# VIEW[z]

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*Dear – and faithful – readers,*

*as you know well, VIEWS has always tended to keep a low profile, so we are not making a big fuss about it, but we do have something to celebrate. Believe it or not, the issue you are holding in your hands marks the tenth anniversary of Vienna English Working Papers. Although it does fill us with a certain pride to have reached this age, we also know that we owe this largely to you, dear readers/contributors/sponsors. For ten years you have continued to feed us with input, responses and financial support, and thus let us know that we are part of a larger family that takes good care of us. We are particularly glad about this because it shows that the community of English linguists is*

*characterised by a high degree of idealism. After all, contributions to working papers, which are – at least officially – unreviewed, do not score high in standardised evaluation procedures. So, those among you who have submitted their ideas to VIEWS, have not normally done so because they felt they needed another point on their publication list, but because they felt they wanted to share their thoughts with colleagues whose reactions and opinions they valued.*

*And a community of such colleagues is exactly what we have intended VIEWS to provide. It is not only that contributions to VIEWS have always been read by most members of our large editing team. Where possible, they have also been discussed with authors in person, thus prompting many evenings of stimulating debate among colleagues from various theoretical backgrounds and personal specialisations. Alternatively, authors received email summaries of the reactions their proposed contributions had prompted. In all cases, contributors have appreciated the feedback and rewarded us by either submitting thoroughly revised versions of their original proposals, or by submitting their revised versions to reviewed journals, where - we are proud to say - they were invariably accepted. Sometimes (although we would have liked to see this happen a bit more often), debates which started during the editing process were continued in print, and gave rise to lively written exchanges (The mini-series on Old English verbs in -ian [see VIEWS 1/1, 2/1, 2/2, 3/1], to name but one, has acquired near-mythical status).*

*In sum, if we were not as disposed to understatement, we would now celebrate a successful ten years of VIEWS. But we are of course, and therefore all we shall say is: thank you for everything, and let us all try and keep it up.*

*As is only adequate for an anniversary issue, the present number of VIEWS features a proto-typical mix of contributions: Michael Kimmel explores how concepts from cognitive science can be used to throw new light on Joseph Conrad's* Heart of Darkness*, Hans Platzer reviews the status of gender in Old English, and Daniel Spichtinger approaches* English as an International Language *from a variety of different perspectives. We hope you will enjoy the papers and look forward to your reactions and contributions.*

`The Editors`

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# *Letter to Views*

## *EIL and language tuition* (Sprechpraktikum). *A response to Hüttner and Kidd*

Responding to my article in Views 9/1 (Spichtinger 2000b) Hüttner and Kidd (2000) voiced some interesting criticism which I would like to comment on in this piece (for a complementary outline of my views on EIL see Spichtinger 2001). It is of course not my aim to personally attack lecturers of the *Sprechpraktikum* courses; rather it has been my desire to outline how new developments can be fruitfully applied to the local Viennese situation.[1]

### *1. Description and prescription in a restructured Sprechpraktikum*

At the beginning of their article Hüttner and Kidd assert that I confuse the teaching of a language with the teaching of knowledge about a language (2000:75). Presumably, the first is descriptive while the second is prescriptive. While I would certainly like to see more description and less prescription in the *Sprechpraktikum*, it is of course impossible to completely dispense with prescriptive elements. In fact, I mentioned two elements as the core of a restructured *Sprechpraktikum*:

- The presentation and analysis of a large number of native and non-native varieties of English (descriptive part)

- Intelligibility in a global context (prescriptive part)
  (Spichtinger 2000b: 71)

  For language tuition we need the model which guarantees the highest level of reciprocal (or mutual) intelligibility in national as well as international settings. As Jenkins (2000) shows there are considerable differences between such a norm of international intelligibility and RP or GA. Contrary to current doctrine it has been shown that native speakers are not necessarily best understood in international communication (see for instance Smith and Rafiqzad 1979).

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1 In my initial response I placed Hüttner and Kidds arguments in a wider context (including, for instance, the widespread PR for RP and the failure to discuss varieties in the classroom). However, as this version of the article was rejected as being too lengthy, I limit myself to providing some basic comments here. The full version can be accessed via my web page, though: http://www.geocities.com/dspichtinger/Uni/eil.htm

## 2. *The relevance of EIL to future teachers and their pupils*

Hüttner and Kidd also doubt that the global use of English is relevant for university students as most of them will become teachers (2000:75). I would argue, however, that it is exactly **because** most Anglistik students choose to become teachers that it is necessary to acquaint them with EIL (both in general and in matters of pronunciation). In other words: I do agree with Hüttner and Kidd (2000: 75) that our department does not train future scientists and managers. However, the point is that we train **teachers** of future scientists and managers. In this regard, Jenkins remarks that "the major obstacle to the modernizing of English pronunciation teaching...has been the failure to *educate* teachers" (2000: 199, original emphasis).[2]

## 3. *Acceptability and statistics as invalid arguments in support of RP*

Hüttner and Kidd seem to argue that EIL cannot be introduced because it is not sufficiently accepted (2000: 75-6). This argument can, of course, be used to torpedo any proposal for change. More than that it exhibits a questionable view about the purpose of university education. Is it not one of the important duties of the university to question established notions and to disseminate new approaches to a wider public? I readily concede that RP and GA are the preferred types of pronunciation in Austria - even among students of English at the university (see Dalton-Puffer et.al 1997). However, these statistics are not a justification for continuing to adhere to the native speaker model, as Hüttner and Kidd imply (2000:76). Rather, they reveal the extent to which attitudes still need to be changed.

## 4. *Developing new norms: work in progress*

Contrary to Hüttner and Kidd's assertions (2000:76) a wide range of publications has dealt with EIL in recent years - many of which can be fruitfully used for teaching or as inspiration for teaching (for a list of such works see Spichtinger 2000a:78-81 or 2001:85-7). Furthermore, with Jenkin's book a valuable description of an international standard in pronunciation already exists; work on a lingua franca grammar is currently under way (see Jenkins and Seidlhofer 2001). Those who remain unconvinced of the validity of my argument I can only refer to Jenkin's exemplary study (2000) which demon-

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2 A distinction has been made between simple teacher training (that is the teaching of certain techniques) and teacher education (see Widdowson 1990).

strates convincingly and at length why a shift away from the native speaker is not only desirable but also urgently necessary.

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# Penetrating into the Heart of Darkness: an image-schematic plot-gene and its relation to the Victorian self-schema

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## 0. Abstract

Metaphor theory, a central trend in the recently burgeoning field of cognitive linguistics, has seen impressive advances over the last years. Yet, surprisingly little has been written about metaphorical readings of entire texts. In response to this the paper brings together recent insights from cognitive linguistics on the role of schematic imagery in metaphor comprehension with the characteristic concern of cultural anthropology with large scale sequences such as myth, ritual, dance or music. As a case study I take a culturally specific example of a complex meaning sequence, a Victorian novel, with the aim of illustrating several highly general, if tentative, conclusions about imagistic thought in humans. The novel is Joseph Conrad's *Heart of Darkness* which has spawned a great deal of curiosity in literary theory ever since it appeared. The major goal of this paper is to show that a cognitive perspective can yield important insights in *how* this novel came to be so effective in evoking an "extended metaphor" with the Victorian audience. I shall argue that the extended metaphor ultimately only makes sense on the basis of the Victorian cultural model of the self. The paper will go beyond classical literary theory in that it presents a close analysis of a *representational format* in the minds of the actors. Specifically it will show that the spatial and imagistic structure of the self model is responsible for the required metaphor comprehension, and that Conrad ingeniously crafted his novel into a spatialized metaphor that gears into this basic self-model that Europeans have subconsciously been sharing for a long time.

## 1. Introduction

Much has been written about Conrad's novel *Heart of Darkness* which presents a richly metaphorical and fascinatingly sinister allegory on the abyss lurking in the soul of cultivated man. The literature on the subject is vast and will not be reviewed here. The present paper, while using this famous novel as a case study, has more theoretical objectives. It presents a cognitive inquiry into the cognition of complex sequences that can be read as extended metaphors. It aims at showing how the human mind uses mental imagery to make sense of metaphorical information scattered throughout a sequence, as out-

lined by Werth (1999). The specific focus will lie on a sub-case of sequence comprehension. It lies on stories yielding a level of metaphorical insight that is based on the overall image of an extended plot. First I will argue that this is a specific cognitive type of what Lotman (1990) has called a 'plot-gene', which I recast cognitively as a mnemonic scaffold underlying an extended theme. Second I will specify a cognitive precondition of this: Narratives must give rise to a 'summary image' in the sense of Langacker (1987) in order for an imagistic plot-gene to emerge.

What does it mean to speak of a cognitive approach? A central defining characteristic is that it makes claims about how groups of people think in real-life settings, rather than proposing a suitable observer's perspective. Correspondingly, our subject matter are sequences *as conceived by everyday actors*. The particular perspective adopted here draws on recent developments in cognitive linguistics with an oblique glance to the neighboring field of cognitive anthropology. More specifically, it capitalizes on the conceptual toolkit provided by metaphor theory as first expounded by Lakoff and Johnson. Their work presents a truly novel perspective on how language works. Going beyond a mere preoccupation with language as a surface phenomenon their theory explains metaphor in terms of mental imagery that is evoked before the 'mind's eye' (see Johnson 1987, Lakoff 1987, 1993, Lakoff/Johnson 1980, 1999, Lakoff/Turner 1989, Gibbs 1994). The key term on which this literature opens a vista is that of *image schema*. The term designates a specific *cognitive format* that is increasingly recognized as a mainstay of the universal human conceptual repertoire. Image schemas can be best characterized as mental images of an abstract and skeletal kind that lack the detail of so-called *rich images*. They also stand apart from what keeps haunting philosophy and linguistics under the label of *propositional thought*. A major achievement of metaphor theory is to show that image schemas are crucial in explaining how people think in analogies and similes, how they perform abstract thought, and how they notice similarities between things that superficially appear to be very different. After a short introduction to the notion of image schema my intention will be to explore how overall images are evoked by novels and the like and how they are understood on the basis of their basic topological features, their imagistic skeleton. Although my example stems from the field of literature the general argument emerging here is relevant to a much broader range of phenomena: *Mutatis mutandis* people draw on the very same kind of image-schematic mental activity whenever they structure sequences of music, dance, ritual, or everyday narrative in order to make sense of them. I have elaborated an attempt at a unifying perspective elsewhere (Kimmel 2000). It

may be noted in passing that such skeletal images are used for a series of tasks in sequence cognition other than understanding mental imagery evoked by the language content of a text, most notably for understanding overall structural features of the medium itself (language, music, movements). Here, however, we will restrict our view to the mental imagery evoked by language *content*, not structural features.

## 2. Representational formats

By way of introduction it will be helpful to outline some basic points concerning the alternative formats that mental representations can assume. In the literature on representational formats there is general agreement that all kinds of complex information, including percepts, memories, imagination, words and symbols – and some would even include emotions here (Palmer 1996) - are represented in the mind either as *imagery* or as *propositional knowledge*. The former term characterizes mental pictures of a visual, auditory, haptic, proprioceptive, kinesthetic, olfacory or gustatory kind that is memorized and retrieved as an analogous Gestalt. The latter implies that complex knowledge is stored in language-like chains forming a digital code. Both imagery and propositions are relevant ways of explaining knowledge and typically occur in a closely interwoven fashion, as Paivio and Walsh (1993) argue. The impassioned arguments of the 1980s *imagery debate* turning on the question whether either one of these formats can be reduced to the other can be set aside here. Among others Lakoff (1987) and Johnson (1987) have made a convincing case contra the cognitive psychologist Pylyshyn that imagery is an irreducible level of meaning in its own right rather than an epiphenomenon of a deeper level of cognition that is supposedly more 'real'.[3] For empirical support which bolsters this see Gibbs (1994). The converse question is more interesting but has not been entirely settled. Whether propositions are simply a kind of imagery of extreme abstraction and condensation, as Langacker (1987, 1990) seems to imply, or an irreducible level in its own right is a ques-

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3  Any account of meaning that excludes imagery runs into insurmountable difficulties. Johnson's (1987) argument is pertinent here that the developmental origin of meaning relates to spatial images embodied as preconceptual knowledge. More importantly, adults primarily experience words and thoughts as meaningful because they evoke analog images in the mind. Meaning as a subjective phenomenon lies in the representations arising before the mind's eye. It cannot be explained on the basis of lower level functions of the brain substrate without reference to the mind. The imagistic nature of thought cannot be explained away by relegating imagery to an epiphenomenal status because it is phenomenologically primary at the mental level.

tion that lacks clear terms. Uncontroversial definitions of propositional thought are hard to find, especially since most definitions have a strong flavor of defaults, meaning anything that is not imagistic in the simple sense but failing to explain what propositions *are*. However, for our purposes this debate is more technical than substantial. Both terms, imagery and propositions, make sense in a broad way of speaking. The heuristic value remains even if it should turn out that in some way propositions have to do with the imagistic faculties of the mind in a way not exactly recognized to date. Some concepts will seem more given to an imagistic description with analogous Gestalt features, others to a classification as a proposition due to its degree of abstraction or structural complexity that defies a simple image. With complex concepts not so easily described our preferred term will often simply depend on which aspect we choose to highlight. We have to acknowledge that belonging to one of these formats is usually not a strict either-or-matter. I shall try to convey an idea of how they interact as we go through a short description of their basic differences.

