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Research Article

Servants and Allocation of Narrative Space in the Eighteenth-Century English Novel

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ABSTRACT

Narrative struggles in the eighteenth-century English novel can be traced to the allocation of narrative space to a multiplicity of characters. The narrative positioning of the servant comes to embody the anxieties of the author and of the age. As servants are associated with the transmission of stories with varying degrees of reliability, they easily turn into stand-ins for authorial performance, especially in eighteenth-century novels, where the performance of reliability is a crucial aspect of authorial self-fashioning. Servants make up a large portion of the reading public in the period and their desire for upward social mobility inevitably finds both narrative and characterological representation. However, as exemplified by the "*Pamela* controversy," famously sparked by Samuel Richardson's novel, open depictions of the possibility of social mobility also engendered unease. This article studies the allocation of narrative space to servants in three novels: Samuel Richardson's *Pamela* is an epistolary novel narrated by the letters of a servant character. Therefore, the servant character is established as the center of narrative attention; however, it is this very centrality that unsettles her position and turns her into a figure in "service" of the novel's moral purpose. Henry Fielding's *Joseph Andrews* presents a more convoluted struggle over the claiming of narrative space since Joseph's ambivalent release from the servant position is continuously challenged by other servants. Finally, servants in Laurence Sterne's *Tristram Shandy* are situated at the margins of narrative space as parodical embodiments of the desire to rise to the level of narrative and public visibility.

Keywords: Wighteenth-century, the English novel, Samuel Richardson, Henry Fielding, Laurence Sterne

Introduction

Narration is a performance. Studying how novelists bend their narratives around certain characters and how those characters distribute our narrative attention inescapably unearths significant social, societal, and political tensions. In reading eighteenth-century novelists, this unveiling is even more pressing because the evolution of a new genre requires its early practitioners to make astute decisions regarding character distribution. In other words, these early novelists must decide which sort of character gets into the narrative and how much space they deserve. The study of how an author distributes narrative space among the major and minor characters in novels reveals the economic implications of narrative organization.

In the eighteenth century, the newly emerging genre of the novel was closely tied up with economic transformations and the consolidation of a consumerist lifestyle. Authors were invested in 'populating' their narratives with a multitude of characters and information for both pragmatic and narrative purposes. The novel also proved just the right genre for responding to swift increases in literacy and the dissemination of information. The narrative trope of digression, commonly observed in eighteenth century prose works and novels, is a strong testament to the perception of this genre as a generous container of information. At the same time, however, authors were aware of the fact that the allocation of narrative attention to different kinds of characters carried certain social and cultural implications.

Navigating this tension and managing narrative space to a multiplicity of characters in a balanced manner require assistance. This assistance is not merely an extratextual feature of narrative organization. It often finds echoes within the text as certain characters and character groups mimetically embody the authorial struggle to maintain narrative space. Servants, in particular, emerge as one of the most interesting character groups in these novels because they are often expected to spend their time assisting the master (i.e., the author) with the efficient organization of space. As a result, the question of how a narrator handles the servant figures in a novel inevitably holds a mirror to authorial anxieties over the management of narrative space.

The question of servants as narrative actors is especially important for studies of the early English novels for historical reasons as well. As Ian Watt mentions in *The Rise of the Novel,* "[s]ervant girls… constituted a fairly important part of the reading

public" (1957, p. 147). More important is Watt's commentary on the rising numbers and increasing visibility of servants in cultural consciousness: "… it must be remembered that [domestic servants] constituted a very large and conspicuous class, which in the eighteenth century probably constituted the largest single occupational group in the country… Pamela, then, may be regarded as the culture-heroine of a very powerful sisterhood of literate and leisured waiting-maids" (1957, p. 46). What makes servant characters so interesting in early English novels is the anxious struggle of the authors to situate servants within the narrative space and confine them into uneasy dialectics of visibility and invisibility, audibility and inaudibility, and strong presences and long absences. My comparative readings of three early novels, namely, Richardson's *Pamela,* Fielding's *Joseph Andrews*, and Sterne's *Tristram Shandy,* will trace how servants are placed and distributed in the narrative structure. How do we hear (or rather, overhear) their stories? How do the narratorial voices imagine servants' designs on primary characters and the overall narrative design? Most importantly, what continuities do the tensions emerging from the servants' awkward positioning within the narrative reveal between social logics of domesticity and the narrative structures of these early novels?

Before turning to these specific novels, however, let us get a better grasp of the factors which contributed to the ambiguity of the servants' position within narrative structure as well as in relation to the act of reading in the eighteenth-century context. After all, anxieties about the distribution of character space relate closely to concrete changes in household population and the socioeconomic backgrounds of domestic employees. As Gilly Lehmann shows, "[t]he rise of the housekeeper coincides with the retreat of the mistress in the grandest homes, but it also coincides with a shift in the status of upper servants in general, male and female, as the tradition of gentry service in aristocratic households withered… Women servants too were less recruited from the gentry than from their social inferiors" (2016, p. 17). The "retreat of the mistress" also begins to create gaps in the novelistic representation of domestic spaces. Servant characters, now in larger numbers and recruited from lower social classes, often compete to claim these gaps, at times even threatening to displace the mistress from the narrative. Maria-Claire Roueyer-Daney explains the tensions which resulted from the uncertainty surrounding the division of household chores: "Although household care featured among the natural assignments of the wealthier woman, it could not keep her occupied all the time, since the material chores were performed by servants" (2016, p. 28). Ambiguities in the division of domestic labor translate into narrative tensions when

authors attempt to allocate appropriate time and space to characters whose visibility in the household was in constant flux.

However, the "retreat[ed] mistress" is not the only basis of this new structural competition. Servant characters also share in the character spaces allocated to children. Especially in the fashionable bildungsroman narratives of the period, focusing on a child's growth and education, servants (if the protagonist is already a servant, other servants) encroach on the main character's space because they too partake in the pedagogical trajectories outlined by the narrative. Kristina Staub and Kristina Booker both call attention to this specific dynamic through different readings of the eighteenth-century household. Staub argues that "[t]he history of the eighteenth-century servant as a pedagogical subject runs a course parallel to but different from the history of the eighteenth-century child" (2009, p. 19). Families invest as "a moral and religious obligation" in the instruction of the servants beyond the skills required to carry out their daily duties. In addition to the cultivation of a cultured domestic environment, these pedagogical attempts aim to control free time and sexual activity in the household. As Staub demonstrates, "sexuality of both male and female domestics emerges across literary genres as a trouble spot in the shared leisure culture and affective bonds between masters and servants" (p. 34). The sexualization of servant figures acquires transgressive functions in narratives, threatening to claim those available character spaces occasioned by "the retreat of the mistress" or to overhaul the marriage plot. This sexualization also helps to distinguish the servants and the children, who might otherwise be mutual recipients of the family's pedagogical objectives.

In contrast, more recently in *Menials,* Kristina Booker argues that "the textual servant is represented as perpetually caught in a childhood subjectivity, unreasoning and in need of education, surveillance, and bodily control" (2018, p. 7). The alignment of the servant characters with the pedagogical activity, in turn, generates "a rhetoric of spiritualized obedience or duty that is used to maintain order and exploit the servant's image in service of the master's values" (p. 7). In many eighteenth-century novels, it is possible to observe a narrative dialectic between the two readings offered by Brooker and Staub. That is, the sexualization of the servant figure and their entrapment in a "childhood subjectivity" initiate a dialectical strategy which allows servants to overstep and for the narrative structure to punish them when they do. *Tristram Shandy* is especially relevant in this regard since the bildungsroman aspect of this novel is coupled with the active fashioning of an instructive narrator who makes pedagogical claims on the

reader. Therefore, the author enthusiastically recruits servants into the novel's digressive and pedagogical machinery. Servants partake in the pedagogical design, establishing parallels between digressions and their marginal character positions. Just as digressions threaten to take over the main plot of the novel, the marginalized characters symbolically encroach on Tristram's dominant character space through sexual transgression and emasculation.

The most symbolic domestic instance which captures the ambiguity of the servants' position is the scene of reading. Jacqueline Pearson shows how "[w]hen women read aloud among themselves, or when husband and wife read to each other, this reading could be shared by female servants" (1999, p. 174). The sociality of these reading arrangements situates servants along with the children listening as part of the family reading ritual. Their access to the pleasures of literary narrative also works to collapse the carefully-maintained distinctions between social classes based on literacy, causing additional anxieties about the status of the servants vis-à-vis their employers. Moreover, as Pearson shows, "[a]ccounts of servant literacy show anxiety; and not only about servants reading novels…" They also "lead to anxiety about the real privacy of the private sphere" (p. 187). By joining the reading rituals, servants also blur the carefully-managed boundaries between the public and the private domains of the household.

More importantly, perhaps, this blurring happens through a new medium – the novel - which allows readers privileged access to private voices and enhanced interiority. Accordingly, in many eighteenth-century novels, *Pamela* being the most obvious, servants' literacy emerges as a threatening or uncanny phenomenon: Not only does it foreshadow social mobility, it also compels the author into granting the servant characters interiority. When they overhear, overstep, or appear in passing, they now emerge as literate characters with the ability to instrumentalize the mannerisms and techniques acquired from the novels themselves. As a result, increasingly and paradoxically, authors find themselves unable to instrumentalize a social class that is uncannily capable of exposing the fictionality of their arrangements.

In novels such as *Pamela*, where social mobility gets realized for servant characters, the subversive aspects of servant literacy receive explicit attention. While some critics foreground the subversive aspects of Pamela's literacy, others consider it an authorial strategy to contain this subversive potential, breaking and then reinstituting the master's code. Nancy Armstrong, for example, centers her analysis on the linguistic construction

of Pamela and shows how her language becomes the foundation of the marital dynamics: "Mr. B still lacks the language to rationalize marrying someone of a position so far beneath him, a language which Pamela's letters will eventually supply" (1987, p. 117). This linguistic agency may, at times, be questionable since it maintains the focus on linguistic construction even in those scenes where Pamela is subjected to sexual violence. Ruth Bernard Yeazell calls attention to the limitations of Armstrong's "accord[ing] an implausibly monolithic power to language" (1991, p. 266). Joanna Maciulewicz reads Pamela's literacy and epistolary authorial performance as reflecting the general "anxiety about the effects of education on the lower strata of society" and as an "example of Certeau's notion of appropriating the culture of the dominant social group for the purposes of the one that is dominated" (2018, p.162). In other words, Pamela's literacy and performance of authorial self-actualization confirm literacy as a central tenet of class "privilege," while also strategically subverting this association to disrupt "the foundations of the existing social hierarchy" (p. 162).

Other critics such as Kristina Booker, however, demonstrate that the self which Pamela fashions through her epistolary practice and changing lifestyle proves one "that is curiously in line with master-class standards for servant behavior" (2018, p. 103). Angela Smallwood likewise argues that Pamela "rises from serving maid to mistress not by subverting femininity, but by embracing subordination, perpetuating humility from the moral high-ground" (2016, p. 143). Finally, in a similar reading of Pamela's transformation after the marriage, Bridget Hill shows that "[a]s servant she had angrily rejected the notion that she was her master's property. As wife she glories in his ownership of her" (1996, p. 224).

These contrasting critical responses to Pamela's representation are not entirely surprising and have more to do with the structural dynamics undergirding the dynamics of fictionality in early English novels than with social tensions involving class conflicts and social mobility. In fact, they echo the same epistemological crisis that came to the fore soon after *Pamela*'s publication, which witnessed the appearance of various critical and fictional responses to Richardson's novel. Henry Fielding, for instance, emerged as a vocal critic of *Pamela* for employing moralizing rhetoric to dramatize a plot which did not have a convincing basis in social reality. Thus, according to Fielding, Richardson's moral and sentimental attitude was hypocritical at its core. In *Joseph Andrews,* Fielding's parody of *Pamela,* he resolves to strike a more self-conscious, genre-aware, and overly performative authorial attitude to manage the representational economy of the narrative.

Fielding, then, creates a narrative space where authorial presence can keep the fictionality of its arrangement in check. However, even though Fielding's narrator introduces his characters and scenarios with heightened awareness of their fictionality, it cannot completely sacrifice the pleasures of empirical and concrete description which elicit readerly identification. In fact, as Michael McKeon demonstrates, Richardson and Fielding's seemingly divergent positions are not ultimately irreconcilable. The two authors, soon after the *Pamela* controversy, seem to have "spent the next decade edging closer to each other" (2002, p. 418). The apparent differences between these authors gradually collapse and establish the central dynamics "of our kind of fiction, which openly proclaims its fictionality against the backdrop of its apparent factuality" (2005, p. 109).

The titular characters of *Pamela* and *Joseph Andrews* absorb the authorial anxieties of their creators. Therefore, whichever critical perspective we take on the mimetic qualities of their representation - whether Pamela's social mobility is realistic or whether her subversive agency as a servant carries through into her marital life - they are doomed to convey the tensions resulting from unresolved protocols of the larger fictional arrangement. Even with the comedic layers protecting Fielding's narrative from overindulgent readerly responsiveness, Joseph Andrews inevitably absorbs the anxieties of authorial performance. As Judith Frank observes, "Fielding's ambivalence over lower-class literacy pushes this most genial of novels into a kind of melancholy… [that] may betray a certain ideological exertion: the effort it takes to police the boundaries between literacy and desire" (1997, pp. 60-61).

One way out of this epistemological bind is to focus on the representation of those servant characters which do not, and due to their minor position in the narrative, cannot receive such full-fledged authorial identification. These 'minor' servants, lurking around the peripheries of the narrative, prove more capable of revealing the intersections between authorial anxieties about the management of two types of hierarchical spaces: The novelistic character space and the domestic space. Such anxieties, I will argue, manifest most significantly after minor servant characters play their part, and the narrator has to find a way to "dismiss" them from the narrative. The arbitrariness of these dismissals often follows suit with the precarious social reality of a servant's life in the eighteenth century. As Bridget Hill shows, "if dismissal of servants was often arbitrary, so was the punishment some employers inflicted on them" (1996, p. 101). When they are dismissed from narrative space, however, signs of their work still linger. In fact,

narrators often capitalize on this work while offering concrete descriptions of objects and living spaces, organized by these invisible or marginal servant figures.

As a result, the question of servant's changing visibility in these early novels is not solely a question of narrative structure or authority. It is, rather, continuous with the emergent logic of industrial capitalism and, to quote Carolyn Steedman, the "industrial (or industrialising) mode of production" (2007, p. 228). Careful study of the representation of minor servant characters moves us out of the epistemological bind which results from the singular focus that these novels' protagonists have attracted from most authors and critics, as well as giving more insight into continuities between domestic and fictional arrangements. This kind of analysis reveals, in other words, compelling links between the indeterminate dynamics of domestic employment and the emergent dynamics of fictional narrative structures. The most interesting and subversive consequence of this relationship will be the way in which authorial style itself was formed, to echo Judith Frank's arguments about the construction of "the characters of gentlemen and gentlewomen" in eighteenth-century novels, "through acts of imitation of and identification with the poor" (1997, p. 4). After all, the history of the eighteenth-century novel, shows how verbal restraint, "a defining characteristic of the good servant in advice manuals," becomes an expectation that we gradually come to have of authors themselves (Fernandez, 2010, p. 2). As the protocols of fictionality settle over the course of the century, it will now be the readers' turn to monitor the amount of authorial interjection allowed of a novelist.

Samuel Richardson's *Pamela*

In *Pamela,* the question of servants sits at the forefront as the narrative revolves around a servant, and more importantly, it takes the form of a narrative relayed through a servant. Hence, a study of how this novel distributes its attention among different characters requires that we examine two different character networks: First, I will show why and how Richardson privileges Pamela and gives her the license to write her own story and to eventually leave her station as a servant. Second, I will illustrate what happens to the other servants in the novel throughout this process and how Richardson uses their dismissal or sidelining from the narrative as a way to justify Pamela's rising position. These discussions will pave way for my study of *Joseph Andrews* and *Tristram Shandy,* where I will demonstrate what happens when a crucial variable, the servant as protagonist, is removed from the narrative equation. *Joseph Andrews* bridges these two novels because its protagonist, although a servant at first, gets quickly dismissed

from this position, thus calling attention to the remaining servants and how their depiction responds to the transformed narrative organization. In *Tristram Shandy,* the variable of the servant as protagonist is entirely eliminated, and the servant figures are pushed to the margins of narrative space. Thus, it offers a character distribution at the latter end of the spectrum and enables a comparison that I will take up at the end to reflect back on the question of servants on the whole.

Richardson situates his readers in a hermeneutically liminal space by assigning authorial duties to a servant whose position also endures an interpretational ambiguity. In *The Servant's Hand*, Bruce Robbins develops a reader-response approach to talk about the "hermeneutic openness of *Pamela*…" as being a result of a "structural fact of servitude" (1993, p. 37). Giving a servant authority over the narrative is paradoxical to the role of a servant in the household. This inherent paradox adds a great degree of unreliability to the narratorial voice, for the readers cannot decide whether Pamela is "the inadvertent admissions of a dehumanized victim or the contrivances of a mask-wearing trickster" (1993, p. 37). The "hermeneutic openness" is not only external to the novel but also pivotal to Pamela's expression and self-identification. For example, After Mr. B. makes some inappropriate advances, Pamela starts crying, and Mr. B. anxiously asks if he has "done [her] any Harm." Pamela responds, "Yes, Sir, the greatest Harm in the world: You have taught me to forget myself, and what belongs to me, and have lessen'd the Distance that Fortune has made between us, by demeaning yourself, to be so free to a poor Servant" (Richardson, 2001, p. 23). Pamela considers it "greatest Harm" to lose a sense of one's self and social position. Ultimately, though, this is exactly what happens; Mr. B. *teaches* Pamela "to forget [herself]" through their marriage. Pamela's constant oscillation between two social strata (or "selves") accompanies that interpretational uncertainty: The difficulty of reading and responding to Pamela's character.

