observation of actual reality (surroundings in London), but a mixture of these two. This process

causes one dimension of the three-dimensional "physical world" of perception to vanish, and the dimension of the imaginary past to emerge instead. This results in a "private fabrication" which is precisely the mixture of the differing realities of the actual and the imaginary. The personal history Singh is writing is this kind of "private fabrication". This history forms into a kind of area of the mind, where incommensurable realities can be united. At the same time he is writing his identity anew, refiguring his life story.[1] This dimension also corresponds to Jameson's new aesthetics of information, which combines incompatible discourses without a feeling of estrangement (375).

Singh does not begin his narrative from his childhood, but from his first arrival in London. He writes:

> Yet less than twenty years after Mr Shylock's death, with this journey to London which I feel is final, sealing off such experience and activity as were due to me, my present mood leaps the years and all the intervening visits to this city - [---] - leaps all this to link with that first mood which came to me in Mr Shylock's attic; so that all that came in between seems to have occurred in parenthesis. (10)

When Singh arrives in London for the last time, he instantly compares the new arrival and the new accommodation to those of the first time. As he does this, the past becomes part of the present.[2]

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[1] Hannah Arendt has stated that, to be able to properly answer the question "who?" is to tell the story of a lifetime. This story will describe the actions of this "who", and the person will be defined by what her/his actions have been. According to the philosopher Paul Ricoeur, it follows that the identity of this "who" must be a narrative identity. He goes on to explain: "[This] identity rests on a temporal structure that conforms to the model of dynamic identity arising from the poetic composition of a narrative text. The self [---] may then be said to be refigured by the reflective application of such narrative configurations." (246) In other words, as with Hall, White, and Bhabha the defining feature of this identity is its narrativity. It follows that the temporal structure of a narrative discourse created by a person, e.g. a novel, is congruent with the structure of the identity of this person. Also, the person becomes both the reader and writer of his own life. "[a] story of a life continues to be refigured by all the truthful or fictive stories a subject tells about him/herself. This refiguration makes this life itself a cloth woven of stories told." (Ricoeur 246). This is exactly the case with Singh. He is refiguring his past and himself through his narrative of mixed history and fiction.

[2] This temporal and spatial jump responds to one of the features listed by Rosemary George as typical of migrant literature. She states (183) that, in this literature, no event or place is recorded except in terms of its difference or similarity to earlier events of a similar nature. According to her, this kind of structure results in the narrative present functioning

The novel abounds in these kinds of temporal and spatial jumps. For instance, on page 38 there is discussion of Singh`s hair. First an Isabellan barber, then Lieni in London before that, then Lord Stockwell in London and then back to Isabella. At the beginning of section five in part two (153) Singh describes the house of his mother`s family on Isabella when he was a child. This is followed by discussion of the house of his own family, the house in London in which he is writing now, the houses he had seen in photographs when he came to London for the first time, the other houses in their street on Isabella, and his grandparents` house as it was when he came back to Isabella from London. There is order and logic in the narration, but it is structured so that all the time there are two or more times and places present. The sign `house` is defined by corresponding past and future signs (houses) that represent various temporal, spatial and cultural dimensions, as well as various cultural discourses to which the person has some kind of affiliations. This kind of temporality is "the doubleness in writing that moves between cultural formations and social processes without a centred causal logic" as Bhabha (141) puts it. Also, these events "stem from different zones of time or from unrelated compartments of the social and material universe" (Jameson 373).

The third dimension as narrativization of the self

Bhabha (37) speaks about a third space (*a Third Space of enunciation*) that can be achieved by moving through the realms of pedagogical and performative.[3] According to him, all texts are written in

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mainly as a frame that is placed around multiple layers of memories (184). George (171-197) defines a sub-category in the field of postcolonial writing that she calls *immigrant literature*. According to her, the characteristic features of this type of literature include the following: "disregard for national schemes", "narrative tendency towards repetitions and echoes", a detached relationship to the surrounding discourses and the continuous examination of the present in close relationship to the past and the future. All of these features are to be found in Singh`s narration.

[3] Bhabha`s third space is comparable to the "third time" formulated by Ricoeur (245): "The mimetic activity of a narrative may be schematically characterized as the invention of a third time constructed over the very fracture whose trace our aporetics has brought

this contradictory and ambivalent cultural space, which proves the originality and purity of all cultures to be an illusion. Singh and his text of contradictory discourses fit well with this statement.

According to White (1978 3),

> (---) the discourse is intended to *constitute* the ground whereon to decide *what shall count as a fact* in the matters under consideration and to determine *what mode of comprehension* is the best suited to the understanding of the facts thus constituted. (original emphasis)

The mode of comprehension Singh chooses in order to gain an understanding of his own activities and identity is that of a personal history, constructed as a third dimension, which mingles two discourses and the notions of time and logic belonging to them.

I have tried to show how Singh starts at the stage of dispersion caused by the cultural situation and history of his home island and how this dispersion only gets worse as he leaves to study in London. Only as he writes his memoir does he gradually begin to achieve a meaningful picture of himself and the surrounding world. I have also tried to describe the peculiar logic and temporality of Singh's narrative, or "mode of comprehension", as White would describe it. Singh's is a narration used for the purposes of self-definition and therefore it does not follow the traditional Western ideas of linear time dotted with events defined by causal relationships between them. In this case all the time dimensions exist in the same space, are present at the same time, and events are defined along the principle of similarity to each other. In the postcolonial context of large and frequent geographical, as well as cultural, mobility this leads to texts that often appear highly fragmented with their swift changes of setting and time.

With reference to the citation from White on the previous page, Singh's narrative has "constituted" a ground on which things like a

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to sight." The aporia, or irresolvable contradiction, in question can be seen here as the difference between the personal time of memories and the official, objectivated time of historiography.

mixture of English garden and Isabellan mud and grass village shall "count as a fact". He also grows to understand that the "mode of comprehension" best suited for understanding facts thus constituted is not "a narrative in sequence" (243). With his mixture of real and imaginary, and of discourses coming from outside and those originated by himself, Singh has created Bhabha describes as a "third cultural space". It would seem that the most correct description of Singh`s situation at the end of his writing process is presented by Nana Wilson-Tagoe:

> Singh`s illumination appears in the end not an admission of defeat but a triumph of assessment, a personal sense of history *which overcomes the illusion of order and continuity and transcends the disintegration of defeat and failure* (67) (emphasis added)

In other words, he transcends both the effects of disillusionment with the order promised by Western discourse, and the effects of the feeling of disorder caused by his postcolonial displaced origin. This he gains by the narrative re-arrangement of the past. The antagonistic components of migrant experience cannot be done away with. The question is how to cope with them, how to create a meaningful relationship between these incongruous experiences.

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Myth, language and identity in *The Seal Woman*[1]

ANNE HOLDEN RØNNING

The concept of cultural identity/identities is one of the paths down which we can go to examine and illustrate the theme of maintaining the national. National identities are irrevocably intertwined with cultural identities as these are frequently, though not always, nation specific. This paper will analyse some aspects of Beverley Farmer's *The Seal Woman* to show how Farmer has used literary discourse to express the cultural identity of an individual character whose experiences are in more than one country.

In a recent edition of the journal *Southerly* (1998) several critical essays presented a re-reading of Beverley Farmer's work, but only to a small extent with what is to me one of the most fascinating aspects of her work - her play with language, use of myth, and the importance of these in the formation of cultural identity. This is a highly complex text where intertextual reference flows through every chapter, the discussion of which is unfortunately impossible within the frame of this paper. I have therefore chosen to concentrate on language and Nordic myths concluding by drawing a parallel between Ibsen and Farmer's protagonist.

The back cover of the 1992 UQP edition of *The Seal Woman* describes the book as "charting the interplay of myth and language between the hemispheres". With reference to theories of postcolonialism and identity this paper will try and show how Farmer's text illustrates the alienation which often ensues upon the move from one culture to another and forces the reader to see him/herself no

[1] This is a version of a paper given at the conference of the European Association for Studies of Australia, Klagenfurt, 1997.

longer as someone who belongs to the hegemonic culture - but as the "other" - a salutary experience.

Farmer's use of foreign words in *The Seal Woman* is a narrative strategy common in postcolonial and multicultural literatures to express the search for identity. To the best of my knowledge, Farmer is not of Danish descent, but has consciously used the discussion of what is the meaning of words as a tool in understanding the culturally different context in which Dagmar finds herself. Whereas earlier Farmer has dealt with the experience of dual identity and bilingualism in a Southern European context, here she moves to Scandinavia. The story is set in Australia but Farmer uses a Nordic language and mythological tales from the northern hemisphere to form the centre around which the protagonist investigates her own cultural belonging.

Returning to the place where she and her husband, Finn who was then working on a ship in the Antarctic, spent their early married life Dagmar hopes to come to terms with her present situation, to re-establish her belief in herself, and regain her own sense of cultural belonging. The text is thus also a "moving out to move in", a narratological device used among others by Christina Stead in several of her books, and a reversal of the pattern in much traditional Australian literature where the protagonist frequently moves *from* Australia rather than *to* it. In dealing with widowhood Farmer adds a further dimension to the novel since this is a topic relatively seldom dealt with within the framework of cultural identities. The text is thus a journey through grief by a process of defamiliarization of identity–a dual coming to terms.

Identities have been the source of much social anthropological and postcolonial criticism (Barthes, Gates, Hall, During). Here I use the term to refer to the complex mix of language, music, rituals which ground what we know as our own cultural identity and the "bits and pieces" of different cultures all "altered by their history and experience of cultural contact" (During 1990: 67). What During has called "misrecognitions" (1990: 71), that is, the rhetorical strategies which define things culturally from a point of view which is false, is a central motif in the investigation of Dagmar's self in relation to her surroundings. Early in the text Dagmar meets two little boys on

the shore and tells them that she comes from Denmark and Norway. This is the cause of unexpected laughter and derision:

> 'Norway!' the little one hooted, and looked up for the other's approval.
>
> 'What do you mean,' he scoffed, '*no* where? You got to live *some* where.'
>
> (*TSW* 3, emphasis in the original)

Throughout the book Dagmar, a Danish widow, her Norwegian husband having been drowned in the Kattegat, uses language as the source of coming to terms with whom she is, and to establish her own cultural identity as rooted in Scandinavia. Farmer's use of Danish words without translation underlines the "otherness" of the protagonist Dagmar. Here Farmer is touching on one of the key concepts in postcolonial theory as well as a major issue within our ever increasingly global world. Who am I? Where do I belong? To a person with a knowledge of a Scandinavian language this text has an added dimension as it takes up aspects of discourse, which deal with the questions of equivalence. The words referred to are often untranslatables, as any simple word for word translation robs them of their cultural connotation.

Dagmar's very name is even a source of confusion and noncomprehension for the Australians. She asks her friend and lover Martin to repeat her name, since he seems unable to pronounce it correctly. To her the way he says it, "... sounds ugly in English. So hard", whereas to Dagmar it should sound softer, (Danish is a language with soft consonants). Martin's new attempt to pronounce it correctly ends in another fault of pronunciation as he says

> 'Dowgmor.'
> 'Not Dowgmor! Mor is mother. Moder, mor.'
> 'More? Mower? And what's dag? Day? *Day mother*?'
> 'I think it is really *day maiden*. So my father-in-law said.'
> (100, emphasis in the original)

In fact the name Dagmar was a name often given to Danish queens. One of the fascinating aspects of language is that it implies the need for competence not only in pronunciation but equally in the cultural and linguistic connotations, which need to be understood for fruitful dialogue. An incident in the text which might support this is the occasion when Dagmar is making cherry jam from an English recipe from 1861, which states that it has to be stirred with a spaddle. Martin thinks this must be a Danish word, but she replies, "Nej English". He then looks up in the dictionary and cannot find it "but he said it was a good word all the same and worthy of preserving" (274). In fact it is a little spade! The subtext is that Martin's lack of interest in the linguistic differences between Dagmar and himself can be interpreted as male patriarchal dominance over the "other" as both female and linguistically inferior, as hers is not the dominant language of the country in which he lives. However, this could also be seen as Farmer addressing the increasingly multicultural society in Australia where questions of linguistic superiority or inferiority are topical.

The text is peppered with examples of Dagmar's search for linguistic and cultural equivalence as a source of understanding of her own situation, so I will merely mention a few. Often they are related to food – as when she thinks of making "rødgrød" (*TSW* 273) which she first calls plum soup, then red porridge. In fact it is a dessert dish, stewed plums or red berries, thickened to resemble a porridge – hence the name, but it has to be seen and tasted to be appreciated. It is an untranslatable. Martin fails to understand either the name or the cultural connotations of the "phenomenon" which is so classically Scandinavian.

Fauna and flora are another source of linguistic investigation. Dagmar sees cormorants on the shore and immediately starts searching mentally for the linguistic equivalent in Danish–"ålekrage" – as if only then can she come to terms with what that bird represents (210). At the same time they remind her of her own country and can be seen as symbolic of the migration process, which Dagmar is undergoing. Other examples are the discussion about the "skovæble" – is it wood apple or crab-apple and what would these different translations imply culturally? (41) Farmer uses this device to show the Austra-

lian Martin's inability to understand the nuances of language. In a discussion about seals – sometimes called "sælhund" in Danish–he can only pronounce it as "sjæl" which means "soul". Any conversation between them with such a basis inevitably and frequently becomes confused. We might ask whether Farmer is here trying to indicate a situation which often occurs in multicultural Australia.

Martin is portrayed as stereotypical male Australian, who fails to see the need to understand and meet Dagmar on her own level. By the end of the book Martin is not much further in understanding their cultural differences, as is evident in the scene where Dagmar gives Martin's daughter the story of the seal woman which she has written down. She has dedicated it to Martin's daughter, "Lyn, min lille pige fra havet" to his annoyance as he thinks she is calling his daughter a pig. The phrase is actually a term of endearment, (My little girl from the sea), not as Plunkett says "To my girl from the sea" (Plunkett 1998: 124). Thus Dagmar adds an emotional element to the dedication.

On a more mythological note the sight of jellyfish evokes fear inn Dagmar. She calls them "vandmænd", referring to a belief that they are "watermen, drowned sailors of my childhood fear, blue-spooling ghosts of the water" (132). To her Australian friends it is incomprehensible that she can be afraid of them. This association of fish and other life in the sea with drowned sailors is common in many parts of Scandinavia. Dagmar relates how in the fjords jellyfish were sometimes known as "draugspy" and explains it thus: "a sea ghost. A living dead–undead? ... He can come as a merman with eyes of rock crystal. Or he is a stranger suddenly there among the crew–he is drawn to boats, he might not even know that he is dead" (133). The link between the "draug" and the seals is posited.

Northern myths

Myth and symbolism are central elements of the structure Framer uses in intertwining the personal and the cultural aspects of the story, and the relevance of the title of the book. A central myth in the story is that of the seal woman or the Selkies. Early on in the story when Dagmar meets the two boys on the beach in Australia

and they discuss typically what it is like in Norway and Denmark, where "you got Macdonald's?". Farmer relates stereotypical views of what Scandinavia is like as an introduction to the topic of seals. Her friend, Tess, of Greek immigrant parents, gives Dagmar a newspaper cutting describing the influx of dead seals on the Swedish coast and in the Baltic Sea (15). Seals were in actual fact at the time the book was published invading the Scandinavian coasts due to an ecological imbalance of fish in the sea, indicative of a lack of harmony in the environment. Here Farmer is using a real event and a real problem to show how superficial it seems to the Australian, Tess, as opposed to Dagmar who knows the areas where the dead seals were found. Thinking of the Scandinavian coast is particularly poignant for Dagmar as it brings back other memories; not least searching the shores for some trace of Finn after the polar research ship he worked on was hit by an oil tanker. The seals are thus symbolic of her own situation. By introducing this theme at the beginning of the text as well as making frequent references to seals and seal legends throughout, and closing the same text with the story of the seal woman, Farmer highlights the importance of the seal as a creature which belongs neither in one environment nor another. Seals after all can survive on land as well as in water, unlike fish. As a symbol of cultural identity they might be said to symbolize cultural ambiguity as Stier calls it (Stier 1998).

The intertextuality of the seal legends makes for complex reading, as it varies from factual details to listening to a record where Joan Baez is singing "The Great Silkie of Sule Skerry", but she omits the fourth verse which reads:

> 'It was na weel' quo the maiden fair
> 'It was na weel, indeed,' quo she,
> 'that the Great Silkie of Sule Skerrie
> Suld hae come and aught a bairn to me'. (111)

The omission of the verse which tells why the Silkie wants the child, which is his own, adds significance to the story as one of the legends was that Silkie came ashore and got young girls pregnant. The seal woman myth as told in the Appendix , on the other hand, is sym-

bolic and expressive of the search for a true self, which is bilingual and bicultural, and parallels Dagmar's search.