Let us start with the category of mental imagery. It spans a continuum ranging from very concrete to highly schematic. The pole of detailed imagery is commonly referred to as 'rich images' (or 'mental pictures') and the pole of schematic imagery as 'image schemas'. Whenever a rich image is progressively schematized and its detail features are eliminated in the mind one gets an image schema. While rich images may almost be like sensory percepts in their wealth of details, image schemas usually result from picking out certain structural features and discarding the rest.[4] For example, if we have a mental

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4 Image schemas have been described as skeletal images, as patterns of dynamic imagery resulting from the sensorimotor interactions of our body with the world. As such they form analog (i.e. non-digital) experiential Gestalts, i.e. 'one-shot' configurations stored and recalled as a whole, and developmentally emerge as structuring tools as we manipulate objects, move our bodies in space, and direct our perceptual focus to various purposes (Johnson 1987, Lakoff 1987; for an excellent summary see Gibbs and Colston 1995: 347). Cognitive linguistics has held a leading role throughout the past years in demonstrating the crucial importance of a series of very basic image schemas and dynamic transformations that these can undergo on our mental stage. It is difficult to find any aspect of everyday thinking, reasoning, imagination, and social action that does not employ schematic structures such as CONTAINER, PATH, LINK, FORCE, UP-DOWN, BALANCE, CENTER-PERIPHERY, CYCLE, and many others, including new Gestalts that result of combinations of these. Memories or acts of imagination are meaningful in much the same way as percepts because they elicit pictures and little mental 'clips', along with other non-visual imagery. Mental imagery and percepts are also comparable in that the mind invariably filters skeletal structure from both. Expectational structures of the mind enter in both cases and the resulting image schemas cre-

image of a basket of apples and extract its structure we will get a schematic container. This abstract container image is a generic image which underlies the basket and a multitude of other rich images alike. A room, a human body, a courtyard, the space defined by the drawn borders in a map, an imaginary space such as Heaven, or a mathematical set all partake of this basic container topology. By its very definition the container schema then is, like any other image schema, a *transcontextual* mental entity. It is so by virtue of bestowing a similar basic topology on all of these superficially distinct mental images. However, to avoid misunderstanding it is important to see that rich images and images schemas are not necessarily different images, but *two co-present levels of a single image* between which we can let our attention wander or switch mental focus at will. Depending on our intentions, our attention might either attach to the details, like an apple stem or a worm, or to the structure of the whole basket as a container. However, we can also find cases when one level is present in the mind first and the other is subsequently evoked: In one kind of instances image-schematic meaning emerges from a prior rich image memory. This is the case when we notice previously unconsidered analogies between two rich images by picking out meaningful structures that let us see the higher-level similarity between things considerably different in their details. An example would be the creation of a metaphor like 'the body politic' in which we either notice that human bodies and the borderline on a map are schematically analogous containers with elements or perhaps even by noticing that the functional relations of a body and those of a society are analogous (presumably in an image of links, conduits and acting forces). Conversely, in other cases our memory stores highly schematized images as such, like when we learn the notion of mathematical set, which we can either use in pure abstraction, as variables like X, Y and Z or fill with all kinds of specific images like apples, oranges, houses, and people, or rules, ideas, reasons, conditions, and other abstract entities.

In addition to these two poles of imagistic thought, their meaning is enriched by associative inferences to propositional knowledge. For example in

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ate an additional (transcontextualy evocative) level of meaning which bestows structure and meaning on so-called 'raw' data. Image schema extractions are performed routinely and typically with so little effort that they remain below the threshold of consciousness, especially with familiar and entrenched knowledge. What kinds of image schemas are seen, heard, or felt in a certain situation partly results from the universal endowment of the human conceptual apparatus or environmental universals such as gravity (UP-DOWN schema). Mostly the contextual use of image schemas is culturally and individually variable, perhaps to the extent that Gestalts grow structurally complex.

our image of the apple basket the recognition is easily called up that baskets are made of wicker and may be used for harvesting or ballooning, that apples taste sweet, and even very culturally specific knowledge like that cider may be brewed from them, that William Tell had to shoot one off his son's head, that Snow-white was poisoned by one, and that New York is referred to as 'Big Apple' and that there is brand of personal computers carrying that name.

## 3.  What can complex imagery account for?

Many analysts of the past credit propositional knowledge with the greatest power in creating complex conceptual models. Such a propositional view rests on the underlying metaphor THE SHAPE OF THOUGHT IS LAN-GUAGE-LIKE. To its proponents this seems to be the most intuitive way of conceiving how cognitive operations of fairly elevated complexity work. Contrary to this position I want to demonstrate that imagery is not restricted to concepts that are either static, isolated, or low in complexity and that imagery constitutes a viable alternative for the explanation of the complex characteristics of dynamized sequences.

The basic idea is simple. When we think or speak of complex action scenarios and other temporal scenes we imagine detailed images not unlike comic-strip panels or mini-movies, from which we can extract skeletal features. These result in the same kinds of image schemas resulting from extractions from static mental pictures, only now they are dynamized or merge features from different phases into one. The major advantage afforded by this view is that through images complex sequences can be understood as integrated wholes, i.e. conceptual Gestalts. As I will try to show this is important because as Gestalt images they can again be recognized as similar to more familiar cultural schemas that are also Gestalt-like. Of course, the whole of an extended narrative can never go into a single Gestalt. However, that which we would describe as its 'plot', i.e. its main scaffold of meaning, can. In the heuristic terms proposed above it may make sense to say that the imagistic aspect is precisely that one pertaining to an overall image of the main plot of a narrative, while the complexities are understood through propositions attached at various points.

Although recent publications on cognitive models make reference to, both, imagery and propositions, the debate has got somewhat stuck. Several authors tend toward one or the other pole but leave the terms of their preference largely implicit, reflecting the insufficient clarity as to how the two formats involved are related and what they mean. While many authors (Quinn 1991,

Kövecses 1990) are wont to conceive the predominant way that complex cultural models are structured as propositional, the work of Palmer (1996) and Werth (1999) has gained some ground in demonstrating the significance of complex imagery. In line with these two authors I want to accord center stage to imagery here. However, I want to adopt an even narrower focus than Palmer and Werth and leave rich imagery aside for the most part. Apart from being a matter of expediency and space, this omission owes to the assumption that some highly-important general cognitive functions can only be explained at the schematic level of imagery. My guiding hypothesis is that in understanding sequences there is a particular level of cultural meaning relating specifically to image schemas.

## 4. Thematic structures in culture and why they tend to be schematically encoded

A cultural perspective on imagery suggests a reason why major cultural codes rate high on the schematicity scale. This idea is well know from Lévi-Straussian structuralism where schematic blueprints, basic structures like opposition or complementarity, are thought to underlie various domains from lineage classification and myth, to ritual and food, although the idea is to find universal structures more than culturally specific thought styles. The assumption that schematic structures are important in understanding culture also fits well with the specific research goal in cognitive anthropology. Expanding on a program launched by Bourdieu (1977), many modern-day cognitive anthropologists such as Holland/Quinn (1987) and Strauss/Quinn (1997) are concerned with analyzing so-called *thematic structures* typical of a cultural group. The underlying idea is that patterns of the mind that recur across contexts as their thematic braces in slightly modified ways form the very moorings of culture. Bradd Shore (1996) presents an analysis of how the initiation process for Murngin boys of Northern Australia involves the repeated enaction of a foundational schema in the walkabout journey and in the guise of mythic tales that ultimately teaches them the basic cosmological outlook of their people, but occurs in many everyday contexts as well. An anthropological perspective on our subject in the narrow sense is developed by Sherry Ortner (1990) who approaches narrative plot-structures with a view on underlying cultural schemas. These she calls 'core stories'. In her study of the Sherpa of Nepal, Ortner uncovers a foundational plot that relates to a main cultural theme of the Sherpa, namely rivalry among men for resources and power. She describes a prototypical, yet flexible basic scenario of how rivalry

relations pass through certain stages, which is found in action sequences both as acted out socially and as described in the mythic blueprints of social action.

This brings us to the argument why schematic imagery is so important for integrating  many models into a recognizable single cultural style. Let us assume that (a) significant cross-contextual relations between a series of connected clusters of folk-models used in a single culture exist and  share a kind of *family resemblance.* Let us also assume (b), as argued above, that  many major cultural models are imagistic and non-propositional. From these two assumptions it follows *ipso facto* that the shared imagistic dimension of the models within a single model-cluster is schematic rather than concrete. The rich details of the models vary from one context to another, but their skeletal features are recognized as related and processed in a similar way. (In a view on propositional thought the family resemblances making for a cultural theme would be described by attribute overlaps rather than the schematic core of a common Gestalt, but would require complex similarity algorithms in computing the overall relation of the constituent members of a theme.) In Ortner's example this would mean that all the different cases covered by the schema of rivalry among men share a basic causal structure. According to Johnson (1987) this basic aspect of how the events unfold is mainly understood through FORCE relations.  However it is probably not only this general aspect of event structure, but also the more content-related mental representations of antagonism, vying interests, appearing on and leaving from the contended field and rise in prestige that involve schematic imagery.[5]

This discussion of imagistic schematicity shows why it contributes to the emergence of questions of cross-contextual links between cultural knowledge from different domains. This point will be taken up later in our example. There I will try to show how one schema can link into the other because they

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5  Another well known example comes from Bourdieu's (1977) discussion of female withinness and male extraversion schemas that are encoded in body posture, evoked linguistic imagery and symbolic house space alike. Further examples of cultural schemas sharing family resemblances on the basis of imagistic similarity can be found in large numbers in cognitive linguistics, although the transcontextual linkages effected by the meanings of single word may not be as evident. Dewell (1992) shows how the various senses of the English preposition OVER are based on an imagistic arc-schema that is central and a large number of branching variants that vary features of the basic Gestalt up to the point where they split off, being linked to the basic schema only through intermediate variants. Sweetser (1987) shows how the temporal and epistemic senses of COULD are based on an imagistic schema of spatial distance from the egocentric viewpoint that can be either interpreted as distance being time or being epistemic remove based on the metaphor of NEAR THINGS ARE THINGS WELL KNOWN.

share a common basic topology on the most schematic level. The example will demonstrate that (a) highly general schemas are probably also highly schematic and (b) each contexts rigs them out with specific details while a sense of family relationship remains alive.

## 5.  Orchestrating dispersed cues: Werth's notion of 'megametaphors'

Now I will turn to the question of how complex meanings are constructed on the basis of scattered cues and sustained allusion. A crucial shortcoming of metaphor theory is its overly optimistic view about the relatively simple nature of the analyst's task. Although  many wonderful examples of small scale metaphors can be found in the work of Lakoff, Turner, Johnson and others, the central meanings of long sequences are not typically tangible as localized or well-defined micro-structures on the word or sentence level. More often than not the meaning structures with the deepest impact are dispersed over a sequence and cannot be precisely located.

In an admirable effort the late Paul Werth (1999: ch. 11) unfolds a theory of metaphors that occur as sustained undercurrents in a text. Werth speaks of 'sustained metaphors' and 'megametaphors' (p. 317 and 323), which are employed by authors to achieve very subtle meanings without being explicit. These metaphoric elements are not expressed in any single location; they are cumulative. We might note that other tropes, in particular  irony, are often only accessible as the outcome of a sustained process of the same kind. As an example, Werth analyzes a megametaphor employed in the introductory chapter of E.M. Forster's *A Passage To India*, which then produces an ironical effect. The metaphor is based on a description of the city of Chandrapore, in particular of  the natives' dwellings and the quarters of the English ruling class, through which wide-ranging statements on power and vitality are conveyed. A first effect comes from the repeated use of negatives in the description of the native quarters lying-low near the river:

> The text is replete with negatives of all sorts and also with concessives:
>
> - straight negatives: *nothing extraordinary, no bathing –steps, not holy, no river front, never large or beautiful, nor was it ever democratic, no painting;*
>
> - negative modification: *scarcely distinguishable, scarcely any carving, the very wood;*

- words with negative meaning: *trails, rubbish, shut out, mean, inefficient, hidden away, filth, deters, stopped, mud, abased, monotonous, excrescence, fall, drowned, left, rotting, persists, low;*

- concessives: except for the Marabar caves, and THEY are twenty miles off, edged rather than washed, happens not to be holy, indeed, though a few fine houses exist, houses DO fall, people ARE drowned.