The novel responds to this synchronic complication through its distribution of the minor characters. This is exactly where the rest of the servants become (dys)functional. The rigidity of their social position amplifies Pamela's upward mobility and results in their disappearance. Pamela's first letter is like a manifesto of how the narrative treats minor servants. The novel opens to a temporary absence of household authority with the announcement of the death of Pamela's late mistress and the mournful reactions of "all her Servants." Pamela is instantly set apart from these Servants as her late Master was able to equip her with "Qualifications above [her] Degree" (2001, p. 10). Indeed, her parents' response calls more attention to this privilege, "But our chief Trouble is, and

indeed a very great one, for fear you should be brought to any thing dishonest or wicked, by being set so above yourself" (2001, p. 13). Through these exchanges, Richardson invests heavily in explaining why Pamela, and not the other servants, receives the main narrative attention. In other words, Richardson justifies his decision to make Pamela the author of her own story. Bruce Robbins shows that "according to common usage, servants did not look for work, like other members of their class, but for a 'place'. … To 'know' your place was to be put in your place" (1993, p. 53). Accordingly, authoring one's story and exposing the secrets of a household is the opposite: it is *not* to "know" one's place and to put other characters "in [their] space." That is, the simple act of distributing narrative attention runs against the conventional roles associated with servants.

Throughout *Pamela,* servants come into the narrative primarily to carry word around and expound on Pamela's character. In the twenty-ninth letter, Pamela talks about how good of an impression she has created in the members of Mr. B.'s Bedforshire estate and how she is "belov'd by" all servants (2001, p. 43). She mentions what Mr. Longman, the Steward, has "once [said] to Mrs. Jervis, the housekeeper:" "he wish'd he was a young Man for my sake, I should be his Wife, and he would settle all he had upon me on Marriage; and, you must know, he is reckon'd worth a Power of Money" (2001, p. 43). Notice the pace at which voice travels in the house: Mr. Longman makes a comment to Mrs. Jervis, who then gossips about it with Pamela, who finally writes to her parents about it. Mr. Longman's voice is disembodied thrice before it can reach the readers in indirect discourse. A similar depiction appears at the end of her letter, when Pamela overhears the dialogue between the Cook and the Butler in the kitchen, who never receive names. The cook says, "Why this *Pamela* of ours goes as fine as a Lady. See what it is to have a fine Face! - I wonder what the Girl will come to at last!" (2001, p. 43). The act of overhearing, which is often associated with servants, and the likening of Pamela to a "Lady" emphasize her in-between position in the household. She chooses to "trouble [herself] no more" about the Cook's comment and pushes her further into the sidelines of the story, though on a rhetorical level, the Cook's voice precipitates because it serves as a remarkably accurate and urgent foreshadowing device. What Pamela calls a "silly Prattle" is essentially the foremost problem of the novel: "I wonder what the girl will come to at last!"

Mrs. Jervis is one of the most important servants in the household and, because she also acts as a confidant of Pamela, enjoys a privileged space in the earlier part of the novel. Yet, the space she occupies does not match her development as a character. Just like the other servants, she carries word around and acts as an intermediary between

Pamela and Mr. B. The only thing we know about Mrs. Jervis's past is that she is "a Gentlewoman born, thou she has had Misfortunes" (2001, p. 17). On a larger scale, then, she is the reverse of Pamela: she has gone down in social status. In the beginning, the novel spends a lot of energy on establishing Mrs. Jervis as a reliable mother figure to Pamela: "For Mrs. Jervis uses me as if I were her own Daughter, and is a very good Woman" (2001, p. 17). Pamela's parents repeatedly state their full trust in Mrs. Jervis: "While you have Mrs. Jervis for an Advise, and Bedfellow, … we are easier than we should be" (2001, p. 27). Yet, these praises and expressions of reliance do not culminate in an event or action that would illustrate Mrs. Jervis's assigned role.

In fact, when given the chance, her efforts prove futile as they either have no influence on the narrative at all or, worse, lead to an undesirable conclusion. For instance, after Pamela has a verbal confrontation with Mr. B. as a result of the liberties he has attempted to take, Pamela hopes to find refuge in Mrs. Jervis's assistance: "… I hope you'll give me a Character as to my Honesty, as it may not look as if I was turn'd away for any Harm. Ay, that I will, said she; I will give thee such a Character as never Girl at thy Years deserv'd" (2001, p. 39). Mrs. Jervis's promises never materialize into a favorable outcome for Pamela, and once, when Pamela dresses in her "country apparel," Mrs. Jervis, by bringing her new style to Mr B.'s attention, ends up putting her into more trouble. In the above quoted passage, "to give a character," in a literal sense simply means to put in a good word for Pamela. However, as Bruce Robbins explains, "in the period of the novel… 'character' is assuming an ever more privileged critical position," and Pamela's request to be given "a character" inescapably carries deeper connotations (1993, p. 37). It assigns a level of malleability to character or assumes the absence of one. This enhances the "hermeneutical openness of the novel" as impressions, it seems, satiate Pamela's understanding of character. Mrs. Jervis is responsible for creating impressions for Pamela, but she is not allowed to create her *own* impression. Compared to the fluidity of Pamela's representation, Mrs. Jervis is not granted much interiority and remains on the level of a "type."

Mrs. Jervis's status as a "type" rather than a character becomes more apparent after she disappears from the novel for almost 350 pages and gets replaced by Mrs. Jewkes. In addition to serving similar roles and sharing curiously similar names, they become points of comparison for Pamela. The comparison itself confirms that the novel tries to respond to Mrs. Jervis' disappearance by introducing Ms. Jewkes, who, unlike Mrs. Jervis, "was an Inn-keeper's House-keeper before she came to [Pamela's] master" (2001, p. 108). Mrs. Jewkes, like other servants, fulfills a specific function and keeps Pamela in imprisonment

until Mr. B.'s arrival. She is immediately identified as a stronger character than Mrs. Jervis and ultimately ends up being more important to the plot because she successfully carries out her assignment to keep Pamela in place. Pamela describes her in the following manner: "She has a hoarse man-like Voice, and is as thick as she's long; and yet looks so deadly strong, that I am afraid she would dash me at her Foot in an instant, if I was to vex her" (2001, p. 114). This threatening description shows how greatly the disappearance of Mrs. Jervis destabilizes the story. More importantly, Mrs. Jewkes's introduction happens through a scene, featuring her attempts at a homoerotic interaction with Pamela:

> Every now-and-then she would be staring in my Face, in the Chariot, and squeezing my Hand, and saying, Why, you are very pretty, my silent Dear! and once she offer'd to kiss me. But I said, I don't like this sort of Carriage, Mrs. Jewkes; it is not like two Persons of one Sex… She fell a laughing very confidently, and said, That's prettily said, I vow, then thou hadst rather be kiss'd by the other Sex? (2001, p. 108)

Ruth Yeazell argues that this scene serves to absolve Mr. B. or, at least, to turn him into a relatively more desirable figure: "Pamela resists her 'wicked procuress,' as she calls Mrs. Jewkes. But note how Mrs. Jewkes exploits the situation by interpreting Pamela's rejection of homoeroticism as the positive sign of heterosexual desire" (1991, p. 270). This instance, then, serves as another example of a servant character getting pushed into the margins by serving as a point of comparison to illustrate an aspect of primary characters. On the other hand, Emma Donoghue highlights Pamela's purposeful language, specifically the phrase, "it is not like two Persons of one Sex" to show that "in an effort to show Pamela behaving morally, Richardson finds himself in a dilemma; he has to credit his heroine with a kind of knowledge [about same-sex desire] that casts doubts on her innocence" (1996, p. 185). The exchange between the two critics, Yeazell and Donoghue, once again reveals the hermeneutic openness of the novel: Mrs. Jewkes can be read both as a positive influence on the novel's development, accelerating Pamela's change of mind about Mr. B., or a negative influence on Pamela's characterization, destabilizing readers' response to her reliability as the narrator.

Henry Fielding's *Joseph Andrews*

This kind of rhetorical destabilization happens in *Joseph Andrews* on a verbal level when the servant Mrs. Slipslop invades her mistress's, Lady Booby, "character space," to

use Alex Woloch's narratological terminology, by conflating her own linguistic impairment with her mistress's speech. Mrs. Slipslop dislocates her mistress's voice while trying to locate her meaning in the Lady's diction. In doing so, she calls into question one of the most problematic notions about the servant-master relationship: Ownership. Her constant and selective repetition of the Lady's speech reveals a desire to destroy the established discourse of ownership, which, in turn, makes the Lady increasingly more anxious and her behavior unstable.

After the Lady decides to dismiss her other servant Joseph, she evaluates her decision through a conversation with Mrs. Slipslop. When Mrs. Slipslop calls her mistress's decision into question loquaciously, the Lady responds, "Do as I bid you, and don't shock my Ears with your beastly Language" (2008, p. 37). She is outright about communicating her discomfort with her servant's "beastly Language." Slipslop's response is implicitly threatening: "People's Ears are sometimes the nicest part about them" (2008, p. 37). This seemingly out-of-place reply indeed turns hearing into an active process, where meaning becomes mobile and plastic. In moving from the Lady's "ears" to the more general "People's ears", Slipslop raises questions about gossip and how the ear, as an active receptacle, can become a socially formative tool. That's why "the poor Lady could not reflect without Agony, that her dear Reputation was in the power of her Servants" (2008, p. 38). The narrator is evidently aware of the inversion of power relations that can result from their exchange.

Robbins reads this scene quite differently: "This foothold outside the dialogue raises her, if only briefly, to a higher level of discourse. Moreover, the repetition itself casts her in the superior role of commentator" (1993, p. 62). This analysis, however, assumes that Slipslop, like Pamela, is equipped enough to call attention to her mistress's language in a cunning or questioning way. However, Slipslop's repetitions are usually a result of her inability to understand her anger. These repetitions rarely, if ever, prompt the original speaker (Lady) to evaluate her speech. Rather, they initiate a loop which results in the tossing of insults back and forth.

So much of Fielding's delineation of this confrontational relationship depends on his narrator's canny orchestration of voices through free indirect style. In the first half of the chapter, the narrator privileges the Lady's perspective. After the characters' initial exchange, the narrator weighs in: "… [The Lady] called [Slipslop] back, and desired to know what she meant by that extraordinary degree of Freedom in which she thought

proper to indulge her Tongue" (2008, p. 37). Here, the narrator omits the Lady's voice and allows the readers to identify her diction through Slipslop's response: "Freedom! I don't know what you call Freedom, Madam; Servants have Tongues as well as their Mistresses." We are granted access to the Lady's voice *through* that of the Servant's; this indirect representation of voice puts more weight on the borrowed word "freedom." Slipslop's question about what the "extraordinary degree of Freedom" really means underlines the ambiguity of authority in the household. The scene continues with Slipslop's selective repetition and negation of her mistress's responses, so much so that when the Lady ushers her for reconciliation, she reasons by calling Slipslop's constant "repeating of [her mistress's] words" the "surest method to offend" her (2008, p. 38). The scene ends with the voice of the narrator, which, this time, communicates Slipslop's voice through indirect style, thereby giving her the last say over the confrontation and affirming the reversal of agency.

Ultimately, what matters is the change in the distribution of narrative attention that results from the aforementioned disappearance of authority in the master-servant relationship. Alex Woloch prompts readers to search for "the strange significance of characters… in the way that the characters disappear" and get "overshadowed or absorbed into someone else's story" (2003, p. 38). Fielding turns Lady Booby's lack of authority into an opportunity to bring Joseph back into the story as the primary character. The irony is in how the exiled character returns to the story with more power over the narrative structure and how the decision-maker gets stripped of her authority. Surely, this process comes about after the elimination of the major misunderstandings between Lady Booby and Joseph. Indeed, the narrator recognizes the unusual shift in narrative attention: "The disconsolate Joseph, would not have had an Understanding sufficient for the principal Subject of such a Book as this, if he had any longer misunderstood the Drift of his Mistress…" (Fielding, 2008, p. 39). Here Fielding explicitly acknowledges how, to use Woloch, Joseph "breaks out of his subordinate position in the narrative discourse" (2008, p. 37). Appropriately, this "breaking out of his subordination" is not only on a narrative level but also works within the narrative as Joseph gets dismissed from his position in the household, or rather from the dubious master-servant dialectic.

Laurence Sterne's *Tristram Shandy*

Obadiah and Susannah are the servants in *Tristram Shandy* who repeatedly disturb the narrative by threatening the narrator's satirized masculinity. This, however, does

not happen through their disappearance from the narrative but rather through how their stories and voices get rendered into the story. Volume III, Chapter VII opens with Dr. Slop, the incompetent physician, "cursing at Obadiah at a most dreadful rate," which in turn provokes the narrator to give us the backstory. The narrator orders the events in this way to make the readers ask what Obadiah could possibly have done wrong to deserve such cursing. That is, we are immediately conditioned to read backwards. In addition, at the end of Obadiah's narrative, cursing turns into a spectacle as Dr. Slop begins reading from a bishop's lengthy order of excommunication, and in our reading of it, we are provoked to participate. The organization of the narrative itself and Obadiah's resulting excommunication are revealing of the narrator's recurrent attempts to push servants into the margins of representation.

This sidelining stems from an incident that reveals Obadiah's desire to be heard and to make his voice rise to the surface of the text. What Obadiah does and what he causes are both explained through paradoxical and allegorical narratives. Dr. Slop orders Obadiah to go and get his bag of obstetric tools in order to begin labor. Obadiah not only arrives late but also has knotted the bag so tightly that it takes a long time, much effort, and some injury to untie his knot, which, in return postpones the labor and supposedly causes the "depression" of Tristram's nose. Although Tristram elsewhere goes out of his way to insist that the nose is not a metaphor for his penis, the connection is inevitable. This is after all a story of male castration and is caused partly by the fulfillment of male sexuality through the sexual innuendo that underlies Obadiah's interaction with Dr. Slop's maid. Even though the whole process is supposed to be about the maid helping Obadiah with the bag, the diction and the related descriptions are overtly sexual:

> … so undoing the bow-knot, to lengthen the strings from him, without anymore ado, she helped him on with it… However, as this, in some measure unguarded the mouth of the bag, lest any thing should bolt out in galloping back at the speed Obadiah threatened, they consulted to take it off again… (1980, p. 117)

In affirming Obadiah's masculinity, the narrative threatens to strip the unborn Tristram of his. This allegory is presented with a packaging, with the rationale that Obadiah had knotted the bag tightly so that the tools wouldn't make too much noise and allow him "to hear himself whistle" (1980, p. 117). This reasoning, as illuminated by

its sexual undertones, is ultimately about Obadiah's desire to be heard and rise above Tristram's narrative.

The language and punctuation used by the narrator in the next chapter reenacts both the narrative instability that ensues from Obadiah's "obstetrical, --- scrip-tical, squirtical, papistical, --- and as far as the coach-horse was concerned in it, --- cabal-istical --- and only partly musical" case and the actual attempts at untying the knots (1980, p. 118). The narrator speaks in fragments and the flow of his speech gets interrupted by an increasing number of relative clauses. Obadiah's carelessness destroys the coherence of Tristram's voice, as he struggles to indulge in a direct address to his readers: "… there is no man living who had seen the bag with all that Obadiah had done to it, --- and known likewise, the great speed the goddess can make when she thinks proper, who would have had the last doubt remaining in his mind --- which of the two would have carried off the prize" (1980, p. 118). The quoted half-sentence features six relative clauses, getting in the way of clear expression and replicating the experience of untying a knot. This stiffness in speech nothing new, however, as we are used to such incoherence on a general level, thanks to Tristram's never-ending digressions. It is fitting, then, that this metaphorical scene requires such a laborious process to conceive Tristram's intended meaning. In fact, as always, Tristram is there to confirm this association, "Sport of small accidents, *Tristram Shandy*! that thou art, and ever will be!" (1980, p. 118). We can now see why the surrounding narrative accommodates, or refuses to accommodate, Obadiah's story by placing it in between two curses. Tristram turns this unfortunate experience into a celebration of his digressive style by his uplifting self-address.

Tristram's accidental circumcision in Volume V, Chapter XVII assigns a similar socially threatening role to another servant, Susannah. This scene presents yet another instance of male castration. Tristram begins the chapter with a defensive line, "'T was nothing, - I did not lose two drops of blood by it - 'twas not worth calling in a surgeon…" (1980, p. 264). Just as in the aforementioned scene, in order to retain his masculinity, Tristram encourages his readers to read the ensuing series of reactions as excessive and unnecessary. The event comes close to banishing Susannah from the narrative, who goes so far as to assume that she will have to leave the country. "---- *Susannah* did not consider that nothing was well hung in our family, ---- so slap came the sash down like lightening upon us; ---- Nothing is left, ---- cried *Susannah,* ---- nothing is left ---- for me, but to run my country" (1980, p. 264). Undoubtedly, "nothing was well hung in our family" is a sexual and comical reference to the history of male castration that runs

through the family. In addition, one cannot help but read the repetition of "nothing is left" as Tristram's momentary entertainment of the possibility of *complete* castration. After Susannah's characterizations ("murder") and dreadful interjections unsettle the narration by introducing some frightening possibilities, Tristram reclaims his control by insisting, "'Tis my own affair: I'll explain it myself" (1980, p. 264). The controlling tone of Tristram's restored voice serves to repudiate Susannah's momentary claim over narrative authority.