There are several versions of the seal legend, so that like much mythology it typifies the storied nature of myth – the adaptability of legend to different climes and tribes. Farmer draws on and refers to Eskimo and Scottish versions (the Silkie) as well as *Edda*, but in my opinion especially Sedna, the Eskimo goddess of marine animals, who hostile to the human race has power only over things in the sea (112). It is, however, impossible to say whether Farmer has used any one version, as her presentation seems an analysis of several versions of the myth at different stages in the book. In the Eskimo tradition the seal was originally a young girl, the only child of a widowed father, courted by many men refusing all of them until she is carried away by what turns out to be in reality a bird, a Bird-spirit. When her father tried to rescue her he ended up having to sacrifice her, each axe blow to her fingers clinging to the boat turning into seals of different kinds.[2] It is interesting to note that at the time of publication two children's books were also published about the Selkies, one by Susan Cooper, *The Selkie Girl* which tells of fairy people who live under the sea and wore sealskins to move through the water.

They, the Selkies, Silkies had a magical power to change shape into humans (110-111). Likened to Sirens in classical mythology they could lure men to their death. If courted and brought ashore they could never return to the sea unless they find their sealskin. In several of the legends it is the children who help their mother to regain her sealskin and return to her original home. Central to all these myths, whether the figures are male or female, is the sense of prime belonging in one place and one element to which they will always long to return. Symbolically this could be seen as representing the multiculturality of contemporary society – just as the seal woman belongs wholly neither on land nor on sea, her identity is dual/multiple. When ashore she can be a human being as long as her skin is hidden, but all the time she has a yearning for her "people" in the sea. It is thus to her roots that she will return, as does Dagmar.

[2] New Larousse. Encyclopedia of Mythology. (London: Hamlyn, 1972), 424-46.

At the same time, parallel to the legend of the seal wo/man, Farmer in my opinion, draws on other literary Nordic ideas of attachment to the sea, such as we find expressed in Ibsen's *Fruen fra Havet*.[3] Coming from Denmark where one is never far from the coast, Dagmar is portrayed as having a close affinity with the sea. She seems continuously drawn to the sea like the female silkies. To what extent Farmer is consciously drawing on Ibsen is impossible to say, but I should like to conclude by drawing some parallels between the two texts.

Ibsen's play is primarily about Ellida, Wangel's wife, who comes from a coastal area. She has been called the lady from the sea by the local population when she worked as a teacher on an island with a lighthouse and spent much of her time by the sea. She longs to go back to the sea because she feels claustrophobic when enclosed and surrounded by mountains. In other words the mountains become symbolic of the pressure she feels from her marriage and the rift between her and her husband. Repeatedly throughout the play we find phrases such as "you are part of the sea", "you are in communion with the sea". In Ibsen's own words:

> I believe, that if people had become accustomed from an early age to living a life on the sea - maybe *in* it - they would be much more perfect and happier. (Act 3) [4]

and again

> .. haven't you noticed that people living by the open sea are completely different? It is almost as if their lives are like the sea with the ebb and flow of the tide in their thoughts and suppositions. (Act 4)

The symbolism in Farmer's novel about the draw of the sea for Dagmar parallels that in Ibsen's play. The symbolic act of Friman throwing their engagement rings into the sea, thus wedding him and Ellida to the sea is paralleled in the seal legend. Is Farmer indicating

[3] The traditional translation of the title of this play *The Lady from the Sea* .

[4] The translations are my own.

that Dagmar is like Ellida (Fruen fra Havet) someone who belongs to and is possessed by the sea?-We may ask whether there is a rewriting of Ellida and Wangel in Dagmar and Martin.

Another parallel is the figure of the mermaid. Ellida has requested Ballestad, a visiting painter, to include in his portrait of the town a half-dead mermaid rather than a Viking, a mermaid who has lost her way in from the sea and cannot return or find her way back, and to call it "the fate of the mermaid" – the parallel to the seal story is obvious. On several occasions, and especially when she is reflecting on her own situation, Dagmar is depicted as sitting on a rock, almost like a mermaid, looking out to sea and musing. Dagmar and Ellida, I suggest, are like the mermaid and the seal woman. If they do not return to the coast they will never regain peace of mind. Dagmar is continuously fascinated by and drawn to the sea which in the final issue drags her back to her native Denmark where the sea is never far away from any house. The flow of language in the text can be compared to the flow and ebb of the tide, which is a dominant symbol in the book. Further parallels to Ibsen's text are obvious when Ellida talks to Friman about the sea and especially whales and seals.

The frequent change of narrative perspective in Farmer's text underscores the insecurity of the protagonist and her continual search, as does the linguistic emphasis on difference and intelligibility. This is, in my opinion, exemplified in Dagmar's trip to the Nullarbor plain and the Nullarbor caves, a trip which forms a turning point in her path to coming to terms with her grief, and to understanding her own identity. Whilst her Australian friends see this as a way for her to see something mythologically interesting in Australia, and a contrast to all the Eskimo, and Antarctic mythology discussed in the text. It is also supposed to function as part of a healing process, but to Dagmar it is yet another conviction that she does not belong in the hot southern climate, either linguistically or culturally. Having found herself she then returns to the colder climes of the north and the sea to which she belongs, just like the seal woman in the legend who is finally restored to her own people in the sea.

Is the use of a female protagonist and one from the European continent a deliberate ploy on Farmer's part to contrast the macho, all-

knowing male figure typified in much Australian literature with Dagmar, the uncertain, foreign woman who yet because she comes from the European centre is a source of attraction, not just sexually, but far more as an intellectual challenge? The play with language that goes on throughout the text can be interpreted as symbolic of the interplay of cultures, which Australians struggle with in their search for a national and cultural identity. We can ask whether this is a kind of post-modern examination of the "cultural cringe". Dagmar distinguishes clearly between her two voices, her own Danish, and the person she is in Australia, a marginalized woman in a male context, as well as a foreigner.

As we all know, the intersubjective social and cultural context in which a text is produced may be different from that in which it is read. The reader's reactions to a text will also differ according to the prior knowledge the reader has of matters related to or referred to in a text, or their own life experience. In Australia I gather this text is thought of, rightly from one point of view, as primarily a feminist text dealing with the protagonist's search for her identity as an independent woman. To me the text is also open to a cultural identity reading from an anthropological standpoint dependent on shared contexts.

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American English, in a very broad perspective

Gunnel Tottie. 2002. *An Introduction to American English.* Malden, Mass. & Oxford, UK: Blackwell

REVIEW ARTICLE BY JOHAN ELSNESS

In this very welcome new publication Gunnel Tottie sets out to present the American variety of the English language on its own terms, as she says. She reacts against what she sees as the prevailing tendency in textbooks intended for foreign learners: to take British English as the starting-point for the description of English, sometimes noting particular American forms and constructions, in so far as they are noted at all, as a kind of aberration. Tottie starts from the other end: her concern is with American English, but she makes frequent comparison with British English, which is the variety that many, perhaps most, of her potential readers will be most familiar with. In Tottie's new book there are no listings of 'Americanisms'. Instead she uses the term 'Briticism' to designate forms and constructions which occur in British but not in American English.

In many ways the strong position of British, at the expense of American, English is an anomalous situation. After all, the population of America – the United States, that is – is many times the size of the British population, and speakers of American English correspondingly more numerous. Today the United States is the one and only undisputed superpower. For a long time now America has definitely been a more powerful country than Britain, in political, economic and military terms. American popular culture dominates the world as no other culture has ever done: people around the globe watch American television, go to see American films, listen to American pop music, put on American jeans, eat American hamburgers. And yet it is

probably still true that most of the people who struggle to learn English as a foreign language are trained in the British variety.

There are some pretty obvious reasons for this. Even though the American media predominance is now a worldwide fact, it is also true that British popular culture makes itself felt, on a global scale, to a much larger extent than that of any other European country. British television is being watched in all corners of the world much more than, say, German of French television. A lot of the pop music that people everywhere – young and not so young – hum and dance to is distinctly British rather than American, as are many of the leading pop groups – young and not so young. MTV (Music Television, for the uninitiated) has long had its own European branch, with presenters of various sorts definitely speaking British rather than American English, even though their accents may be pretty far removed from the RP still dominant in European English teaching.

There also seem to be very different publishing traditions in Britain and the United States in the field of language teaching material. English teaching, especially at the fairly elementary level, is big international business. Somewhat surprisingly, perhaps, America still has not discovered this market to the extent that many of the leading British publishing houses have. As anyone who has had a chance to compare American and British academic bookshops firsthand will have noticed, British ones have a lot more to offer, also in the field of practical English teaching and learning. It is striking that in this field there will usually be a strong British presence even in American bookshops. And even though many dictionaries and introductory grammar books will now make a point of including American as well as British expressions, British publications still tend to concentrate on British English, as one might expect. To some extent this is a reflection of the stronger position of the British variety of the language in the teaching of English. No doubt it also helps to perpetuate that position.

In this respect, however, a lot has changed only in the course of the past decade or so. Several Standard English dictionaries published in Britain now deal with American as well as British English. These include the *Longman Pronunciation Dictionary* by John Wells from 1990, and also the latest (15th) edition of the *English Pro-*

nouncing Dictionary dating back to Daniel Jones. Both of these consistently give American as well as British pronunciations. And if one looks up a well-known American/British lexical pair like *sidewalk/pavement* in the 9th edition of the Concise Oxford Dictionary, one finds that it does the decent thing and characterises *sidewalk* as North American, meaning 'pedestrian path at the side of a road; a pavement'; while, conversely, the first sense of *pavement* is described as British and defined as 'a paved path for pedestrians at the side of and a little higher than a road', another sense being characterised as North American, meaning 'roadway'.

This is in fact better than the treatment of *sidewalk* in one of the innumerable modern American dictionaries exploiting the name Webster in its title, the *Random House Webster's College Dictionary*. Here this word is simply defined as 'a usually paved walk at the side of a roadway', with no geographical restrictions being indicated. On the other hand, the same dictionary not only distinguishes between American and British in its treatment of *pavement* but even introduces a noteworthy subdivision of American English: one sense of this word is said to be current in the Atlantic States (of the United States, that is) *and* Britain and defined simply as 'sidewalk'.

Also, the lack of balance in the international standing of the two varieties should not be exaggerated. Outside Europe, not least in Japan and other countries of the Far East, American English now seems to be enjoying a status at least equal to that of the British variety, but then the American influence has long been strong along the whole of the Pacific rim, while Britain must appear correspondingly distant.

There is no denying, however, that on the whole the British variety of English enjoys a position relative to that of American English which is clearly out of proportion to the relative size and political, economic and cultural importance of Britain compared with the United States.

In some measure this difference is observable even within these two countries. Americans themselves often seem to look upon British English as more prestigious, more educated, even more 'correct', than their own variety of the language. But then Americans generally do not seem overly interested in their own language. The English

language tends to be seen as a means of communication, and only that, and to receive scant attention as a worthy object of study. This attitude is reflected even in academic circles and institutions: English departments in American universities, if they have one, usually devote themselves to modern literature, cultural studies, and possibly Old and Middle English. Modern English language 'programs', if offered at all, are often distinctly applied and practical, consisting largely of guidance for essay writing. And the linguistics departments of American universities tend to be so theoretically bent that little or no attention can be directed towards the study of how the English language is actually used by its speakers and writers, let alone how the two major varieties of the language may differ in speech and writing. These things tend to play a more important part in European universities, both in Britain and in the non-native speaking countries outside; even in the latter not only English language teaching but also English language research is often given higher priority than at many American academic institutions.

It should not be overlooked, however, that there is a long and strong tradition of language involvement in the United States. This goes back all the way to the birth of the new nation towards the end of the 18th century. Indeed, at that time there seems to have been a strong feeling that the United States ought to distance and liberate herself from Britain also in the field of language. Benjamin Franklin urged spelling reform, and even wanted to introduce a new alphabet, putting out his *Scheme for a New Alphabet and a Reformed Mode of Spelling* in 1768. Noah Webster was somewhat more cautious, but when he published his famous – and enormously influential – 'spelling book' in 1783, he wrote in the preface that he intended the book 'to promote the honour and prosperity of the confederated republics of America', and that 'For America in her infancy to adopt the present maxims of the old world, would be to stamp the wrinkles of decrepid age upon the bloom of youth ... .'. (Webster is quoted from Baugh and Cable 2002: 367-368.) In his *Dissertations on the English language* from 1789 Webster says that 'As an independent nation, our honor requires us to have a system of our own, in language as well as government. Great Britain, whose children we are, should no longer be *our* standard; for the taste

of her writers is already corrupted, and her language on the decline.' And in a letter written in 1817 Webster predicted that in the course of time one would see 'a language in North America, as different from the future language of England, as the Modern Dutch, Danish and Swedish are from the German, or from one another.'

Webster's linguistic patriotism mellowed in the years that followed, however, as the independent status of the new nation became more firmly established, and possibly also as the result of his spending a year in England. By the time he put out his big *American Dictionary* in 1828, he had come round to the view that 'although the body of language is the same as in England, and it is desirable to perpetuate that sameness, yet some differences must exist.'

As is well known, Webster himself was the chief source of many of the spelling differences between American and British English that still exist, and even of some spellings that have been adopted in British English (such as *logic* and *music* without a final 'k'). He was also very conscious of the significance of the spoken word: both his spelling book and his dictionary give firm guidance in matters of pronunciation as well. He rejected 'corrupt' British pronunciations like /ˈfɒrɪd/ (*forehead*) and /ˈweskɪt/ (*waistcoat*). Even in matters of pronunciation Webster's influence has been considerable, although this influence is more difficult to measure than that on orthography.

A century after Webster American linguistic patriotism reached a new climax with the publication of H.L. Mencken's *The American Language*, whose first edition in 1919 coincided with America's successful emergence from the First World War as an undisputed member of the company of big powers. As the title suggests, Mencken, like the early Webster, insisted on the language of America being a separate language, rather than an English dialect. Mencken also followed Webster, however, in moderating his views over the years, with every successive edition of *The American Language*, but both the title and Mencken's fundamental view of the superiority of things American in general, and the American language in particular, remained unaltered.

However, the 20th century also saw the development of a more sober and more scholarly tradition in the study of the English language in America, by Americans. *The English Language in America* by George P. Krapp, which appeared in 1925, belongs in this tradition. Comparison with Mencken's title is instructive. The successful journal *American Speech* has been published from about the same time. And it should not be forgotten that the American Dialect Society had been founded as early as in 1889.

In 1958 Albert H. Marckwardt published his *American English*. The title is an indication of what has since definitely become the prevailing attitude, at least in academic circles: American and British are seen as two different (but equal) varieties of the one, English, language. That is very much the view adopted by both sides in a series of radio conversations about the English language produced jointly by the Voice of America and the BBC a few years later, between Marckwardt and his English professor colleague Randolph Quirk (subsequently published in book form as Marckwardt and Quirk 1964). Here the two professors converse in a very gentlemanly manner about what they insist is one and the same language, emphasising that the differences are fewer and less significant than they had often been made out to be.

1958 also saw the appearance of a grammar of American English by someone who was to have a profound influence on the further study of both American and British English, and on language studies generally: *The Structure of American English* by W. Nelson Francis, who died earlier this year, after a very full life dedicated especially to the study of the English language. The most important of his many contributions towards that end was the Brown Corpus, which he compiled in the early 1960s, along with another professor at Brown University, Henry Kuçera. The Brown Corpus is made up of a wide variety of American texts, all having appeared in print in the United States in 1961, totalling what at the time was seen as a very impressive 1 million words. It marked the beginning of a new era in the description and study of the English language. Especially after the compilation of a close British English equivalent (LOB: the London – Oslo/Bergen Corpus) had been brought to completion in Norway some years later, under the direction of Professor Stig Jo-

hansson, this put a fantastic new tool for the comparison of American and British English in our hands.

The years which have passed since the appearance of the Brown Corpus in the 1960s have seen a true revolution in office technology, a revolution which has done more to advance language studies than most other arts subjects. Language scholars in general, but especially those concentrating on the study of the English language, can now benefit from the desk-top availability of a large variety of electronic corpora, some of them hundreds of times the size of Brown and LOB.