The metaphors underlying this list never quite surface into explicit form: they are something like THE CITY IS A PILE OF RUBBISH, THE PEOPLE ARE A LOW FORM OF LIFE. The image this gives me is something like a rubbish-dump inhabited by rats, or perhaps a compost heap inhabited by woodlice. (p. 320)

However, this is only part of a much more complex metaphoric characterization. Another important sub-metaphor results from a mapping of the city's topology on the power relationships: The colonialist English live at the top of the hill and the natives at the bottom, people with mixed race being in between. This is the very common metaphor of CONTROL IS UP (which the English presumably used on purpose when they chose their quarters). It fits into the tendency, described by Lakoff and Turner (1989) and Olds (1992a,b), to think in terms of a Great Chain of Being spanning between the supreme level of humanity, which is nearest to God, down to nature. Yet, the Great Chain of Being can lead to an evaluative inversion, an ironical turn which Forster exploits in the next paragraph. Although the native people of Chandrapore were characterized as moving mud, and the whole place like some low but indestructible form of life, at least they are alive. They are connected to the organic and vital. By contrast, the imagery describing the quarters of the English is predominantly geometrical and impersonal and gives rise to GEOMETRICAL IS INORGANIC, as Werth suggests. Both, natives and English, are heavily set in contrast against the vegetation, which is

almost violent in its mobility and vitality: the trees *rise, burst out*, they *seek light and air*, and are *endowed with strength*, they *soar* and *greet* and *beckon* and *build*, and they *glorify the city*. The most powerful movement that mankind can summon up, by contrast, is *swelling and shrinking*. (p. 322)

Werth also argues that Forster attributes metaphorical values to the color scale, which reflects the vitality scale. The sky, which is metaphorically described as a temple, a repository and agent of vital divinity, and as the origin of all life and power, is fully specified in terms of color. For the vegetation intense color is strongly implied. The natives, on the other hand, are presumably mud-colored, and the English without color at all. The local metaphor of COLOR IS VITALITY emerges from this and connects with the previous implication that EARTHLY POWER IS LIFELESS. Thus, metaphorically the

natives, who are closer to the earth and even appear to be made of it, benefit from the divine vitality of the sky, while the English ruling class lacks vitality and movement completely. The sky, then, redefines the POWER IS UP metaphor in terms different than the initial characterization of the living quarters would suggest. The English may wield worldly power, but they do not partake of the power of vitality. On their hill they are, in a sense, suspended in an inorganic, colorless, and lifeless state between earth and sky which are linked in a direct nexus of vitality.

In order to arrive at these metaphorical implications, the text as a whole has to be taken into account. Werth ventures deeper than other recent approaches, such as that of Lakoff, in that the contributing expressions are not explicitly recognizable as linguistic metaphors and their effect is only achieved through cumulation in a densely interwoven context. Concerning method, Werth proposes to arrive at conceptual metaphors by inferring a common underlying conceptual frame from a set of divergent expressions, just as Lakoff and Johnson (1980) first proposed. However, Werth's megametaphors are accessible only on the higher level of the text or discourse, whereas almost all metaphors studied by Lakoff and his associates are still recognizable on the level of the sentence. Also note that Lakoff's conceptual metaphors, such as ANGER IS A HOT FLUID IN A CONTAINER, are *independently* recognizable in each of their single linguistic occurrences, say "He blew his stack", and need no sustained context. Lakoffian conceptual metaphors can be grouped into clusters by the analyst, but they produce no sustained undercurrent within a single text. By contrast, Werth's megametaphors are only accessible in a cumulative and heavily context bound way. Again, this contextually sensitive approach dovetails nicely with the intent of anthropology not to abstract utterings away from their specific social context.

In line with the previous data, Werth's study of megametaphors indicates that integrated meanings have to be inferred from extended sequences. Perhaps sustained metaphor effects such as EARTHLY POWER IS LIFELESS in Forster's novel do not necessarily produce a conscious effect in all readers, but for the implicit recognition of the megametaphor and its ironical effect a condensation of sub-themes into a textual Gestalt is required. I would claim that the same summary build-up of a Gestalt is cognitively required for any other sustained trope to take effect.

I want to provide a short glimpse of how image schemas may play a key role for evoking the ironical effect in Werth's example. Two evaluative meta-

phors of the schematic type UP IS GOOD are contrasted.[6] First, Forster's passage suggests a quasi-spatial linkage of topography and power on an UP-DOWN scale, where the colonial English range topmost, since they live on the hill. The irony effect would then be created by contrasting this with an antithetical scale of vitality, ranging from the English as least animate to the vegetation as most animate, with the natives situated in between. Irony as comparison of like yet unlike structures would come about by aligning two image-schematic scales aside each other, which are of the same type, yet inverted on the evaluative dimension so that the ones attributes are incompatible with the others attributes. Finally, the irony is resolved in a third image-schematic mapping in which the sky as both above and full of vitality is introduced, so that both evaluative dimensions now coincide.

In conclusion, let me underscore the high theoretical relevance of Werth's approach for my claims about sequential cognition. What emerges here at least implicitly is the idea of 'summary images'. A metaphorical undercurrent stretching through a text would not be possible without the build-up of a summary image, because the topic of the metaphor itself is only constituted through the subtle repetition of a theme, such as vitality and power, which has to be understood as a whole. Different expressions and words have to be matched to a single image to the extent that the metaphorical content is understood as image schema.[7] This sets the stage for two consecutive cognitive

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6  Incidentally, a construction of virtually the same kind (UP IS POWERFUL) in Shake-speare's *King John* is analyzed by Mark Turner (1996: 64-67). Turner speaks of an "ironic tension between the image schemas" that are conceptualized in a blend of two inverse UP-DOWN predications. The powerful king, sensing his impeding decline, tells the messenger foreboding ill news (who probably kneels before him) "pour down thy weather", thus ironically likening him, who is a mere subject, to powers beyond the king's own, those of nature and fate.

7  Why should a summary representation not be propositional? Why can matching not be into a meaningful propositional model that acts as a screening filter, perhaps in a check-list like way? The ironical effect just mentioned cannot be explained unless one refers to the spatialized scale of the UP-DOWN image schema. However, it is not a summary rich image of the plot that is mapped onto this scale, the scale is introduced as a structuring device that is imagined in addition to the simple plot level (a sort of 'co-functional imagery', see Kimmel 2000: 244ff ). This structuring device imagined in parallel to the plot is the mental model of its metaphorical effect. What is mapped onto the scale model are condensed propositions of an abstract and binary kind, such as 'good' and 'bad', 'animate' and 'inanimate', etc. Presumably the metaphor's impact takes effect on the most general and abstract level, perhaps taking the form of a general insight such as "one may well be powerful, but if this is bought at the price of dis-

claims. On the more general level it will be proposed that the theme of a sequence can be condensed into a summary representation. This is a process that is especially important in the build-up of memory, but may also play a role in understanding an ongoing process. On this premise we can examine the second, more specific claim that image schemas figure centrally in such a condensed representation and link it to related themes by virtue of abstract features that these several themes have in common.

## 6. Summary images and structured plot-genes as extractions thereof

There appears to be a capability of the human imagination to synthesize contents which cannot be perceived simultaneously in the world of direct experience into a single awareness. This, in turn, hinges on the human ability to build up 'summary images' from memory. I borrow the term from Langacker's (1987) imagistic theory of grammar which includes some ideas about word-types, such as past participles, that evoke summary representations. The idea is that in those cases memory traces from past mental events are retained in the mind and new information inscribed in the same locus, much like a multiple-exposure photograph. Here Langacker's idea will be applied on a supra-utterance level. This is also in keeping with a classic insight from reader-response theory by Wolfgang Iser (1978: 138). In reading novels there seems to be a sense in which an object appears with a kind of fullness and completeness that is not there in ordinary percepts into which no memories or expectations enter:

> When we imagine Tom Jones during our reading of the novel, we have to put together various facets that have been revealed to us at different times - in contrast to the film, where we always see him as a whole in a situation…In imagining the character, we do not try to seize upon one particular aspect, but we are made to view him as a synthesis of all aspects. The image produced is therefore always more than the facet given in the particular reading moment.   (quoted in Cook 1990)

While this statement is about the characters of a novel, perceived through a condensed blend of their attributes, I would argue that the same is true for the plot. In this context I would like to advance the general hypothesis that the operation of condensing a host of attributes, such as those of a main protagonist in a novel, into a single image is akin to a summary scanning of sequentially distributed events. What is more, it makes little sense to separate the

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avowing real human life it is not to be admired". At that level of complexity and in this mode of expression is thus more propositional than imagistic.

attributes and plot, since they form part of a single process: the characters are, as we picture them, 'suffused' with the  plot that has passed, and the action of the plot is, inversely, 'carried' or 'sustained' by the protagonists and their attributes.[8] Hence, we do not only blend attributes of somebody or something into a singular image, but can imagine a complex event as a summary whole. This does not mean that all the various detailed memories of the narrative we could call up are present in such an image, however there is a sense in which the general plot in the sense of the logical structure or thematic cornerstones of the narrative are condensed in such a way.

The resulting cognitive structure may be called a *plot-gene*, adopting the apt term coined by Yuri Lotman (1990). A plot-gene is a mnemonic device around which other less salient structures of the sequence can crystallize, if we choose to go deeper into it in order to unfold the theme further. At the same time it constitutes the image (or the small set of images) by which we remember a novel, a piece of music, etc., in a more fleeting way, without attending to the details. When prompted, aspects of the plot-gene will come to mind quickest and with the least cognitive effort. We may expect plot-genes to rely on deeply entrenched cultural scenarios, frames, and genres of artistic expression to provide expectational structure from where to set out, and that the actual plot-gene will be defined vis-à-vis this expectational schema, either affirmatively, a salient negation, a split-off or as a new revolutionary genre.

## 7. *Heart of Darkness*, the Victorian self and what it means to get lost in the distance

Let us now draw the presented strands together. Paul Werth's keen analysis of large scale metaphorical effects, which were left unconsidered by prior works, can be combined with the concept of summary image and the concept of plot-gene. Going yet a step further than Werth, I propose to consider the possibility that the *overall plot* of a sequence is interpreted as a unified metaphorical image by the reader. Note however, that while Werth's literary examples of

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8  Mark Turner (1996: 134) argues that a protagonist's character can generate a story, and cites Jerome Bruner's (1986: 37) observation that the engine of action may be perhaps situated more in plot or more in character. In the folktale it is more plot that carries the narrative, whereas with the appearance of the psychological novel the engine of action shifted to the character. Turner also refers to the work of Kenneth Burke who "made a life-long study of the ways in which any general aspect of  a story space – character, action, goal, setting, and means – could serve as the basis for building up the rest of the space."

megametaphors feature densely orchestrated lattices of moods and attributes,[9] I have chosen a case here in which the overall plot evokes a central image schema upon which the story's deeper meaning depends (or at least a crucial dimension of it). My objective is the study of 'plot-genes' which comprise an overarching theme constitutive of a story's meaning. Note however that I do not claim that every story has a single constitutive plot-gene.

I will demonstrate the operation of image-schematic plot-genes on the basis of Joseph Conrad's *Heart of Darkness*, a novel which exploits the central theme of penetration (or, for that matter, transgression) into the dangerous unknown. The story is, in the words of Bill Harrell (1982: 231), about "a crossing of a boundary from the well-defined self, the soul, the domain of order and grace, into the unchartered abyss of the appetites, the crossing over from prudence to greed and lust." In the novel, Marlow, a seaman and wanderer, recounts a steamboat expedition into deep African territory in search of the enigmatic Mr. Kurtz, who is the agent of a trading company at a jungle outpost. The story is situated around the turn of the century in the Congo, which was at that time the private property of the Belgian King Léopold and marked by rampant forced labor and vicious exploitation of the natives. The thrust of the narrative is (quite literally) towards Kurtz who is the goal of the gradually progressing penetration into a strange, dangerous and unfathomable territory. Kurtz has imposed a surreal order of terror and charisma among the natives. He is a man of captivating and demonic force who has signed a Faustian pact and is being worshipped as a god. When Marlow finds him, he is on the verge of madness and death, and experiencing great inner turmoil. Marlow himself is changed in the struggle to comprehend his experience with this once exceptional and now tormented man who has looked into his own nature. Having succumbed to alien and yet strangely familiar forces in the zone of proximity between human nature and the 'Other', Kurtz dies with the words "The horror! The horror!" on his lips.

It is apparent that while the tale's overall structure is that of a literal journey, metaphorically it is a journey to the limits of the human soul. This central double entendre even becomes evident in the title. However, the novel can also be read as a statement on Victorian culture as a whole, to its constructed cultural 'Other' and the hidden anxieties expressed through it. The concept of 'Other', taking inspiration from Foucault and later so well applied to the Western perception of the colonial world in Edward Said's *Orientalism*

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9  The multiplicity of these many interwoven attributes suggests that the representations involved are propositional, irrespective of whether we see this as condensed imagery or a mode of thought in its own right.