Such instances of clumsily re-claimed narrative authority undermine Tristram's many invitations for, what Thomas Keymer calls, a "collaborative model." According to Keymer, these moments depict the transformation of "the relaxed convenor of collaborative meanings … into a control freak" (2006, p. 71). Tristram's controlling behavior can also be interpreted as reflective of the larger authorial anxiety regarding how much narrative space and agency to allocate to servants. Servants' language and voice are allowed as a form of diversion in *Tristram Shandy* where the narrative self-consciously travels into digressive routes. However, when the overall "progress" or ownership of the narrative is concerned, Tristram quicky shifts into a controlling attitude and frames the servants' voices as an attempt to mar the integrity of his narrative. That he should feel such a threat is altogether ironic given the restlessly digressive structure of the novel. By depicting Tristram's volatile handling of the servants in this manner, Sterne recognizes and satirically exposes the authorial nature of the anxiety that servants bring to the novel: Sterne shows how the narrative sidelining of servant figures is often used as a strategy for claiming narrative coherence or stable identity where there is none to begin with.

Conclusion

Bruce Robbins argues that "the making known outside the dialogue of what goes on within it" "is the servant's original sin" (1993, p. 83). All three novels studied here demonstrate that this "original sin" is not confined to dialogue and that it extends to the dynamics within the household and the narrative network. The narrative handling of the servant characters reveals the inner-workings of the authorial design. As in *Joseph Andrews,* the destabilization of the narrative in *Tristram Shandy* is not merely a temporary disorganization of language. It also serves as a self-referential explanation of the overall narrative structure. In *Joseph Andrews,* this destabilization accounts for how Joseph Andrews turns out to be the hero of his own narrative and, in *Tristram Shandy,* for

psychologizing the digressive quality of the writing style. In *Pamela,* because the narrator herself is a servant, the other servants' influence does not necessarily serve an explanatory function to the rhetorical devices employed by the narrator. They do, however, reveal much about the dynamics that govern the allocation of narrative attention (i.e., privileging the narrator) and displacement (e.g., Mrs. Jervis and Mrs. Jewkes). In so doing, they reinforce the interpretational ambiguity and risks of unreliability resulting from an epistolary style of narration.

Despite the differences, in all three novels, the space allocated to servants – whether central or marginal - is symptomatically problematized or destabilized in ways that are reflective of the overall authorial or cultural anxieties of the period. The servants' struggle for narrative space often subversively confirms the primacy of those characters which are in positions of authority. As a result, the sidelining and marginalization of servant characters or the ascription of degrees of unreliability to them become reflective of the anxieties of the authorial voice over its management of narrative space. As authors find themselves looking for help in organizing the narrative space efficiently by allocating sufficient attention to a multiplicity of characters, they instrumentalize servants. Hence, the oft-reiterated anxiety about the servants' voices potentially undermining the narrative structure. Servants manage the household, but they also *know* things about the household that they perhaps should not know. Likewise, in the novels, while they help authors manage the narrative, they are also capable of exposing the structural anxieties that undergird these very narratives.

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Traumatized Perception of the Self and Time in Ian McEwan's *The Cement Garden* and *The Child in Time*

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ABSTRACT

The purpose of this study is to decipher the relationship between trauma and the differentiating perception of the self and time by discussing varying post-traumatic responses of the traumatized characters in Ian McEwan's *The Cement Garden* (1978) and *The Child in Time* (1987). To this end, the study applies trauma theory to examine the traumatized characters' altered perception of temporality and the self, and to discuss to what extent the characters in the novels can overcome the impacts of the traumatic experiences they have. The two novels revolve around traumatized victims that lose the conscious perception of the self and temporality in reality after the traumatic experience. *The Cement Garden* depicts the post-traumatic challenges of four siblings, called Jack, Julie, Tom and Sue after their mother's death. *The Child in Time* unveils Stephen and Julie's process of working through their ordeal after the disappearance of their little daughter, Kate in parallel to Stephen's friend Charles's acting out his traumatic childhood by regressing to his boyhood. The critical approach to the characters' response to their traumas concludes that trauma disrupts people's perception of time and the self, leading either to tragedy when they lose the balance between their defense mechanisms and the trauma reality, or to awakening to their renewed life when they reconcile with their trauma reality.
Keywords: Trauma, Ian McEwan, *The Cement Garden, The Child in Time*, temporality

Introduction

Ian McEwan (1948-), the winner of the Man Booker Prize (1998), is regarded as a prominent author of contemporary English fiction (Head, 2007, p. 26). He sets his novels on "extreme situations, deranged narrators, obscenity, and shock" (Begley, 2010, p. 91); therefore, his fiction is about "moments of crisis" (Begley, 2010, p. 97). Malcolm (2002) describes traumatic incidents in McEwan's novels as "opening the wrong door, turning down the wrong street, losing attention for a moment and stepping into a nightmare" (p. 32). His novels depict traumatic incidents in claustrophobic and public spaces and their impacts on the individual, portraying how trauma distorts the victim's perception of the self and time. In this respect, the moments of crisis indicate to what extent an individual may withstand, respond to or fail to tolerate an extraordinary condition in time in McEwan's works (Begley, 2010, p. 97). Furthermore, McEwan's "detailed, solitary introspection" into the traumatized mind enables the reader to witness the ambivalent post-traumatic perceptions (Courtney, 2013, p. 185) providing insight into his characters' consciousness, traumatized through "the personal, temporally warped experience" (Courtney, 2013, p. 185). This study argues that he exemplifies it through his novels entitled *The Cement Garden* and *The Child in Time*.

The Cement Garden depicts the post-traumatic challenges of four siblings, called Jack, Julie, Tom and Sue after their mother's death. They dissociate themselves from the outer world and the conventional notion of time. Jack, Julie and Tom are lost in their distorted perception of the self and time acting out their traumatic experience whereas Sue works by getting involved in reading and writing, thus updating her perception of the self and temporality. The other selected novel, *The Child in Time* unveils Stephen and Julie's ordeal in the process of coping with their trauma after the disappearance of their little daughter, Kate. While the couple overcomes post-traumatic distorted perception of the self and time, Stephen's friend Charles, who is stuck in his traumatic childhood, is overwhelmed by his traumatized perception of the self and time.

The present study examines the traumatized characters in the selected novels focusing on their different defense mechanism, the alteration in their perception of time after the traumatic happenings and reveals to what extent they manage to work through their traumas. To this end, the study applies trauma theory to scrutinize the traumatized characters' altered perception of temporality and the self. It also discusses,

in the light of trauma theory, to what extent the characters in the novels can overcome the impacts of the traumatic experiences they have.

Trauma Theory

Etymologically deriving from the Greek word "traumata" meaning "wound" in English, trauma covers physical and psychological dimensions. While physical trauma is induced as a result of serious damage or injury to the body through rape, war, illness or a physical injury, the psychological one results from emotional harm to the individual's psyche by distorting the individual's perception of the self, security or the present (Caruth, 1996, p. 3). In both cases, trauma stands out as an emotional condition of anxiety or stress as a result of "an extraordinary catastrophic experience which shattered the survivor's sense of invulnerability to harm" (Figley, 1985, p. xviii). In this respect, psychological trauma is not "a simple and healable event" like the bruise on the body, but is constantly "reexperienced in a painful, disassociated, traumatic present" (Leys, 2000, p. 2). In all aspects, it is also difficult to decipher its depth and secrecy.

There are many factors triggering the growth of the interest in trauma and the studies related to it. The late nineteenth and early twentieth centuries were the periods of accelerated modernization through technological and industrial advancements along with the changed social and cultural structures of societies. Furthermore, the period between the late nineteenth century and the late twentieth century coincides with the savageness of the World Wars, the Vietnam War and the Holocaust, thus resulting in devastating effects on humanity. They led to the rise of traumatic symptoms, which became the focus of Sigmund Freud, Henri Bergson, Marcel Proust, Cathy Caruth, Dominick LaCapra and Charlotte Delbo's work (Whitehead, 2009, pp. 84-85). Terms such as Post Traumatic Stress Disorder, Dissociative Amnesia and Dissociative Identity Disorder were introduced by the American Psychiatric Association in 1980, indicating the increasing interest in trauma and trauma-related disorders. The growing interest and increasing production in trauma studies along with memory studies was expressed as "the memory boom" in the twentieth century (Kattago, 2015, p. 8).

Trauma studies derive from Sigmund Freud and Pierre Janet's studies on hysteria in the nineteenth century (Herman, 1994, p. 10). The further trauma studies of Freud

followed by other psychologists mentioned above contributed to modern trauma theory, in time expanding its scope to include a psychological dimension; thus, trauma began to be handled as the wounding of the psyche as a result of emotional shock, too. Trauma is caused by the power of the overwhelming event which surpasses the individual's ability to cope with it on the conscious level. Thus, it leaves a profound impact on the traumatized victim's psyche and self-image because, in Freudian terms, it is "powerful enough to break through the protective shield" of the psyche (1959, p. 23). Trauma is associated with belatedness because the reaction to the traumatic neurosis comes belatedly. Psychological trauma adversely influences both the inherent process of the mind and the victim's identity and ego (Wilson, 2004, p. 12). Another feature of trauma is repetition. It repeatedly takes the traumatized victim back to the situation, which abruptly penetrated his/her protective shield (Freud, 1959, p. 7), through hallucinations, flashbacks and dreams.

Trauma and memory studies have grown as complementary and interrelated fields of study. In this respect, to note the permanent trace of trauma in memory, Freud elaborates on Plato's metaphor of memory as a wax tablet, which represents the capability of the unconscious to trace the imprints left in memory, and he introduces the metaphor of "Mystic Writing Pad," comprised of two layers; the celluloid paper on the surface and the waxed one beneath it. For Freud, the latter one represents the unconscious and erasing any writing cannot guarantee its removal from the pad as it remains beneath on the waxed paper (2001, p. 229). Whitehead notes that "the Mystic Pad offers a model for the dual function of the psychical apparatus, for it is capable of both retention and infinite reception" (2008, p. 97) as independently from the limits of time. In this respect, the traumatic influence is maintained despite the culmination of the outer impact. Thus, trauma contains an unconscious meaning challenging the traumatized victim's sense of the self, which is composed of unconscious, preconscious and conscious in Freudian terms. In this respect, "the victim's view of self and world can never be the same again" (Rieker & Carmen, 1986, p. 362) because the traumatized victim's mind haunted by the traumatic impact within the blurring of the past and the present is confused with the challenge of some assumptions concerning "the self and the world such as the belief in personal invulnerability, the view of oneself (and others) in a positive light and the belief in a meaningful and orderly world" (Janoff-Bulman, 2002, p. 272). Thus, the traumatized individual lives in a sense of meaninglessness, alienation and desperation rather than an active participant of the world order because he perceives the world from a fragmented perspective.

Cathy Caruth, who elaborates on Freud's notion of "traumatic neurosis," associating it with "temporal delay, repetition and literal return" (1996, p. 135) underlines the belatedness of trauma making the truth remain "unknown in our very actions and our language" (1996, p. 4). Therefore, as parallel to the belated nature, traumatic incidents are represented in a fragmented form. Thus, Caruth reconceptualizes trauma in relation to the non-chronological act of remembering and highlights belatedness in the nature of the traumatic incident as it remains alive in the traumatized memory even years later through flashbacks, repetitive re-enactments and hallucinations. In Caruth's view, this feature inherent in trauma makes the distance between the past and the present collapse (1995, p. 9) disrupting the normal parameters of temporality and spatiality.

Similar to Caruth, who identifies trauma as a jolt, which "is in fact a break in the mind's experience of time" more than a threat to the body (1996, p. 61), LaCapra (2004) also differentiates trauma from any stressful experiences along with its repetitive retarded impacts on memory in time through some "flashbacks, startle reactions and other forms of intrusive behaviour" (p. 118). According to him, when the traumatized subject is "acting out" after a traumatic experience, it means s/he cannot cope with the experience or emotions involved in it, thus repeats the experience compulsively or is living in the past. Trauma results in the disentanglement of the arrangement in the perception of the past, present and future through the flow of consciousness. Thus, the past survives in a way in the present retaining its effect towards the future along with the traces after the erasure of the trauma. The distinction between the main three periods of time; the past, present and the future, disappears and blurs in consciousness (LaCapra, 2001, pp. 143-144). In this sense, trauma is related to the impact not on the body but consciousness, accompanied by some alterations not only in human life but also the subject's perception of time. It also maintains its overwhelming influence until the traumatized subject can adopt a critical distance to the traumatic experience. It is called "working through trauma" and articulated from the traumatized individual as follows: "'Yes, that happened to me back then. It was distressing, overwhelming, perhaps I can't entirely disengage myself from it, but I'm existing here and now, and this is different from back then.'" (LaCapra, 2001, p. 144). Accordingly, the traumatized subject who manages to confront the reality can handle the negativities of the trauma in a way surviving it. It is necessary for the traumatized person to "work through" the event in order to go back to their normal life. (2004, p. 65). In this respect, memory can flow in the present towards the future only when reconciliation with the trauma reality is achieved (Tota & Hagen, 2016, p. 4).

Noting the relationship among memory, mourning and melancholia, Freud argues that forgetting is an act of mourning. An individual who mourns for the object he is attached to for a while accepts his loss and initiates his adoption of the traumatic truth. After that, as the person loses his sense of the loss of the object, the place of the object in his memory decreases or starts to disappear. On the other hand, the individual's failure to renunciate the lost object leads to melancholia, thus an ambivalence in the relationship between the self and the object resulting in the individual's alienation to himself and self-blame (1917, pp. 243-258) because as claimed by Teo (2014), "melancholy creates a significant loss of self-esteem in the individual in addition to the feeling of loss" (pp. 7-8).

Considering the approaches in trauma studies, repetition is an inseparable constituent of traumatic perception disarranging the subject's "very understanding of existing contexts" (LaCapra, 2004, p. 117) resulting from an unexpected experience or reality. In this respect, despite its abrupt occurrence in the subject's life, trauma leaves long-lasting traces on the traumatized consciousness through its delayed "symptoms" making the trauma permanent (LaCapra, 2004, p. 118). This study applies traumatic theory as a constituent of memory studies to examine the representative traumatized subjects' attitudes to the traumatic experiences in *The Cement Garden* and *The Child in Time*, which are trauma fictions articulating "the denied, the repressed and the forgotten" (Whitehead, 2004, p. 82).

Post-traumatic Tragedy in *The Cement Garden*

The Cement Garden depicts the post-traumatic life of four siblings at different ages after their mother's death. Courtney evaluates the burying of the mother in cement in *The Cement Garden* as a "pivotal moment of crisis" in the novel (2013, p. 186). The adolescent boy Jack and his elder sister Julie decide to bury their mother's corpse to refrain from the demolition of their familial ties and house. The novel is narrated from Jack's point of view enabling the reader to penetrate his traumatized consciousness and his siblings' distinct responses to the mother's demise which is "the moment of crisis" (Begley, 2010, p. 97), a traumatic incident for them. Following the mother's death, children are "entrapped in a mentally painful world fraught with psychic tensions and struggles" (Sistani, 2014, p. 454). Confining themselves in an isolated house in a barren environment, the siblings act out their domestic trauma throughout the novel.

Trauma arises when conscious is exposed to an abrupt breach because, in Freudian terms, a "stimulus barrier", which constitutes a defense for conscious, is transgressed through traumatic experience (2001, p. 31). The siblings' first response to their mother's corpse indicates that trauma is not perceived at the moment of occurrence and that they have a lack of "preparedness for anxiety" (Freud, 2001, p. 31) about their mother's death. Trauma creates an 'out-of-context experience' for the memory on the level of consciousness subverting the perception of "existing contexts" (LaCapra, 2004, p. 117). Therefore, when Julie tells Jack about the mother's death, he feels "close to blasphemous laughter" (McEwan, 2010, p. 101). They pull the sheet over the corpse and laugh "uncontrollably" when the mother's feet appear (McEwan, 2010, p. 106). They display traumatic responses to their mother's death which causes their self-defense to disrupt because as Herman notes, traumatic reactions are observed when "neither resistance nor escape is possible" when the traumatic incident occurs (1994, p. 34). After the "moment of crisis", the dead mother becomes "everyone's secret. Even [the youngest sibling at the age of six,] Tom rarely mentioned her and only occasionally cried for her now" (McEwan, 2010, p. 170). Jack tries to perceive the reality that his mother is dead. He says: "For a moment I perceived clearly the fact of her [my mother's] death, and my crying became dry and hard. But then I pictured myself as someone whose mother had just died and my crying was wet and easy again" (McEwan, 2010, p. 103). Jack's ambivalent response indicates "the uncertainty of knowing how to negotiate trauma" (Baxter, 2013, p. 24). Although they welcome "a new hierarchy that values spontaneity, harmony, vitality and independence" (Chalupský, 2006, p. 52), they cannot enjoy it much. Jack says: "[T]here was no excitement now. The days were too long, it was too hot, the house seemed to have fallen asleep" (McEwan, 2010, p. 133).