This has resulted in an enormous proliferation of studies dealing with differences large and small between American and British English, as witness the very full Bibliography appearing at the back of Tottie (2002). Quite likely this has contributed further to the acknowledgement that American and British are equal varieties of the same language. A notable publication where this attitude is taken to its logical conclusion is the major new grammar of the English language by Biber et al. (1999), which consistently gives parallel corpus findings for American and British English. From the American side numerous contributions to the study of American/British differences had already been made by John Algeo, who has often concentrated on lexical points but even looked into some of the most notable grammatical differences (see e.g. Algeo 1988 and 1992). Many of the studies made of American/English differences up to the early 1980s are included in the references of Peters and Swan (1983).

And now there is Tottie (2002). Tottie approaches the topic of American English with a broader sweep than probably any writer has done before. Yes, there are the expected chapters on vocabulary and grammar, on spelling and pronunciation, but Tottie's new book contains a lot more. For instance, there is a separate chapter on American history, and one on government. The full list of chapter headings says a lot about how comprehensive this book is: 1 'Writing It and Saying It', 2 'American History for Language Students', 3 'Running America: Government and Education', 4 'Life and Language in the United States', 5 'American English Vocabulary: A Systematic View', 6 '*Caught Out* or *Caught Off Base*? Metaphors in American English', 7 'The Grammar of American English', 8 'Using English

in the United States', 9 'Varieties of American English', and 10 'Language Politics in the United States: English and Other Languages'.

Tottie adopts this very wide approach to the study of American English because, in her own words, she is 'convinced that it is impossible to use any natural language without a good knowledge of the culture and the social life that it both reflects and shapes.' (p. 5) So true. And yet it is very rare indeed to find all these various aspects of language usage treated in one and the same book, if it has ever happened at such an advanced level. Tottie (2002) will be particularly useful for students – and teachers, not least – with a pretty sound grounding in British English who want to know more about the American variety. It does not presuppose any very sophisticated knowledge of modern linguistics, and so should appeal to a wide audience, certainly not limited to professional language experts.

One of the many attractive features of this publication is that it contains copious suggestions for further study. At the end of each chapter there is a list of recommended reading, and in some cases also of relevant websites, for example of websites containing corpora that may be used to look more closely into points of American/British differences. This new book should therefore be very useful also in a classroom situation, at university and other advanced levels, with plenty of ideas for students to pursue.

The first chapter following the introduction, 'Writing It and Saying It', contains the expected listings of words that are spelt or pronounced differently in the two varieties. It is difficult to get excited by such listings, but they are a necessity in a book of this kind. Any such presentation runs the risk of making the differences out to be more clear-cut than they really are. Tottie avoids most of these risks, noting for example that 'grey' (the colour, or lack of it) as well as 'gray' are found in American English, while only the former is common in British English. She might also have noted, for example, that 'check' is common nowadays even in British English, and indeed the only accepted spelling in several uses. Merely to be told that 'cheque' is the British equivalent of American 'check' is misleading in these days when the use of chequebooks seems to be rapidly declining

on both sides of the Atlantic, while both Americans and Europeans seem as intent as ever on checking in many other contexts.

Besides these and a vast number of other individual spelling differences, all the well-known, more systematic differences are noted, many of them dating back to Noah Webster: thus *-or* vs. *-our* (*colo(u)r, hono(u)r*); *-er* vs. *-re* (*theatre/theatre, center/centre*); single vs. double 'l' before endings (*marvel(l)ous, travel(l)ed*); and many more.

In her listing of words which are pronounced differently in American versus British English Tottie again takes care to include alternative forms in either variety. Here, too, she might have been even more inclusive. For instance, the pronunciation of 'garage' with the stress on the final syllable seems to be pretty widespread in (RP) British as well as in American English, while 'm(o)ustache' appears to be common with the stress on the final syllable even in American English.

Of course, Tottie also deals with the more systematic pronunciation differences between American and British English. Chief among these is the American tendency to pronounce the letter 'r' no matter what its position is in the word, as was the case in earlier English, when present spelling conventions were settled, and still is in lots of British accents other than RP. Most Americans say /kɑːʳt/ (cart) and /kɑːʳ/ (car), where RP has /kɑːt/ and /kɑː/, except when the latter word is immediately followed by the vowel sound of another word. That is what is meant by saying that General American is *rhotic* (after the Greek letter 'rho', corresponding to Latin 'r'), while RP is non-rhotic.

Again there is plenty of variation, however: not only are many British dialects still rhotic; what may not be so well known is that there is also a great deal of variation within American English. Quite a few Americans actually have a non-rhotic accent. In her chapter on varieties of American English (ch. 9) Tottie states without further ado that this is true of the speech of Eastern New England, which is a vast area, including Massachusetts, Rhode Island, Maine, New Hampshire, and parts of Vermont and Connecticut. The real picture seems to be quite a bit more varied, as visitors to that part of the United States may have noticed. According to Wells (1982: 520-

522), Eastern New England has never been wholly non-rhotic, and has become even less so in the course of the 20th century.

One of the interesting features of Tottie's introduction to American English is the inclusion of separate chapters on topics usually dealt with in civilisation rather than language studies. At the beginning of the history chapter Tottie restates her view that it 'is impossible to understand any natural language without knowing something about the country or countries where it is spoken and the living conditions that prevail there. This includes a knowledge of geography, history, government and education.' (p. 25) True to her convictions, Tottie sets out to provide her reader with a suitable introduction to each of these topics as they relate to American English. The result is that this book has a history chapter almost as long (28 pages) as the grammar chapter (33 pages), and a further chapter on government and education. Throughout, a lot of the attention is focused on words and expressions which were coined in, or affected by, the various historical and other settings dealt with, many of these words and expressions still being peculiar to the American variety of the English language.

As far as the history chapter is concerned, it goes without saying that, even though the United States has a shorter history than many other countries, a historical introduction in the space of 28 pages will have to concentrate on the main events and trends. In the view of the present writer, Tottie does a better job with the early stages of American history than she does with the more recent ones. To some extent this is connected with the general challenge that historians face in giving a balanced, objective account of past events: the more recent the events, the greater the temptation to let the account be coloured by one's own political and ideological standpoint.

Tottie starts off by giving a vivid and engaging presentation of America in colonial times, and not least of the momentous events of the American Revolution towards the end of the 18th century. With the Declaration of Independence and the signing of the American Constitution by the thirteen former English colonies these were developments that were to have a profound impact on the further development not only of America herself but also on that of many

other parts of the world, Europe in particular. Tottie gives the reader a strong impression of the tremendous energy which the new nation thus demonstrated, and which further resulted in the rapid economic and territorial expansion of the 19th century. Parts of the Declaration of Independence are reproduced, in a full-page box, and maps set out the dates when the various territories were acquired which were eventually to span the continent, and the dates when the various states achieved their statehood.

The darker sides of the young nation, especially slavery and the drift towards civil war, also receive their due attention. As is made very clear by Tottie, the Civil War (1861-1865) did not solve all of America's problems. She dwells on the problems that continued to beset the country, focusing on race relations and urban poverty. It is all very well that a book of this kind does not fall into the trap of painting an overly positive picture of the country with which it is concerned, but some readers will feel that in parts of her historical presentation Tottie overcompensates by devoting too much of her attention to the problems, to the neglect of some of the more positive developments in American history. The 50 years from the American Civil War to the First World War was after all a period which established the United States as a world power, as the result not least of a continuing, and indeed accelerating, economic development. That economic development certainly had its less palatable side as well, but it is also a further manifestation of the tremendous energy which the United States had demonstrated from the outset.

This aspect of American history gets short shrift in Tottie's account. There are no Rockefellers or Carnegies in her version of American history. True, her section on America 'After the Civil War' (which is the final section of the historical chapter!) does include a short subsection entitled 'Industrial and financial expansion; immigration' but that is confined to a very brief account of the building of railways and some rather summary immigration statistics. Tottie hastens on to deal with 'Social problems and labor relations' and 'The women's movement'. A reader of the latter half of Tottie's account of American history might be excused for wondering what it really was that made America great (in at least one sense

of that word), to the extent that Tottie and many other people feel that the American variety of the English language deserves more attention. Whatever it was that made America great – and, yes, admired by so many people around the globe – it can hardly be said to have been her handling of race relations.

One final note on the historical chapter: in a section on 'Religious movements and Fundamentalism' Tottie offers what amounts to a rather sensational redefinition of Christianity. Apparently eager to distance herself from Fundamentalists of all stripes she describes Fundamentalist Christians as people who not only refuse to accept Darwinian theories of evolution but who still believe in the virgin birth of Jesus and his bodily resurrection (pp. 46-47)! According to the final part of this definition, mainstream Christians of most denominations will end up as Fundamentalists, which is hardly in agreement with the standard use of that term.

Other than that, church and religious activities constitute an area of American life which is conspicuous by its absence in Tottie (2002), in spite of the fact that Americans are often said to be more religious than many other people. It is certainly true that church attendance is much higher than in most European countries, and that organised religion enters into the lives of many Americans in numerous other ways. Yet this is a field of life, and a field of language, which Tottie hardly touches upon.

If there is a close link between American history and many vocabulary items which are peculiar to American English, the link between language and culture is no less striking in the area covered by the next chapter: government and education. In this chapter Tottie gives a very full presentation both of the American political system, so different from that of Britain and many other countries, and of American education, from kindergarten to university. We are introduced to the federal system of government, and learn what levels American schools are divided into, and what grades (rather than marks) are used. The US Constitution is dealt with in some detail, as are some of the Amendments. In the course of this description a welter of terms are introduced and explained. We are reminded that a public school in America is very different from one in Britain, and that the

faculty of an American university is not at all the same as in Britain and other European countries. More subtle differences between American and British English are also explained, such as the nuances distinguishing between the use of 'government' and 'administration'.

Some readers will not like everything they read, as for instance in a passage on the political parties in the United States. These are described as follows: 'Very roughly speaking, the Republican Party is now the party of conservative, often well-educated, well-to-do people, and the Democratic Party is the party that represents the interests of the masses, the less well-educated, lower income groups, women, and ethnic and other minorities' (p. 59). Obviously, in a very brief introduction like this one will have to simplify, but this is an oversimplification so gross as to be pretty worthless. Democrats would certainly have reason to rejoice if they really were the party of women – half the electorate – in addition to all those other groups. This description further belies the interesting fact some of the best educated of all Americans (university – and college – professors not excepted!) now vote Democratic more heavily than almost any other group.

And what does Tottie really mean by saying, in a comment on primary elections, that the presidential candidates 'must first be *endorsed* (publicly approved) by labor unions, professional associations, etc.' (p. 60)? Does she want to tell us that the unions have a veto on the selection on presidential candidates in the United States?

The concentration on vocabulary becomes even more predominant in the next chapter, that on 'Life and Language in the United States'. Here one will find most of the terms one may possibly need to communicate sensibly about holidays, eating, shopping and paying, living quarters, what to wear, getting around, and even place names and personal names. There is a very useful figure explaining the rather bewildering terms used for weights and measures in the US and Britain, where for good measure (and sometimes bad measurement) the same terms are sometimes used but with different meanings. Thus, we are reminded that a US gallon is not the same as a British gallon (3.785 and 4.546 litres, respectively!). Hence – and this is something a European visitor needs to note – a US pint is not that same as a British pint, since in both cases a pint is 1/8 gal-

lon. So everything is not big in America. The chapter on life and language contains a wealth of practical language information of this kind, explained in the right cultural context (although I think I know of a better – and more accurate – way of converting between Fahrenheit and centigrade – personal communication recommended).

Then Tottie turns to linguistics proper, in the chapter entitled 'American English Vocabulary: A Systematic View'. In this chapter she discusses American vocabulary according to a number of linguistic criteria. Differences between American and British English are classified into four types, according as a word has basically the same meaning, differing in style, connotation or frequency only, or whether it has developed more clearly distinct meanings, or even is used only in one variety. A lot of the attention in this chapter is focused on the formation of new words. On the basis of figures from Algeo and Algeo (1991) Tottie demonstrates that loanwords account for only a very small fraction of the new words making their way into American English during the fifty years from 1941 to 1991. In fact, a clear majority (68 per cent, to be exact) of these new words are the result of combining words already existent in the language (*car pool*, *pre-owned*), although the figures one arrives at here will obviously be highly dependent on the exact definition of the term 'word' that is adopted. Slang gets a separate subsection, although Tottie is eager to dismiss the idea that slang is a particularly American concept, or that slang is more common in American English than in other languages and dialects.

Even in this chapter the practical concerns of the language student are well taken care of: there is a useful subsection at the beginning of the chapter addressing the question 'How can we find out about differences between American and British English?' – where the answer refers the reader to corpora and dictionaries – and an equally useful listing of some of the relevant dictionaries and corpora at the end.

In the chapter on metaphors Tottie observes that the use of metaphors is nature- and culture-specific (p. 132). Hence it is not surprising to find that metaphors to do with money and business are particularly common in American English, described by Tottie as 'the land of free enterprise, the home of capitalism'. Apparently,

speakers of all varieties of English may now say things like 'Do you buy that?' or 'I'll buy that.', but generally expressions involving buying and selling seem to be used metaphorically to a larger extent in America than in other countries. The dollar itself makes frequent appearances in metaphorical expressions: 'You look like a million dollars.' is an unmistakable compliment. Sadly, metaphors involving shooting and the use of guns are also very common in American English, for the same sort of reason. 'A shotgun wedding' is one resulting from parental pressure because the bride is pregnant, an expression said to derive from the times when the groom might have been shot by the girl's father if he did not make an honest woman of her (p. 142) (whenever those times may have been). In this as in the other chapters innumerable words and expressions are introduced and explained, in the sense that the historical/cultural background for their adoption in American English is described.

At the beginning of the grammar chapter Tottie notes that there are far fewer grammatical differences between American and British English than vocabulary differences. This is explained by the fact that while the vocabulary of a language has to change and adapt in order to handle new phenomena and new circumstances, the grammar does not need to change in the same way to reflect a changing reality. Even so, there are more than enough grammatical differences to fill the 33 pages set aside for this topic in Tottie's new book. It is not always obvious where the line of division between vocabulary – or lexis – and grammar should be drawn, and some of the points made by Tottie in this chapter are definitely of the lexico-grammatical kind, i.e. they refer to individual lexical items – words, in most cases – and their grammatical behaviour rather than to wholesale grammatical categories.

The more obvious grammatical differences are not all that numerous. Some of the most notable ones concern article usage, especially with nouns denoting institutions (*hospital, university*), where Americans are more likely to use the definite article: 'She had to go to *the* hospital.', which Americans can easily say even if she went there to be admitted as a patient; the behaviour of so-called collective nouns (*government, family*), especially as regards the choice be-

tween singular and plural verbs, Americans sticking more strictly to grammatical concord, using singular verbs; the use of the so-called mandative subjunctive, which is more common in the American variety ('She insisted that Joan do it.'), while British speakers are more likely to use a modal construction ('She insisted that Joan should do it.'); and the choice between the present perfect and the preterite verb forms, the preterite being (even) more frequent in American English (cf. 'Alexia already paid.' vs. 'Alexia has already paid.').

These, and many more, grammatical differences are reviewed. Since so many differences are to be taken up in a fairly short chapter, the treatment will of necessity have to be rather summary in most cases. Sometimes one wishes that Tottie had offered a little more detail about some of the major grammatical differences, and rather saved some of the space she devotes to some of the other points. For example, one may question whether many potential readers of this book really need to be reminded quite so laboriously of the basic rules of negation and interrogation operating in English; most of them probably know already that neither American nor British English can have *'He boughtn't a car.' or *'Buys he a home?'. On the other hand, the present writer would particularly have liked to see a somewhat more thorough treatment of the opposition between the present perfect and the preterite. Here the difference between American and British usage is certainly not limited to constructions with adverbs of the set *ever, never, already, just, yet*, but we are not told much about these further differences (as one is, for instance, in Elsness 1990 and 1997).

In the next chapter Tottie moves from grammar to what can be broadly termed pragmatics, largely concentrating on appropriate language usage in various spoken contexts in the US: on what is proper linguistic behaviour on the telephone, in shops and restaurants, etc. etc. Linguistic politeness, the desire not to cause offence by choosing the wrong word or phrase, is one of her main concerns, as evidenced throughout this book. In this particular chapter she devotes a lot of attention to answering the question how to avoid offending ethnic and sexual minorities, and above all to need to avoid what is nowadays called sexist language. (Tottie herself ad-

dresses the question of excessive political correctness on pp. 203-204. It is reassuring to be told that she dismisses the idea of replacing 'history' with 'herstory'!)