(1979), expresses a central cultural ambivalence. A harbinger of Said, Conrad ingeniously plays on the double-edged nature of Victorian imperialism. While explorative penetration into the unknown of the 'Dark Continent' is the missionary imperative of the age, this always carries within itself the seed of alienation and self-loss through penetration into and dissolving within the unknown. The Dark Continent stands for the unknown within, as it brings to the fore the baser aspects of human nature. In a revealing and ironic inversion, 'white man's burden' in this sense is not leading the 'savages' to a higher level of humanity, but the self-denying force exerted in maintaining a self, that is always prone to give way to a baser nature, given the right circumstances (such as climate, malady, loneliness, and the like). The novel plays on the fear of getting lost and being engulfed by the enormity of the dark and unknown. More precisely it plays on losing one's self at the perimeter of culture. The fringes of culture, geographically and morally, interchangeably stand for the fringes of our perceived self. At the same time, they disclose the 'other' self beyond. Marlow's words in reporting about the natives under Kurtz' rule emphasize this uncanny mix of alienation and identification: "but what thrilled you was just the thought of their humanity - like yours - the thought of your remote kinship with this wild and passionate uproar (...) the mind of man is capable of anything" (p. 63)

The basic metaphor of the novel likens a spatial journey into the unknown that is full of irrational horrors to an incursion into the *terra incognita* within, a journey into the dangerous reaches of the human soul itself. It is from this metaphorical understanding that we can infer an underlying image schema, which I will call the PENETRATION schema (TRANSGRESSION would serve as well). It is a composite of several more basic image schemas. It should be easy enough to see that it arises when a FORCE moves on a PATH and breaks through a BARRIER of a realm that exerts COUNTERFORCE but is eventually breached. Consequently, this particular version of penetration is superimposed on a basic conception that involves the CONTAINER image schema, since realms are containers. Even though plenty of non-imagistic understandings may be drawn from the conventional journey metaphor (journeys may be dangerous, it may not be clear where they lead, the motivation and goals of the traveler may change on the way, etc.), I prefer to describe this as a version of the penetration *image schema*. There are two related reasons for this: First, neither the mentioned propositions nor the image-schematic PATH-GOAL structure of the journey metaphor are sufficient for comprehending the novel's deep structure. More spatialized structure is needed in order to make sense of the barrier involved. After all, the story is about

reaching and perhaps breaking the boundary of a realm. The boundary is also a barrier that contains and protects, that does not yield easily. It exerts a counterforce on those attempting to transgress. The outer skin of the realm can be understood as the end-point of our self, and at the same time as the beginning realm of the Other, the culturally (and subconsciously) unknown outside. The act of penetration carries in itself the danger of destroying the barriers of our known realm for good. Thus, the spatially conceived barrier of the self-schema may also stand for moral barriers. This may be the case in a quite physical, embodied sense: In the Victorian age it was a prime imperative to contain oneself. The constraints of English upper-class habitus dictated pulling-together, a control of the passions, and a strong avoidance of 'getting carried away'. In Victorian metaphorology, being your socially accepted self was being in the proper place.

We can also see now why the more elaborate image-schema of PENETRATION is needed. In its most basic terms, the journey metaphor alone would suggest too little loss of center (i.e. security and certainty), since it tends to impose the ever-shifting perspective of the traveler. As roaming traveler on a journey we *ipso facto* always remain situated in the fixed center of perspective, while it is the landscape that passes by. Each place is like any other, none has a special relation to any point of origin. However, here we are confronted with an overall-view from the outward perspective that lets us feel that the center is losing itself in the distance. The distance from 'home' (and our ensuing forlornness)  is crucial to the novel's impact. In the more basic journey metaphor barriers may exist and be surmounted, but no realm may be broken open that actually leads us away from our center of security. Yet, in Conrad's novel there is penetration into the geographically *remote* and into the psychically remote, remote meaning decentered.

The second reason for going beyond the path schema pure and simple can be partly inferred from what has been said: the PENETRATION schema, which adds the elements of BARRIER and FORCE, gears into another commonplace Western schema that conceives the self as a centered container. The self as centered container is, crucially, seen from the exterior and set in a place. It is objectified and has fixed coordinates. This corresponds to the Victorian tendency to frequently see the self as the others see it and that is in a place of social and moral propriety. In Langacker's (1990b) way of speaking, the *objective viewing-arrangement* is socially and culturally encouraged and preferred to a predominantly subjective perspective, which would cast the viewing subject out of the mental scene perceived by it and let it perceive only other objects. Such an objective viewing arrangement holds the self in

perspective as a trajector that is relationally defined relative to a landmark and so permits the subject to evaluate her relative distance from the socially appropriate coordinates of the container, to see how far she is 'beside herself' or 'out of her mind'.

*Figure 1*
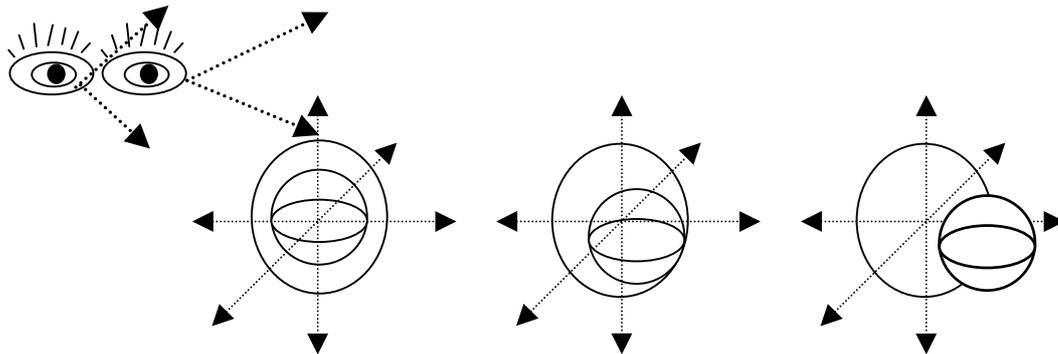


(1) The self in its original place, (2) shifting to its boundary, and (3) transgressing it. The objective viewing arrangement is indicated by the external position of the subject, although the whole setting is of course reflexive: the subject sees itself as if it were another person.

If we understand our self and the realm of our knowledge as structured by CENTER-PERIPHERY, penetration into the outer realm may entail a loss of center. This may manifest itself as a loss of self or a loss of control, and in either case a loss of existential certainties to build on as we proceed into the unknown. Conrad plays on the idea that, even if the core of the human self – much in the sense of the metaphor of epistemic proximity KNOWING IS GRASPING (Lakoff/Johnson 1999) – may be very familiar, the exact location of its outer limits ever eludes us. In other words most of us find it difficult to imagine the extreme states of mind and behaviors of which humans are capable.

Yet another motif is refracted in Conrad's novel, which militates in favor of an underlying theme of penetration. In Marlow's account of his experience a fair amount of evidence can be found for a coupling of the mysterious Dark Continent and the female element: seductive yet incomprehensible, dazzling yet abysmal, of powerful attraction yet alienating, dominated yet dominating. Needless to say, the theme of boundary is also a theme of gender relations. Penetration can also be seen in the light of the Victorian sexual anxieties, the fear of a female 'Other'. It is women who "guard the door of Darkness" (p. 26). (Perhaps a Freudian perspective would best explain the juncture of women and the Dark Continent: they are alike in rousing male anxieties of

being engulfed by the object of domination, which is at the same time their source of fascination, greed and lust.) Marlow is split in his uneasiness about women in the position of knowledge and power and his veneration for women. Hampson, in his introduction to the novel (1995: xxxvi-vii), expresses this:

> Certainly, it is the African women and the Intended [of Kurtz] who are the focus of the final part of Marlow's narrative. If Kurtz sets himself up as a god to be worshipped, Marlow here sets up the Intended for his own ambivalent act of worship: as he 'bows down' before what he conceives as the Intended's faith, 'that great and saving illusion (HD, p.121) he simultaneously reasserts and imposes on her a patriarchal ideology of separate *spheres*, a female world of illusion ('too beautiful altogether') and a male world of truth ('too dark altogether'). [italics mine]

The last quotation also reflects a final aspect of the penetration complex, the mythical theme of initiation into dark, yet original knowledge. Penetration as a form of male initiation is a cultural template that appears in many guises. Parallels between a penetrative ('male') style of exploration and knowledge on the one hand and sexual penetration on the other have been variously pointed out.[10]

The question now seems to be how these themes become a unified complex within a cultural background. Bill Harrell (1982) ventures the interesting view that Conrad's novel owed its great success to the reflection of an overarching preoccupation of his Victorian contemporaries with maintaining boundaries: those of race, nation, class, community, family, church and gender. Conrad's novel struck a cultural chord with virtuosity:  the fear of the 'Other', and the perceived necessity to remain distinct and superior. Late Victorianism was characterized by emerging class conflicts, by social boundaries coming under attack, and by the relation to the colonies being questioned. Hence, Victorians projected on Africa what they most feared in themselves and their conflicted social order. Harrell captures this well:

> The sense of being within a social and personal boundary of righteousness supports the pride (ethnocentrism) which permits the association of material wealth with personal grace and civilization. It permits the confusion of greed with progress.

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10 Despite his distancing irony, an only faintly concealed acknowledgment that the familiar illusion of self is not true knowledge is present in Marlow's words. The journey, then, perhaps is one to true knowledge. Notions of a mythical original journey are reflected in passages like "Going up that river was like travelling back to the earliest beginnings of the world (...)" (p. 59) or "We could have fancied ourselves as the first men taking possession of an accursed inheritance, to be subdued at the cost of profound anguish and excessive toil."(p. 62)

> Marlow perceives this confusion and understands how it threatens to unhinge the bearers of progress, to bring down the boundary itself (to shatter the form). He understands also that Kurtz has confused truth with power; that his fragile control over the natives is maintained by fear grounded in force, a brittle and unreliable source of order.                                                                (p. 232)

The penetration metaphor with respect to the self also hints at the basic dilemma of the Victorian self-image. The political message is simultaneously a psychological one. It is the dilemma of maintaining the self-conceit as 'the pride of creation' and at the same time exploiting the colonies to the benefit of the motherland (again, the 'center'). The need for contempt of and distance from the 'animal' Other reveals, both, the subconscious fear of its irrupting into one's self and the displaced truths of an imperialist economy in Christian disguise. The bad faith and the dilemmatic nature of an externalized social conflict create a source for cognitive dissonance that is hypocritically displaced. The two-faced Victorian self-delusion that Conrad puts his finger on can be put into one quasi-spatial formula: Best that the center shouldn't know what the outer reaches are really up to - in Victorian colonial politics as in the Victorian soul.

What is the upshot of all this for a cognitive analysis? A first observation is that the penetration theme surfaces in several ways that are understood as one, in this case a single underlying fear. It seems that diverse experiences of boundaries can give rise to one abstract schema or, put the other way around, that the same schema can be extracted from all of them. The unifying element, which may be called a plot-gene, thus appears to be image-schematic in nature. Within such a bracing structure various structurally similar sub-themes may be developed as transitory figures, while the plot-gene remains subliminally present as cognitive background. The fact that *Heart of Darkness* can be read in many culturally significant, yet hardly arbitrary ways substantially relates to a mixture of such a global structure and several sub-themes. We saw that women repeatedly appear as doorkeepers at the thresholds which Marlow has to pass, literally and metaphorically. They are the guardians of liminality, the state of betwixt and between described so well by Victor Turner (1967) for ritual process and initiation. On the one hand, such an iconic duplication of the novel's global structure in its details - a process of transgression on both levels - gives extra impact to the boundary theme. On the other hand, it is significant to see that it may contribute to the unity of sub-plots. For example, it may create an understanding that gender relations and race relations not only have a common concern with differences, but are actually aspects of one integral complex of *difference*. Metaphors such as Conrad's women guarding spatial thresholds lend substance to the idea that all different varieties of dif-

ference are encoded through a common underlying spatial image schema of CENTER AND ALTERITY (which is a building block of the overall image schema, rather than a wholly different schema). Many of the sub-plots of Conrad's novel are understood as meaningful in relation to the global structure, which they either hint at or replicate. The emergence of such an interactional effect in the reader's mind between overall plot and sub-plots is presumably dialectic in nature. The sustained metaphors that Werth speaks of take effect on the basis of early elements in Marlow's account that foreshadow the deeper existential and cultural significance of the journey into the unchartered realms of Africa. Conversely, the deeper metaphorical relevance of the penetration theme is unfolded step by step by the consecutive sub-plots, which perhaps results in a cognitive effect in many readers paralleling the thick description unfolded in my analysis.

From a cognitive perspective, a second intriguing observation emerges: The narrative chooses a form that nicely gears into an already existing and significant cultural schema. Such an interpretation as extension of conventional schemas would be congruent with the central thesis laid out by Lakoff and Turner (1989), who show poetry to be an artful elaboration of conventional everyday schemas. That this also holds for prose becomes evident when Harrell's analysis is seen in the light of one of the principal Western models of the self. His diagnosis of a historically motivated preoccupation with boundaries in Victorian England is not only compatible with the self as container, but skillfully builds on it in order to reveal previously undiscovered facets. In my view, one reason why the basic schema that is used and its extensions blend into one another is their simple image schematic structure. The self model as container and the penetration model go together so well and effortlessly because, being image schematic in nature, they are spatialized, fairly abstract, and malleable. They fit because their conceptual core is relatively simple and poor in detail. It is such simple structural features that allow the superimposition of models to be so productive. The ease with which human minds can perform this image-schematic transformation accounts for the elaboration of complex meanings out of more basic cultural schemas to remain largely unconscious without the connection being lost on the individual. Only a certain subliminal awareness that the penetration theme has to do with an important cultural concept of the self accounts for the novel's effects on its readers. Given that the Western self really includes an imagistic model of the self as a container to be guarded and centered it seems to be rather obvious that a purely propositional (i.e. non-imagistic) approach will have considerable difficulty in explaining the fit between the self-schema and Conrad's

plot-gene of penetration into the unknown. In that the riverboat journey as overall plot is metaphorically understood as standing for a process of the self it comes to be a 'megametaphor' of the most extensive kind conceivable, and one which is constituted by a relatively simple, yet central image-schematic model.