The traumatized subjects' perception of time and the outer world is distorted, and they feel stuck in such a world where hope, meaning and security are replaced by isolation, meaninglessness and desperation. They feel inactive in the management and perception of time and space. In this respect, the siblings in the novel break their bond to the outer world and temporality. Thus, time loses its linearity and turns out to be fragmentary and immeasurable in accordance with the reversible and unrepresentable trauma they have had. More concretely, even a single day lasts longer for the siblings who have nothing to do. Jack tells: "[I]t was no more than a few hours, but the time seemed to occupy a whole stretch of my childhood" (McEwan, 2010, p. 132). Jack, consolidating himself merely at home, feels "a strong sensation of having been away [from home] several months" when he goes out with Julie's boyfriend Derek for a few hours. Thus, the traumatic event

indicates its impact not at the moment of their mother's death but maintains its existence, as argued by Caruth "in another place and in another time" (1995, p. 8).

Trauma is not in the subjects' conscious state as they repress it in a way (Freud and Bauer, 2001, p. 7). Throughout the novel, the children appear to be anesthetized, wandering around like sleepwalkers, without perception of time. They have no conversation even when they are all together. Felman and Laub (1992) regard the silence of traumatized survivors as "a fated exile yet also a home, a destination and a binding oath" (p. 58). In this regard, the children's silence may be evaluated as a way of protecting themselves against their trauma reality by denying it as a defense mechanism. Jack feels stuck in the repetitive actions of repressing his mother's death in his unconscious. He does all the things which his mother has not approved and warned him about. He keeps masturbating several times a day sometimes without realizing even what he is doing because, as argued by Balkaya, the pleasure principle helps the human to escape from discomfort (2014, p. 59). He says that he feels the urge to masturbate because of "[t]he impossibility of knowing or feeling anything for certain" (McEwan, 2010, p. 169) because his traumatic experience is unavailable to his consciousness and exposes itself in his repetitive actions. He wanders in rooms and aimlessly finds himself lying on the bed sleeping, thinking that there is "not much point in getting up" (McEwan, 2010, p. 160). He refuses to clean his body and wanders around with his filthy nails, greasy hair and yellow teeth. Considering Felman and Laub's note that trauma entails the "crisis of truth" (1992, p. 5), this is Jack's way of rejecting his mother's death and repressing the truth which remains unrepresentable and indefinable for him. Considering that "apathy, lifelessness, somatization, addiction, weak notions of self, and inability to fantasize or to act at all in real life" are some symptoms that show up in traumatized people (Moreno & Coelho, 2013, p. 1), Jack's daily routine is shaped through the traumatic impact. To escape from the reality of his mother's death, he reads the same book several times and associates himself with the character in the novel, Commander Hunt, whose spaceship remains "perfectly still, fixed in outer space" (McEwan, 2010, p. 156). He often compares his room to Commander Hunt's neat and tidy spaceship in his daydreams. Jack's confusing perception of his world and the fictional character's world indicates how traumatic experience turns out to be, in Caruth's word, "a breach" in the perception of the self and the outer world (1996, p. 60).

Trauma is inherently incomprehensible and dissociative. It leads the memory to dissociate and makes the experience indecipherable in nature and hard to express

through language (Caruth, 1996, p. 141). Jack has flashbacks of the old days on the beach where he is crying and keeping up with his parents walking ahead of him (McEwan, 2010, pp. 252-253). Furthermore, he is sometimes haunted by nightmares in which he sees his dead mother still reproaching him for his excessive masturbation (McEwan, 2010, pp. 182-184). Such an obtrusive dream is the manifestation of Jack's, in Onega's words, "the compulsion to repeat or 'act out' the traumatic event" (2011, p. 84). His flashbacks and nightmares tell "the story of a wound that cries out, that addresses us in the attempt to tell us the reality or truth that is not otherwise available" as the truth remains far away from the consciousness (Caruth, 1996, p. 4). In this respect, as a traumatized subject, Jack acts out the traumatic event repetitively maintaining its impact in his memory rather than recollecting it as a memory belonging to the past. His trauma, in Luckhurst's words, "falls out of our conscious memory, yet is still present in the mind like an intruder or a ghost" (2008, p. 499). Thus, the delayed remembrance hinders him from overcoming the impetus of the experience over the conscious. Therefore, time does not proceed in linearity for Jack anymore. He says to Julie: "Except for the times I go down into the cellar I feel like I'm asleep. Whole weeks go by without me noticing, and if you asked me what happened three days ago I wouldn't be able to tell you" (McEwan, 2010, p. 267)

Julie and Tom also lose their perception of time. Julie is mostly inactive during the day, either sitting and smoking in an armchair or sunbathing in the garden. She confesses that she has lost all sense of time and that the feeling that nothing changes renders her feeling fearless (McEwan, 2010, p. 267). Moreover, when her boyfriend Derek asks how long she has had an incestuous relationship with Jack, she says: "Ages…ages and ages." (McEwan, 2010, p. 269). As Pozorski argues, "[a]fter a traumatic event, there appears to be neither a before nor after. The time of trauma is what comes after. And before" (2006, p. 71). Therefore, Caruth argues that the notion of traumatic temporality urges "more traditional conceptual histories…to be rethought" (Pozorski, 2006, p. 78). In this context, Julie's traumatized perception of time is reset after her mother's death after which time it prolongs in an endless term. As for Tom, he spends his time playing around the house with his friend Michael without taking him inside the home. He sometimes regresses in time. He behaves like a little baby wishing Julie's care of him by speaking in a baby voice and sucking his thumb and still sleeping in a cot. On the other hand, he also wishes to grow up by throwing away his toys. Considering their manners, it may be argued that time becomes reversible and immeasurable especially for Jack, Julie and Tom.

As for Sue, she is the only child in the family attempting to catch the time by recording any details after the mother's demise. Felman and Laub (1992) note that traumatized survivors need to tell their stories to survive (p. 78). In this regard, Sue chooses to tell her and her siblings' ongoing daily life to survive their traumatic reality. She seems to hold time, remaining active in history through the diary she is keeping. The traumatized subject experiences "a crisis of language" which comes along with "a crisis of time perception" (Ehlers & Clark, 2000, p. 334), so he/she has difficulty in expression through oral and written terms. However, reading and writing all day, which are Sue's apparent defense mechanisms against the trauma in her isolated life, have healing effects on her. She is the only child who expresses herself in written words. It helps her overcome her traumatized perception of being "frozen in time" (Ehlers & Clark, 2000, p. 334). Thus, she works through the trauma through her efforts to represent what is unrepresentable. She preserves her perception of time through her diary; she writes addressing her dead mother and reporting to her what occurs every day (McEwan, 2010, p. 186). The diary helps her restore the distinction between the past and the present in her memory, thus work through her trauma.

The siblings cannot develop a healthy relationship among themselves because as Caruth suggests, traumatic shock impairs their perception of the self (1996, p. 4). Jack, Julie and Tom, who are all in the phase of sexual development, suffer from their oscillating perception of gender identities. Jack and Julie cannot adopt the role of brotherhood and sisterhood properly, instead they replace their parents both in terms of the roles and particularly sexuality by being involved in an incestuous relationship. Likewise, Tom cannot decide not only whether to become an infant or an adult but also whether to become a boy or a girl. He mostly wishes to become a girl and prefers wearing girls' clothes and wearing a wig to appear like a girl. He takes Julie and Jack as role models and imitates Julie while playing house with Michael who plays the role of Jack in games. From LaCapra's perspective, they act out their traumatic experience thus impeding their recovery from the trauma. Instead, they go in deeper through its adverse impacts with their distorted perception of the self and time. Thus, they cannot construct and secure their identities by confronting their trauma and post-traumatized current life.

Consequently, *The Cement Garden* portrays how trauma leads the young aged siblings, each of whom is in a critical stage of development, to lose their connection with the outer world escaping from the truth and its results by confining themselves in a claustrophobic world and surrendering themselves to a tragic end. Considering

their post-traumatic process, it is apparent that their perception of the self and time is distorted making them act out. Sue is the only one who appears to be on the way of disengaging herself from the dissociative, repressive and nightmarish nature of her trauma. She tries to work through the death of her mother by writing. On the other hand, trauma leads Jack, Julie and Tom to develop problematized identities, constructed through the blurriness of the world, the self and temporality on the level of consciousness.

Post-traumatic Awakening in *The Child in Time*

The Child in Time unfolds the traumatized life of the protagonist Stephen Lewis, a prominent children's author and a member of a commission concerned about child care in the English Government, in search of his three-year-old daughter, Kate, who has been lost for about two years. Stephen considers she has been abducted and lives with the "fantasy of her continued existence [...without which] time would stop" (McEwan, 1992, p. 13). He calls the moment of her disappearance a "malevolent intervention" (McEwan, 1992, p. 331). This phrase identifies the abrupt and intrusive nature of the traumatic experience confirming Caruth's note of trauma which occurs "too soon [and] too unexpectedly" (1996, p. 4). It leads to "disempowerment" in the traumatized recollection (LaCapra, 2004, p. 45) as observed in Stephen's and LaCapra's words, "helplessness" like a child (2004, p. 45) while "taking long strides, bawling name as he pounds the length of an aisle" in search of Kate (McEwan, 1992, p. 37). The feeling of helplessness against the trauma reality damages the self. From the approach of trauma theory, like the children for whom the death of their mother is such a strong stimulus in *The Cement Garden*, Stephen is also defeated by the loss of his daughter, which is powerful enough to break through the protective barrier of his conscious. He remembers Kate's disappearance in the supermarket and lives this "moment of crisis" repetitively in his memory: "He had been back a thousand times, seen his own hand, a shelf, the goods accumulate, heard Kate chattering on, and tried to move his eyes, lift them against the weight of *time*, to find the shrouded figure in the periphery of vision, the one who was always to the side and slightly behind" (McEwan, 1992, p. 33, my emphasis in italic). The traumatized individual attempts to construct mechanisms of preparedness for anxiety after trauma through the re-enactment of the traumatic incident in dreams and nightmares (Whitehead, 2009, p. 96). In this context, Stephen seeks to establish defense mechanisms enlivening his anxiety to return him to the traumatic reality.

Stephen's traumatized consciousness plays with his memory through the subjectivity of time. The traumatic effects appear in "total or partial amnesia, temporal disorientation, and the compulsion to repeat or 'act out' the traumatic event in the form of intrusive thoughts, hallucinatory images, or disturbing dreams" (Onega, 2011, p. 84) as represented by Stephen. He lives along with the prevailing thoughts of Kate's existence somewhere. While travelling in a cab, he thinks of her playing in a school garden with her friends merely "fifty feet way" (McEwan, 1992, p. 345) after mistaking another girl for Kate. He is so convinced that she is Kate with "phantom growth" (McEwan, 1992, p. 13) in time which he cannot witness. His condition represents how traumatic memory is unintegrated and timeless. Therefore, it cannot be confined to the past because it preserves its topicality in the traumatized memory all the time. Stephen gets lost in time with Kate's disappearance, and while seeking for her, he finds himself in search of his own lost childhood. While searching for her in the classroom, his distorted perception of time reminds him of his old school days when he was proceeding towards "a vacant seat" with some crayons in his hand (McEwan, 1992, p. 352). Slay (1991) argues that Stephen is much more concerned about the child he has inside himself, like every adult, than his daughter (p. 243). He oscillates between his childhood and lamentation for Kate's disappearance for a while. He keeps watching cartoons on TV and often buys toys. The narrator says: "He had thought all this out quite carefully, and he was not deceived. He was doing this for himself, without illusions" (McEwan, 1992, p. 310). Childs regards Stephen's interest in cartoons and toys as "both presents for the missing Kate and sources of comfort for himself" (2005, p. 174). As mentioned by Felman and Laub (1992), the punchline of trauma is the victim's failure to contemplate the experience from a broad experience (p. 72). In this regard, Stephen has difficulty in accepting the truth that Kate is lost, and it is the crucial point of his permanent acting out of the traumatic experience because his trauma is active in his unconscious like "a haunting ghost" (Caruth, 1995, p. 17) and his disapproval of his daughter's being lost makes the traumatic effect deeper "in connection with another place and time" (Caruth, 1995, p. 17).

Stephen's post-traumatic perception of time is represented by anachronic events and flashbacks in the novel. The local pub called "The Bell" seems familiar to him even though he has never been there. Moreover, he encounters his parents before he is born and realizes that the couple, whom he sees in The Bell, are "beyond question" his parents (McEwan, 1992, p. 142). This confounding coincidence makes the reader interrogate the subjectivity of time and its fluidity in consciousness dismantling itself from chronological order. He witnesses the "delicate reconstruction of another time" (McEwan,

1992, p. 136). Afterwards, his mother talks about a child in the window of The Bell she looked at on the day when she learnt about her pregnancy with Stephen and assumed that the child looking at her is her boy forty-four years earlier (McEwan, 1992, pp. 218-220). The miraculous anachronism which allows two distinct periods to exist together in the same space arouses the relativity of time in regards to perception. Moreover, he feels his parents himself walking on the road where they have walked without him a long time earlier than that day. The narrator calls that moment "a tapering echo" (McEwan, 1992, p. 517) coming from the past. Stephen's experiences in the classroom and in the window of The Bell indicate the temporal displacement in his traumatized consciousness. He finds himself out of context through confusion. On the same day as his conversation with his mum, he has sex with Julie from whom he was separated for a long time and he feels sure that "what was happening now, and what would happen as a consequence of now, was not separate from what he had experienced earlier that day" (McEwan, 1992, p. 152) asserting that time has a nonconsecutive form not a linear one in progress. It is apparent that as argued by Caruth, the traumatic incident is "fully evident only in connection with another place, and in another time" (1995, p. 8). Therefore, the traumatic phenomenon constructs its own time, maintaining its impact both in the past and the present belatedly through distinct settings.

The subjectivity of time perception is represented through another of Stephen's experiences, which is "out of context" because of its abrupt nature, when he considers the moment of the collision between his car and a lorry on his way to visit Charles and Thelma. Although the event lasts for "no longer than five seconds" (McEwan, 1992, p. 229), he cannot make sense of passing time because of his focus on the moment of crisis. He thinks "what had happened to *time*, how duration shaped itself round the intensity of the event" (McEwan, 1992, p. 229, my emphasis). On the other hand, the driver who is stuck in the overturned lorry supposes he has been there for two or three hours, instead of merely ten or fewer minutes (McEwan, 1992, p. 242). The narrator notes "the rapidity of events [which] was accommodated by the slowing of time" (McEwan, 1992, p. 225) underlining the contradictory perception of time for the driver who is stuck in the overturned lorry and Stephen who narrowly escapes injury in the accident. Time makes progress in distinct paces for both the men. Stephen's perception of time indicates the subjective representation of the time concept which varies in post-traumatic consciousness. Stephen feels lost within the discordance of time. Thus, time becomes "the promise of teasing paradox" through "sheer difficulty, the indignity of coming up against the limitations of one's intellectual reach" (McEwan, 1992, p. 289)

throughout the novel. In this respect, he is, indeed, "the child in time," suggested in the title of the novel.

The burden under which Stephen is overwhelmed after Kate's disappearance is combined with the loss of his best friend Charles. Unlike Stephen, Charles is an adult who cannot balance his lost childhood, which he regresses to, and his current life. Morrison compares and contrasts the difference between the situation of the two men and notes: "Whilst Stephen oscillates between obsession and catatonia, Charles ventures into a different universe of fantasy and nostalgia" (2003, p. 72). His post-traumatic life indicates how the traumatic memory is, in Caruth's words, "engrave[d] on the mind or etch[ed] into the brain" (1995, p. 153). "Where Stephen seeks to conjure his lost child, Kate, from the strands of history and possibility, Charles too is engaged in prefabricating a childhood" (Morrison, 2003, p. 72). Charles fails to gain a critical distance from his past, rather becomes embedded in the world of fantasy which he creates to be inhabited in. His traumatic childhood seems to survive actively in his memory, in Freudian terms, as "an agent that is still at work" (Freud & Breuer, 2008, p. 56). He desires to get free of the limitation of adulthood including "money, decisions, plans, demands" (McEwan, 1992, p. 493) and intends to reverse time to embrace the innocence, spontaneity and simplicity of childhood which he cannot live as a motherless boy. He leaves London's city life, the representative of civilization, for the rural one, representing nature where he lets the child inside him free spending time like a child in the woods all day. He also replaces his wife Thelma with his mother whose death seems to have traumatized him as a twelve-year-old child leading him to have a traumatized self as a "child who could not have everything" (McEwan, 1992, p. 500). In this respect, his regression in time resembles Tom's regression to babyhood in *The Cement Garden*. Tom's situation represents Freud (1995)'s note that trauma is "fixed in the mind and not altered by the passage of time, or the intervention of subsequent experience" (p. 172). Tom compensates for the absence of his mother with his elder sister Julie and his babyish manners to repress his anguish and recover his unhappiness. He leaves his political career after the delayed reappearance of his traumatic childhood causing his loss of connection to reality. He asserts that "[c]hildhood is timeless. It's always the present. Everything is in the present tense" (McEwan, 1992, p. 74) because, at the age of 49, he resumes his childhood in casual clothes playing in his treehouse in the woods. The non-linearity of time is also confirmed by Charles's physicist wife, Thelma, who argues that despite common knowledge of time proceeding from the past through the present to the future, "[t]ime is variable…There's no absolute, generally recognized 'now'" (McEwan, 1992, p. 286).

In this regard, Stephen realizes that time is relative, fluid and variable; however, its damages are irreversible as he cannot get Kate back, and Charles cannot get his mother and childhood back causing traumatized impacts on the individual.