The chapter on varieties of American English deals with both regional and social dialects, and above all with ethnic varieties – mostly Black English, or, as Tottie prefers to call it: African American Vernacular English (AAVE) – which are actually allotted more space than traditional regional dialects.

In the final chapter Tottie reminds us that, although English is the predominant language of the United States, it is not the only one: there are several hundred other languages still in use in the US today, many of them Native American languages, some of them immigrant languages, Spanish being predominant among these. She further introduces the reader to current language-political issues in the United States, particularly to what is often referred to as the 'English only' debate.

It is commonly acknowledged that languages cannot be studied or learnt in isolation from the cultures in which they are spoken. What are rather more rare are publications taking the full consequences of this realisation. Tottie's new book is a splendid demonstration that it can be done. It will prove a very useful tool for people wishing to improve their competence in the American variety of the English language. There ought to be many of those people.

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yet this follie doth many times assault the brauest minds: Affirmative Declarative *do* in 17th-Century English

BJØRG BÆKKEN

1. Introduction

The origin and early use of periphrastic *do* has intrigued scholars for a considerable period of time, and it has been described as one of the great riddles of English linguistics. Numerous studies have been devoted to the topic; two early ones are Engblom 1938 and Ellegård 1953. In recent years there has been renewed interest in the use of *do* in earlier periods of English, and quite a few studies have approached the problem from the point of view of text linguistics and discourse analysis.

The present paper will not be concerned with the origin of periphrastic *do*, but will address the use of the form in affirmative declarative clauses in 17th-century English, ie the central part of the Early Modern English period. It seems to be generally accepted that Early Modern English was an important period in the development of *do* as periphrastic auxiliary, and in his 1953 study Ellegård found a peak in the use of *do* in affirmative declarative clauses in the second half of the 16th century, more specifically between 1550 and 1575. However, some recent studies have suggested that this peak may have occurred somewhat later: Ilse Wischer (2000), who has studied the use of *do* in affirmative declarative clauses in the Early Modern English part of the Helsinki Corpus, found the use of *do* in such clauses to culminate around 1600, which corresponds to Rissanen's findings from 1991. Simi-

lar tendencies were discovered by Bækken (1999). The latter study suggests that *do* periphrasis in inverted structures with transitive verbs may have survived at least till the end of the 17th century, perhaps even well into the 18th. This obviously means that a closer investigation of the 17th century might yield some interesting results.

For the purpose of the present investigation the 17th century has been divided into three periods of approximately 35 years; thus period I covers the years 1600 to 1635, period II 1635 to 1670, and period III 1670 to 1705. The material consists of approximately 10,600 examples of declarative main clauses with one or more initial elements other than the subject. This gives the two main patterns XSV and XVS, in which X covers one or more initial elements of different structural types, S is the subject and V the finite verb. The XSV structure is thus non-inverted, while XVS is inverted. However, it should be stressed that only main clauses with an initial non-subject element are examined, consequently this cannot claim to be an exhaustive investigation of *do* periphrasis in the period in question.

The analysis of the material supports the view that there are specific conditions that seem to favour the use of *do*. These may be of a morphological, syntactic, semantic or pragmatic nature. The paper addresses a number of features of this type, most of which have traditionally been regarded as important when trying to account for the use of affirmative declarative *do* in the Early Modern English period. The paper is organized as follows. Section 2 gives an overview of the rate of affirmative declarative *do* in XSV and XVS clauses in 17th-century English. Section 3 discusses the type of verb used in such structures, and a distinction is drawn between transitive and intransitive verbs and between present and past tense forms. In section 4 it is shown that structures containing different types of intensity adverbials or emotional adverbials have high rates of *do*. Finally, section 5 considers the use of *do* in different text types, and this is followed by a brief conclusion in section 6.

2. *Periphrastic* do *in affirmative declarative clauses*

Table 1: Proportion of *do* periphrasis in affirmative declarative clauses: XSV and XVS

	1600–1635		1635–1670		1670–1705	
	do/total	%	*do*/total	%	*do*/total	%
XSV	63/2573	2.4	57/1705	3.3	21/1685	1.2
XVS	45/400	11.3	21/163	12.9	12/255	4.7
XSV+XVS	108/2973	3.6	78/1868	4.2	33/1940	1.7

Table 1 sets out the rate of *do* periphrasis in XSV and XVS structures. The calculation follows Ellegård (1953) in that the frequency of *do* is calculated from all simple verb phrases and periphrastic *do* combined.[1] If the two word orders are considered together, the table shows a slight peak in the use of *do* in the middle of the 17th century, but the difference between periods I and II is not statistically significant. By contrast, the decrease from II to III is highly significant, and also the decrease from I to III, ie from the beginning to the end of the century, is significant.[2] The picture is the same when the two word orders are considered separately: neither order shows

[1] Ellegård (1953:152) gives the following formula for the relative frequency of *do*

$$\text{relative frequency} = p = \frac{00 \times d}{+ s} \%$$

where d = number of *do* forms, and s = number of simple finite full verb forms.

Not everybody agrees with Ellegård's use of simple forms only, eg Frank (1985:12, 14) argues that all verb phrases should be taken into account, complex as well as simple, his hypothesis being that complex verb phrases exercise a pressure towards the use of *do*.

[2] The following p values were found:

period I–II: p = .1726

period II–III: p = .0001

period I–III: p = .0001

any significant difference between the first two periods, while the use of *do* declines significantly towards the end of the century.[3] However, the table shows that throughout the century *do* is considerably more frequent in the XVS than in the XSV order. This is confirmed by the qui-square test, which shows the difference between the two word orders to be highly significant in all three periods ($p = .0001$ for all three).[4] In this respect the present data confirms the results reported in Bækken 1999, which also showed *do* to be more frequent in the XVS than in the XSV order.

An important function of inversion (ie XVS order) in declarative clauses is to change the thematic organisation of the message, thereby shifting the focus to one particular element, often the subject of the sentence, but also other elements may be focused through the use of inversion. This means that the shift of focus provided by the XVS order may have an intensifying or emphatic effect. As shown by Bækken 1998, inversion was still quite frequent around 1600. This is most likely a reflex of the fact that English in earlier periods had some sort of V2 constraint, which means that there was a tendency for the finite verb to occur in second position in declarative main clauses, regardless of the type and complexity of the initial element. It is significant that the majority of the inverted structures with affirmative declarative *do* are instances of Auxiliary (ie partial) inversion as exemplified in [1]–[6]. There are very few instances of complete Verb phrase inversion, a few examples being provided in [7]–[10]. In structures with Auxiliary inversion the use of *do* may be seen as a method of resolving the conflict between the traditional verb-second constraint and the new subject–verb (SV) order: the

[3] The following p values were found:

XSV

period I–II: $p = .0935$

period II–III: $p = .0001$

XVS

period I–II: $p = .5866$

period II–III: $p = 0044$

[4] It should be noted that in period III the expected frequency in the XVS order is 4.

verb-second requirement is satisfied by placing *do* in front of the subject, SV (verb-medial) order by placing the subject in front of the lexical verb. Thus *do* has an important pragmatic function in retaining verb-second order at the same time as it may serve to shift the focus of the structure. Additionally, in structures with transitive verbs, Auxiliary inversion prevents splitting the lexical verb and its object, as attested by examples [2]–[6]. It is a well-known fact that verb–object bonding (VOB)[5] is strong in present-day English, and this constraint appears to have been developing in the course of the Late Middle English and Early Modern English periods (cf Killie 1993:115, note 6).

[1] In this manner did I continue many moneths, (MM 46, 17) (I)[6]

[2] And in the same did Moyses wriyte his fyue books. (RDI 7, 17) (I)

[3] By the same number doth nature divide the circle of the Sea-Starre, (GCY 84, 3) (II)

[4] From Adam did this Tyrant begin his dangerous Reign. (KSM 243, 39) (II)

[5] Then did he repent his inconsiderate Choice, in preferring the momentary Vision of her Face, to a certain Intelligence of her Person, (WCIN 34, 28) (III)

[6] Yet did he in short time wisely appease these Stirs, (LJW 9, 6) (III)

[7] and in the neat and fine keeping of the kiln doth consist much of the housewife's art, (EHW 189, 19) (I)

[8] In such a grove doe walke the little creepers about the head of the burre. (GCY 75, 7) (II)

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[5] The VOB principle is described by Tomlin (1986:73) as follows: 'In general the object of a transitive clause is syntactically and semantically more tightly "bound" to the verb than is the subject of a transitive clause. ... Various independent syntactic, semantic, and even phonological processes appear to conspire to prevent the separation of the object from the verb; and these same processes often permit separation of the subject from the verb in order to maintain the bond between the verb and object'.

[6] The text codes are presented in a separate list at the end of the article. The Roman numerals following the text codes refer to the three periods as described in section 1.

[9] Anno 1607. Aprill the nineteenth, at Saint Ethelburge in Bishops Gate street, did communicate with the rest of the Parishioners these persons Seamen, purposing to goe to sear foure dayes after, for to discouer a Passage by the North Pole to Japan and China. (HHV 567, 21) (I)

[10] And after this manner doth lay the foundation of the circular branches of the Oak, (GCY 84, 10) (II)

3. The verb in affirmative declarative clauses with do periphrasis

3.1 Type of verb

In Ellegård's (1953) material periphrastic *do* was more common with transitive than with intransitive verbs. Ellegård's (1953: 190f) explanation for this state of affairs runs as follows:

> ... when the verb was intransitive, inversion was quite a normal construction. There was thus generally no reason to use do in the function we are studying, and in fact it does not seem to have been so used to any great extent. But when the verb was transitive, inversion was uncommon and getting more so. It was more acceptable when the verb was an auxiliary. Hence the do-construction could fulfil a definite function: when inversion was for some reason resorted to, it was more and more often achieved by means of the do-form.

As shown by table 2, the present material clearly corroborates Ellegård in that there is a higher rate of *do* in structures with transitive than in structures with intransitive verbs. However, in the present material the difference in the proportion of *do* with the two types of verb is statistically significant only in the first part of the century, ie in period I ($p = .0063$), while there is no difference between the two types of verb in the last two periods (II: $p = .6394$; III $p = .1541$).

Table 2: Proportion of *do* periphrasis in affirmative declarative clauses in structures with transitive (trans) and intransitive (intrans) verbs.

	1600–1635		1635–1670		1670–1705	
	do/total	% *do*	*do*/total	% *do*	*do*/total	% *do*
trans	77/1501	5.1	51/902	5.7	24/934	2.6
intrans	31/1070	2.9	27/548	4.9	9/621	1.4
trans+intrans	108/2571	4.2	78/1450	5.4	33/1555	2.1

Tables 3–4 show the proportion of *do* in the two word orders in structures with transitive and intransitive verbs, respectively. As shown by table 3, *do* in structures with transitive verbs occurs most typically in the XVS order, which shows a significant increase of *do* from period I to II ($p = .0384$), while there is no significant difference between periods II and III ($p = .1775$). This means that in structures with transitive verbs there is still a high rate of *do* in period III, ie at the very end of the 17th century. Interestingly, Bækken 1999 reports the rate of *do* at the end of the 17th century to be 26.3%, ie practically the same as the present rate.

In structures with intransitive verbs as presented in table 4, *do* is also more frequent in the XVS order than in XSV, but the increase from period I to II is not significant, whereas the overall decrease from I to III is significant ($p = .0216$).[7]

A comparison between transitive and intransitive verbs shows inverted structures with *do* periphrasis to be considerably more frequent with transitive than with intransitive verbs in all three periods. Unfortunately, a statistical test is applicable only in period I, in which case the difference is highly significant ($p = .0001$), while there are too few examples in the other two periods. However, if the century is treated as a whole, the difference between the two types of verb in the use of *do* in XVS structures is significant ($p = .0001$).

[7] The increase from I to II shows a p value of .3691, while the decrease from II to III is significant ($p = .0027$), but the E value is 4.

Table 3: Proportion of periphrastic *do* in affirmative declarative clauses with transitive verbs: XSV and XVS

	1600–1635		1635–1670		1670–1705	
	do/total	% *do*	*do*/total	% *do*	*do*/total	% *do*
xsv	47/1380	3.4	39/879	4.4	16/904	1.8
xvs	30/121	24.8	12/23	52.2	8/30	26.7
total	77/1501	5.1	51/902	5.7	24/934	2.6

Table 4: Proportion of periphrastic *do* in affirmative declarative clauses with intransitive verbs: XSV and XVS

	1600–1635		1635–1670		1670–1705	
	do/total	% *do*	*do*/total	% *do*	*do*/total	% *do*
xsv	16/864	1.9	18/459	3.9	5/451	1.1
xvs	15/206	7.3	9/89	10.1	4/170	2.4
total	31/1070	2.9	27/548	4.9	9/621	1.4

From a pragmatic point of view *do* will serve to give more weight to the verb regardless of the order of subject and verb and regardless of whether the verb is transitive or intransitive. The wish to increase the weight of the verb may have been particularly urgent in a period when most of the verbal endings were disappearing. Rissanen (1985:164), in discussing the use of affirmative *do* in Early American English, comments on the fact that the addition of *do* lengthens the verb phrase and increases its weight, '[i]t would seem natural that the need to increase the weight of the predicate became acute in late Middle English and Early Modern English when the reduction of verbal endings – notably the loss of the unstressed vowel – produced a large number of monosyllabic verb forms'. In structures with intransitive verbs the verb may appear in absolute clause-final position; in such cases *do* may function as some sort of 'pragmatic tool' inserted to add weight to the final verb as exemplified in [11]–[13]. With transitive verbs *do* may have exactly the same weight-adding effect, but it will not normally serve to achieve end weight due to the presence of a direct object, which most typically occurs post-verbally. Still the pragmatic effect of *do*-insertion may be equally conspicuous in

transitive structures as illustrated by [14]–[17]. Moreover, examples [18]–[19] show that also transitive verbs may occur in final position if the object is fronted, and *do* will then have the same effect as in intransitive structures like [11]–[13].

[11] There Rhetia, and Helvetia doe confine. (CCRB 92, 13) (I)

[12] At the same time, and an age after or more, the inhabitants of the great Atlantis did flourish. (FBNA 204, 2, 37) (I)

[13] And as the Sun returns again to the Northward, so the Southerly Winds do increase (WDVX 5, 32) (III)

[14] Therefore amongst his other fundamental laws of this kingdom he did ordain the interdicts and prohibitions which we have touching entrance of strangers; (FBNA 206, 1, 14) (I)

[15] and for as much as they know of you, you doe deserve a very good Esteem, (LTDO 27, 8) (II)

[16] but then the most Accurate, do make a Circumflex, or this mark ^ over the o, thus; ... (TTE 18, 27) (III)

[17] And which is yet more; divers of their most learned men do confess, that . . . they are gross Idolaters (TIPR 468, 31) (III)

[18] Us He did take; (LASR 3, 22) (I)

[19] His counsel the multitude did easely approoue and follow, (RDI 4, 14) (I)

3.2. The form of the verb

A number of studies have suggested that *do* serves as an inflection-replacer, above all in past tense contexts (eg Dahl 1956, Wischer 2000). The proportion of present and past tense forms in the present material is presented in table 5, which shows that present tense forms dominate in periods I and III, while there is a majority of past tense forms in period II. As there can be little doubt that the tense-indicator function of *do* is particularly important in past time contexts, it may well be significant that period II, which has the highest frequency of *do*, also has the

highest proportion of past tense forms. This may be an indication that at this time *do* was felt as a convenient tense carrier. However, in this particular period one text, *A Trve Jovrnall of the Sally Fleet*, is responsible for 66% of the past tense forms; thus the present result should be treated with some caution. Some further comments on the *Sally Fleet* text are provided in section 5 below.

Table 5: Present and past tense forms: XSV + XVS

	1600–1635		1635–1670		1670–1705	
	no	%	no	%	no	%
present	66	61.1	28	35.9	27	81.8
past	42	38.9	50	64.1	6	18.1
	108		78		33	

The verbs that combine with *did* are most typically either irregular or they end in *t/d*, ie structures in which the tense-indicator function of *do* is particularly important. Examples are provided in [20]–[21]. Such forms account for 57.1% of the verbs in period I and 86% in period II. Among the remaining verbs, there is a predominance of verbs of Romance origin, most of them polysyllabic, as *compare, consider, continue, distinguish, flourish, improve* etc. Some examples are provided in [22]–[24]. In period III, there are only six past tense forms altogether, and it is difficult to discern any clear tendencies; still two of the verbs end in *t/d*, as illustrated by [25]–[26]. Thus it seems clear that the form of the verb may have been of importance for the use/non-use of *do*, in particular in the first two thirds of the 17th century, which is when the use of *do* appears to have reached a peak.