To what degree is this model a mere historical contingency? In response to this question a third somewhat tentative observation seems possible. Recall that we assumed that image-schematic plot-genes act as carrying vehicles for propositional details. The distinction between the imagistic plot-gene and the broader thematic cluster surrounding it may be a basis for an answer to the question of contingency. I showed that the broader Victorian psycho-political mindset in question encodes several resonating themes all linked through the deictic spatial schema of CENTER AND ALTERITY. In a general way they reflect social, gender, and racial anxieties with respect to shifting positions of distance, transgression and relative incorporation. However, more specifically, Conrad's novel also develops a thematic cluster including the eternal mystery of the (female) 'Other', its terror and fascination, and the power ultimately located therein. Even though these ideas are framed in close connection to the loss of self and the notion of wandering the existential fringes, it goes without saying that there is much more cultural knowledge to these resonating ideas than a single image schema could convey. The exact cultural idea of what the female is like, what sex means, what death is, what a stable psyche requires, and the like are not specified by the idea that the self is a space, nor could the manifold facets of such complex ideas ever be captured in a single schema. All these complex aspects are what I called (by default) propositional knowledge. As a further observation we may note that a crucial basic model of the self as centered space continues to be constitutive of all European cultures even today, whereas the distinctive Victorian anxieties framed in this model by Conrad no longer happen to be so virulent. The specific values, moods, and emotions associated with a loss of the self's center have changed, a point that is also demonstrated by Harrell's (1982) comparison of the public response to the 1900 *Heart of Darkness* with the response to Francis Ford Coppola's 1979 film "Apocalypse Now". To name but a few changes, today the strongly normative definition of the sane self has lost in power, the fear of degeneration is less pervasive, the human passions are more socially accepted, and inner restraint is certainly no more the psychological precondition of neo-imperialist domination. The 'Other' of our times, while still firmly in place as a mechanism, is defined in other terms in spite of the continuing existence of racism. So, where does this leave us? It seems that the

image-schematically defined self schema as a principal cultural schema can be expected to remain relatively stable, while the evaluative dimensions associated with it are more strongly subject to historical change. This suggests a generalized hypothesis to be tested: While each culturally important image-schematic model is 'rigged out' with a series of evoked associations (and must be), the former retains something like an organizing role. It is culturally more permanent and presumably more primarily selected from the cultural repertory, while other themes are organized around it. The underspecified nature of image schemas makes it natural for them to be enriched with various kinds of detail information. Thus, the penetration schema may remain stable at the same time that the exact cultural meaning and context of breaching one's self's boundaries has undergone transformation.

Now for some final considerations on the validity of the case-study. If the anxiety to lose one's self in 'decentered' states is indeed a prevailing Victorian schema, we should be able to track down the theme in many other places. A case in point is Bruce Mazlish's article "A Tryptych: Freud's *The Interpretation of Dreams*, Rider Haggard's *She*, and Bulwer-Lytton's *The Coming Race*" (1993). A few short extracts from Mazlish's analysis of these other contemporary novels dealing with the cultural 'Other', although different in intention from Conrad, will serve to enhance the credibility of my account. Even though the spatial self schema can only be indirectly inferred and the plot of the gradual transgression of a boundary is less central, an identical cluster of themes is most evident. Haggard's cultural metaphor of this Victorian thematic complex takes the form of a love story with the immortal "She" who rules in Africa through irrational terror, much like Kurtz. Again the locus of the irrational is a far off place, uncanny but enticing. In Mazlish's characterization, "a chaotic mix of love, sex, eroticism, necrophilia, death, and male curiosity about the supposed eternal feminine" (p. 734) runs through the novel. First, this fascination with the eternal feminine (as the 'Other' par excellence) has a counterpart in unspeakable terror, as expressed in the word's of Leo, the novel's hero: "no nightmare dreamed by man, (...) can equal the living horror of the place" (cited on p. 733). Like in the case of Marlow's mission, breaching the sphere of sanity also gives access to deeper power: "For Haggard, women symbolically embody the "greatest mystery in the world". Solving this mystery and finding the 'spot where the vital forces of the world visibly exist" give Leo and Holly, and thus mankind, the power to rule over the world (...)". And again the mystery takes the form of a spatial quest. Second, replicating the constitutive paradox and ambivalence in *Heart of Darkness*, Mazlish identifies a spiritual task at the core of, both, Haggard's

and Bulwer-Lytton's novels: "Both authors are also concerned with the need to defend and extend civilization, which they see as a spiritual, not material task. [Both men having served the causes of the Empire, they] see this task as a mission to be carried out by Englishmen. Yet, the core of being an Englishman – who, for them, is a combination of gentleman, secular missionary, and empire builder – there lurks the sense of unrestrainable passions symbolized by the eternal feminine. Hence the sense of terror and foreboding of evil at the heart of their books." (p. 741) This lurking danger is also the fear of being reduced to a baser state of humanity (an implicit heritage of the narcissist injury Darwin inflicted on Victorian culture), in the case of *She* metaphorically expressed as being reduced to baboons (When She dies she shrivels up to the stature of a baboon.) (p. 735). Third, restraint and keeping the psyche in place is again identified as the basis of power, reverberating in the alter ego depicted in She's rule. A rectified but subliminally revealing mirror image of She's irrational rule of terror, Queen Victoria's rule, "too, is based largely on imagination; for British regiments are always outnumbered by the savages among whom they exist but whom they dominate psychologically." Bulwer-Lytton's message fits perfectly into the present elaborations: Britannia will rule as long as the valiant Britishers project their self and act in a way that it keeps them at the secure center where self-control (and self-denial) reign supreme. Colonial discourse endeavors to stay poised in the metaphorical place where a sense of certainty can be endowed with the self-mystifying attributes of power and European cultural supremacy envisioned with ease. The imagined self that holds fast to its proper place is one that is not beset by doubts or weakness in the way the befuddled and horrified men on Marlowe's riverboat are. At the same time, somewhere deep down those who have come to the fringes of their ideal self sense that irrationality is the truer fountainhead of power. This enacted cultural contradiction of Victorianism appears to have been a compelling source of fascination for all of the mentioned authors and their audience alike.

## 8. Conclusion: hypotheses about sequential cognition

The general intent of the paper was to demonstrate the scope and power inherent in imagistic formats of mental representations. More specifically, the culturally structuring power of highly schematic imagery acted as a background condition for the present reflections. The essential argument went that the recognition of structural interrelations between models that form a the-

matic cluster is situated to significant extent in the schematic profile shared by several models.

*On the basis of the case study several general propositions about human sequential cognition have emerged.* (1) Overall metaphorical readings of sequences are possible and may constitute a significant level of understanding. Findings of the past show that the ongoing textual understanding is enriched by conceptual information adduced from prior scenes into quasi-imagistic blends of mood (Iser 1978) and that sustained undercurrents can evoke systematic metaphorical effects (Werth 1999). I submitted that these principles may apply to entire sequences, when people come to think about their main plot or key-metaphors. The basic cognitive mechanism responsible for an overall reading is the gradual build-up of an integrated summary image in the mind of the addressee (Langacker 1987). This sort of image may be the simplified image people retain after reading, seeing or listening to a sequence to organize its basic structure in their mind. A mnemonic memory trace of that sort acts as a scaffold for detail knowledge and may be intentionally fashioned by authors through cueing specific stylistic features. (2) Plot-genes can be image-schematic. It was argued that the memory trace of plot-genes takes effect through image schema extractions from such summary images to the extent that they are stored as analogous Gestalts in the mind. (3) It was surmised that the relatively simple Gestalt structure in the summary image functions as a bracing structure into which the more complex propositional details are inserted, that emerge, for example, as soon as one focuses on a specific scene in memory. In our case the CENTER AND ALTERITY schema and its dynamized version which I called PENETRATION form a thematic hub that links a complex agglomeration of cultural anxieties. (4) It was also argued that there may be sub-plots, such as the threshold image, that iconically replicate the overall plot-gene on the basis of their image-schematic structure. They serve to hint at and evoke the plot-gene for the first time or to replicate and reinforce it once it has been built up. (5) It was shown that artfully crafted sequential schemas, such as in novels, may gear into everyday models that are universally shared in a culture and creatively expand on them (cf. Lakoff/Turner 1989) in order to make historically virulent themes resonate. Again, they achieve this link on the basis of image-schematic similarities (such as the self as a centered sphere and the image of penetration into the unknown through a riverboat cruise). The general schema of the self forms the necessary background condition for a recognition of a specific overall metaphoric level in Conrad's novel. (6) It was proposed as a hypothesis that the basic image-schematic scaffold is historically more stable than the associ-

ated propositional details. Cognitive continuity in the basic images of culture is based on core images, such as the self as container, while the way these are fashioned and the inferences drawn on their basis may deviate significantly. (7) Finally, as a disclaimer it should be noted that it was neither proposed that the Victorian self schema is a cultural universal, nor that it captures nearly all aspects associated with the self in that culture and epoch.

A key question for further research is how the levels of bracing themes and local imagery are interwoven into a textual fabric. Another serious issue that has perhaps been passed over too lightly here concerns the individual variations in cognitive strategy and the idiosyncrasies in thematic emphasis in the way readers from the same cultural background acquire an understanding of deep metaphors. It is generally accepted now that there is no one true reading of a novel. While cultural cognitive analysis can in principle at least shed light on prevailing cultural dispositions and the scope of variation (Quinn 1991), this is more difficult in the case of deep structures that speak to the audience's unconscious. This hard-to-resolve issue is the price to be paid for a perspective on metaphor on a complex supra-sentential level. The layer of meaning in focus here is more implicit and thus more elusive than in the metaphors traditionally studied, precisely because it adds intricately to the primary level of text comprehension. I hope that the present study has contributed to demonstrating that  the major cultural and emotional impact of a text can reside at this very level, more than in the superficial givens, the 'literal' reading.

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# "No sex, please, we're Anglo-Saxon?"
# On grammatical gender in Old English

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## 0. Introduction

The Old English gender system is traditionally presented as a homogeneous one assigning nominal gender on the basis of class membership (grammatical gender) and not on semantic criteria like animacy or sex (natural gender). In the following I shall challenge this monolithic view of gender assignment and assume a major split in the OE gender system based on two opposing lexical subsets: first, the layer of non-animate nouns, which was still firmly rooted in grammatical gender, and secondly, the domain of (human) animate nouns, which were already following the tendencies of natural gender to a much wider extent than is traditionally assumed.

## 1. The traditional view

It is generally accepted that OE inherited its three (grammatical) genders from Germanic (Hirt 1932: 15-6). These in turn had developed from an "Indo-Eurpoean system of three genders [which] must, however, have arisen from a two-class system" probably based on an original animate : inanimate opposition. (Szemerenyi 1996: 156; Hirt 1932: 16). Szemerenyi, however, stresses that the three-way distinction of masculine : feminine : neuter "was fully developed even in the so-called marginal languages" and must therefore have been a common IE development. This three-way system later found its way through Germanic into OE.

Concerning OE, the traditional story is summarised by Hogg (1992) in the following way:

> Grammatical gender, as expressed not only in Old English but also in other languages, is not based on sex. Thus we find examples such as masculine *se wifmann*, feminine *seo hlæfdige* and neuter *þæt wif*, all with the core meaning of 'woman' […].                                                              (Hogg 1992: 125)

That is, any OE lexeme regardless of the referent it represented could theoretically fall into any of the three gender classes (m/f/n) so that masculine

nouns could represent either male referents (*cyning* 'king'), female referents (*wifmann* 'woman') or unsexed referents (*stan* 'stone'). The same basically holds true for female and neuter nouns (see (1) below). Thus, gender assignment was basically grammatical, not natural, and the two could conflict as in (c, d, f, g, h below), but could also coincide as in (a, e, i). If we map various masculine, feminine, and neuter nouns onto the semantic criteria of ±animate and male vs female, then the system under (1) does indeed look fairly complete (with the exception of the missing feminine terms for male referents). (See (1-b) below.) Consequently, the only categories that are overtly realised in the matrix under (1) are based on the grammatical-gender contrast between masculine : feminine : neuter (expressed e.g. by the demonstrative pronouns / articles *se:seo:þæt* 'the, that' or the personal pronouns *he:heo:hit* 'he, she, it'), while there is no formal distinction based on either of the semantic categories ±animate or male vs female.

(1)

| | | | m. | f. | n. |
|---|---|---|---|---|---|
| +animate (human) | ♂ | a | *se cyning* 'the king' | b | c *þæt cnihtcild* 'the boy' |
| | ♀ | d | *se wifmann* 'the woman' | e *seo cwen* 'the queen' | f *þæt wif* 'the woman' |
| -animate | | g | *se stan* 'the stone' | h *seo duru* 'the door' | i *þæt scip* 'the ship' |

(cf. Lass 1992: 107)

From this bird's-eye-view, the system of OE gender indeed looks homogeneous and unproblematic. However, this is the point where typically more detailed descriptions kick in which focus on the specific behaviour of human animate nouns. And these observations tend to contradict a nicely balanced view of the gender system as presented under (1) above. In contradistinction to the rest of the system, human animates show a marked tendency towards natural gender assignment. Baugh - Cable (1993: §42) observe e.g. that "nouns designating males are often masculine and those indicating females feminine" and Traugott (1992) mentions that

> [o]ne tendency is to focus on natural rather than grammatical gender in the case of humans […].                                                      (Traugott 1992: 177)

Such a tendency towards natural gender is also observed in relation to pronominal agreement so that "a pronoun in a conjoined or subordinate clause would tend to agree with the natural gender of the noun" (Lass 1992: 107). The upshot of these observations is that there exists a subset of OE lexemes where tendencies of gender assignment clearly run counter to the overall system. This observation is certainly not new and has in the past been identified

as one of the driving forces of change towards the modern system of natural gender. Thus, Mitchell - Robinson (1992: §12) hold that "[t]hese opposing tendencies […] contribute to the later disappearance of grammatical gender in English" and a similar point is made by Lass (1992) who states that

> [g]iven this early conflict between two types of gender assignment, we can see the subsequent history as a cumulative weighting of 'decisions' in favour of natural gender […]. (Lass 1992: 107)

Despite this implicit awareness that the OE gender system was far from homogeneous and actually based on conflicting tendencies, there is a surprising lack of information regarding the following two aspects: First of all, the extent of the divergence between human animate and non-animate lexemes has yet to be studied. And secondly, we are still lacking an overall assessment of whether this divergence should have repercussions on systemic descriptions of OE gender and gender assignment. In order to tackle these points I shall contrast the gender assignment in human animate vs non-animate nouns.