As for Stephen's wife Julie's response to Kate's loss, Julie undergoes, in LaCapra's term, "aporia, an endless mourning, impossible mourning, and resistance to working through"(2001, p. 23) by sitting all day watching TV with blank eyes. After the mourning phase, she faces Kate's absence and clears off her belongings which indicates the resignation from her trauma. After a short time, she prefers isolating himself from anything that reminds her of Kate and her loss, thus moves to the Chilterns where she leads a peaceful and lonesome life without technological devices such as a phone because, as argued by Etkind (2015), "[m]ourning merges with warning, shaping a temporal zone of indistinction, which combines the past and the future in a joint effort to obscure the present" (p. 256), and it helps her overcome a deteriorating traumatic impact on her life. She seems to have relieved her grief by accepting Kate's loss and finds a way out through "the idea of the new baby" (McEwan, 1992, p. 527) to restore their exhausted relationship, interrupted after Kate's loss. As Seaboyer (2005) argues, the baby signifies "a repetition with a difference of the biological mystery of love and changeful continuity that signals a shift away from melancholia" (p. 26).

Unlike Julie, Stephen remains in the phase of denial in relation to his trauma and evaluates her behavior as "a feminine self-destructiveness, a willful defeatism" (McEwan, 1992, p. 53). He evaluates Julie's grief as "the near ecstatic suffering" (McEwan, 1992, p. 55). He wanders around looking for Kate everywhere all day with a notice of loss in his hand, in a way, has "anaesthetised himself with [that] activity" (McEwan, 1992, p. 52), daydreaming or gazing at his hands for hours. He spends his days on these sedative activities negating Kate's loss. In time, he becomes "the father of an invisible child" (McEwan, 1992, p. 13) because he imagines Kate's presence with himself, remaining indifferent to the outer world. His way of responding to the trauma is similar to Jack's in *The Cement Garden* because both of them revert their crises to "a state of torpor" (Williams, 1996, p. 223). Thus, Stephen is controlled by the "weight of time" (McEwan, 1992, p. 32) until he works through his trauma. His approach to the process of working through his trauma is indicated in the narrator's words: "Stephen came to feel that if he had not exorcised his obsession, he had blunted it. He was beginning to face the difficult truth that Kate was no longer a living presence [...]. He had been mad, now he felt purged" (McEwan, 1992, p. 374). Moreover, when the Lewis couple, who are estranged

from each other for a long time, recognize their "diminished family" with Kate's absence by "cry[ing] together at last for the lost, irreplaceable child who would not grow older for them" (McEwan, 1992, p. 529), they undergo the process of working through trauma towards the arrival of a newly born child and improve a critical distance to their trauma both by acknowledging their loss of Kate and surviving this overwhelming situation with "the possibility of her return" one day (McEwan, 1992, p. 529). Their critical distance to their trauma helps them to welcome a new baby standing out as a representative of their reunion as parents and the commencement of a new order of life with another "beautiful child" (McEwan, 1992, p. 542).

Another impact which enables Stephen to overcome his enduring post-traumatic disruption impeding the flow of his life is writing. Literature has a healing impact on the traumatized subject. Onega explicates it through the capability of the narrative to bestow meaning upon the events in ordered and comprehensive temporal terms, and this aids the traumatized reader or author in the process of "working through" it (2011, p. 84). Like Sue, who handles dissociation resulting from her trauma by writing, Stephen confronts his childhood through his book *Lemonade*. Charles says to him that it is for Stephen himself: "It was your ten-year-old self that you addressed. This book is not for children, it's for a child, and that child is you. *Lemonade* is a message from you to a previous self which will never cease to exist" (McEwan, 1992, p. 74). Writing helps traumatic survivors get rid of being trapped between the traumatic reality and its re-enactment by "literally transfer[ing] it to another outside oneself and take[ing] it back again, inside" (Felman & Laub, 1992, p. 69) to face the trauma. Slay argues that Stephen's children's novel is a way of making his own lost childhood reversible (1991, p. 234). While *Lemonade* aids Stephen to defeat the overwhelming impacts of his trauma, it makes its reader, Charles, choose to compensate for his unhappy childhood and regress in time into childhood. In this regard, writing helps Stephen face the truth that Kate's absence and his childhood belong to the past, but his self is in the present. Thus, he achieves working through his trauma, and he can welcome his new-born baby merrily.

Thus, *The Child in Time* associates Stephen's search for his lost daughter with his own and his friend Charles's traumatized childhoods because they attempt to face or compensate for their losses in a way. The dissociative traumatized memory of the traumatized characters hinders them from distinguishing not only between the past and the present but also between the self and the outer world. The truth they act out

becomes their obstacle in continuing their lives, as observed through Stephen's initial traumatic responses and Charles's failure in struggling against his traumatized perception. Considering the characters' post-traumatic experiences, while like Jack and Julie in *The Cement Garden*, Charles proceeds into his tragic end by being stuck in his traumatic past, Stephen and Julie's later attempts at working through their traumatic experience enable them to connect with the present and the outer world once again. Like Sue, who appears to survive her trauma by means of keeping a diary in *The Cement Garden*, Stephen also recovers his distorted association with his trauma by writing a children's book, thus reconciling with his trauma.

Conclusion

Trauma is one of the research areas which is currently being investigated, and which still has a great void to fill. Trauma fiction attempts to articulate the complicated traumatized worlds of people. In this respect, as trauma novels, McEwan's *The Cement Garden* and *The Child in Time* reflect elusive traumatic experiences and post-traumatic lives in different aspects by fragmentary narration in accordance with the traumatized characters' dissociative memory. While *The Cement Garden* portrays trauma in a domestic and claustrophobic sense, *The Child in Time* broadens the angle illuminating different lives revolving around traumas related to children and childhood. Caruth's and LaCapra's theories of trauma illuminate the traumatized characters' distorted perception of the self and time in both novels. From Caruth and LaCapra's approach, the critical reading of the two novels reveals that there is a close relationship between trauma and the perception of the self and time. The critical approach to the characters' response to their traumas concludes that trauma disrupts people's perception of time and the self, resulting in their loss of connection with the outer world and temporality. When traumatized individuals fail to work through their traumas, their distorted perception of the self and time also makes them act out their traumas deteriorating their lives.

The analyses of the novels also indicate that the traumatized individual's modified structure of their timeless and fragmented memories, because of the trauma reality, affect their altered perception of the self and time, and that writing has a healing impact on the traumatized perception enabling the traumatized subject to work through the traumatic experience through restoring the impaired perception of the self and time. The critical reading of *The Cement Garden* and *The Child in Time* in the context of trauma theory reveals that it is the traumatized subjects' individual effort that determines

whether they can overcome or be defeated by the aggravating impacts of trauma. The increasingly overwhelming traumatic impact, against which they cannot prevail, may turn their lives into tragedy, or the traumatized subjects can embrace a hopeful life through reconciliation with their traumatic reality.

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Dismissed Possibilities: Thingness, Posthumanism and Corporeal Feminism in Angela Carter's *Nights at the Circus*

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ABSTRACT

In Angela Carter's *Nights at the Circus* (1984), the protagonist Fevvers is a character with an overwhelming bodily presence, whose identity is mediated through her bodily performances and via the viewership of the spectacle that is her "self". Always facing the question "Is she fact or is she a fiction?", the real identity and being of Fevvers seems to escape the reader through her magnified corporeality and performativity. Yet, as the episodes in which Fevvers performs as inanimate objects or is juxtaposed next to them show, the corporeal existence of Fevvers harbors many posthuman possibilities for subjectivity, even though Fevvers is also discovered to be severely marked by her human identity and femininity. Using a theoretical framework informed by writings on thing theory, posthumanism, and posthuman feminism, this paper explores the hybrid bodily existence of Fevvers from a post humanist angle to point out that despite demonstrating a general intuition towards a posthuman understanding of subjectivity and feminism as also claimed by former critics, *Nights at the Circus* finally dismisses such possibilities for a "corporeal feminism" as manifestoed by Elizabeth Grosz. Staying loyal to her human nature, the novel's protagonist Fevvers turns down possibilities offered by her animal, thing, and machine beings and subsumes her hybridity under corporeal feminism.

Keywords: Posthumanism, thing theory, Angela Carter, feminism, *Nights at the Circus*

Introduction

The focus of Angela Carter's 1984 novel *Nights at the Circus* is no doubt its main character Fevvers, whose career as an *aerialiste* at the turn of the century reads as an exploration of the limits of female experience. Growing up in a London brothel and rising to fame and fortune from the slums with the merit of her winged body, Fevvers defies all binaries and categories that can contain her with a performativity that situates her as being masculine, feminine, human, animal, and inanimate all at the same time. However, this paper aims to explain that although the protagonist of *Nights at the Circus* is widely recognized as having a Bakhtinian "grotesque body" in the novel's scholarship and the novel's narrative is read in "carnivalesque" terms along with similar evaluations of its relationship with alternating forms of corporeal existence, the different embodiments of Fevvers in conjunction with human, animal, and inanimate forms are nonetheless possibilities for a posthuman subjectivity dismissed for corporeal feminism. Despite the narrative's extraordinary proclivity for approximating the human realm to others and its potential to prelude a post humanist and post gender feminism, which will be heralded by Donna Haraway only a year later in "A Cyborg Manifesto" (1985/2001), the novel's ending prevails a corporeal understanding of feminism as notably explained in the writings of Elizabeth Grozs (1987,1994) but also shared by earlier feminists such as Helene Cixous and Luce Irigaray. Grozs' (1987,1994) conceptualization of corporeal feminism displays influences of the ontological and epistemological philosophy of Maurice Merleau-Ponty (also an influence for Irigaray), whose emphasis on the importance of the body and the bodily senses on the formation of subjectivity is reflected in corporeal feminism's keenness to overwrite the boundaries between the female body and the female mind/subjectivity. The importance of studying Angela Carter's *Nights at the Circus* within this locus comes from the fact that while the novel allows for a reading of Fevvers' subjectivity under the lens of theories of new-materialistic speculative philosophy such as posthumanism and thing theory (which also owe, among others, much to the philosophy of Maurice Merleau-Ponty[1] and the phenomenology of Edmund Husserl and Heidegger for their conception and development) the ending of the novel establishes Fevvers' corporeality within corporeal feminism and essential female subjectivity at the cost of her "thingness" and her implied potential for posthuman and postgender subjectivity. As a result, this paper evaluates Carter's *Nights at the Circus* as a work that offers readings from a posthuman angle, but

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1   "For Merleau-Ponty, subjects and objects constitute one another in a relationship characterized by 'reversibility' and 'intertwining' "(Boehm, 2012, p.5)

also restrains its central narrative interest to corporeal feminism. While the following first section will examine the earlier analyses of Fevvers' corporeality and interpretations of Angela Carter's literature in relation to posthumanism and posthuman femininity, the later sections of this text will look at Fevvers in relation to "thingness" and thing theory and also evaluate the novel's other strains of "posthuman" narrative, before finally explaining that these instances are characterized by reductions to objectification and anthropomorphism, and finally in Fevvers' case, a turn towards female essentialism and corporeal feminism.

Beyond the carnivalesque readings of *Nights at the Circus*

The reader of *Nights at the Circus* meets Fevvers through the lens of the American journalist Walser, whose portrayal of Fevvers captures her daring desire to cross the boundaries of gender-specific behavior. During their lengthy interview, Fevvers drinks champagne with the thirst of a stranded sailor, stuffs herself with "gargantuan enthusiasm" (Carter, 1984/1993, p. 22) while spilling gravy around, and lets a "ripping fart ring round the room" (Carter, 1984/1993, p. 11) so that Walser knows she has the upper hand in this interview. Fevvers' excessive bodily presence and behavior during this interview is a measure to ensure that Walser, as the temporary narrator of this young woman, is faced with the "excess" in her which resists the reductionisms of his pen. Though Walser as a journalist may have the narrative power to define or transform Fevvers' identity in the eyes of his readers, the way Fevvers dominates the interview with her bodily presence and her choreography of "masculine" bodily behavior suggests that she, after all, understands that there must be more than just words and concepts to define her identity.

Former critics of the novel approached the immense bodily presence of Fevvers from a Bakhtinian point of view and defined Fevvers as having a "grotesque body". In "Feminine Freakishness: Carnivalesque Bodies in Angela Carter's *Nights at the Circus*", Wendy O'Brien (2006) builds on the concepts derived from Mikhail Bakhtin's *Rabelais and His World* (1965/1984) and explains Fevvers' "corporeal excess" (para. 2) as an outcome of her "grotesque body", which also marks her carnivalesque identity and existence. O'Brien (2006) explains that for Fevvers, "the excess of the carnivalesque prompts a crisis of subjectivity that signals both the redundancy of restrictive ideologies of demarcation and hierarchy" and "the playful possibilities of corporeal fluidity" (para. 2). Like others, O'Brien (2006) refers to the "ambiguity" of Fevvers' performativity "as a

destabilization of the assumed causality between corporeality and ontology" (para. 2). Similarly, in "Grotesque Bodies and Spaces in Angela Carter's *The Passion of New Eve*", P.A Genca (2018) surveys yet another transgressive Carter protagonist (Eve/lyn) and proposes to view Eve/lyn' s grotesqueness in *The Passion of New Eve* as "a critique of binaries such as normal/abnormal, sane/insane, beautiful/ugly" etc., and deems it as being "significant for the relationship between the human and the environment in the sense that the grotesque offers an alternative to the conventional and monolithic perception of this relationship" (p. 121). As these comments from reading Carter's works and characters with the help of Bakhtinian concepts of "carnivalesque" and "grotesque" demonstrate, it is not only possible but also common to evaluate *Nights at the Circus* as a subversive novel in which the liminal ground between binaries, categories, and bodies is threaded.

The fact that Carter's protagonists are commonly associated with Bakhtinian concepts of grotesque and carnivalesque is hardly surprising. With a central character that gorges, belches, and farts in the narrative, the concepts jump at the reader rather than imply themselves in *Nights at the Circus*. If the wonder of Fevvers' feathered wings hints an unlikely ethereality, the unusual commonness of her mouth and bum, in turn, elucidates a carnality and bestiality that cancels any differentiation between the inside and out, the dead and the alive, the man and the animal, and the reason and unreason, which also "facilitates a celebratory reading of the amorphous, leaking, and engulfing body, as a means by which the boundaries of the body are rendered permeable and slippery" (O'Brien, 2006, para. 27). Yet, several objections and additions to a *carnivalesque* and *grotesque* reading of Fevvers' body emerge just in the moment where "a celebratory reading" feels imminent. While Genca (2018) pins down the grotesque as an important alternative to the "conventional" and "monolithic" relationship between the human and the environment, and O'Brien (2006) further nominates it as a "destabilization" of the "causality between corporeality and ontology," the corporeality and corporeal performativity of Fevvers is seen to shield a subjectivity that is decidedly human and feminine in *Nights at the Circus*, however ambiguous and leaky. Thus, while O'Brien (2006) reminds her reader of Bakhtin's assertion that a grotesque *open body* "is not separated from the world by clearly defined boundaries; it is blended with the world, with animals, with objects" (qtd. in O'Brien, para. 28) and adds that

> In a further Rabelaisian gesture Carter codes those aspects of Fevvers' performance that do not align with conventional femininity not simply

as masculine, but through a disparate range of metaphors both animal, human, animate, and inanimate. Fevvers frustrates more than conventional binaries of masculine/feminine as her metaphorical presence challenges the discretion of the corporeal form as human. (O'Brien, 2006, para. 7)

O'Brien's (2006) assertion as to the "discretion of the corporeal form as human" taking place in *Nights at the Circus* calls for the attention to the fact that despite defying certain gender-related boundaries and binaries as well as the male-dominated stasis of the "rationalism" of subjectivities, the grotesque corporeality of Fevvers comes short of extending the project to new posthuman possibilities and posthuman feminisms. Throughout the book, Fevvers evaluates both her corporeal and social presence in decidedly human terms, and the novel's narrative, overall, turns down the new possibilities of a posthuman subjectivity that Fevvers' hybrid identity as a bird-woman might offer. Indeed, despite the critical consensus that postwar British novelists "such as Angela Carter ... discover in the posthuman spectacular body the possibility of a new kind of feminist or postfeminist politics" (Boxall, 2015, p. 188) and that novels including Carter's, have "discovered the possibility of a new feminist politics in the junction between posthumanism" (Boxall, 2015, p. 139), there are still voices that mark the limits of Carter's work which could be integrated into the posthuman feminist project. Karin Sellberg (2015) writes that although Angela Carter, among others, "developed a style of writing about embodiment that directly engaged with the philosophical and theoretical discourses of the time", and her novels including *Nights at the Circus* "preempt the theories of gender, sexuality and becoming that were going to shape academic discussions of embodiment ... in works such as those of Judith Butler, Donna Haraway and Gilles Deleuze and Félix Guattari" ("*Monsters*", p. 48), there is a recognizable limit to the malleability of Carter's posthuman feminism. Sellberg (2015) reminds us that Carter is "particularly criticized for invoking the mythical Platonic hermaphrodite" in her works and that "queer, third-wave feminist, posthuman, and transgender critics like Jordy Jones, Aidan Day and Ricarda Schmidt thus find the presence of the Platonic hermaphrodite in Carter's ... texts a fatal flaw to an otherwise beautifully queer and gender transgressive narrative,"[2] since "the myth is said to adhere to essentializing ideals of gender and sexuality, thus forming a heteronormative and cisgendered trope" ("*Embodied Platonisms*", p. 95-6). Even though *Nights at the Circus* does not make direct use of the Platonic hermaphrodite myth like *The Passion of New Eve* (1977), Fevvers' androgynous attitudes in *Nights*, as well as the narrative's posthuman tendencies to

2   See, Day (1998), Jones (2006) and Schmidt (1990).

approximate the human realm to others, are similarly seen to be cut short with essentializing ideals of feminine subjectivity and corporeality. Thus despite, in Sellberg's (2015) words, Carter's "preemption" ("*Monsters*", p. 48) of the posthuman and post gender theories in her works, the rest of this paper strive to show that *Nights at the Circus* is finally a novel in which its protagonist Fevvers' implied thingness and posthumanism are exchanged for corporeal feminism and feminine essentialism.