In the present tense, as illustrated by [27]–[28], it is noticeable that quite a few of the forms are marked for the third person, and some also for the second person.[8]

[8] The proportions of second and third person present tense forms are as follows: period I 29/65 = 44.6%; period II 9/28 = 32.1%; period III 9/27 = 33.3%. Most of these are third person singular forms with *doth* dominating in period I, while *does* is the major form in period III.

[20] but out of the hardness of men's hearts did this Invention spring. (KSM 237, 39) (II)

[21] Good Sir Julius Caesar, if you bee remembered, I did send you a note signed with my owne hand (LTEB 33, 6) (I)

[22] The nine and twentieth, in the morning calme, being halfe a league from the shoare, the Sea being smooth, the Needle did encline 84. degrees, (HHV 578, 1) (I)

[23] In this manner did I continue many moneths, (MM 46, 17) (I)

[24] Thus did the Romans distinguish their Two Emperours, Augustus and Tiberius, (KSM 246, 20) (II)

[25] So perfectly did Melora confide in Olimpia, that she made no scruple to rely upon her Conduct, (IHC 16, 11) (III)

[26] Then did he repent his inconsiderate Choice, in preferring the momentary Vision of her Face, to a certain Intelligence of her Person, (WCIN 34, 28) (III)

[27] Heere doth that earnest appetite of the Vnderstanding content it selfe, (CG 74, 27) (I)

[28] Now dost thou rend thine hair, blaspheme thy Creator, (TDWY 1084, 13) (I)

4. Do *combined with adverbs*

As mentioned in section 2 above, the shift of focus in inverted structures may have an intensifying effect. Similarly, the fact that the addition of *do* has a lengthening effect (cf section 3.1), thus giving more weight to the verb phrase, easily leads to intensity or emphasis. No doubt this is closely connected with, perhaps the origin of, the emphatic use of *do* that we know today. Stein (1991) suggests that it was the 17th century which saw the appearance of the so-called 'emphatic' use of *do*, developing parallel with the decline of unstressed *do*. Stein (1991:358) defines three semantic types of *do*, one of which is intensity, which is closely connected with, in his words 'coterminous with', the occurrence of *do* with adverbs and inversion, since adverbs and inversion as well as intensity serve to express emotional attitudes, in Stein's

words 'if intensity is the expression of an emotional attitude, this is also what adverbs (and inversion) achieve' (Stein 1991:359).

The present material contains a number of examples of *do* combined with some sort of intensifying and/or emotional adverbial; examples are provided in [29]–[39]. Of those, [29]–[38] contain intensifying/emotional adverbials inter-verbally; [37]–[38] contain such adverbials initially as well as inter-verbally, while [39] has an initial intensifying/emotional adverbial. Interestingly, the occurrence of intensifying/emotional adverbials in structures with affirmative declarative *do* is a very conspicuous feature of the present material, and this feature seems to deserve to be pursued further.

[29] Out of my weeping pen does the ink mournfully and more bitterly than gall drop on the pale-faced paper, (TDWY 1082, 20) (I)

[30] and thearfore being fullie perswaded of your affection towards mee in such sort that you will never suffer my name to come in question for anie debt contracted by me, I do earnestlie intreate you to cause see these billes payed and discharged as sone ad may bee for my respect, (LTEB 33, 20) (I)

[31] But yf hereafter occation shall happen in this kynde (which I trust God of his goodness will prevent) I doe then assuredlie hope to geve you sutch certayne Notice thereof (WWP 40, 30) (I)

[32] On this lovely creature did a young man so steadfastly fix his eye that her looks kindled in his bosom a desire, (TDWY 1086, 30) (I)

[33] This Bull Bellarmine doth extreamly magnify, (JTSM 18, 4) (II)

[34] But seeing the effects thereof have been so far contrary to my intentions, I doe with all humility beg your Majesty's pardon for the same. (OLSB 292, 6) (II)

[35] Thus hopeing your Worshipp will not bee unmindfull of mee I doe humbly take my leave (OLTS 230, 16) (II)

[36] Yet contrary to this Rule, we do commonly write these words following of a sharp sound, with ow; (TTE 4, 17) (III)

[37] and surely it doth well become them all: (WCDD 277, 32) (I)

[38] Doubtless the good Dean did well know that common dreams are but a senseless paraphrase on our waking thoughts, (LHW 91, 20) (II)

[39] O pain, in vain doest thou attempt me; (JTGG 86, 3) (II)

5.0 Do *in different types of text*

Table 6 shows the frequency of *do* in the four text types distinguished in the corpus, ie 'descriptive prose', 'religious prose', 'letters' and 'history', the latter category including also some geographical descriptions.

Table 6: *Do* in different text types

	1600–1635		1635–1670		1670–1705	
	do/total	% *do*	*do*/total	% *do*	*do*/total	% *do*
'descr prose'*	34/474	7.2	12/394	3.0	10/533	1.9
'rel prose'**	24/683	3.5	14/409	3.4	12/372	3.2
'letters'	16/407	3.9	12/509	2.4	4/362	1.1
'history'	34/1409	2.4	40/556	7.2	7/673	1.0
total	108/2973	3.6	78/1868	4.2	33/1940	1.7

*descr prose = descriptive prose

**rel prose = religious prose

In each of the three periods the table shows considerable differences between some of the text types. A very noticeable feature which emerges from the table is the continuing high frequency of *do* in religious texts as illustrated in [40]–[45]. Religious prose is generally known to be conservative, and it is possible that the use of *do* in affirmative declarative clauses was gradually felt to be an archaic feature in the 17th century, and this may be one reason why it was

retained in this type of text. Moreover, sermons are examples of texts that are prepared with a view to oral delivery, and it has been claimed by eg Rissanen (1985 and 1991) that *do* is a feature of spoken language in Early Modern English. It is thus possible that style may go some way towards explaining the continuing use of *do* in this type of text. A third possibility is that religious language may be more likely to use emphatic structures, and at least some of the examples of *do* in this type of text may well be (early?) instances of emphatic *do*.

A comparison of the present results with the data in Bækken 1999 shows that already in the earliest period in the latter corpus, covering the years 1480-1530, religious prose shows a high rate of *do*, and it is difficult to account for *do* in such an early period as a conservative feature.

A noticeable feature, which does not appear in the table, is the great variation not only between text types but also between individual texts. In period I the highest rate of *do* is found in 'descriptive prose', but the high rate in this category is due above all to two texts, viz Richard Rowland's *A Restitution of Decayed Intelligence* and William Drummond's *A Cypresse Grove*. In period II 'history' is the category with the highest rate of *do*, and again it is due to the extensive use in one particular text, viz *A Trve Jovrnall of the Sally Fleet*, in which 35.1% of all recorded structures contain affirmative declarative *do*. In period III 'religious prose' is responsible for the highest rate of *do*, and in this case two texts by Tillotson feature higher rates than the others.

[40] And after much travel and much pains, when we open our lips to speak of the wonderful works of God, our tongues do falter within our mouths, (RHSR 661, 38) (I)

[41] Therefore doth my Father love me, because I lay down my life, (GOSJ 156, 10, 17) (I)

[42] O pain, in vain doest thou attempt me; (JTGG 86, 3) (II)

[43] From hence do we derive this Monster, This Enemy to Nature and Opposite to God: (KSM 243, 33) (II)

[44] When a stone is placed to be cast away, just in the middle of the sling, then doth the slinger cast it furthest of all. (JBGS 173, 2, 44) (III)

[45] (His Disciples passing through the Corn on the Sabbath Day, and being hungry, pluckt the Ears and did eat;) this our Saviour does justifie to be no Breach of the Law (TIGP 497, 30) (III)

The *Sally Fleet* text, which dates from 1637, is interesting. The text, exemplified in [46]–[51], has a much higher rate of *do* than the other texts in the corpus, and all the examples are in the past tense. The latter fact may not be very surprising since the whole text is recorded in the past. What is more noticeable is that all the verbs that occur with *do* are irregular. There are examples of *come, go, make, see, send, shoot, take,* etc (cf examples). However, the same verbs occur frequently also in structures without *do*, and there is great variation between structures with and without *do*. It is difficult to discern particular factors that may help to explain the use of *do*, but it is possible that there are discourse features that are of importance here.

[46] The 27th of March at three of the clock in the afternoone there did come in a Sally man of warre from Argier with passengers, (SF 5, 7) (II)

[47] and so sayling alongst the Coasts untill the 21 of March in the morning at day-light wee did see the South Cape of Spaine, (SF 3, 12) (II)

[48] and going close aboord the North shore as neere as shee could steere for running ashore, wee and the Antilop did shoot above 100 peeces of Ordnance at that ship, (SF 5, 10) (II)

[49] The 24. day, our boats did take a great boat of theirs. (SF 12, 21) (II)

[50] The next day being the twenty-one of Aprill the Moores in the old towne did hang out a white Flagge (SF 8, 1) (II)

[51] and while the Trench was making, our men did sinke many of their Shippes, (SF 9, 9) (II)

6. *Conclusion*

It is difficult to draw any very definite conclusions on the basis of the present results. Still, I hope to have shown that there was some sort of peak in the use of affirmative declarative *do* in the first decades of the 17th century; still, in specific syntactic structures the use of *do* was retained, at least by some writers, throughout the century and perhaps into the next. However, the material has revealed great variation between individual writers in their use of *do* periphrasis in affirmative declarative structures. As to the features that may have favoured *do*, it is difficult to point to one particular conditioning factor, rather it seems that a number of elements may have been involved, all of them favouring the periphrasis. In some cases the same example may contain several features that would all of them favour *do*. Nevertheless, it seems fairly clear that affirmative declarative *do* was more common in the XVS order than in XSV, and more common with transitive than with intransitive verbs, and above all in structures containing intensifying and/or emotional adverbials. The latter feature in particular appears to warrant further study.

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Text codes

The texts listed here are only those from which the examples have been taken. A full list of the 17th-century texts studied will be found in Bækken (forthcoming).

CCRB (1611)	*Coryat's Crudities.* vol II. 1905. Glasgow: James MacLehose and Sons.
CG (1623)	Drummond, William. *Flowres of Sion to which is adjoyned his Cypresse Grove.* (The English Experience, 590.) 1973: 45-68. Amsterdam: Theatrvm Orbis Terrarvm, Ltd.
EHW (1631)	Markham, Gervase. *The English Housewife.* Edited by Michael R. Best. 1986. Kingston: McGill-Queen's University press.
FBNA (1614-17)	Bacon, Francis. New Atlantis. In *Great Books of the Western World, 30: Francis Bacon.* Edited by R. M. Hutchins. 1952. Chicago: Encyclopædia Britannica.
GCY (1658)	Browne, Sir Thomas. *Urne Buriall and The Garden of Cyrus.* Edited by John Carter. 1958. Cambridge: CUP.
GOSJ (1611)	The Gospel according to St John. Chapters 1-16. No date. London: Eyre & Spottiswoode Limited.
HHV (1625)	Henry Hudson's Voyages. From *Pvrchas His Pilgrimes in Five Bookes.* The Third Part. 1966. Ann Arbor: University Microfilms, Inc.
IHC (1696)	Pix, Mary. *The Inhumane Cardinal.* A Facsimile Reproduction with an Introduction by Constance Clark. 1984: 1-40. Delmar, New York: Sholars' Facsimiles & Reprints.

JBGS (1683) Bunyan, John. The Greatness of the Soul. In *The Complete Works of John Bunyan.* Vol. III. Edited by Henry Stebbing. 1970. New York: Johnson Reprint Corporation.

JTGG (1650s) Taylor, Jeremy. *The Golden Grove.* Edited by Logan Pearsall Smith. MCMXXX. Oxford: Clarendon Press.

JTSM (1638) Taylor, Jeremy. *A Sermon Preached in Saint Maries Church in Oxford. Vpon the Anniversary of the Gunpowder-Treason.* 1971:1-34. Amsterdam: Theatrum Orbis Terrarum Ltd & New York: Da Capo Press.

KSM (1640, 1661-62) King, Henry. *The Sermons of Henry King (1592-1669), Bishop of Chichester.* Edited by Mary Hobbs. 1992. Rutherford: Fairleigh Dickinson University Press.

LASR (1605) Andrewes, Lancelot. *Sermons.* Edited by G. M. Story. 1967. Oxford: Clarendon Press.

LHW (1651) Walton, Izaak. The Life of Sir Henry Wotton. In *Izaak Walton's Lives.* No date. London: Thomas Nelson and Sons Ltd.

LJW (1699) Paule, George. The Life of John Whitgift, Archbishop of Canterbury In the Times of Q. Elizabeth and K. James I. MDCXCIX, pp 1-42. London: Ri. Chiswell.

LTDO (1650s) *The Letters of Dorothy Osborne to William Temple.* Edited by G.C. Moore Smith. 1947. Oxford: Clarendon Press.

LTEB (1612ff) *The Letters of Elizabeth Queen of Bohemia.* Compiled by L.M. Baker. 1953. London: The Bodley Head.

MM (1629) Godwin, Francis. *The Man in the Moone.* Edited by Grant McColley. 1937. Northampton, Mass.: Smith College. Studies in Modern Languages.

OLSB (1635–46)	*Original Letters illustrative of English History.* Edited by Henry Ellis. Second series II, vol. III, pp 282-286, 292-303, 306-313, 316-327. MDCCCXXVII. London: Harding and Lepard
OLTS (1637–45)	*Original Letters illustrative of English History.* Edited by Henry Ellis. Third series, vol. IV. MDCCCXLVI. London: Richard Bentley
RDI (1605)	Rowlands, Richard. *A Restitution of Decayed Intelligence.* (The English Experience, 952.) 1979. Amsterdam: Theatrum Orbis Terrarum, Ltd.
RHSR (1612–13)	*The Works of that Learned and Judicious Divine, Mr. Richard Hooker.* Ed by John Keble. Vol. III. MDCCCXLV, pp 469-481, 643-653, 659-664. Oxford: OUP.
SF (1637)	Dvnton, John. *A Trve Iovrnall of the Sally Fleet.* (The English Experience, 242.) 1970. Amsterdam: Da Capo Press, Theatrvm Orbis Terrarvm Ltd.
TDWY (1603)	Dekker, Thomas. The Wonderfull yeare, 1603. In J. W. Hebel *et al* (eds) *Tudor Poetry and Prose.* 1953. New York: Appleton-Century-Crofts.
TIGP (1688)	Tillotson, John. Instituted Religion not Intended to Undermine Natural. 1976: 495-513. In *Three Restoration Divines: Barrow, South, Tillotson. Selected Sermons.* Vol. II:ii. Edited by Irène Simon. Bibliothèque de la Faculté de Philosophie et Lettres de l'Université de Liège. Paris: Les Belles Lettres.
TIPR (1680)	Tillotson, John. The Protestant Religion Vindicated. 1976: 455-471. In *Three Restoration Divines: Barrow, South, Tillotson. Selected*

	Sermons. Vol. II:ii. Edited by Irène Simon. Bibliothèque de la Faculté de Philosophie et Lettres de l'Université de Liège. Paris: Les Belles Lettres.
TTE (1687)	Care, Henry. *The Tutor to True English.* 1971. Menston: Scolar Press.
WCDD (1622)	Gouge, William. *Of Domesticall Duties.* (The English Experience, 803.) 1976. Amsterdam: Theatrum Orbis Terrarum, Ltd.
WCIN (1691)	Congreve, William. *Incognita.* Edited by H. F. B. Brett-Smith. 1922: 9-61. Oxford: Basil Blackwell.
WDVX (1688?)	Dampier, William. *Voyages and Descriptions.* Vol. II. MDCXCIX. London: James Knapton part III: 1-11, 12-14, 76-88.
WWP (1597–1628)	Wentworth, William & Thomas. *Wentworth Papers 1597-1628.* Edited for the Royal Historical Society by J.P. Cooper. (Camden Fourth Series, volume 12.) 1973: 9-24, 25-35, 38-46. London: The Royal Historical Society.