## 2. The category of "animacy" and the gender of animals

Before we go into a more detailed discussion regarding the gender in human animate and non-animate nouns, I would first of all like to subject the opposition of ±animate to closer scrutiny. This contrast seems - on the face of it - quite natural and unproblematic, while in actual fact the category of animacy will turn out to be quite idiosyncratic. To start with, the point has been made that "animate", in ModE at least, denotes "human animate" despite the fact that even from a layman's understanding of nature plants and animals are clearly animate as well. "Natural" gender therefore does not equate the gender of the noun with the sex of its referent. Rather gender is merely related to the **class** of referent involved so that human animates take masculine or feminine gender while all other classes of referents (animals, plants, objects, abstracts) receive neuter gender. If this were the end of it, gender assignment would still be automatic and unequivocal. But the ModE notions of animacy and gender are even less straightforward than that. As far as animals go, there is a further complication in gender assignment. While human animates are categorically either masculine or feminine and plants, objects, abstracts categorically neuter, animals can shift between the two classes depending on "familiarity or involvement" (Biber 1999: 317) on the part of the speaker. At this point gender assignment in ModE ceases to be automatic and unequivocal since animals may take masculine, feminine or neuter gender according to the attitude of the speaker. In other words in this layer of the lexicon, gender depends primarily on the speaker rather than on the referent, i.e. gender is in actual

fact **pragmatic** with animals, while it is **natural** with other referents. The seemingly straightforward categories of ±animate and the repersussions for gender assignment are therefore anything but straightforward and this discussion has not even included the traditional mention of the problematic genders of neuter *child* and *baby* and feminine ships and machinery. It is against this background that I have decided to disregard the lexical set of animals in the present study since an unequivocal categorisation of animals as either animate or non-animate seems to be highly problematic from a linguistic (if not from a biological) point of view.[1]

## 3. Native vocabulary

Let us first take a closer look at the human animate nouns of the matrix (a-f) under (1) and consider how fully the m/f/n opposition is actually realised in this subset. The first and most obvious weak spot of the system can be found under (b), i.e. the lack of any feminine nouns for male referents. As for the other cells, Jones (1988) reports some interesting figures from a survey of Bosworth – Toller (1882).

> An examination of nominal lexical items in Bosworth – Toller (1882) reveals that there indeed appears to have been a strong tendency to […] associate human male animates with a particular gender class traditionally […] called the masculine. Likewise […] there was a tendency to restrict human females to a single gender class grouping – the feminine.        (Jones 1988: 4)

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1  According to Jones (1988), OE lexemes for animals seem to occupy a transitional position. On the one hand, some

> [l]exical items referring to *non-human mammals* also show a strong predelection to equate maleness with the *masculine* gender, femaleness with the *feminine*.
>        (Jones 1988: 8)

as e.g. in *bucca* 'he goat'; *bicca* 'bitch' (cf. Jones 1988: 8). Pure grammatical gender, on the other hand, is evidenced in other cases where

> [n]on sex-specific mammals appear to be randomly entered in the three gender classes        (Jones 1988: 8).

Examples of this type are *apa* m. 'ape' and *colmæse* f. 'titmouse' (cf. Jones 1988: 8-9). This behaviour of gender in animals is remindful of the ModE situation where this lexical set (or at least a substantial number of its members) seem to have a similar transitional role between human animate nouns and non-animates. While human animates are categorically either masculine or feminine and non-animates categorically neuter, many non-human animates can shift between the two classes depending on "familiarity or involvement" (Biber 1999: 317) of the speaker. So even though the overall system of gender assignment has changed from OE to ModE, the fact that non-human animates still take an intermediate position between the other two major sets of human animates and non-animates does not seem to have changed substantially.

Observations such as these serve to indicate that gender assignment on the basis of natural gender has its beginnings in this - the [+animate, +human] - part of the OE lexicon, but this fact is not normally taken to have any wider systemic significance. Let us therefore take a closer look at the rough figures which Jones provides (see table 1). Limiting himself to human animate nouns, Jones (1988: 4-6) counts c.580[2] masculine lexemes for male referents (e.g. *brytta* 'lord') and another 74 feminine lexemes for female referents (e.g. *acennincge* 'mother'). In these 654 lexical items natural and grammatical gender coincide. But he also mentions some 18 items whose grammatical gender is contrary to sex (e.g. neuter *wif* 'woman'; Jones 1988: 6-7) and he lists another 40 which "leave open the assignation of sexual group" (Jones 1988: 7). (See table 1 under "misc.".) These lexemes amount to 8,15% of a total of 712 human nouns. (See table 1 below). In other words natural gender coincides with grammatical gender in over 90% of the lexical types involved. Therefore, the assessment that human animate nouns, as participants in the OE gender system, generally follow grammatical gender[3] is based on less than 10% of lexemes, where gender is contrary to sex.

*Table 1*    Jones (1988)

|  | natural gender = grammatical gender | natural gender ≠ grammatical gender | total |
|---|---|---|---|
| human animate ♂ | 580 | 0 | |
| ♀ | 74 | 18 | |
| misc. | 0 | 40 | |
| total | 654    91.85% | 58    8.15% | 712 |

I have conducted a similar – albeit smaller – survey based on a random sample in which I recorded the genders of the first eight nouns on every 5th

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2  Unfortunately, Jones's wording of the observed frequencies is somewhat ambiguous. He counts "some two hundred and fifty [masculine] items" (Jones 1988: 4) of the type ending in <-a> (e.g *brytta* 'lord') and reports that "[a]lmost as common are those nominal items terminated by <-end(e)> and <-ere> suffixes" (Jones 1988: 4-5), e.g. *æscber-ende* 'warrior' and *clænsere* 'priest'. However, to me it is not quite clear whether this means 250 items **each** for types in -ende and -ere or as a total. I have made my calculations on the basis of 250 **in total** because this will produce results less favourable to my position. Finally, Jones (1988: 5) reports "some eighty" masculine nouns "suffixes by <-man(n)>", e.g. *æcermann* 'farmer'.

3  Cf. e.g. Hogg's (1992: 125) quote in section 1.

page of Hall (1960).[4] The results are shown below in tables 2a, b. Human animates again feature the same strong preference for natural gender as is reported by Jones (1988). Of the 90 relevant lexemes the grammatical gender of 87 coincides with their natural gender, i.e. in 96.67% of the cases grammatical gender is in fact indistinguishable from natural gender. (See table 2b). In other words, natural gender is the rule in OE human animates, while unequivocal grammatical (contrary-to-sex) gender is the exception.

*Table 2a* Gender in the native vocabulary (cf. Hall 1960; sample)

|  |  | m. |  | f. |  | n. |  | total |
|---|---|---|---|---|---|---|---|---|
| non-animate |  | 177 |  | 257 |  | 122 |  | 556 |
| human animate | ♂ | 77 | 97.47% | 0 | 0.00% | 2 | 2.53% |  |
|  | ♀ | 0 | 0.00% | 10 | 90.91% | 1 | 9.09% |  |
|  | total |  |  |  |  |  |  | 90 |
|  | total |  |  |  |  |  |  | 646 |

*Table 2b* Natural vs. grammatical gender in the native vocabulary
(cf. Hall 1960; sample)

| non-animate |  |  | human animate |  |  |
|---|---|---|---|---|---|
| nat. = gramm. | 122 | 21.94% | nat. = gramm. | 87 | 96.67% |
| nat. ≠ gramm. | 434 | 78.06% | nat. ≠ gramm. | 3 | 3.33% |
| total | 556 | 100.00% |  | 90 | 100.00% |

$(p<0.001; \chi^2=197.626; df=1)$

But this is only part of the story. What I also want to show is that gender assignment works in two contrasting ways with human animates as opposed to non-animates. Again the relevant figures are given in tables 2a, b. Of the 556 non-animates sampled, over three quarters (78.06%) show contrary-to-sex (i.e. non-neuter) gender assignment, so grammatical gender is apparently at the forefront in this lexical domain.[5] Only 122 non-animate lexemes feature neuter gender and thus natural gender assignment, which makes for just 21.94%. This contrasts with 96.67% reported for the domain of human animates. The probability that this contrast is due to chance is below 1 in 1000

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4 Lexems whose gender was marked as doubtful ("?") were excluded from the tally, as were 14 cases with multiple gender and non-human animates, i.e. animals and supernatural beings.

5 This is reported on an impressionistic basis by Jones (1988) as well who observes that "by far and away the most characteristic feature of grammatical gender assignation in West Saxon Old English lies in the way in which (non-human) non-animates are relegated to either of the three gender groups in a fashion devoid of semantic or other motivating factors […]". (Jones 1988: 10)

(p<0.001). This statistically significant difference is the first empirical indication that even though both sets of lexemes are based on grammatical gender the extent to which this is actually realised shows a dramatic disparity.

In this context it is moreover significant that the non-animates are more than just insensitive to natural gender. If we were dealing with the mere absence of a tendency towards natural gender in non-animates, we would expect them to feature neuter (i.e. natural) gender at the chance frequency of one in three, i.e. 33.3%. But at a percentage of 21.94% they actually fall noticeably below this chance level. A binomial test shows that this difference is statistically significant (p<0.0001), i.e. gender assignment in non-animates shows an active tendency away from natural gender while human animates are characterised by an obvious tendency towards natural gender (at a level of over 90%). Thus, the two lexical subsets function on the basis of completely opposing tendencies. This indicates that gender assignment moves in two substantially different directions depending on the lexical domain involved, i.e. whether we are dealing with human animates or non-animate lexemes. Against this background a more discriminating description of OE gender might indeed be called for.

Finally, these opposing tendencies of gender assignment also show an unexpected structural-systemic effect. That fact that human animates favour natural gender means that masculine and feminine gender is strengthened and neuter weakened, and the contrasting tendency away from natural gender in the non-animates actually creates the identical effect, viz. again higher frequencies of masculines and feminines and a weakening of neuters. The systemic insignificance of OE neuters can be regarded as a direct result of the tendencies of gender assignment as discussed above and we shall encounter similar indications of the marginal status of the neuter gender later on.

## 4. Pronouns

In this section we shall discuss the preferred gender choices in anaphoric personal (and possessive) pronouns. These will again provide further evidence that contrary-to-sex gender assignment in human animates must already be regarded as exceptional in OE while it was still the norm with non-animates. Thus, in instances where the adnominal system (determiners, adjectives) features contrary-to-sex gender (e.g. *þæt cnihtcild*), the pronominal system tends to shift to natural gender (thus, *þæt cnihtcild* [neut.] ⇨ *he* [masc.]). Accordingly, (a) male neuters tend to take natural gender *he* instead of grammatical

gender *hit* 'it' and similarly (b) female masculine and neuter nouns are taken up by natural gender *heo* 'she' instead of by grammatical gender *he* or *hit*.

(2)
        a. ÆCHom i. 24. 27 Ðæt cild [neut.] …he
        b. ÆCHom i. 14. 21 ænne wifman [masc.] … heo (Mitchell 1985: §69)

  Mitchell reports that this tendency towards natural gender in the pronouns is the rule in (human) animates.

Neuter nouns referring to males/females tend to take *he/heo* rather than *hit* and masculine nouns referring to females tend to take *heo* rather than *he*. Here sex triumphs over gender. (Mitchell 1985: §71)

I.e. to say the extra-linguistic referent has become the primary consideration for gender assignment and no longer the textual antecedent. But this is only true of (human) animate antecedents. By contrast, the tendency towards natural gender pronouns does not readily extend to non-animates. Examples where it does occur, cf. e.g. *ænne arc* [fem.]*…hit* [neut.] ÆCHom i. 20. 31 (Mitchell 1985: §69) are clearly the exception rather than the rule. Or in Mitchell's words:

Masculine/feminine nouns referring to asexuals tend to take *he/heo*. Here gender triumphs over sex. (Mitchell 1985: §71)

Again, the subset of human animates is clearly characterised by productive natural gender, while for the non-animates grammatical gender is still productive.

If under these auspices we take a second look at the matrix established under (1), I believe we will arrive at a markedly different picture. While under (1) we still assumed that the system was fairly complete and evenly distributed, we can see under our modified view (2a, b) that the system is actually quite unbalanced and clearly not homogeneous. While the non-animates feature a full and productive ternary opposition (m/f/n) based on grammatical gender in the adnominal and the pronominal systems ("+/+"), the human animates have been in effect almost reduced to a binary opposition (m/f) based on natural gender. Only masculine nouns for males (a. *se cyning*) and feminine nouns for females (e. *seo cwen*) are frequent lexical types. Moreover, it is only these which readily take the corresponding pronouns, *he/heo* respectively ("+/+").