Fevvers as non-human: A thing among things

The very first line of *The Nights at the Circus* is where the posthuman possibilities of Fevvers' subjectivity and performativity first surface: "'Lor' love you, sir!' Fevvers sang out in a voice that clanged like dustbin lids" (Carter, 1984/1993, p.7). Although Fevvers' career is full of moments where she is treated or positioned as an object willingly or objectified against her will, this first sentence already implies that her "thingness" exceeds these particular experiences. Such quality of "thingness" resides within Fevvers also quite outside her project of "demanding" to be looked at as an object of attention as an aerialist to facilitate her mischievous empowerment against and through the male gaze. Fevvers, who at first sounds like "dustbin lids", is later discovered by Walser to be having, specifically, an "extraordinarily raucous and metallic voice; clanging of contralto or even baritone dustbins" (Carter, 1984/1993, p.13), looking "like a dray mare", and having a face "broad and oval as a meat dish" (Carter, 1984/1993, p. 12). These extraordinary juxtapositions of Fevvers' physical qualities (which locate her as an object or as part of an object) do not imply that Walser finds her repulsive or unattractive. On the contrary, it is this undefinable look and aura of thingness that makes Fevvers truly an object of interest for Walser and others. Mixing masculinity and femininity in her awkwardly colossal yet still female body, Fevvers nonetheless owes her allure not to her playful attitude around the concept of gender, but to the fascinating ambiguity of her entire being: "She was twice as large as life and as succinctly finite as any object that is intended to be seen, not handled. Look' Hands off!" (Carter, 1984/1993, p. 15). In *Guerilla Metaphysics*, Graham Harman (2005) explains this quirky kind of allure as a form of beauty occurring in the moment of "cutting … the bond between an agent and its traits", during which "a thing or creature is gifted with qualities of such overwhelming force that we do not pass directly through the sensual material into the unified thing, but … see the beautiful entity lying beneath…commanding them like puppets" (p. 142). Thus, in accordance with this caveat, Fevvers in these instances owe her allure for Walser and others to the very thingness of her body and entity. Being

"twice as large as life" yet still as "finite as any object", Fevvers' body is an overwhelming material presence that does not necessarily suggest a unified subject beneath, which also explains the alarm it causes: Just "look, hands off!" (Carter, 1984/1993, p. 15). Being contradictorily large as life yet still as finite as a lifeless object, Fevvers dwells in a midway between the animate and inanimate, and the alive and the lifeless according to her viewer, and as such, causes them to think that she is far too "unreal" to be handled and brought into the human realm of the living. Such misregard and fear of "thingness" and non-human being, along with its queer desirability by others, is felt in the episodes that take place in Madam Schreck's bizarre establishment, the "museum" of female monsters, where Fevvers as a *tombstone angel* that unites an ultimate ethereality with an ultimate objectness, feels subjugated to and objectified by the gaze of customers.

The feelings of subjugation and objectification that permeate Fevvers' experience as a tombstone angel in Madam Schreck's museum constitutes the heart of the mutual yet contradictory qualities of fearfulness and allure that characterize things and thingness in the narrative. Aligned with Angela Carter's politics, in *Nights at the Circus* the politics of characters such as Fevvers and Liz visibly tend toward the Marxist. While Fevvers displays a keen Marxist/materialist understanding of the importance of having a full bank account, a cheeky Liz uses Walser as a letter mule whilst in Russia to ensure that "the comrades in London got hot news of the struggle" (Carter, 1984/1993, p. 234). Yet, as concepts such as commodity fetishism and alienation[3] evidence, neither does Marxist economic and social philosophy have a very high appreciation of things as commodities, nor does it appreciate an "excessive" attribution of meaning to them. Moreover, Isobel Armstrong (2012) writes that with the concept of commodity fetishism Marx "instantiated" or "perhaps perpetuated a hostile subject-object world in which each stands over and against the other" and she also adds that "commodity fetishism is built on a struggle between subject and object for ownership of consciousness and body" (p. 23). According to Bill Brown (2006), such Marxist fears of the colonization of the subject by the object took place in a crooked manner after the industrial revolution and especially in the case of slavery,[4] when subjects and objects changed places since "the spectral completion of commodity fetishism [where things appear to have lives of their own] is human reification [where people appear to be no more than things]" (p. 180). Such process of

3   "Marx understands alienation as the domination of a subject by an estranged object of its own creation", since through work the subject "objectifies … consciousness" and "duplicates himself in the world of objects, into material creations" (Thompson, 1979, p. 25).

4   Brown (2006) reminds that Harriet Beecher Stove's novel *Uncle Tom's Cabin* (1852) was originally subtitled "The Man Who Was a Thing" (p. 179).

"human reification" and objectification Brown (2006) mentions in the case of slavery also explains the preoccupation with alienation, objecthood, and their invasion of the subject in post-colonial criticism. The Marxist problematization of the troublesome relationship between the subject and the object as in commodity fetishism and alienation is reflected in the post-colonial theories of Aimé Césaire and Frantz Fanon who, also like the feminists, apply the concept of objectification to understand the self-alienation of the (colonial) subject under the gaze of the oppressor. In *Discourse on Colonialism* Aimé Césaire (1950/2000) writes that the "relations of domination and submission … turn the colonizing man into a classroom monitor, an army sergeant, a prison guard … and the indigenous man into an instrument of production", and asserts that colonization is, finally, "thingification" (p.42). Treading similar ground, Frantz Fanon (1952/1986) explains his experience as a "negro" by writing "I was an object in the midst of other objects" (p. 109). "Sealed into that crushing objecthood" (Fanon, 1952/1986, p. 109) under the gaze of the white colonialists, "the negro" is also "a toy in the white man's hands" according to Fanon (1952/1986, p.140).

Yet one thing that the new materialism and the ensuing stands of speculative philosophy such as actor-network theory, thing theory, and posthumanism promise to do is to view the object beyond its commodity status[5] while also rescuing it from its eternal binary opposition against the subject. In thing theory objects are differentiated from things. Things, Breitbach (2011) writes, "precede and exceed objects, and objects are what the human intellect makes of things" (p. 33). Jane Bennet further (2004) defines things as "entities not entirely reducible to the contexts in which [human] subjects set them, never entirely exhausted by their semiotics" (p. 351). Things, as such, cannot be reduced to commodities within their epistemologies, nor are they bound by the traditional subject-object dichotomy. Thus, even though Fevvers' experience of thing-being as a tombstone angel at Madam Schrecks' museum of female monsters is akin to the process of commodification and objectification experienced by colonial subjects and by similarly colonized (this time based on their gender) female subjects, Fevvers' experiences of thingness (animate or inanimate) in the novel always carry the marks of the "inexhaustible semiotics" that Bennett (2004) attributes to things. As a result, even though *Nights at the Circus* makes overt use of the concepts such as the male gaze

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5   Jennifer Sattaur (2012) explains this change by writing the following: "Critics have moved away from Marxist explorations of objects as commodities, to explore the possibilities of the object in contexts other than those generated by discourses of exchange value, production, and consumption, adopting cultural materialist and new historicist approaches to the objects of Victorian culture and literature. This movement has become known as 'Thing Theory'" (p.347).

and women's objectification, Fevvers' relationships to objects can also be studied in relation to things and thingness, and in turn can be used to question the relationship between the subject and the object, and thus encounter the problems of Fevvers' corporeality and subjectivity. In "Thing Theory", Bill Brown (2001) reminds that Rilke once wrote "Only things speak to me" (qtd. in Brown, 2001, p. 2). Like Rilke and also like Walser and Madam Schreck's customers in the novel, Brown is drawn into things and opines that "things" may have an overwhelming potential to discover new epistemologies, as well as the potential to discover new subjectivities by existing and calling attention to their existence: "The story of objects asserting themselves as things … is the story of a changed relation to the human subject and thus the story of how the thing really names less an object than a particular subject-object relation" (Brown, 2001, p. 4). The fruitfulness of the interrogation of the subject-object relation relies on the possibility of viewing the thing divorced from the meaning it is associated with. Quoting Leo Stein, Brown writes "things are what we encounter, ideas are what we project," before adding that we are all "caught up in things" and the "body is a thing among things" (qtd. in Brown, 2001, p. 4). What then, should Fevvers do about the thingness of herself and her body? While watching one of her performances as an aerialiste, Walser remarks that Fevvers does not just move agile enough, which could cause the audience finally to believe that she is, truly, a biological bird-woman. The slowness of Fevvers' movements and the ungainliness of her gait is interpreted as a defense mechanism by Walser. By inhabiting a speculative space between a winged woman and a female hoax, Fevvers supposedly shields herself from being recognized as a natural freak. Yet, the reader is supplemented with enough information to discern that what Walser interprets as premeditated sluggishness may in fact be the very thingness of Fevvers' body reasserting itself. Fevvers as a young girl struggles to make use of her wings and worries that though a bird-girl she might be, flying might not be her specialty- chickens are birds that hardly have use for wings. Without the capacity to fly, her wings are just feathered lumps that emphasize the thingness of her body, (which is also ill-suited to walk or run) since we, after all, "begin to confront the thingness of objects when they stop working for us" (Brown, 2002, p. 4). Throughout the narrative, Fevvers faces the thingness of her body repeatedly through her failures at flying with her wings, especially in Siberia where she breaks one of her wings after a train crash and unsuccessfully tries to reach an amnesiac Walser by flying to him. It gets her nowhere.

What causes Fevvers' bodily thingness in these instances of dysfunction is her bodily hybridity. Hybridity is a concept that has been used and celebrated (especially in post-

colonial studies) alongside concepts such as multiculturalism after being given a new definition by Homi Bhabha (1994/2004), who sees it as the "displacement of value from symbol to sign" and "that ambivalent 'turn' of the discriminated subject into the terrifying, exorbitant object of paranoid classification" (p. 162). Although Fevvers fits this semiotic definition of hybridity perfectly through her decided ambivalence between "fact" and "fiction" in terms of her identity, *Nights at the Circus* also renders this term applicable to Fevvers the bird-woman in its earlier biological significations, which also makes the term crucial for posthuman and object-oriented studies. Reviewing the term in its broad history, John Hutnyk (2005) writes that although it has "its origins in biology and botany" (p. 80), currently "hybridity is an evocative term for the formation of identity" as "it is used to describe innovations of language" and "is a code for creativity and translation" (p. 81). However, Hutnyk (2005) also reminds that the term continues evolving and for others, as for Donna Haraway, "hybridity is the key organizing feature of the Cyborg, the wo-man/machine interface" and it "invokes mixed technological innovation" and "multiple trackings of influence" (p. 81). Evident from the new technological and machinic attributions to it, the term hybridity reacquires its biological and corporeal functions with the onset of posthumanist thought, but this is far from signifying that posthuman understandings of hybridity deflate the importance of the term in terms of subjectivity. Juliette Kitchens (2016) emphasizes that "posthumanism is grounded in the concept of hybridity ... environmentally, physically, and arguably metaphysically" and that "posthumanism's hybridity demands that empowerments such as agency... and autonomy belong both to human and non-human actants" (p. 3). What follows this simultaneous posthuman and object-oriented distribution of agency amongst the humans and non-humans (which hybridizes the human and non-human bodies) is that "object-oriented philosophy doesn't erase the subject or subjectivity" but it instead "situates all potential subjects as objects" (Kitchens, 2016, p. 4) and vice versa.

Remarkably, Fevvers' hybridity in *Nights at the Circus* is versatile enough to fit into all the different takes on the term hybridity specified above. While the ambivalent state of her identity as sloganized with the question "Is she fact or is she fiction?" (Carter, 1984/1993, p. 7) links her visibly to the subjective and culturally destabilizing form of hybridity as formulated by Bhabha, her corporeal hybridity as a bird-woman renders her an ideal cyborg and a "wo-man/machine interface" in the posthuman understandings of the word. Last yet not least, Fevvers' hybridity also allows her to cross the line between the subject/object dichotomy in her thingness and through her thing-becomings while

performing as statues throughout her career. The fact that her performed (yet also naturally ingrained) thingness by no means signifies the evacuation of her agency and subjectivity is perhaps best explained by contrasting her thingness and posthuman subjectivity to that of Walser. As one of the critics of the novel, Dilek Çalışkan (2020) comments that in the novel Walser is initially likened to an empty house because of his lack of subjectivity, yet in the end, he too achieves a fluid identity and is transformed into "becoming" an animal since "now he can speak bird-language and is ready to understand the eco-wisdom embodied in Sophie Fevvers's hybrid body" (p. 382). Walser's initial objectness reminiscent of Fevvers' comparison to objects in the text, and his similar bird-becoming as part of the circus during the Russia episodes are indeed useful opportunities to compare Fevvers' posthuman identity to that of Walser, and determine whether he, too, might be counted a part of the experience of thingness and posthuman identity that Fevvers so ideally examplifies.

The narrative's first hint of the subdued parallelisms between Walser and Fevvers occurs when it indicates that there is "something a little unfurnished about him" and that he "is like a handsome house that has been let" (Carter, 1984/1993, p. 10). Although this comparison between Walser and an inanimate entity such as a house immediately suggests that Walser has a potential for thingness like Fevvers, this reference to an object in relation to his identity is aimed at showing his lack of a meaningful subjectivity as an American journalist, who is embedded in the consumer culture of his country and continues to be the same shallow California man despite traveling all the way from "Frisco to Shanghai" (Carter, 1984/1993, p. 9). For Walser, it is "see all and believe nothing" (Carter, 1984/1993, p. 10). The lack of belief and meaning in the case of Walser's subjectivity and his possible posthuman identity is the most important reason why, unlike Fevvers, Walser cannot symbolize thingness or a true posthuman subjectivity. While Fevvers, in all her posthuman beings (in the case of performing as a statue of Cupid, a statue of Winged Victory, or a bird-woman) retain an abundance of meaning and likewise generate meaning for her subjectivity through the symbolic value of her beings, Walser is defined as the lack of meaning and belief throughout the novel. The prop sword Fevvers carries while performing as the Winged Victory in Ma Nelson's house, for example, becomes an important part of her story and becomes an object of value to her as part of the construction of her subjectivity. Similarly pointing out that thingness does not cancel out the vibrancy of her being, Fevvers explains her experience of being a living statue by saying "I was as if closed up in a shell, for the wet white would harden on my face and torso like a death mask … yet inside this appearance of marble, nothing could have

been more vibrant with potentiality than I" (Carter, 1984/1993, p. 39). Thus, while "Miss Fevvers is asking us to suspend disbelief" (Carter, 1984/1993, p.15) in her posthuman performances, Walser in contrast is in the "habit of suspending belief" (Carter, 1984/1993, p.10), both in others and in himself. Furthermore, Walser's later performances in the circus as a "Human Chicken" consisting of the single line of "cock-a-doodle-a-dooski" (Carter, 1984/1993, p. 152) neither suggests a posthuman subjectivity, nor authentic hybridity. Although it is true that "one of the characteristics typical of the thing is that it does not have language that is capable of symbolic and imaginative production" (Bartoloni, 2011, p.143) and that Walser's adoption of the bird language both during circus performances and later during his amnesia suggests a transformation into this realm of non-vocal posthuman thingness,[6] he carries the residue of his original meaninglessness in these instances, too. Although it is described that while training as a "human" chicken Walser delivers his line "entering into to the spirit of the thing" (Carter, 1984/1993, p. 152), the comic effect of his performance comes directly from the fact that this "thing" is not actually a thing. Rather, by playing the human chicken Walser strictly symbolizes the objectified human being who is forced into the world of objects for the pleasure of others, yet one who still lacks the multiple meanings and possibilities that differentiate objects from the things. The nature of the performance of other clowns is no different than that of Walser, since during his performance Buffo the clown, too, becomes "a giant" that is "the victim of material objects," as "things are against him" and "they wage war on him" (Carter, 1984/1993, p.116). The foremost quality of a thing, as mentioned earlier, is that it resides with other things around it while still retaining the inexhaustible possibility of forming new and multiple relations with them without succumbing to the war between the subject and the object. Yet, Buffo's performance characterizes him as a subject forced into becoming an object in the world of things, where he is so dissonant with this world that "things fall apart at the very shiver of his thread on the ground" and he, as a person trapped between the subject and the object positions, "is himself the center that does not hold" (Carter, 1984/1993, p. 117). The ineffectiveness of Walser's posthuman identity as a bird/man/thing, on the other hand, is also evident from the way he is objectified by everyone around him including the circus managers, the female escapees of the Panopticon-prison Olga and Vera, as well as the Shaman who finally claims him and turns into a Shaman himself. While Fevvers' objectification of Walser is quite evident in her desire to "hatch" him as a new man and make him her own "amanuensis," his objectification in the other instances, too, arise

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6   Bartoloni (2011) further reminds that "It is well known that for Heidegger the 'house of being', the abode which distinguishes humans from animals and things, is the 'house of language'"(p. 147).

from the fact that Walser is ever an entity of non-meaning, and a lack of subjectivity which makes him into an object that gains meaning through use. On finding him in the train-wreck as a cuckooing amnesiac, Olga says, "I hate to leave the poor thing" and thinks "there *must* be something useful this young man could do" (Carter, 1984/1993, p. 223). Even though Olga and Vera soon leave Walser in their hurry towards their new lives, Olga could indeed find a use for Walser if she tried hard enough since it is Walser's fate to be approached as a useful object by others through his sheer lack of subjectivity and through his lack of the quality of "thingness" that characterizes Fevvers. Moreover, even if Walser's turning into a Shaman himself at the end of the narrative at first belies this and suggests that he finally acquires, as Çalışkan also (2020) claims, a posthuman and fluid identity, his state of being as a Shamanistic idol proves otherwise. Not only does Fevvers find Walser turned into an idol by the Shaman through the finale of the novel, but also, she sees that the idol Walser is even more evacuated than before. Although there is "a vatic glare in his grey eyes … a vatic glare and no skepticism at all", these eyes "seemed to have lost the power to reflect" (Carter, 1984/1993, p.289). Thus, even though Walser finally defeats his skepticism in his new Shamanistic surroundings, his newfound belief and subjectivity are also imposed on him by others, and he is once again a colonized and colonizable figure.