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Must down: On non-occurring verbs of motion in modern English

GÖRAN KJELLMER

Introduction

The first line of what is perhaps the poet laureate John Masefield's best-known poem, "Sea fever", runs

> I must down to the seas again, to the lonely sea and the sky

It is a memorable line in a fine poem. One of the things that make it memorable is the use of *must down,* a phrase with a somewhat quaint ring to it in modern ears. In present-day English we may expect to find a main verb between the modal and the adverb: "must go down". The non-use of the verb of motion in such a construction is considered "archaic",[1] "virtually dead",[2] "obsolete or archaic",[3] "ungebräuchlich"[4], or at best having "an archaic or dialectal flavour"[5] in modern English. So, does Masefield depart from the norm for modern English in this poem?[6]

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[1]OED

[2]Denison (1993: 11.3.3.1)

[3]Visser (I §178)

[4]*Must* without an infinitive of motion "hält sich bis in den Anfang des 18. Jhs., z.B. *His work is done, the minister must out* (Swift), wird aber dann ungebräuchlich." (Brunner II: 323).

[5]Quirk *et al.* (§8.50 Note [b])

[6]Masefield was born on June 1, 1878, in Ledbury, Herefordshire, England.

Non-occurrence of verb of motion after modals in earlier English

The non-occurrence of a verb of motion as an infinitive after modal verbs is a well-known phenomenon in earlier periods of English. Cf. Mitchell (1985 §1007):

> Examples with 'ellipsis' (non-expression) - or apparent 'ellipsis' - of the infinitive of a verb of motion are common enough in OE. They include *Or* 286.20 . . . *Þæt he nyste hwær he ut sceolde, BlHom*127.8 *is þonne on westan medmycel* ['narrow'] *duru þæt mannes heafod ge þa sculdro magan in, ChronE* 139.20 (1009) . . . *þa hi to scipan woldon,* and *Beo* 754 *no þy ær fram meahte.*

Elizabeth Closs Traugott (1992: 193f.) similarly discusses the Old English modals, or "pre-modals", and says

> All the verbs are used as main verbs. ... In intransitive constructions they frequently occur with a directional expression:
>
> ... þa hi to scipan woldon
> ... when they to ships wanted
> ... when they wanted to go to their ships.

In Middle English there is a good deal of evidence for the same pattern. As Mustanoja (1960: 543) puts it:

> Non-expression [of the infinitive after an auxiliary verb] is quite common when the infinitive is a verb of motion and the direction of the motion is obvious from the context (usually there is an adverb or adverbial phrase indicating the direction). Instances with auxiliary verbs: ... *borewed þing wole hom* (Good Wife 149) ... *Beton þe brewestere ... axed hym ... whiderward he wolde* (PPl. B v 307).

Fischer (1992: 263) mentions "the increasing unwillingness of [Middle English] modals to appear without an infinitive of another verb in series" but quotes examples such as

> And seyde he *moste* unto Itayle, ... (*HF* 187)

In fact, such examples abound. Here is a small sample (taken from the MED):

> Non of his men forðere ne mot But ysaac, is dere childe (*Gen. & Ex.* 1304)
> Forth he moste, this holi man. (*SLeg.Becket* (Hrl): 58)
> þa ferde he into Clunni, & þær man him held þat he ne mihte na east na west (*Peterb. Chron.* an. 1131)
> [He who is not christened ...] ne mæg he into Godes rice. (*Bod. Hom.* 6/2)
> Doune shall the castell euery dele, If eueriche do his entent (*RRose* (Htrn) 5868)
> But ['unless'] þey sone amende, Thay shullen to hell pyne (*Fasc. Mor.* (Rwl) Tag 40 [45] 7)

This usage is carried on into Early Modern English:

> Modal verbs in EModE became restricted to auxiliary function; use as a 'full' verb was continued only with expressions of direction (*you shall along with me*) and with *can* 'know': *lerne no frenssh ne can none* (Görlach 1991: 113 T1/34).

Barber (1976: 258-9) gives the following examples from Shakespeare:

> I *must* to Couentree (*Richard II*)
> I *will* after straight
> And tell him so (*Henry IV Part 1*)
> thou *shalt* not from this groue,
> Till I torment thee for this iniury (*Midsummer Night's Dream*)
> I *will* to morrow
> (And betimes I *will*) to the weyard Sisters (*Macbeth*)

One might add Hamlet's well-known words to his mother, "I must to England. You know that?" So, to sum up, the use of auxiliaries with a directional meaning but without an infinitive of motion was frequent in earlier periods of English; such constructions "are regular idiom in Old, Middle and early Modern English" (Visser I §178). Let us now take a look at other Germanic languages from this point of view.

Non-occurrence of verb of motion after modals in other Gemanic languages

In modern German, the use of a directional auxiliary without a following infinitive is common. Curme (1922: §214) sees it as a case of omission:

> *Omission of the Verb Depending upon the Auxiliary.* This omission is very common, and perhaps the following cases are the most frequent.
>
> 1.*a.* If the dependent verb is **gehen** to go, **reisen** to travel, **fahren** to drive, and verbs of motion in general: **Wohin wollen Sie (gehen)?** Where do you intend to go? **Ich muss nach Koblenz (gehen)** I must go to Coblentz.

The modern Scandinavian languages have the same type of construction. For Norwegian, Faarlund, Lie & Vannebo (1999: 527) suggest that a (non-occurring) infinitive of motion is to be understood:

> De egentlige modalverbene kan også opptre uten etterfølgende hovedverb. De forbindes da med adverbial og spørreord som angir en retning:
>
> Hun skal hjem
> De må til byen
> De bør ut for å se seg omkring
> Han laut i veg
> Han hadde vært redd helt til de satt i båten og skulle til kirke (Wassmo 1992)
> I alle disse setningene kan vi regne med et underforstått bevegelseverb som hovedverb: *Hun skal reise hjem; De må dra til byen* osv.

For Swedish, where the situation is identical in this respect with Norwegian, Teleman, Hellberg & Andersson (1999: 3/470) also see an infinitive of motion as understood:

> Vissa hjälpverb konstrueras direkt med adverbial för mål eller i någon mån med adverbial för utgångspunkt. Ett rörelseverb kan då ses som underförstått efter hjälpverbet. De hjälpverb som konstrueras på detta sätt (eller med partikeladverbial) är framför allt *vilja, måste, skola, hinna:*
>
> Vi ska *till kyrkan.*
> Han måste *till stan.*
> Han vill *på sjön.*
> Vi hann inte *till Systemet.*
> De sjukskrivna måste *i tjänst* snarast. Jag vill *härifrån.*

More generally speaking, "[m]odal + directional adverbial is often used in Germanic languages as if a verb of motion is to be understood." (Denison 1993: 11.3.3.1)

Non-occurrence of verb of motion after modals in regional English

To move on to a different aspect, Quirk *et al.* (1985) suggested that non-use of the infinitive of motion could have a dialectal flavour (above), and Curme (loc. cit.) notes that "[i]n parts of Great Britain and America it is common to say: *I want in, I want out.* " There is thus some indication that the phenomenon has survived from earlier times in the dialects. In fact, this is clearly evident in modern Scots:

While the auxiliary verbs *maun* and *wul* usually precede main verbs, they are sometimes used in the absence of verbs (usually *gae* or *gang*), when the presence of the verb is understood:

> He that wul ti Cupar, maun ti Cupar.
> A wul awa ti the Kirk.
> We maun awa doun the brae!
> A wul ower an see ma Grannie efter ma denner.

> Ye maun up and awa wi the laiverock!
> (Purves 1997: 25-26)

EDD says about *will* (II[5]):

> Used elliptically with the omission of the verb of motion, esp. in phr. *he that will to Cupar maun to Cupar,*

and gives the example

> Sin ye will to Embro', Peter

That this usage in Scots is recognised elsewhere, is suggested by a passage in the Cobuild Corpus (for which see below):

> Gerry has just come back with his two fish, so I'll away now as they say north of the border.
>
> Corpus: ukephem/02. Text: E0000002126

Similar cases can be found in Irish English, as in the following example (where there is no modal auxiliary!):

> I'm away to my bed (Harris 1993: 145)

Non-occurrence of verb of motion after modals in modern standard English

This type of construction (the *must down* type), describable by means of the formula "modal auxiliary followed not by a verb of motion but by an adverbial of direction, where a verb is not naturally supplied by the immediate context[7]", is at all current in the language, regional dialects apart. The corpora I will be using are BNC, the 100-million-word British corpus, and Cobuild Direct, the 57-million-word corpus of British, American and Australian texts.[8]

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[7]This is meant to exclude sentences like "He must go to London, as she must [*go*] to Edinburgh."

[8]BNC examples have their references before the textual matter, Cobuild examples have theirs after it.

There are a number of cases in the corpora that have a modal + "direction indicator" but which are in all probability due to faulty delivery and therefore of little interest in this connexion. Such a case is

> they just took it for granted that I should to to university.
>
> Corpus: ukspok/04. Text: S0000000812.
>
> [*Should to* probably = 'should go']

Other clearly irrelevant cases are those where an adverb of direction has a homonymous verb, as in

> Now, hopefully, the rest of us can up our performances to give us something more to cheer about. I believe we can do it.
>
> Corpus: sunnow/17. Text: N9119980524.
> [*up* = 'raise, increase, improve']

A related phenomenon is that where the modal has what is now best regarded as a homonymous main verb, as in

> CG3 1549 the fight with fancy, as if one could will away one's deepest fear;

A little more relevant are cases in the Cobuild corpus from older texts, chiefly Shakespeare's *Othello*, like

> Good night, Lieutenant. I must to the watch. <f>
> Cassio: <f> Good night, honest Iago.
>
> Corpus: usbooks/09. Text: B9000001423.

But if we disregard the above type of material, there remains a collection of clearly relevant examples. Let us first look at a piece of conversation (from "Birmingham University, SCR, Arts Faculty", according to Cobuild):

> You can see in the middle a flush toilet a W C and on either side a midden priv er not a midden pri a dry-pan privy a big wooden seat with a pan underneath to catch everything and if they were lucky every couple of weeks the muck man'd could along and take it away.

Corpus: ukspok/04. Text: S0000000498.

There are at least two things of linguistic interest here. First, there is no verb between *could* and *along*. Another speaker would perhaps have said "could *come* along" with an infinitive of motion. Secondly, there seem to be two modals in the clause, *'d* (for *would*) and *could*. This is a characteristic feature of Scottish dialects (Miller 1993: 120f., Brown 1991). If the speaker is accurately transcribed, he can therefore be assumed to be Scottish (although he was recorded in Birmingham). Consider next a somewhat longer sample, also from the spoken British component of Cobuild:

> <M06> And then Mexican guy comes up and catches them unawares right. He says I'm going to kill you unless you tell me what colour hat your wearing. None of them know what colour hat they're wearing. ... But <ZF1> who can <ZF0> who can get away every time <F0X> T' fella at the top ... <M06> You're missing the point. And none of them are allowed to commit suicide to let the others get away ... One of them can away every single time

Corpus: ukspok/04. Text: S9000001435.

The discussion concerns the question who can escape from a dangerous situation (in a hypothetical scenario). Speaker <M06> uses the phrase *get away* several times in the exchange, but in the last sentence he says "one of them can away", leaving out the *get*. If we look a little more closely at the passage (and again assume it is accurately transcribed), we shall find evidence of the Yorkshire dialect in it. "Mexican guy" without an article or other determiner in the first line, and "t' fella" halfway down the passage are indications of a Yorkshire origin, thus northern English and no longer Scots.

In most other cases the material does not allow us to identify the origin of the speaker or writer. There are some recurring phrases that have attained a certain degree of fixedness:

> Transient political entities such as Seoul, Hong Kong, Taiwan and Singapore can be segregated for a while from their hinterlands, but not for ever. Politics will out.

Corpus: times/10. Text: N2000960106.

But it's evidence though that even when gays are threatened with the death penalty, gay love and sex will out.

Corpus: ukmags/03. Text: N0000000109.

In these cases *will out* can be interpreted as being equivalent to 'will *come* out', i.e. 'will/must show itself/themselves or become visible'. The collocation occurs with an inanimate subject.

Other recurring phrases are *will/would away* (cf. the "Gerry ..." example on p. 00).

> IN one of A.J. Cronin's Dr Finlay stories, the senior doctor, Dr Cameron, dies with the words: `I'll away now."
>
> Corpus: oznews/01. Text: N5000950319.
>
> AN7 320 "Right then, I'll away back to the hotel and see how those Australians are settling in."

and must away:

> BMN 588 I must away. I will send Erceldoun to you tomorrow.
>
> CCD 601 "I must away," Prince Edward put in gently.
>
> HA4 1144 And I must away to my Green Line bus ...

Nearly all the modal verbs are represented in the corpora in the modal + directional adverbial construction: *can, could, may, must, shall, will, would*, with the reservation, as before, that some of them may be cases of faulty delivery or transcription. Here is one example of each:

> FLY 447 When you have an operation these days that's lasting anything more than just er a couple of minutes or so, they will insert down your windpipe an endotracheal airway, which is a tube that goes down into your windpipe to seal into the windpipe, so if you vomit, for example, no vomit can down round that tube.

FXV 85 Oh yes, the interesting part <-|-> there, in those days, was that the majority of the children were in the same boat, we were all poor and er m-- the Town Council had got this skating ring at Mansfield, roller skating ring, near the Gas Works, where they provided a school meal for all the children that could there during the hour lunch.

Mrs Mandela said in the statement she believed the second dismissal was also `irregular and unconstitutional" and hinted she may to the courts to contest it.

Corpus: oznews/01. Text: N5000950419.

At moments like these, Mechthild brings to mind some of the best blues singers. `I must to God," she insists now and asks, `Do you think that fire must utterly slay my soul?

Corpus: usbooks/09. Text: B9000001110.

It shall to the barber's with your beard [A quote from *Hamlet.*]

Corpus: usbooks/09. Text: B9000001423.

BEARS star Alastair Lynch, Queensland's most famous chronic fatigue syndrome sufferer, was married in a low key ceremony, last week. <p> Lynch and his wife Peta are honeymooning overseas, but he will back for pre-season training next month.

Corpus: oznews/01. Text: N5000951016.

Property sources said AMP made an attractive offer to the department to stay in the centre for fear the Garden City would down without an anchor tenant.

Corpus: oznews/01. Text: N5000950928.

The adverbials are either adverbs (*along, around, away, back, down, further, home, out, outside, there, up*) or prepositional

phrases introduced by *at, between, for, in, on*, and the most frequent of them all, *to*.

Non-occurrence of verb of motion after main verbs

The main focus of this little study has been on constructions where the finite verb is a modal auxiliary. In some cases, however, it can be a main verb. As we saw above, the construction we are interested in was frequent in earlier stages of the language. The reason why this was so is clearly that the class of verbs that we call modal auxiliaries started out as full verbs in early English, only slowly developing into auxiliarihood. It was as natural to say "He must away" as "He goes away", or to say "I must to God" as "I pray to God". The main transitional period was Middle English, but earlier uses of the verbs as full verbs remained in the language for a long time. Against this background it is not surprising that some semi-auxiliary and full verbs that do not ordinarily denote direction can still be used in the same way as the modals in the construction. Chief among them are *help*, *let*[9] and *want*, the first two used transitively. Here are a few examples of *help:*

> Somebody has to tuck in my blouse when it pulls out of my slacks or help me in and out of bed
>
> Corpus: ukbooks/08. Text: B0000001233.
>
> If one falls down, his friend can help him up. But pity the man who falls and has no one to help him up!
>
> Corpus: usbooks/09. Text: B9000001088.

Next come some *let* examples:

> `My life wouldn't be worth living if I didn't let the guys away early."
>
> Corpus: sunnow/17. Text: N9119980604.

[9]"Quite general is the similar usage after *let: Let me in,* (to a conductor of a street-car) *Let me off at 12th Street.*" (Curme 1922: §214)

It was silly; we let them back in the game

Corpus: times/10. Text: N2000960102.

The EBRD's guards would not let him by.

Corpus: ukmags/03. Text: N0000000794.

Don't let me down, please.

Corpus: today/11. Text: N6000940311.

And here are some examples of *want*:

Soon, Ali's son decides he wants down. Ali lowers him to the ground, holding his left hand, and tries to get him to walk.

Corpus: ukmags/03. Text: N0000000054.

Another challenge facing the community is the long line of nations from Northern and Eastern Europe who want in.

Corpus: npr/07. Text: S2000920603.

Too many United players these days look as if they want off the park as soon as things don't go their way

Corpus: sunnow/17. Text: N9119980502.

Gary, a regular customer at the flower shop, says he wants out, although he's not sure where he can go.

Corpus: npr/07. Text: S2000930217.

A related case is mentioned by Quirk *et al.* (1985: §8.50 Note [b]). After discussing the modal + verb of motion construction with an "archaic or dialectal flavour" they add:

But the following is wholly current:

After being treated at the hospital for shock, Mr Toyota was allowed *home*.