(2a)

|  |  | m. | | f. | | n. |
|---|---|---|---|---|---|---|
| human animate | ♂ | a  **SE CYNING** | b | | c | þæt cnihtcild |
| | ♀ | d  se wifmann | e  **SEO CWEN** | | f | þæt wif |
| non-animate | | g  **SE STAN** | h  **SEO DURU** | | i | **ÞÆT SCIP** |

(2b)

|  |  | m. | f. | n. |
|---|---|---|---|---|
| human animate | ♂ | +/+ | | ~/~ |
| | ♀ | ~/~ | +/+ | ~/~ |
| non-animate | | +/+ | +/+ | +/+ |

"+" = major, productive category; "~" = minor, non-productive category. The first symbol represents the adnominal system (determiners, adjectives); the second one represents pronominal choices.

Conversely, there are comparatively few instances of contrary-to-sex masculine female substantives (d. *se wifmann*), neuter male substantives (c. *þæt cnihtcild*) and neuter female nouns (f. *þæt wif*) to begin with ("~"), and those that do occur rarely take pronouns that are assigned to them on the basis of their original grammatical gender ("~") - these antecedents rather favour natural gender pronouns (see example (2)). That is to say the system of grammatical gender is no longer truly viable for human animates in OE in regard to the adnominal and even less so in regard to pronominal choices.

What (2b) also shows is that in the OE system of genders, the neuters have in fact turned into the weakest element. They only occurred with some frequency in the single subset of non-animates ("+/+") but were dispreferred with human animates ("~/~"). And even among non-animates we saw that their frequency was significantly below chance level. (Cf. section 4.) Masculine and feminine nouns on the other hand were firmly established in both lexical subsets ("+/+"). With this modified view of things we shall take a final look at some more data, this time concerning the gender assignment in OE loanwords.

## 5. Loans

Welna (1980) presents figures for loanwords which are even more significant than those reported for the general vocabulary because the behaviour of loans indicates what sort of gender assignment was productive at any given time. In regard to animate nouns Welna observes that

> [i]n Old, English no foreign nouns marked for sex apear with contrary-to-sex assignment. Consequently, 98 foreign nouns denoting males and 16 nouns denoting females were, in Old English, assigned masculine and feminine respectively. (Welna 1980: 401)

That is to say, as far as loanwords are concerned there is no indication that gammatical gender was at all productive with animate nouns any longer since no contrary-to-sex gender assignment is reported by Welna. Of the 114 animates he discusses, all show categorical natural gender. (See tables 3a, b.)

*Table 3a*  Gender in OE loans (cf. Welna 1980: 400-3)

|  |  | m. |  | f. |  | n. |  | total |
|---|---|---|---|---|---|---|---|---|
| non-animate |  | 179 | 44.53% | 170 | 42.29% | 53 | 13.18% | 402 |
| animate | ♂ | 98 | 100.00% | 0 | 0.00% | 0 | 0.00% |  |
|  | ♀ | 0 | 0.00% | 16 | 100.00% | 0 | 0.00% |  |
|  | total | 98 |  | 16 |  | 0 |  | 114 |

*Table 3b*  Natural vs. grammatical gender in OE loans

| non-animate |  |  | animate |  |  |
|---|---|---|---|---|---|
| nat. = gramm. | 53 | 13.18% | nat. = gramm. | 114 | 100.00% |
| nat. ≠ gramm. | 349 | 86.82% | nat. ≠ gramm. | 0 | 0.00% |
| total | 402 |  |  | 114 |  |

In contrast to this, the non-animates show a coinciding of natural and grammatical gender in only 13.18% of loans, i.e. significantly below the chance level of 33%. Welna summarises the behaviour of the neuters in the following way:

> The process of gender assignment of Old English loanwords fully confirms the tendency to eliminate neuter […];                                      (Welna 1980: 410).

This means that while the animate loans have categorical natural gender (i.e. natural and grammatical gender coincide at 100%) the level among non-animate loans is even below that in the native vocabulary (21.40% vs 13.18%; see table 2b). Therefore gender assignment in non-animate loans moves away from natural gender to an even greater extent than in the native non-animates.

From a systemic point of view this development is actually not surprising. In the previous sections we already observed that the neuters were the weakest component in the gender system, and this tendency is simply more fully developed in both subsets of loanwords. Where native human animates strongly dispreferred neuter gender, we find its categorical absence in animate loans (and thus no contrary-to-sex gender assignment any longer; see (3) below). And we can observe a corresponding weakening of neuters in the non-animate loans as well (see (3) "~").

(3) *OE loanwords*

|              |   | m. | f. | n. |
|--------------|---|----|----|----|
| animate      | ♂ | +  |    |    |
|              | ♀ |    | +  |    |
| non-animate  |   | +  | +  | ~  |

It should be understood, however, that we are witnessing something of a paradox here. The obvious trend towards natural gender in the animate nouns can only be fully realised by the total loss of the neuters from this subsystem. However, as soon as this weakening of the neuters is extended to the whole system, i.e. to non-animates as well, it results in a reciprocal strengthening of grammatical gender in the subset of non-animates.

What remains to be seen is whether gender assignment in non-animate loans really establishes a significant difference to the native vocabulary. If we compare Welna's figures with those of our sample from Hall (1960), the results in table 4 show that the gender differences between native and borrowed non-animates (21.94% vs 13.18%) are statistically significant (p=0.0005), which means that non-animate loans move even further away from natural gender assignment than the native non-animates have done.

*Table 4* Gender in non-animate nouns (loans vs. native vocabulary)

|                                          | n. |        | m./f. |        | total |         |
|------------------------------------------|----|--------|-------|--------|-------|---------|
| loanwords (Welna 1980: 400-3)            | 53 | 13.18% | 349   | 86.82% | 402   | 100.00% |
| native vocabulary (Hall 1960; sample)    | 122| 21.94% | 434   | 78.06% | 556   | 100.00% |
| total                                    | 175|        | 783   |        | 958   |         |

(p=0.0005; $\chi^2$=11.986; df=1)

## 6. Conclusion

Summing up the previous observations, it should have emerged that the tendencies of OE gender assignment must be described in more complex ways than is generally done. Depending on whether one favours a functional or a structural stance an account of the figures presented in sections 4-6 will differ slightly but we shall see that the gist concerning a split system will remain the same. Up till now we have accounted for things mainly with a functional hat on. Thus, we argued that the primary tendency in the OE gender system was the functional one of strongly favouring the assignment of natural gender in human animate nouns. From a functional point of view this would be regarded as the main driving force which had the further effect of removing neuters from the subset of human animates. And this in turn accounts for the weak status of neuters generally since they are only a marginal category

among non-animate lexemes either. Finally, this lower-than-average frequency of neuters among non-animates also means that this lexical set features an obvious trend towards contrary-to-sex gender assignment, which the human animates, by contrast, have virtually left behind at this stage. The major lexical sets of human animates and non-animates therefore follow two completely opposing trends of gender assignment.

From a slightly more structuralist point of view, our account becomes even more elegant. (See (4) below.) In this case the primary factor must be regarded as a general trend to marginalise the whole neuter gender in both animate and non-animate nouns (which we established empirically by statistical procedures). Given the system as it is, this overriding tendency has two opposing effects in the sets of animate vs non-animate nouns. In the animates it promotes natural gender and the loss of contrary-to-sex gender assignment while in the non-animates it results in a strengthening of contrary-to-sex gender assignment and thus grammatical gender.

(4)

|  |  | m. | f. | n. |  |  |
|---|---|---|---|---|---|---|
|  |  |  |  |  | > | *structural trend: marginalisation of neuter* |
| animate | ♂ | + |  |  | > | *effect 1 (animates): natural gender strengthened* |
|  | ♀ |  | + |  |  | ⇕ |
| non-animate |  | + | + | − | > | *effect 2 (non-anim.): grammatical gender strengthened* |

So whichever way we look at it, the fact remains that OE gender assignment was neither straightforward nor homogeneous and that it encompassed trends which were quite conflicting and far from monolithic as the simple epithet "grammatical gender" tends to imply.

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# EIL: a global, a European and an Austrian perspective

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In this paper I would like to offer a wider perspective on some issues already briefly mentioned (or hinted at) in Spichtinger (2000b). It is not my intention to offer ready made solutions but rather to raise issues which, to me, seem to be worth discussing. In this sense I suppose one could call this paper a consciousness raising one. I argue that the global spread of English is a phenomenon which can be best understood if one takes multiple perspectives into account. In the following I will therefore look at EIL from a global, a European and an Austrian perspective.[1]

## 1. World Englishes

Since the fall of the Berlin wall we have moved away from a bipolar global system (with the main centres of power in Moscow and Washington) to a multipolar world with one remaining superpower (the USA) and a variety of local powers. This development, I would suggest, is not dissimilar to a recent paradigm shift in applied linguistics, language pedagogy and ELT: for a long time it was believed that British English (with an RP accent ) and American English (General American pronunciation) were the only acceptable norms. Later, the validity of varieties from former British dominions (such as Australian English or Canadian English) was acknowledged but generally these varieties were conveniently ignored.

Nowadays, the main thrust in applied linguistics and language pedagogy seems to move away from such native-speakerism towards a growing acceptance of non-native forms.[2] It has been realised that the inhabitants of former British colonies such as Nigeria, India or Pakistan have appropriated English

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1  The topics of this paper are treated at length in my MA dissertation (under the supervision of H.G. Widdowson) (Spichtinger 2000a).

2  However, the growing acceptance of non-native speaker standards in academic circles does not mean that all (or even a majority of ) English language teachers have moved away from native speakerism.

for their own purposes and to a growing extent no longer adhere to the British standard (see Kachru's [1986] pioneering study).

*Table 1*    Preference for models of English among final Bachelor degree students (Shaw (1981) qtd. in Kachru (1986: 23)).

| Model | Singaporeans | Indians | Thais |
|---|---|---|---|
| British | 38.3 | 28.5 | 49.1 |
| American | 14.4. | 12.0. | 31.6 |
| Australian | 0.6 | 0.3 | 0.3 |
| Own way | 38.9 | 47.4 | 3.5 |
| Others | 7.8 | 11.8 | 15.5 |

Looking at the global use of English one can distinguish two major functions. Firstly, English is used as an international lingua franca. Secondly, it is used intranationally to impart local cultural traditions and values (Kachru 1995 [1992]: 244). English is thus the carrier of many cultures, of myriad values, of different religions and of antagonistic political systems (Chew 1999). While local intranational forms of English have a strong connection with community and identity, international English is associated with communication and information. Therefore, in its use as a global lingua franca EIL is to a large extent ESP (see Widdowson 1997).

The concept of EIL forces us to re-evaluate the notion of "authenticity". Authenticity proposes to deal with "real English" - which is defined as English as spoken by a native-speaker (Widdowson 1994). Alternatively, it has been suggested to focus on teaching appropriate English. Appropriate pedagogy should

> prepare learners to be both global and local speakers of English and to feel at home in both international and national cultures.            (Kramsch and Sullivan 1996: 211)

## 2. English as a European language

## 2.1. The Spread of English in Europe

Since the end of World War Two, the use of English has vastly increased all over Europe. While business people have often welcomed this trend, some sections of the population, particularly language purists, have voiced grave concern over the spread of English in various domains. A reader of Austria's most popular newspaper, for instance, complains:

> In jedem Gasthaus, Eissalon oder Cafe dröhnt das Radio englische Songs, die keiner übersetzen kann. Hauptsache sie sind laut. Was habe ich vom schönsten Text, wenn ich ihn nicht verstehe.            (Neue Kronen-Zeitung 17.7. 1999:19)

In France, concern for the French language has even led the government to adopt measures to restrict the use of English loans (the so-called language laws).[3]

At the EU level concern for national languages has led to a policy of official multlingualism. This policy is, however, hypocritical in two respects. Firstly, multilingualism is often used as a slogan to avoid the downgrading of one's own national language.[4] Secondly, in the day to day workings of the European institutions the equal treatment of 15 languages is impossible. Thus French, English and German are designated unofficial working languages. German, however, is constantly in danger of loosing this special status (one may recall the language debate during Finland's EU presidency in 1999).

## 2.2. Appropriating English for European purposes

Generally, it seems that English in Europe is still very often perceived as a "foreign" language in competition with the "national" language. The idea of a "national language" as one of the most important unifying symbols of nationhood goes back to the 19th century (see Coulmas 1991). I suggest that it is time to leave such nationalism behind and to take a more open and tolerant attitude.

Although there are, of course, pronounced differences between former British colonies and European countries, I do think that we can learn from the way the former have appropriated English for their local purposes. After all, the EU is a multilingual construct and its "language problem" is not dissimilar from other multilingual societies. In Nigeria or India English was not retained because it was the language of the coloniser, but because it was realised that it would fulfil a useful function.[5] Similarly, English will not be accepted as a European lingua franca as long as it is regarded as "the language of the Brits." If we more away from such nationalistic attitudes we will, however, discover that English is extremely useful as a European lingua franca. Put shortly, the

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3  However, as Flaitz (1993) shows, these purist concerns are not shared by the population at large and the attitude towards English is more positive than could be expected from official pronouncements.

4  Thus, politicians are often far less keen on promoting multilingualism on the **national** level.

5  Phillipson (1992) argues that English in those countries is an imperialist tool. However, this view has rightly been criticised as being overly simplistic (see Spichtinger 2000a: 9-14).

way forward is to learn from former British colonies and to make the English language our own, to appropriate it for our purposes (a similar view is taken by Berns 1995). In fact, EU officials, have already developed their own (specialist) variety of English - sometimes called "EU-English", "Eurospeak" or "Euro-English" (see Born [1996: 70-75] for a detailed description). It is important to point out that, contrary to some comments, Euro-English is not "bad" English, it is simply English appropriated for the purposes of those working in the European institutions.