The account of how Walser's story marginally parallels Fevvers' story as a bird-woman through yet another type of performative birdness explains that Fevvers occupies a special place in the narrative as a figure displaying posthuman possibilities. Indeed, even though the narrative offers some other glimpses into other posthuman beings inhabiting the line between human and animal, these glimpses are characterized by anthropomorphism. The Colonel's pig Sybil understands human speech and advises the Colonel on the managerial aspects of the circus, and Sybil is treated strictly as a human by the Colonel to the extent that he accuses the troupe of cannibalism after they attempt to cook Sybil. Similarly, the encounter between Walser and Lamarck's Educated Apes is characterized by the humanness of the apes, who dress, study, read, and write like intelligent humans and whose "hirsute studies" Walser finds "irresistibly comic" (Carter, 1984/1993, p. 108) because of their thoroughness. Thus, although Walser realizes, through his contact with the apes, that there is something exceedingly human in the apes and something undeniably animal in the man, the narrative's prioritization of the human qualities in its depiction of Sybil and the apes implies anthropomorphism, which reinstates the primacy and the desirability of the human that posthumanism counters in the first place.

Yet, in contrast to all the other such actants in the narrative, Fevvers is a figure who strikes the perfect balance of ambivalence and hybridity, which locates her as *the thing* that cannot be stabilized into subjective or objective stability as a human, an object, or an animal. In yet another instance where the thingness of her body reasserts itself despite her glamorous attempts to make a performative meaning out of it, Fevvers faces the possibility of falling in front of her audience. The answer as to whether she really was in the danger of falling or pretended to fall is left ambivalent in the narrative, yet Walser similarly remains persuaded that this, too, is a part of the show that is Fevvers. If able to fly perfectly

> She would no longer be an extraordinary woman, no more the *Greatest Aerialiste* in the world- but a freak. Marvelous, indeed, but a marvelous monster, an exemplary being denied the human privilege of flesh and blood, always the object of the observer, never the subject of sympathy, an alien creature forever estranged.
> She owes it to herself to remain a woman, he thought. It is her human duty. As a symbolic woman, she has a meaning, as an anomaly, none.
> As an anomaly, she would become again, as she once had been, an exhibit in a museum of curiosities. But what would she become, if continued to be a woman? (Carter, 1984/1993, p. 161)

Walser's reasoning here demonstrates that to be human is indeed thought to be a "privilege" in the narrative. Even as a bird-woman who passes for a human with difficulty, however, Fevvers herself is unnerved by the possibility of being distanced from the human realm. As she acknowledges to Mr. Rozencreutz after a flight on her wings, Fevvers does "hate and fear the open country" as she does not "like to be where Man is not"; Fevvers loves "the sight and stinks and bustle of humanity" as she loves her "life" (Carter, 1984/1993, p. 81). As Walser thinks, by staying in the human realm and retaining her human identity as a "woman", Fevvers escapes recognition as a freak and a monster, which would then blur the line between her being a subject or an object. Yet, in the case of opting thus for female humanity, Fevvers' womanhood is also declared by Walser to be symbolic: "As a symbolic woman, she has a meaning, as an anomaly, she has none" (Carter, 1984/1993, p. 161). The fact that Walser deems Fevvers' potential femininity "symbolic" against her corporeal "monstrosity" shows that for Walser she can only "adopt" her sex on the cultural and symbolical level, while her body will always drag her to the sphere of the unfeminine and the monstrous. Such preconditioned meaning-

making out of hybrid corporeality as well as a conceptualized subjectivity is perhaps the most important reason why Fevvers needs to hold on to a posthuman identity, in which subjectivity ceases to be determined in between the lines of the contest between the subject and the object, and the mind and the body. Although Walser thinks that Fevvers as a "woman" will have symbolic meaning and as a so-called "monster" she will have no meaning at all, Fevvers' experiences in both spectrums show that this is far from being true. At the end of the narrative, Fevvers is seen to finally recover from the identity crisis she experienced as a broken-winged superstar of yesteryear. Unable to dye her feathers and stuck with a body that shouts "cripple!", Fevvers feels that she cannot truly recognize who she is. Her body can lend her a female identity only through alteration. Yet, it is also after going through this crisis and later finding Walser (finding love) again does Fevvers rediscover herself. Her body, which formerly looked alien and broken, miraculously recovers itself and Fevvers declares "My being, my me-ness, is unique and indivisible" (Carter, 1984/1993, p. 280). Only after deciding that she will love Walser and be a woman may Fevvers regain her bodily femininity and be sure of her indivisible subjectivity as a woman, yet even this "symbolic" femininity (one that is acquired through conscious decision) is not stable enough not to need Walser as an "amanuensis": "Think of him not as a lover, but as a scribe, as an amanuensis" (Carter, 1984/1993, p. 285), she says to Liz. Thus, while the novel's ending locates Fevvers as a complete woman -body and soul- with the laugh of Medusa, it is also conversely crucial for her to become the object of Walser's narrative. The novel ends with Fevvers laughing an infectious laughter that spills "out of the window" and makes "the tin ornaments of the tree outside ... shake and tinkle", a laughter "so loud that the baby in the Shaman's cousin's house heard her ... and laughed delightedly too" and the villagers also "stirred in their beds, chuckling at the enormous joke" (Carter, 1984/1993, pp. 294-5). Yet this laughter, which Helene Cixous (1976) designates as the winged mythological figure Medusa's defiance of the patriarchal discourses on women, still does not quite align Fevvers to the feminism of Cixous's Medusa. While the novel seems to take Cixous's (1976) comments that "flying is woman's gesture" and that "women take after birds" (p. 887) very seriously (and literally), the reliance Fevvers ultimately shows on her corporeal femininity whilst reaching her true subjectivity in accordance with Cixous's corporeal approach towards female subjectivity is at odds with the way she contradicts Cixous's ideals on female writing and history. Diverging from Cixous's (1976) account of *ecriture feminine* in which women will write their histories themselves through their bodies and their self(s) and by "flying in language and making it fly" (p.887), Fevvers leaves the responsibility of her textuality and history into the hands of Walser as an "amanuensis".

Opting for a corporeal as well as symbolic femininity since her corporeal existence is marked as feminine only through a disregard of its thingness, Fevvers nonetheless is a process of incompletion without Walser's writing and symbolic investment in the end.

The lack of essentiality even in such a case of implied essentiality is countered by an excess of symbolism and "essence" in the episodes which should most evoke the objectness of Fevvers' corporeality yet ends up evoking her thingness. Marked as an angel of death in Madame Schreck's exhibit of *tableu vivant* women by one Mr. Rozencreutz, Fevvers is hailed as the "lady of the hub of the celestial wheel, creature half of earth and half of air, virgin and whore, reconciler of fundament and firmament, reconciler of opposite states through the mediation of your ambivalent body" (Carter, 1984/1993, p. 81) as Mr. Rozencreutz readies himself to sacrifice her as part of an immortality rite. As such, just as Fevvers and the readers think that her time in Madame Schreck's house marks a low point in her life for being reduced to no*thingness*, Fevvers finds herself laden with meaning and symbolism, which transforms her into some*thing* with an excess of purpose and meaning. Brown (2001) writes that a thing is "what is excessive in objects… what exceeds their mere materialization as objects or their mere utilization as objects- their sensuous presence or as a metaphysical presence, the magic by which object become values, fetishes, idols, totems" (p. 5). Again, foregrounding the semiotic richness of things, Bartoloni (2012) writes that a thing "can evoke fullness and emptiness, presence and absence" (p. 401). Thus, the exact dilemma of thingness surfaces here: the thingness of Fevvers' body asserts itself by losing its functions (a broken wing), yet her thingness also asserts itself by taking on (or reclaiming) an aura of multiplicity and excess of meaning and purpose by freezing as a stone angel, or as in the Grand Duke's house, an ice statute. Yet in both cases, Fevvers is repelled by the posthuman becomings she faces[7]. As with her bodily thingness, her being as a tombstone angel, too, bears the mark "look, don't touch" (Carter, 1984/1993, p. 62), which places her out of touch with humanity as a "human creature" (Carter, 1984/1993, p. 66). In the Grand Duke's house, Fevvers views the possibility of shrinking like the miniature bird that escapes from the Duke's Faberge egg as a "hideous possibility" (Carter, 1984/1993, p. 192), even though it is this hideous possibility that saves her life. After her close escape, Liz chides Fevvers by saying that the Duke "broke your mascot and could have broken you" (Carter, 1984/1993, p. 198). Fevvers' difficulty in such moments, it seems,

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7   During her visit to the Grand Duke's house, Fevvers feels anxious and faint on observing Duke's collection automated toys and musicians as well as her own ice-statue (in Carter, 1984/1993, pp. 186-190).

is that she fails to recognize the very thingness of herself and her body, which she explains to Walser in London by asking "What is 'natural' and 'unnatural', sir?" and herself answering "the mold in which the human form is cast is exceedingly fragile. Give it the slightest tap with your fingers and it breaks" (Carter, 1984/1993, p. 61). But while the human body is indeed a breakable mechanism sustaining, or better, determining an all too susceptible consciousness, its naturally broken form (as in the case of Fevvers) is deemed monstrous and crippled by the human standards that Fevvers seems all too ready to uphold. Without agreeing to view her body as a "thing" that has no paramount meaning or purpose, Fevvers is doomed to be the cripple others make her, and also miss the possibility of reaching beyond an "indivisible" female subjectivity into a posthuman subjective multiplicity.

Nights at the Circus and corporeal feminism

The subjective/objective multiplicity that Fevvers harbors in her body yet shrinks from embracing is best explained by Gilles Deleuze and Felix Guattari. In *Anti-Oedipus: Capitalism and Schizophrenia*, a foundational text for later posthumanist writings like other works from their mutual oeuvre, Deleuze and Guattari (1972/1983) write:

> What a mistake to have ever said *the* id. Everywhere it is machines-real ones, not figurative ones: machines driving other machines, machines being driven by other machines, with all the necessary couplings and connections… The breast is a machine that produces milk, and the mouth a machine coupled to it. (p.1)

By denoting subjects and objects similarly as "machines", both metaphorically and unmetaphorically, Deleuze and Guattari (1972/1983) here aim at turning from the much-venerated human *id* to a common "it." Their project in *Capitalism and Schizophrenia* is schizoanalysis, which ultimately shows that "the self and the non-self, outside and inside no longer have any meaning" as "everything is a machine" (Deleuze and Guattari,1972/1983, p.2). The center of this project lies in rescuing psychoanalysis and indeed, consciousness itself, from the predetermination of Freudian Oedipalism. The book is an attempt, as Mark Seem (1983) suggests, to arrive at ego-loss and a multiplicity of subjectivities that "flee in all directions": it imagines "orphans [no daddy-mommy-me], atheists [no-beliefs] and nomads [no-habits, no territories]" (p. xxı), and, as such, urges "mankind to strip itself of all anthropomorphic and anthropological armoring,

all myth and tragedy, and all existentialism in order to perceive what is nonhuman in man" (p. xx). How fitting, then, that Fevvers is a hybrid being who hatches out of an egg and grows up with the company of women, without ever being caught up in an Oedipal family structure. Coupling her mechanical mouth to Liz's milk-machine breasts, Fevvers exemplifies the perfect desire-machine through whose human and non-human forms desire flows alike.

The consistency between Fevvers' thingness and the project of Deleuze and Guattari's philosophy can also be understood by applying a term used by Jane Bennett (2004), namely *thing-power*, to Fevvers. In "The Force of Things", Bennett (2004) explains that her conceptualization of thing-power is indebted, among others, to ideas such as the "Lucretian figuration of materiality as capable of free or aleatory movements", the " non-Newtonian picture of nature as matter-flow ... as ... developed in the thought of Gilles Deleuze" and finally, "the Spinozist idea that bodies have a propensity to form collectives" (p. 348-9). Bennett (2004) further defines the concept of thing-power as an "attempt to depict nonhumanity that flows around but also through humans" (p. 349). Combining thing theory's attribution of value and agency to things with Deleuze and Guattari's notions of becoming and flow, the thing-power defines Fevvers' being. Yet at the end of the novel, where Fevvers declares her being and she-ness is "unique and indivisible" (Carter, 1984/1993, p. 280) and solidifies it through the colonization of a Walser that is strictly marked as a *tabula rasa*, Fevvers abandons her thingness and thing-power to be a woman. Such a process of woman being is, similar to that of Fevvers, also read in the story of Mignon, the quality of whose voice and singing (as indicative of her whole being since Mignon communicates thorough singing) changes after she transforms into a woman. On hearing her sing, Fevvers realizes that while Mignon "sounded as if the song sang itself" and as if Mignon "was only a kind of fleshly photography made to transmit the music ...before she became a woman", her current singing is transformed and mated "with her newfound soul" although "its essence" does "not change" (Carter, 1984/1993, p.247). The transformation Mignon goes through in her woman being is parallel to Fevvers' in that it signifies the unification of the subjective/ spiritual with the corporeal while insisting that the change taking place is also a return to essence in both spiritual and corporeal terms. The fact that Mignon's transformation into a woman parallels and foreshadows a similar change for Fevvers is made manifest at the end of the same passage, where Fevvers deplores the state of her being and asks "And what of my own journey, what of that? Bereft of my sword, as I am; crippled, as I am" (Carter, 1984/1993, p.247). Fevvers' labeling of her hybrid body with the word

"crippled" (as deemed by humanist and skeptic minds like Walser's) hints that she finally turns down the thingness that this "crippled" corporeality offers her, while her lamentation over the fact that she has lost her prop sword explains Fevvers is ultimately rid of the most important heritage of her thing-being and released from the subjectivity that is founded upon its significations. By "losing her weapon to the Grand Duke in his frozen place", she loses "that sense of her own magnificence" (Carter, 1984/1993, p. 273) along with losing her thingness metaphorically. Perhaps unsurprisingly, this ending drags Fevvers into that same dilemma between womanhood and monstrosity that Walser mentions at the beginning of the narrative. After finding a newly delivered young woman and her baby in the tundra (which further accentuates the bodily functions of femininity Fevvers cannot fulfill) Liz comments to Fevvers that perhaps "this tableau of a woman in bondage to her reproductive system, a woman tied hand and foot to that Nature which your physiology denies … has been set here on purpose to make you think twice about turning from a freak into a woman" (Carter, 1984/1993, p. 283). But as the finale of Fevvers' journey demonstrates, despite regaining the physical glory of her giant body and the color of her wings, Fevvers indeed chooses to become a woman body and soul by marrying Walser, in order also to become "all the female paradigm, no longer an imagined fiction, but a plain fact" (Carter, 1984/1993, p. 286).

The long-expected transformation of Fevvers, as such, sees her "swim into definition" in Walser's eyes and get "trapped forever in the reflection" (Carter, 1984/1993, p.290) in them. The corporeality of Fevvers, too,[8] is made into a human whole in these moments. Despite observing that Fevvers "looked the size of a house" and "appeared to possess no navel", Walser finally thinks that "nature had equipped her only for the 'woman on top' position" (Carter, 1984/1993, p. 292). Fevvers' non-human qualities are waved away now– Walser is "no longer in the mood to draw any definite conclusions" (Carter, 1984/1993, p. 292) from these facts and she is finally pinned down as a Lilith, the ur-woman and ur-feminist who wanted to topple Adam by adopting the on-top position. Such an ending of *Nights at the Circus* and Fevvers' hybrid bodily existence is only possible through a "corporeal feminism", which designates "women's carnal existence" and "their corporeal commonness" as a "universal 'raw material'" taken for granted, albeit one that is "pliable enough to account for cultural, historical, class and racial specificities distinguishing ... women" (Grozs, 1987, p. 2). This type of corporeal feminism as manifestoed in Elizabeth Grozs' "Notes Toward a Corporeal Feminism" (1987), as such,

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8   Which was presented in its many broken down forms so far, as "desiring-machines work only when they break down, and by continually breaking down" (Deleuze and Guattari, 1972/1983, p. 8).

takes advantage of Fevvers' hybrid body in order still to affirm its femininity, disregarding the posthuman possibilities it might offer. As Grozs (1987) writes, though humanism reduced the importance of bodies through a perpetual mind/body dualism, corporeal feminism still holds that

> The corporeality of a subject must differ from the corporeality of a stone or of an animal insofar as the human body is capable of thinking and talking, is subjected to meanings, values, and decisions arising from within, while the latter are animated or subjected to meanings only externally. (p.5)

And that despite "clearly sharing many features in common with animal bodies," human bodies "should also be seen in fundamentally or qualitatively different terms:" "Only human bodies create culture, and, in the process, transform themselves corporeally (as well as conceptually)" (Grozs, 1987, p.7). Thus, from the perspective of corporeal feminism, Fevvers' final bodily transformation into *real* Fevvers even without the aid of peroxide, which makes her from a crippled brunette into a blonde giant once again, symbolizes the individually willed cultural inscription of the biological body. This culturally inscribed biological female body retains a fleshly womanliness and symbolical menstruation in the face of Deleuze and Guattari's menstrual blood, which is a "continuous flow" but only a "partial object" (Deleuze and Guattari, 1972/1983, p. 5) which does not define an identity or subjectivity.