The adverbial here is equivalent to *to go home*

In cases such as the ones above, it seems the construction is well established in the language and neither archaic nor dialectal. On the whole, non-expression of the main verb may be less alien to modern English ears than a first impression would suggest.

Independent non-expression or deletion?

A relevant question here is whether cases of non-expression in modern English should be seen as instances of deletion/omission/ellipsis or as non-defective and fully legitimate variants of the more usual constructions with auxiliary + main verb. In connexion with his discussion of the corresponding Old English constructions, Mitchell (1985 §1007) says, "I tend to agree with Visser (i, §178) that 'to call this idiom elliptical, as OED does, is misleading'." Cf. also Denison (1993: 11.3.3.1), quoted above: "Modal + directional adverb is often used in Germanic languages *as if* a verb of motion is to be understood." (My emphasis.) As is usual in such cases, the issue can be regarded in two different ways. From a historical point of view, there is every reason to see the modern phenomenon as a direct continuation of the Old and Middle English construction. In the same way as it is reasonable to look upon Old English *hie woldon nor•weardes ofer Temese* 'they wished to go north across the Thames' as grammatically independent of a synonymous *hie woldon ferian nor•weardes ofer Temese*, it should be possible and reasonable to look upon modern English *I will away* as independent of *I will go away.* On the other hand, for the vast majority of speakers with little or no knowledge of earlier forms of English, the full type with a verb of motion is the expected and unmarked one, and the type with non-expression is less familiar and therefore tends to be regarded as a variant, with ellipsis of the main verb, of the more familiar one.

It might be added that there is a related but clearly different phenomenon in English which will not be dealt with here,[10] viz. the tendency to do without auxiliaries, including infinitives, in perfective constructions, again a phenomenon with roots in the past and with possible manifestations in the modern language.

[10]See Kjellmer (forthcoming).

Conclusions

The conclusions that may be drawn from the material presented here are, first, that directional verb phrases without a verb of motion were frequent in earlier periods of English as they still are in other modern Germanic languages. Even today they are well established in certain collocations in standard English. Secondly, they lead an active life in the dialects, particularly Scots, outside of regimented collocations. And thirdly, these freer variants can also be said to have a sort of potential existence in the standard language, perhaps tinged with a whiff of regionalism or archaism, and liable to be called into service at a moment's notice. John Masefield can hardly be said to depart from the norm for modern English in his poem; his use of the construction is effective but far from unique.

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RP as sociolinguistic object[1]

ANNE H. FABRICIUS

Introduction

> From these sprightly observations, offered by [Daniel] Jones at the age of 74, recording ways in which his own pronunciation no longer constituted a suitable model, I think we can conclude that were he still alive today, a further 35 years on, he would warmly welcome our attempts to continue the modernization of RP. (Wells 1990b: 8)

In the linguistic literature there are many descriptions of the phonological and phonetic characteristics of Received Pronunciation or RP. There is however one influential sociolinguistic paradigm, the field of descriptive or Labovian sociolinguistics, also known as Language Variation and Change (Chambers, Trudgill and Schilling-Estes 2001), or as Accent Studies (Foulkes and Docherty 1999: 4) where RP tends to be somewhat neglected. The discipline is largely concentrated on the study of non-standard varieties (see e.g. the collection in Foulkes and Docherty 1999), as must befit a modern dialectological discipline essentially concerned with linguistic diversity.

One of the aims of this paper, then, is to advance the case that RP has a place within descriptive sociolinguistics. In addition, by exploring the current and changing status of Received

[1] This paper is based on a guest lecture delivered at the University of York and the University of Leeds in February/March 2002. I am grateful to the audiences on both occasions for generously providing comments and encouragement. I also thank Bent Preisler for helpful comments on an earlier draft of this article.

Pronunciation in the wider sociolinguistic landscape of Britain, the discussion will highlight several ways in which sociolinguistic and linguistic studies of RP can mutually enrich each other.

First, since it is obviously true that RP speakers are just as much a part of the British speech community as everyone else, the social characteristics and linguistic features displayed by these speakers provide a basis for empirical study (section 2 below). Secondly, an important theoretical distinction between two types of RP, here labelled native-RP and construct-RP will be presented, as it enables us to identify the object of sociolinguistic study more clearly (section 3). Thirdly, the discussion focuses on the status of the RP variety within the British linguistic scene as a whole, which has shifted considerably in recent years. Trudgill (2001:176) for example goes so far as to claim that

> In many sections of British society, some of the strongest sanctions are exercised against people who are perceived as being 'posh' and 'snobbish'.

Windsor Lewis also writes that (1985: 255)

> "the problem [of accent prejudice] is evaporating. The present younger generation are less and less in sympathy with the attitudes that sustained it."

These currents of opinion have had a profound effect on the earlier hegemony of the RP accent within England, as witnessed by changes in the BBC's broadcasting practices, for example (Trudgill 2001:176). A case study of attitudinal change in Denmark will be presented here, as an example of future directions that sociolinguistic work could take (sections 4 and 5). Fourthly, phonetic changes such as t-glottalling, l-vocalisation, and various vowel shifts are currently being documented among RP speakers (see e.g. Wells 1990b, 1994, 1997, Trudgill 2001, Fabricius 2000). These changes are often characterised as Estuary English (Rosewarne 1984, 1994, Wells 1998) or as modern RP (Trudgill 2001, Fabricius 2000) and sociological distinctions can help to separate these two concepts (section 5). Finally, the pedagogical

status of RP is a topic of current debate, and sociolinguistic considerations can also make a contribution here (section 6).

1. Social class and sociolinguistics

One of the most influential textbooks in quantitative sociolinguistics, Chambers (1995:37), in discussing the relevance of different social classes to sociolinguistic theorising, states:

> The "upper class," consisting of people with inherited wealth and privileges, is so inconsequential – nonexistent outside Europe and Asia and dwindling rapidly there - that it will not be considered here.

Schneider's (1999:51) review of Chambers takes up this point, but argues that, from within the field of sociolinguistics:

> we are less well-informed about [upper-class] speech patterns, attitudes, and model character, and although it may be true that for sociolinguistic purposes they are rather irrelevant, that still does not imply non-existence, - for sociolinguistic modelling, a continuum of which one pole just does not exist, would not be very convincing.

I would take Schneider's point as well-made (although I would not entirely agree that the upper class is always 'rather irrelevant' in sociolinguistic terms). Many sociolinguistic surveys of the Labovian type stop at the middle class, and, indeed, as Macaulay (2002: 398) points out, social class has to some extent been sidelined compared to ethnicity, social networks and gender as important sociolinguistic categories. Kroch's (1995) investigation of the upper-class of Philadelphia is almost alone in the literature. This is not to imply that writers of pronunciation dictionaries of RP do not take the speech community into account. That is patently not true: Wells' (1999) internet-based pronunciation survey is an excellent case in point . The modest claim put forward here is simply that quantitative sociolinguistics can (and should) accommodate RP as one of the varieties of English which can be observed sociolinguistically.

2. *Native RP versus Construct RP*

In saying, "let's observe RP sociolinguistically", one immediately runs into some barriers. One of them is the fact that BBC recordings of the 1950s sound so archaic. This leads many (especially journalists) to say 'no-one speaks RP anymore'.[2] This, I would maintain, is a categorical way of looking at things, following Chambers' (1995:25) formulation of the ultimately Chomskyan "axiom of categoricity", the idea that all linguistic units are invariant, discrete and qualitative, leading to the idea that we can formulate a description of RP which will tie down that object forever. However, as the development of sociolinguistics and the concept of the variable has shown us, language in a sociolinguistic perspective is variant, continuous, and quantitative; see also Hudson (1996:20-69). RP changes in form and in status, and this is an object of study in itself, and unltimately relevant to, among other areas, foreign language pedagogy (see section 6).

The next barrier to breach is the inherent ambiguity of the term RP itself. Fabricius (2000, 2002) introduces the terms native-RP (or n-RP) and construct-RP (or c-RP) to try to resolve the ambiguity.[3] The former is an object for sociolinguistic observation, derived by examination of speech data from a sample of the community. In line with sociolinguistic practice, the community members are crucially identified using educational and social class backgrounds, in order to avoid the circularity involved in using linguistic criteria. Construct-RP, on the other hand, is an idealised phenomenon involving (perhaps multiplex) notions of correctness and 'norms of pronunciation'. C-RP has been codified many times, with some variability, as can be seen from disagreements between the LPD (Wells 1990, 2000) and the 15th edition of the EPD (Roach and Hartmann 1997), see Cruttenden (1997). The term RP as it is usually used encompasses both n-RP and c-RP. If this ambiguity is resolved by using two separate terms, then, alongside the idea that language is

[2] See for example the press coverage of Harrington et al. (2000). The Guardian furnished their report with a somewhat hysterical byline "Special report: the future of the monarchy".

[6] The naming of this distinction evolved from discussions with John Wells in 1997.

variable, we have the possibility of examining both kinds of RP as sociolinguistic objects. When we talk about 'changes in RP', then, we are talking about two related, but separate, processes: change in n-RP or change in c-RP. The former is change in speech or pronunciation production by successive generations, while the latter represents changes in language norms, in notions of correctness, and even in language attitudes more generally over time. Clearly the two processes of change are related, but must be considered separately. Thus, since native-RP relies essentially on the speech of a group of people, we can observe continuity as well as change over generations of RP speakers' productions. The forces of linguistic change which act on all varieties of a language also apply to n-RP, whether internally-motivated endogenous or contact-induced exogenous changes (Trudgill 1999). Popular or folk-linguistic notions of, and about, correctness or standardness also undergo change, due to societal developments, and these changes belong to the arena of developments in c-RP. In addition, in recognition of the variability of n-RP and c-RP described in detail by Cruttenden (2001) and Wells (1982), perhaps it would be more appropriate to refer to native and construct RPs in the plural.

3. Studying changing language attitudes

While observation of the community of RP speakers will shed light on linguistic changes in progress, changes in language attitudes are usually investigated using techniques and evaluation measures which have been developed and refined since the paradigm led by Howard Giles in the UK in the 1970s (see Giles and Coupland 1991:32-59, Ryan and Giles 1982, Giles et al. 1990). The evaluations which commonly applied to RP speakers in the research carried out in the 1970s and 1980s can be characterised as a combination of high status and low sociability. This traditional division was between Competence or Status on the one hand (characterised in such traits as being *gifted, ambitious, efficient, independent* and Sociability or Solidarity on the other (characterised in terms of being *pleasant, trustworthy, interesting, straightforward).* This was the contrast employed in research car-

ried out on the distinctions between standard and non-standard varieties. Kristiansen (2001), however, discusses research carried out in a regional centre in Denmark (Næstved, a town located on the island of Zealand, some eighty km from the capital Copenhagen) He investigated adolescent attitudinal reactions to a variety of Copenhagen accents, ranging in social status from High status ('posh') through two Moderate accents (Moderate high and Moderate low) to a distinct Low Copenhagen (working class) voice. The results indicate that the adolescent reactions did not use the traditional Status/Solidarity distinction, but rather a cross-cutting distinction which combines the traits in different ways. This division Kristiansen characterises as Superiority (being seen as *gifted, ambitious, pleasant, trustworthy)* versus Dynamism (being seen as *efficient, independent, interesting, straightforward).* That these should be the relevant distinctive parameters became particularly apparent after a repeat of the initial data collection in 1989, conducted by Kristiansen nine years later in 1998. The following diagram shows the average scores allocated to the different voices in different years, where the lowest scores are the most positive. The numbers refer to the different Copenhagen speech samples as follows: 5= HIGH, 2= MODERATE HIGH, 6 = MODERATE LOW, 3=LOW.

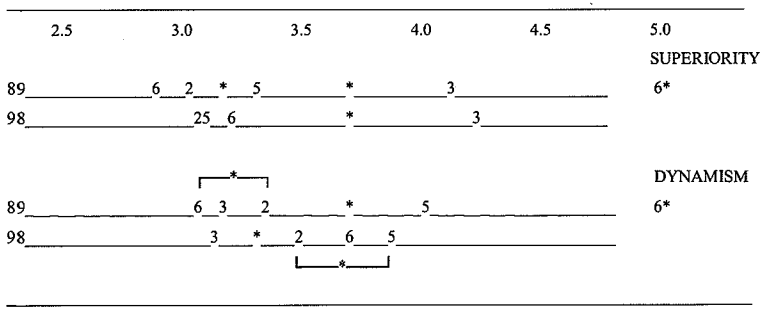

*Figure 6 from Kristiansen (2001:21). Speaker evaluations, 1989 and 1998, Superiority and Dynamism. (Ns =56 and 61); *=p <0.05; 1= positive, 7= negative.*

The important developments here can be seen, firstly, in the changes in evaluations according to superiority, where the highest status voice, 5, from 1989 to 1998 comes to be included in the

group having the highest status, alongside the two moderate voices. The Low Copenhagen voice is still downgraded in terms of superiority. However, on the other dimension, the change from 1989 to 1998 involves an isolation of the Low Copenhagen voice as the most positively rated voice of Dynamism. On this basis, Kristiansen argues that (2001:18)

> The Competence versus Sociability (or Status versus Solidarity) distinction has been derived from research into people's attitudes towards standard versus non-standard speech. So if this distinction is of no importance to young Naestveders as they relate to differently accented 'low' and 'high' Copenhagen speech, *it is simply because the whole range of Copenhagen speech variation is standard Danish to them* [emphasis added].

Furthermore, these results are interpreted as indicating a split in the notion of 'standard', so that appropriateness and positive evaluation are now being linked to specific contexts. Kristiansen claims that Danish adolescents are responding to changes in society, such that two standards can be seen to be operating. Kristiansen characterises the split thus (2001: 21f):

> On the one hand, we have the public domain of education and business, and on the other the public domain of the modern spoken media. There is quite a difference between these domains in the kind of social status and prestige they offer. I do believe that the representation of 'excellence' in terms of Superiority is a time-honoured creation of the school and the business world. This is where 'excellence' means to be *gifted, ambitious, nice, and trustworthy.* ...the representation of 'excellence' in terms of Dynamism, on the other hand, is a relatively new creation of the media world...where making a great career means being fast-talking, relaxed and confident. In the world of studio hosts, 'excellence' means to be *efficient, independent, interesting and straightforward.*

As Kristiansen points out, this media world in Denmark is dominated by Low Copenhagen voices. The idea of the media as a channel for new areas of acceptance for different (and previously stigmatised) varieties of a language certainly strikes a chord with the situation in Britain where an expanded media landscape has proven to be open to many types of British regional accents, and especially London-flavoured ones, both on the BBC and commercial channels. Perhaps we can find empirical evidence for John Morrish's claim in the *Independent on Sunday*, (22 March 1999):

> Once, people aspired to be posh: it was the voice of the people in power – in the law, in the City, in the Establishment. Now there are plenty of people who would be ashamed to speak like that. A posh voice is seen as naff and unfashionable.

It remains to be seen whether younger generations do indeed judge RP and regional accents differently from previous generations in the 1970s, and whether new combinations of characteristics prove to be salient, as in the Danish context.

4. Current linguistic and attitudinal changes

As far as changes in native RPs are concerned, Wells (1982:106) predicted the direction and impetus of this change when he wrote "Mainstream RP is now the subject of imminent invasion by trends spreading from working-class urban speech, particularly that of London". The linguistic changes currently evident in the English speech community, and in younger RP speakers, include: t-glottalling (Fabricius 2000, 2002), happY-tensing (Fabricius 2001b), l-vocalisation (Torgersen 1997), r-fronting/labialisation (Foulkes and Docherty 2000), and fronting and unrounding of FOOT and GOOSE vowels (Torgersen 1997). For further overviews, see also Wells (1994, 1997) and Foulkes and Docherty (1999). There is presently a large amount of ongoing work focussed on the characteristics and trajectories of these changes within different social class groups in England and the rest of the UK, and as this paper suggests, the upper middle class and upper class are also rele-

vant social groups in this context. This brings us to the discussion of the term Estuary English and how it differs from RP. To avoid circularity in identifying EE (and RP speakers) we take a social class identification as basic, in accordance with the discussion of native-RP above. Trudgill (2001) represents the sociolinguistic consensus, that Estuary English is essentially a lower-middle class accent, not an upper middle class or upper-class accent. The present sociolinguistic consensus, as expressed by Trudgill (2001:178), is that:

> the label actually refers to the lower middle-class accents of the Home Counties which surround London: Essex and Kent, which do border on the Thames Estuary, but also parts or all of Surrey, Berkshire, Buckinghamshire, and Hertfordshire

In other words, the social and educational backgrounds of EE speakers will be significantly different from the upper-middle class and upper-class individuals who are the modern generation of RP speakers. Despite increased social mobility in Britain since World War II, Britain remains a class-differentiated society (argued forcefully in Adonis and Pollard 1997).