Those arguing against having English as the working language in the EU institutions usually state that its native-speakers would have an enormous advantage because they would be able to work more efficiently (e.g. Volz 1994). But if Euro-English (and not the British or American variety) is seen as the appropriate standard for those working in the European institutions, the advantages of the native-speakers are significantly reduced because both native speakers and non-native speakers would have to conform to a non-native standard.[6]

To a certain extent English has also been appropriated in European business. According to Hollqvist, French English, German English, Thai English and American or British English are treated on the same level in Sweden (1984: 119). Moreover, he reports that Ericsson even tried to create its own version of English, referred to as "Ericsson English" aiming at a carefully restricted range of vocabulary and structures without loss of accuracy and appropriate tone (1984: 93). However, the project turned out to be a failure because it was not sufficiently accepted by the employees.

## 2.3. Finding an appropriate model: the polymodel approach

If we regard English as belonging to us Europeans this leads us to the question whether it is really appropriate to teach British or American English. However, if we reject these native speaker models we face the problem that it would be extremely difficult – if not impossible – to find a common European endo-normative model. Even if some sort of "Euro-English" existed outside of specialised domains (like the EU institutions) it is not (yet) described and thus not suitable as a teaching model.

As a way out of this dilemma I suggest a polymodel approach. Beginners would be introduced to what I would like to call a "core standard" that is

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6  While this would certainly diminish the advantage of the native speaker of English it does not completely abolish it, as a native speaker would probably learn Euro-English easier.

British and American English. After all, these varieties are not only the most prestigious but also the best described and the most widely taught. Regarding pronunciation, the teacher will, in most cases, approximate one of these two varieties. However, through the use of audio-visual material it can easily be ensured that pupils are exposed to both varieties.

At a more advanced level, when the pupils have attained a fair command of this "core standard", they should be exposed to other native and non-native varieties of English in a controlled way. Thereby, several aims would be accomplished: firstly the pupils would be made aware of the richness of the English language. Secondly, the presentation of different varieties of English should be connected with an introduction to the respective cultures and would thus serve to promote intercultural tolerance and understanding. Thirdly, exposure to the way other Europeans speak English will prepare the pupils for interaction with other non-native speakers. Last but not least, pupils should realise that it is wrong to consider one language variety superior to another.

Because of the current approach, which is almost exclusively anglocentric, many children (and adults) feel they have not mastered English because they do not speak English like a native speaker. The polymodel approach, by contrast, does not stigmatise national accent, which is, after all, a marker of one's identity. Instead, a standard should, as Modiano suggests, include those characteristics of pronunciation which are discernible to a majority of native and proficient non-native speakers (1999: 10; these characteristics are described at length in Jenkins 2000). In other words, the guideline for evaluating deviations would have to be mutual intelligibility. In this context, it has been shown that native speakers are **not** necessarily better understood than non-native speakers (see the discussion in Berns 1990: 47-8).[7]

I believe that exposure to many varieties does not result in a confusion of the pupils if these Englishes are presented in a controlled way and if we build upon a "core-standard". Because of the European monolingual tradition we generally tend to underestimate the capacity of children to deal with more than one language (or language variety). After all, children learn five or six languages in many African countries.

In effect, the polymodel approach would be descriptive rather than prescriptive. Thus, it has the advantage that it addresses the concept of standards and models from a perspective which cherishes rather than condemns diversity and which is thus more appropriate for multilingual Europe than the cur-

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7 Furthermore, Firth demonstrates that non-native speakers show a "remarkable ability and willingness to tolerate anomalous usage and marked linguistic behaviour" (1996: 247).

rent Anglo-centric model (this is in line with the appropriate pedagogy presented above).[8] Admittedly, the polymodel approach puts the teacher in a rather difficult position. He or she must be able to "distinguish *deficiencies* in the acquisition of English...from varietal *differences* in the students' usage..." (Lowenberg 1993: 101, although he makes this remark in regard to examiners). Here, further methodological suggestions would be extremely helpful.

Moving from grammar and pronunciation to content, it seems clear that in teaching English as a European language one would have to put less emphasis on embedding English in an Anglo-American context. Rather, teaching material should focus on interaction in English between non-native speakers (see also Berns 1995: 27-28). Furthermore, it should be emphasised that English is not only the inter-European language of business and commerce but that it can also be a means of expressing one's European identity (see below).

## 2.4. English Only?

It must be stressed, though, that to affirm the "Europeaness" of English is not equal to a plea for "English Only"; it does not in any way mean that other languages are not important as well. If we want to make English a truly European language we should avoid the fallacies of monolingualism and of the native speaker (see Phillipson 1992) at all costs.

The crucial question is whether English will function as an intra-European language outside of specialised functional domains. On the one hand, this seems likely because more and more Europeans from different countries will get into contact with each other as European unification progresses. On the other hand, it is not certain that the general population will accept English as a language of their European identity. While I agree completely with Coulmas (1991: 27) that the ideological dead weight of the 19th century, that is linguistic nationalism, must be dropped, I am also aware that this is much easier said than done. Trying to replace national identity (and language) with a supranational one is certainly the wrong way. Instead we should try, as Haarmann (1991: 111-112) suggests, to achieve a **balanced** identity where the basic needs of national self-recognition do not collide with supranational integration. This aim would be achieved if it is realised that it is perfectly possible to

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8  Keeping the material benefits that Britain has reaped from a native-speaker oriented ELT in mind (see Spichtinger 2000a: 15-17), it is hardly surprising that decision makers in the UK – for instance Nick Tate (a chief executive of the British Qualification and Curriculum authority) – continue to advertise British English as best for Europe (as reported in the Global English Newsletter: i).

be a Viennese, an Austrian and a European and that, consequently, one can speak German as one's national and English as one's European language.

## 3. EIL in Austria

Generally speaking, conservative tenets are largely upheld in the Austrian education system (see Spichtinger 2000a: 73-77). In Austria the ideal English teacher is still a native speaker and the ideal pronunciation is native-speaker like. This was confirmed by my study of the attitudes of 160 students enrolled at the university of Vienna: asked whether English is best taught by a native-speaker, 63.125% (or 101 people) agreed, only 28.75% (46) disagreed (13 students did not answer) (Spichtinger 2000a: 95).

At school, varieties other than British or American English may some-times occur but are very rarely dealt with in a systematic way. In teaching material the differences in the evaluation and attitudes towards non-native accents are striking. In the tapes accompanying *Make your Way with English*, for instance, although RP is ranked first (103 speaking roles) and GA second (38 speaking roles), non-native Englishes have 16 speaking roles and thus rank third before Popular London, Northern English or Scottish English. (Prem 1999: 43). In *Meanings into Words*, by contrast, non-native varieties only have 4 speaking roles, thus being in the 7th place, well below RP (87 speaking roles), GA (18 speaking roles) but also Conservative RP, Near RP, Scottish and Irish English (Prem 1999: 60, see also 62-3).

Generally, many Austrian educators do not seem to be aware that, all in all, non-native speakers have a heightened awareness of the problems learners face. Native speakers, by contrast, might know English (and English or American culture) but they don't know English **as a foreign language** or, as Seidlhofer puts it:

> One could say that native speakers know the destination, but not the terrain that has to be crossed to get there: they themselves have not travelled the same route.
>
> (1999: 228)

Similarly, Jenkins holds that in pronunciation native-speaker norms as a goal are "neither a desirable nor in fact a likely outcome" (1998: 124). Fur-thermore, the native-speaker centred approach is hardly compatible with the goals of multicultural awareness and European identity building.

Contemporary educational policies seldom question the exclusive orienta-tion on Great Britain and the US. Those responsible would do well to heed Leitner's warning:

wer mit dem anglo-amerikanischen Englisch des Jahres 1961 den Englischunter-
richt des Jahres 2001 zu befruchten gedenkt, verfehlt die Herausforderungen des
Englischen als Weltsprache von vornherein.                              (1991: 36)

## 3.1. Suggestions for teaching EIL in Austria

Finally, I would like to discuss the possible components of an EIL course in
an Austrian setting.[9] I believe that these components can be realised at any
advanced level, be it at the university, at secondary school, the "Volk-
shochschule" or any other ELT institution. Of course, the way such a course
is taught and the emphasis that is given to individual subtopics will vary ac-
cordingly.

- The colonial period. It is important to realise that the spread of English
  was a result of the expansion of the British Empire. Consequently, an EIL
  course would have to deal with colonial education policy as far as it con-
  cerns ELT. It might also be interesting to explore connections between
  English as an instrument of rule in the colonies and the way standard Eng-
  lish (and particularly an "acceptable" pronunciation) were vital for social
  advancement in Great Britain itself. Suggested readings on this topic are
  Pennycook (1998) and for the debate about standard English the articles in
  Bex and Watts (1999). A critical reading of Shaw's Pygmalion may also
  be valuable.

- Features of non-native varieties of ELT: "the Empire talks back". This is a
  highly interesting field, particularly if audio material is available which
  enables teacher and students to compare and contrast features of varieties
  from many different locations. Students might also be interested in learn-
  ing lexical items from non-native varieties. Ideally this exploration should
  make students aware that non-native varieties are an expression of the
  creativity and richness of the English language and its users. For a de-
  scription of various native and non-native varieties consult Trudgill and
  Hannah (1994 [1982]) which includes a useful cassette. For more detailed
  information about a specific non-native variety see the references given in
  the bibliography and the appendix to my MA dissertation (Diplomarbeit)
  (chapter 1).

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9  The following recommendations are based on my own approach and thus most of the
   suggested topics are discussed in my MA dissertation. However, Kachru's study isolates
   quite similar issues (1992 [1995]: 233, see also the framework for a paradigm shift on
   page 246-8). On pages 248-50 Kachru provides a list of resources for teaching EIL.

- Literatures in English: "the Empire writes back". Another way of illustrating how English has been appropriated to express local identities is by reading and discussing literary works by non-native authors. Care should be given to represent a variety of different cultures. The works of Rushdie, Rao and Achebe may be good places to start. Particularly of interest may be Narayan's "The English Teacher" (1980 [1945]). Ashcroft et.al (1989) and Walder (1998) provide good introductions to post-colonial literature while more detailed information about authors of literatures in English can be obtained from Ross (1991). Pennycook (1994: 259-294) may also be consulted for an overview.

- English as a world language: danger or opportunity? This topic entails a critical discussion of the two main ideological positions regarding the spread of English, namely on the one hand Phillipson's (1992) assertion that the spread of English is nothing less than linguistic imperialism and on the other hand Crystal's (1997) view that English is a neutral tool for international communication (for an extensive discussion of this see Spichtinger 2000a: 4-18). From the wealth of literature available I would (besides the two works mentioned above) recommend Kachru (1986) for a critical but less ideologically biased view.

- The appropriation of English and ELT. To begin with, a critical look should be taken at the ELT industry, which churns out "international" textbooks designed for anglocentric examinations (TOEFL, Cambridge Exams) (see Spichtinger 2000a:15-17, 24). Secondly, a critical analysis of non-native ELT material reveals how indigenous material has been appropriated to convey non-western values (for instance, Islamic ones) or even propaganda (see for instance the example provided in the appendix to Spichtinger 2000a). Thirdly, a non-native speaker from a developing country could be invited to talk about the functions of English in his or her country. Rather than suggesting any particular secondary material, a critical re-reading of popular textbooks is essential for this topic. As an example of a historical perspective on the appropriation of ELT see my analysis of the spread of English in German speaking areas (Spichtinger 2000a: 53-68).

- International Englishes. While the issues discussed above deal with local, intranational forms, the use of English in certain international domains (law, medicine...) also merits considerable attention. This topic comprises the analysis of the English spoken at international meetings. Of course, the course would profit by someone who has participated in such international meetings him or herself. Within this topic the dominant role of English in

some scientific areas could also be discussed. For the argument in favour of "EIL as ESP" see for instance Widdowson (1997); regarding the status of English (and German) as a scientific language Skudlik (1990) could be consulted.

- English in Europe. One could start on this topic by taking a look at the use of and the attitudes towards English in the institutions of the European Union. This would also entail a discussion of the Union's so-called "language problem". After that, the role of English in different European countries could be analysed (see ch.2.3 of my MA dissertation). For this purpose it would be advantageous if exchange students were among those attending the course. They could give a useful account of English in their home countries. This would then lead to a discussion of the "Europeanness" of English, that is whether such a thing as "European English" exists at all and if yes in which domains it is used and whether it could turn into an appropriate way of expressing one's European identity. Finally, one would have to deal with the question how such a European English could be taught at school. The essays in Coulmas (1991) offer interesting perspectives on the EU's language policy. For an outline of English as a European language see Berns (1995). The only extensive collection of papers about the status of English in various European countries is Viereck and Bald (1986).

- English in Austria. This final part of the course would have to deal with the socio-economic and socio-political aspects of English and ELT in Austria. This could be achieved by analysing the various sections of newspapers and by looking at advertisements, commercials, posters and various TV programmes. Finally, the course could be transplanted from the ivory tower to the streets by asking "common Austrians" about their opinion. The results could then be scientifically processed to enlarge the currently rather small research on English in Austria. "English in Austria" has been the topic of Malzacher's MA dissertation (1996); also of interest may be Hebenstreit (1998), Pazelt (1994) and Prem (1999).

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