As regards changes in construct-RPs, these can be investigated from many angles. An overarching theme to pursue in this regard would be the linguistic effects of the societal-wide movement from modernity to late modernity (Giddens 1994), a movement which Coupland (2000: 632) describes thus:

> Traditional social structures of class, sex and age-based distinction are weakening, and it is largely those structures that fostered hegemonic ideologies of language 'standardness'.

Coupland hastens to add that this does not entail that "linguistic prescriptivism and prejudice will 'naturally' recede" (2000:633), but, in his opinion, the Standard English ideology of institutions such as schools and universities may find itself in competition with a vastly widened media landscape where "we will see new patterns of standardisation, new elites, and new forms of stigmatisation" (ibid).

Coupland sees this weakening as part of a larger set of "welcome centrifugal tendencies" (2000: 633) which will open society up, increasing the possibility that a wider range of styles and varieties of speech will become acceptable in old and new domains of influence and prestige, and perhaps, in the process, deconstruct the notion of 'acceptability', so that it becomes diffuse. This should certainly be part of a future research agenda as far as RP is concerned.

These centrifugal processes can be seen at work at a micro-level in the following examples. The first consists of two spontaneous comments from an interview recorded in 1998, which give some instances of normative behaviour and a clash between generations as to notions of correctness or appropriateness:

> I: um did your mother and father ever talk about um the way that you spoke as a child
>
> R: yes... not so much me as the other two [younger siblings] cause the other two used to glottally stop all the time so they'd go 'wha"[wɒʔ] and my mother'd go 'what' [wɒt'] like this

In this excerpt, the interviewee reports on and demonstrates her mother's correction of the glottalled pronunciation of 'what', presenting her mother as using the ejective [t'] (interestingly, not aspirated [t^h]) as the normative model. The mother is of course here following the societal condemnation of glottalled /t/ which has been much reported in the media in Britain (Foulkes and Docherty 1999: 11). However, the interviewee then reports on her own reactions to aspects of her mother's pronunciation, which she feels is overly 'posh' and too reminiscent of 1950s BBC pronunciation:

> R: there's sort of a slight backlash going on at the moment my mother says 'yer' she says like he's twenty-three years [jɜːz] old and it's like "No, mother, 'year'" [jɪ̟ə̟]
>
> I: so you're correcting her

> R: trying to sort of slightly bring this back down to not quite so much like 50's BBC television presenters sort of Morecambe (...)

Note that the interviewer's comment "so you're correcting her" isn't accepted by the speaker as a gloss of what the daughter is doing here. Rather, the process is characterised as "bringing this back down", from a place which is in some sense too 'high', and thus, I would venture, too 'posh', or too 'snobby'. This type of anecdotal evidence, elicited in interview situations where the focus is on language attitudes, can give valuable micro-level insights into changes in norms and normative behaviour.

Another type of anecdotal evidence which concerns the sociolinguistic place of RP is to be found on a more society-wide level. This consists of the kind of journalism on linguistic topics which crops up regularly in the media. While such journalists' grasp of linguistics can vary widely, this does not mean that such articles should necessarily be dismissed out of hand by professional linguists. As texts they can be quite revealing of mainstream (and minority) attitudes to language, and thus useful as indicators of the flow of public opinion. I shall discuss just one example here: a feature article by India Knight in the *Sunday Times*, 11 November 2001, available online on the Estuary English page at http://www.phon.ucl.ac.uk/educres.htm. Knight's essay was spurred by the Glaswegian Speaker of the House of Commons, Michael Martin's sacking of his secretary, Charlotte Every, 38, on the grounds that her accent 'got on his nerves'. Ms Every, as a speaker of RP, was characterised as speaking like a 'Sloane Ranger' (the 1980's term for what could be characterised as *advanced RP* in Gimson's terms).

On the basis of this, Knight claims that "political correctness has sprung to the rescue of every single kind of accent", except her own, that people will "laugh like drains at the absurdity of public school voices", while regional accents are defended, she claims, on the grounds that "it's terribly important to maintain this kind of regional linguistic diversity". This 'inverted snobbery', according to Knight, has led (advanced) RP speakers to adopt a habit of

"drop[ping] the accent a notch or three" in certain circumstances, mainly because "speaking properly is more trouble than it's worth". She then lists a series of assumptions which are made when people hear an RP accent:

> you are immediately viewed with hostile suspicion, the implication being you are probably some ghastly plummy nob, your very existence confirming the fact that there are still people who sneer down their long, well-bred noses at the plebs. You are also viewed with defensiveness (despite what we're constantly being told about classless societies, the vast majority of people in Britain are desperately chippy) and with mistrust (see Nasty Nick in Big Brother: private education makes you too clever by half, and also sneaky).

These character traits, cleverness, snobbishness, lack of social skills and untrustworthiness, are immediately reminiscent of typical responses to RP accents in language attitude studies in the 1970s and 1980s (section 4 above). For India Knight, these reactions are "moronic in their predictability", with the result that:

> we Sloane-speakers have become a fraudulent, beleaguered minority, pretending to be something we are not every time we open our mouths...To the rest of the world, though, we are the proud(ish) possessors of the only accent in Britain that is still an albatross.

India Knight, however, is not the only RP speaker to feel put upon in this way. Boris Johnson, an Old Etonian and one-time editor of the Spectator, now a Conservative MP, claimed in 1999 that he had been sacked as a presenter on BBC Radio 4's "The Week in Westminster" because of his accent, which he claimed the radio station deemed to be too 'plummy'. BBC Radio 4 denied that accent had been the factor involved, but the author of the report of this on the BBC website[4] nonetheless consulted Gregory de Polnay, head of

[4] See http://news.bbc.co.uk/hi/english/uk/newsid_468000/468895.stm

voice at the London Academy of Music and Dramatic Art, who offered suggestions as to how to make Boris Johnson's voice more acceptable for radio. These suggestions are framed as a fact box on the side of the page headed "Top tips to become less 'plummy'". Ludicrous as this type of 'pseudo-phonetics' is to linguists,[5] it would not be possible as a piece of journalistic writing unless being 'too plummy' as a concept somehow struck a chord in the public consciousness. That this type of advice should at all be deemed necessary and newsworthy surely indicates a different attitudinal 'place' for such accents nowadays, far removed from the deference accorded to BBC pronunciation of the 1950s and 1960s (for discussion of the Boris Johnson case, see also Freitag and Christiansen, 2001.)[6]

5. Pedagogical considerations

As mentioned in the introduction, one motivation for looking at RP sociolinguistically is also pedagogical. In Denmark, where I work, English is currently taught to children in schools from the age of 10 (the present government has a policy of lowering this to age 9). Children as young as five or six hear enough English pop lyrics to be interested in trying to imitate them as they sing the latest hits. Most Danish children acquire considerable English during their school careers.[7] By the time Danish university students of English are in their early twenties, they have had many years of exposure to English in several varieties, through many media such as films, cable TV, and the internet, as well as through personal contact, for example while travelling, studying or working

[5] These 'top tips' include the little gem: 'Get your breathing right' -- as though what's wrong with advanced RP speakers is that they simply go around breathing wrongly!

[6] A similar reaction was evident in the Guardian's report of Harrington et al. (2000) acoustic phonetic research on the Queen's Christmas Speeches; see "The Queen's English of today: My 'usband and I" by Tim Radford and the same edition's leader comment at http://www.phon.ucl.ac.uk/home/estuary/home

[7] There are exceptions to this picture, however, as Preisler (1999) shows, in the case of the circa 20% of the Danish population that he classes as 'English have-nots'(*de engelsksvage*). The majority of this group are aged between 50-75; but approximately 10% of them are under 45 years of age.

abroad. Their task in a university language programme, as I see it, is twofold. First, they have to systematise and develop this experience, and thereby attain a competence in English which is internationally useful as a means of communication. Secondly, they become linguists themselves, able to work with linguistic concepts, since their professional life in future careers as language teachers or language consultants will require the ability to reflect on language usage and explain it to others.

For foreign language pedagogy then, one can ask, is there a case for choosing one specific variety as a model, and if so, on what criteria should the choice be made? For many years the (implicitly British) 'standard' answer was the only one; this is not so any longer. Alongside the proliferation of publications on national standard varieties (such as Australian English) we see now the emergence of concepts such as 'common core English', and EIL, 'English as an international language' (Modiano 1999a, b) which have come to the fore (see also the discussion in Preisler 1995), as well as a lingua franca core phonology for English (Jenkins 2000). The ever-relevant question can be framed as "what model of English serves the interests of our students best?"; the phrase 'our students' is crucial here, since I would argue that teachers in each different institutional setting need to take this question seriously. For the sociolinguistically-oriented approach I am advocating here, I would claim that it would be valuable and interesting for advanced EFL students to learn about the real-world diversity that is "out there" (see also Modiano's (1999b) advocacy of descriptive approaches to EIL). This would mean including in the syllabus not only examples of formal phonological, morphological, and syntactic variation, which is interesting as a reflection of the multiplicity of Englishes in the world. It would also mean including diversity in notions of standardness and correctness, as well as the concept of language attitudes in general, specifically the ongoing attitudinal shifts that affect different varieties in different speech communities.

We then face the problem that the global nature of English can make this a huge and daunting subject area for foreign students of English to grasp in the few short years of their degree. Their main task, after all, is to establish a competence in English which suits their life situation. This specific 'relevance to life situation' criterion

means that different answers to the question can be found in different countries and institutional settings (I see this as related to Modiano's concept of *accountability*; see Modiano 1999a:26). For Danish students, their professional future in Denmark will largely involve using English in contexts that demand competence in an internationally comprehensible variety. As Preisler (1995) argues, a variety which has the status of standard probably suits their purposes best. Because competence in a language also encompasses cultural competence, the socio-cultural aspects of the standard variety can be (and, I would argue, should be) brought into the syllabus as well.

In the case of pronunciation teaching, one approach to teaching the explicit RP model is to treat this accent as a sociologically and ethnographically contingent phenomenon. RP arose and became a standard accent under a particular set of circumstances in the 19th century (see Mugglestone 1995 for a very good historical survey), and it has been moving and changing ever since. It remains a part of the sociolinguistic entity that is the British speech community, and its position in that community is undergoing interesting changes at the moment, both in terms of the forms of RP and in terms of its place in the speech community, as has been discussed earlier in this paper.

6. Conclusion

This paper is an attempt to make a case for the ongoing relevance of RP (both native and construct RP) to sociolinguistic investigations of ongoing variation and change in British English, and to various allied disciplines, including language attitudes study and foreign language pedagogy. Having made the case for 'RP as sociolinguistic object', one can note that language attitudes methodology especially remains a fruitful one for future researchers to take up. Recent examples of this type of research within the UK include a large scale project investigating adult and young people's 'responses' to Welsh and younger RP voices in Wales (see Garrett, Coupland and Williams forthcoming and the references therein). Haenni (1999) is a study of a sample of British residents' levels of recognition of and attitudes towards Estuary English. Wales (2000) examines the

North/South divide in England. Chia and Brown (2002) is a discussion of Singaporean reactions to Estuary English. Identifying the voice or voices of dynamism in a changed (and changing) society and media landscape is a project which can give tantalising insights into potential future developments on the linguistic front.

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Den levende fonograf: Nordmændenes Professor Higgins

By Arne Juul. University of Southern Denmark Studies in Linguistics vol. 14. Rask Supplement Vol. 13. Syddansk Universitetsforlag. 2002. 170 pp.

English was taught at the University of Oslo from the early 1820s, but did not become an academic discipline proper until fifty years later, when Johan Storm was appointed Professor of English and Romance Languages. Johan Storm was a man of quite extraordinary abilities. He produced scholarly work of high standard in various disciplines: phonetics, Norwegian dialectology, English language, French syntax – and also 'applied linguistics', if I may be allowed to use the term somewhat anachronistically. Storm came to be regarded as one of the leading authorities on English language in Europe in the second half of the 19th century, and scholars from several countries turned to him for advice and to 'pick his brains'. But not only was Storm a fine scholar, he was also a superb linguist – in the sense 'skilled in foreign languages'. His command of English was virtually flawless.

A biography of Johan Storm is long overdue, but until now none has been written. This year, however, will probably see the publication of two biographies of Johan Storm, neither of which written by a Norwegian. One of these has already been published, viz. Arne Juul's *Den levende fonograf: Nordmændenes Professor Higgins*. Arne Juul is a Danish scholar, who has published a number of books and articles on Modern English language, the teaching of foreign languages, and in recent years also on the history of English Studies. The book under review here is an expanded version of an article published in *Uddannelseshistorie 1999*. 33. årbog fra Selskabet for Dansk Skolehistorie (Odense) in 1999. In the

course of 14 short chapters Juul gives a fascinating picture of Johan Storm – not a full-length picture, rather a portrait, inasmuch as Juul limits himself to certain aspects of Storm's life and career. (One reason for that is Juul's awareness that a full-scale biography of Storm is expected in the autumn of 2002.) For one thing Juul is mainly concerned with Storm's work on English and pays less attention to Storm's achievements in other fields. Secondly, Juul has (naturally enough) chosen to concentrate large parts of his discussion on Storm's relations with Danish scholars, notably Vilhelm Thomsen, with whom Storm developed a warm friendship, and Otto Jespersen, whose relations with Storm were somewhat strained at times, but who nevertheless received important impulses from Storm, not least at the crucial moment in Jespersen's life when he gave up his law studies and turned to philology. Indeed there is reason to believe that if it had not been for Storm's influence Jespersen would have steered clear of English and concentrated on French. Three of the chapters in the book are specifically devoted to the relations between Storm and his Danish colleagues.

The longest chapter in the book is concerned with Storm's *opus magnum* in English, his *Englische Philologie*, which receives a thorough discussion. Interesting light is shed not only on the results of Storm's research but also on his methods. And his pioneering work on the spoken English of the day, including 'the vulgar language' is given due notice. Other topics dealt with by Juul are Storm's thoughts about university teaching, his ideas about how to improve the teaching of foreign languages in the schools, and in that connection his relations with the so-called 'Reform Movement'. It is quite clear that Storm's influence on the Reform Movement has been underestimated. Chapter 9 deals with Storm's impressive practical command of English and other foreign languages, about which one of Storm's contemporaries, the French linguist Paul Passy, has this to say:

> Professor J. Storm, of Christiania, is probably the greatest practical linguist, as also the greatest phonetician, in the world. He speaks English *quite* like a native, Italian, French and German very nearly as well ...

And Henry Sweet is of the same opinion:

> His pronunciation of English and command of its idiom is so perfect that an ordinary observer might converse with him for hours without suspecting him to be a foreigner.

Chapter 10 touches on Storm's abilities as a lecturer (this seems to have been a less strong point with him) and brief mention is made of two of Storm's pupils, viz. August Western and Hans Edvard Torkildsen, while chapter 11 discusses Storm's familiarity with and use – or rather non-use – of the phonograph. It is somewhat surprising that both Storm and Jespersen, who were both familiar with the existence of the phonograph and obviously realised its great potentialities, made so little use of it in their work.

Juul's book bears eloquent witness to the author's great scholarly abilities. His flair for digging out relevant source material is little short of amazing. The book contains a Bibliography which covers 16 ½ pages out of a total of 170. There is also an Index of names. Finally it should be mentioned that the book is lavishly and beautifully illustrated, which makes it a treat to look at in addition to being a pleasure to read.

Arthur O. Sandved

University of Oslo

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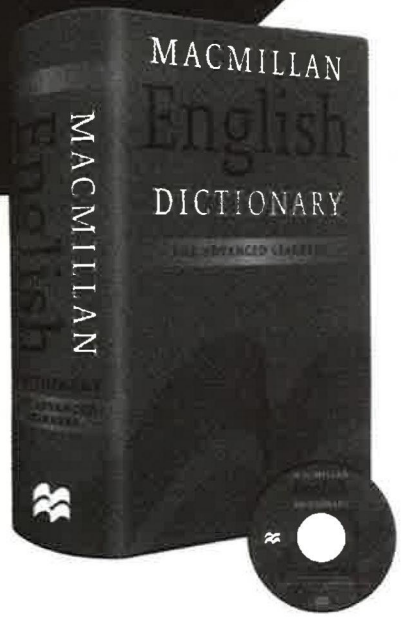

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