Conclusion

The ending of Angela Carter's *Nights at the Circus*, in which Fevvers chooses to transform into a woman and enacts essentially feminine characters such as Lilith and the femme-fatale Carmen from Bizet's opera[9] shows that although Carter's writing is, as claimed by former critics, indicative of the posthuman understandings of subjectivity and feminism that increasingly pervaded the philosophical and theoretical ground after the publishing of seminal *Anti-Oedipus: Capitalism and Schizophrenia* (1972) and later borne new speculative realism theories, the novel and its protagonist Fevvers are by no means wholly integrated into the posthuman feminist literary project. The compelling posthuman reading of Fevvers as a hybrid female and as a thing-being

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9   A final image of Fevvers in the bathtub shows her washing "color into her cheeks" and singing "Habanera" from *Carmen* opera (in Carter, 1985/2001, p.293).

Nights at the Circus affords is finally seen to be exchanged for corporeal feminism as best understood through Elizabeth Grozs' manifesto under the same title, despite the fact that Fevvers indeed emerges as a true *body without organs,* i.e., a body without a paramount image, meaning or purpose, and a true *thing* in the novel, who could become the exemplar cyborg female that imagines "a world without gender", "a world without genesis" (without Lilith, either) and "maybe also a world without end" (Haraway, 1985/2001, p. 2270). By giving Fevvers an ending in which Walser and his narration become exigencies rather than contingencies for Fevvers' feminine existence, *Nights at the Circus* may only boast intuition towards a different kind of genderless and posthuman feminism. Published only a year after *Nights at the Circus*, Donna Haraway's (1985/2001) feminism in "A Cyborg Manifesto" materializes the "kind of disassembled and reassembled post-modern collective and personal" (p. 2284) feminist self that Fevvers inspires the readers with in *Nights at the Circus*. By subsuming her hybridity under corporeal feminism, Fevvers in the end turns down a "monstrous world without gender" and bodily limitations, where one would "rather be a cyborg than a goddess" (Haraway, 1985/2001, p. 2299), even if it is a feminist one like Lilith.

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The Value of Time is Never the Hand of a Clock: Marcel Proust's *Time Regained*, E. M. Forster's *A Room with a View* and *A View without a Room*

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ABSTRACT

This study aims at a comparative analysis of the last volume of Marcel Proust's *In Search of Lost Time, Time Regained* (1927), and E. M. Forster's *A Room with a View* (1908), including its Appendix *A View without a Room* (1958) to decipher Henri Bergson's concepts of duration, intuition, elan vital (vital impulse) and Jacques Lacan's notions of anticipation and retroaction, against the backcloth of modernity and its representations of clock fixated Time. In this framework of analysis, the study draws on Bergson and Lacan's notions of Time to foreground the inward turn of the characters in the two novels. The article also seeks to find out whether Time is a construct for Lucy, Cecil, and George in *A Room with a View* and the narrator, Gilberte, Albertine in *Time Regained*, regarding the gap between past and present. For instance, remodelling, eradication aspects of Time are never negations for the narrator's creation of Albertine's image in his memory in *Time Regained*. Time never eradicates George and Lucy's shared view that they once achieved in a room in Bertolini Pension in Italy in *A View without a Room*, despite wartime remodelling of spatiotemporal realms. Ultimately, in both of the novels, the characters experience the social and empirical reality as their present circumstances affect the narration of their past with involuntary memories, producing virtual qualitative multiplicities. Thus, the anticipation emerges within the images of a dark room that resembles the minds of the characters in the two novels.
Keywords: *Time Regained, A Room with a View,* Time, Bergson, Lacan

Introduction

Marcel Proust's last volume of *In Search of Lost Time, Time Regained* remains as one of the cornerstones of modernism since it displays "the non-linear unfolding" of narration through "(anticipation) and analepsis (flashback)" (Watt, 2011, p. 2). *Time Regained* is narrated by Marcel[1] who suffers from an illness and stays in a sanatorium for a long time. Marcel, being away from his milieu for many years, articulates the distortion of Time[2] on the familiar bodies. Time has altered "many figures from Marcel's distant past, […] aged and distorted their faces, their gait" (2011, p. 17). Marcel finds Time again to write although he feels the anxiety embedded in his involuntary memory. His involuntary memory has become a virtual qualitative multiplicity for the aged characters, who have appeared in the previous six volumes. His interior monologues describe Paris during the First World War with reference to Dreyfus Affair, the loss of his beloved Albertine, his vital impulse, and metempsychosis which he encounters due to his keen interest in his books.

Marcel, as a writer, anticipates finishing his novel, despite the crisis of Time in the twentieth century. His intuition regains Time as a metaphorical extension of empirical, social and psychic reality rather than a material reality at the end of the novel. Barthes, on the other hand, asserts that Proust has made "his very life a work for which his own book was the model" (Barthes, 1968, p. 120). Proust's involuntary memory in the novel corresponds to Bergsonian duration because Proust acknowledges that "Reality takes shape in the memory alone" (Childs, 2008, p. 58). Thus, *Time Regained,* is not only fluid, back and forth in narration, but it is a source of energy, both emerging from its author and enlivening its characters within that fluidity, including memory and Time.

E. M. Forster's *A Room with a View* (1908) is about how working-class Mr. Emerson and his son George Emerson meet "the better class of tourist[s]" Lucy Honeychurch, and her chaperon Charlotte Bartlett (Forster, 2000, p.24), in Bertolini Pension, a microcosm of British Empire in Italy. The Emersons propose to change rooms with Lucy because their room has a view of the Arno. The ladies complain about their room without a view. Lucy and George start a close relationship. The school of tourists visit Italy, Santa Croce, drive in carriages, the tram-car to visualise the view in the first part of the novel.

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1   I will refer to the narrator of *Time Regained* as Marcel and the author as Proust.
2   Capitalised Time refers to Proustian Time because Proust uses the capitalised word specifically to refer to "Time-dimension" that reminds Marcel of his life, and his memory (Proust, 1931, p. 192).

In the second part of the novel, the physical appearance of the characters is depicted in relation to the art forms of Medieval and Renaissance. Time, in this respect, brings out the features of Cecil, who is compared to a Medieval Gothic statue, and Lucy to Leonardo Da Vinci's Vitruvian woman, implying her individuality. In other words, Lucy is the embodiment of a centralised figure for Cecil Vyse as far as Time is concerned.

The cultural implications of Time on the body are also foregrounded to form a contrast between Edwardian bourgeois wo/man although they appear to be a perfect match for a marriage in *A Room with a View*. Despite the common features of their common background, Lucy and Cecil cannot achieve intimacy during their engagement. For their bodies, the chronological signification system of Medieval and Renaissance times verifies the appearance and the life style of Lucy and Cecyl in the novel, so their interaction in Terms of Time constitutes a contrariness to their intimacy. Lucy's Time spent with the Emersons in Italy becomes a vital impulse for Lucy and the Emersons. Lucy is strongly attracted to George Emerson, so she marries him, and in the appendix part of Penguin edition, George, who has enlisted to the Second World War, experiences the depressing effects of the wartime drastically. Time has cruelly eradicated the traces of his shared view with his wife Lucy in Italy.

Bergsonian and Lacanian Time

The concept of Time in the twentieth century literary works does not overlap with the notion of linearity favoured by modernity. Due to the rapid change in technology fuelled by capitalism and imperialism, the writers such as Proust and E. M. Forster seek to find a new mode to express the crisis both in language and Time which the realistic representation lacks in the twentieth-century. The acceleration of rapid change forces human beings to adapt to the new life circumstances. In response to this enforcement, the characters in *Time Regained* and in *A Room with a View* encounter an inward turn with stratification of memory and repression paving the way to a focus on the subjectivity.

The linearity of time that is designed by the clock is based on Einstein's theory of relativity, which covered "movement that was uniform and linear" (Canales, 2015, p. 62). "As in the case of mechanism, time has no appreciable reality; everything is given in advance—no longer in the past state but in the future" as telos (DiFrisco, 2015, p. 59). This fixity of time is correlative with Cartesian "mechanistic universe" and Auguste Comte's "hierarchy of knowledge" (Canales, 2015, 30) that lays the cornerstone of

rationalism. The hand of the clock, and the linear concept of time, that is man-made can easily be manipulated to hierarchise certain social strata and reconstruct space to sustain control. Bergson refers to this time as "materialized time", which is related to quantity and space (Bergson, 1991, p. 127).

However, one can also sense twists and turns in Time regarding the twentieth-century canonical narratives. These modern grand narratives propose a new concept of Time that moves forwards and backwards in time that is associated with "vital impulse" or *elan vital* (Bergson, 1944, p. 140). This vital impulse and the notion of Time stand outside the clock for Henry Bergson. Bergson defines Time to specify: "[t]he essence of time is that it goes by; time already gone by is the past, and we call the present the instant in which it goes by" (Bergson, 1911, p. 177). Time is never independent from human beings, so clocks would never explain simultaneity or time by themselves, nevertheless, "clocks note simultaneities" (Canales, 2015, p. 43). Therefore, there is always something more than clock time in our understanding of Time. Bergson, thus, acknowledges that his concept of time, called duration, reveals "the perceptual creation of possibility and not only of reality" (Canales, 2015, p. 44). Bergsonian Time is a duration that helps the individual to grasp the reality and the way it is encountered (Marchesini, 2018). Derrida, on the other hand, defines time and temporalization in this way: "The temporalization of time (memory, present, anticipation; retention, […]) always sets in motion the process of a destruction of the gift: through keeping, restitution, reproduction, […]" (Derrida, 1992, p. 14). Johnson also explicates Derridaian approach to time through the notion of "memory trace" that problematizes "temporal determination" with an implication of "a rejection of its spatiality" (1993, p. 82). These definitions bridge the gap between clock fixated time and duration, and they form a vantage point to analyse the texts.

The Lacanian notion of time, on the other hand, is essentially based on retroaction and anticipation. Regarding Lacan's notion of desire, anticipation inverts what imposes intersection, and retroaction that are "enunciated in the formulation of intersubjective communication" (Lacan, 2006, p. 863) in need of another intersection. The Lacanian notion of time brings out a psychoanalytic approach to time that emerges from the intersubjectivity between the characters who are able to adhere to the symbolic Other, or the law. The notions of anticipation and retroaction are the embodiment of a desire for a sense of wholeness for the characters who feel a lack, either within their past or their present encounters. The Lacanian anticipation is produced by the future, and

retroaction is produced by the past. Those moments have associations with the Lacanian imaginary stage, in which self is deluded by "an illusory image", including past and present (Gallop, 1985, pp. 80-81).

Although it rejects spatialisation, Bergsonian theory of Time epitomises duration as a "virtual qualitative multiplicity" (Marchesini, 2018, p. 143) and explicates it with the heterogenous feelings (Marchesini, 2018) such as desire for the lost love and nostalgia for the traces of love flowing from present to the past with pity. This feeling of virtual qualitative multiplicity suffuses *Time Regained* and *A Room with a View* (also its appendix *A view without a Room*). Thus, Time, in these two novels, is an "intrinsically creative process" within the evolution of unforeseeable life (Marchesini, 2018, p. 144). The wartime affects the characters of the two novels, including Gilbertine, Marcell in *Time Regained* and Cecil, Lucy, George in *A Room with a View* together with its appendix. The Dreyfus affair in *Time Regained*, the remodelling of the cities in *A Room with a View* at wartime are some of the destructive effects of wartime that lead to fragmentation of the social strata in the novels.

These assertions shed more light on Bergson's questions whether time can be judged in various histories, different trajectories, memories or not. Another aspect of his notion of time interrogates whether experiences could be neglected within the social point of view rather than the rational mechanistic clock time. Bergsonian time prioritizes lived experience, "differences in travel conditions" that create "differences in time" (Canales, 2015, p. 71), in contrast to Einstein's scientific approach to time. In relation to these explanations , Katie Fry puts forth "the Proustian metaphor of the mind as a dark room" with memories or rather photographic images employed from the past (2018, p. 126). Proust's narration of events demonstrates "snapshots taken by memory" as it leads to the understanding that "involuntary memory may be photographic" (Fry, 2018, p. 128).

In addition to this, Griffin points out *Time Regained* is a novel of metamorphosis and self-recognition (2013), and only in the extended narratives, could human emotions occur with specific insights (Macfarlane, 2009), like Proustian ones. I chose the Lacanian and Bergsonian concepts of Time to analyse Proust and Forster's narratives in order to demonstrate; how human emotions with specific insights and photographic images, in virtual qualitative multiplicity of the characters' anticipation, achieve a sense of wholeness through involuntary memory. These two novels are contrary and similar to

the fragmentariness of modernity with respect to time. I argue that the Lacanian and Bergsonian approaches to Time would elucidate the psychic reality hidden in the "immaterial colours of years" displayed as the metonymic extension of Punch and Judy show that "exteriorised Time" (Proust, 1931, p. 212) of multiple cultures. That sense of wholeness, however, has been fragmented and lost long ago with the hierarchies, producing binaries such as early/late, quick/slow, past/present, old/new and their modality future. In the modernist texts, a new narrative technique of free association of thought emerges. I claim that this free association attunes with Bergson's involuntary memory and duration and Lacan's notion of anticipation and retroaction because as the novels demonstrate the past is prone to the reinterpretation of the present. This produces a new signifying chain in language to express the ontic and epistemic shift in the cultural and social strata of the twentieth century. This free association favours fluidity rather than fixity of images. It also decentres the concept of Time as the measure that puts boundaries to the character's lives with either wartime destructions or the distorted images created by death. The characters in these two novels still feel the pressure of Time, which obstructs their capability to create, but they continue to search for the view they once perceived. The present psychodynamics of the characters, in the two novels, are influenced from the qualitative multiplicity of longing, anticipation, retroaction, wish fulfilment and nostalgia.

Nietzsche's approach to time would shed more light on the epistemological and ontological aspects of time with his preference of becoming rather than being (Chehayed, 2019). This notion of becoming has associations with Bergson's notion of *elan vital* as a self-organising principle, that juxtaposes the rapid technological change, problematising the representation of language and Time embedded in the stratification of memory and repression. This notion of becoming rather than being pinpoints reconceptualization of Time, embodied in the minds of the characters in the two novels. Their past and present intermingle and extend to future as enactive epistemic and ontic status for them in the two novels under the repression of the crisis of Time of the twentieth century. The crisis of Time fuels the shock and trauma of death/life, soul/body dualities embedded in modernity and Cartesian thought. Bergson's denial of complete extinction (Jones, 2007) with death regarding the concept of Time unfolds the recycling aspect of Nietzsche's becoming. This thought is, in fact, an echo of Pythagoras's notion of metempsychosis and transmigration of souls that "denotes the idea of blowing the soul back into a body. The cycle is thus conceived as a series of acts of inhaling the life-soul, an image which refers to […] the interior of a body" (Cornelli 2016, p. 4) and

is clearly dependent on the conception of air as a revitalising element. Metempsychosis is the transmigration of the soul, but the soul could go through several incarnations before perishing (Cornelli, 2016). Yet, Time, in this respect is beyond measure regarding the doctrine of transmigration because Nietzsche's sense of becoming synchronize with Pythagoras's metempsychosis that blurs the boundaries and fixations of mind, set by the Time so that mind and body become inseparable with a free spirit. These thoughts resonate in Bergson's definition of duration when Bergson states that he cannot differentiate between the duration and a memory: "To tell the truth, it is impossible to distinguish between the duration, however short it may be, that separates two instants and a memory that connects them, because duration is essentially a continuation of what no longer exists into what does exist" (Bergson, 1965, p. 49).

Bergson's theory of duration is apropos of Pythagoras's notion of metempsychosis, that reveals "the immortality of the soul and its metempsychosis" (Cornelli, 2016). This resonance of duration and metempsychosis can be traced in the phrase "a continuation of what no longer exists" (Bergson, 1965, p.49). Proust's narrator connects his recollections of the past and his present, which may be seen as the embodiment of body and soul duality, from a Cartesian standpoint. This thought reincarnates in the immortality of the soul.

Definition of Time for Marcel in *Time Regained*

For Marcel, Time[3] is enactive as it moves back and forth linking Time and memory like a *Punch and Judy* show. This Time is magical due to its dual aspect of visibility and invisibility that is embedded in the inward turn of Marcel. Marcel's definition of Time, in *Time Regained,* foregrounds Bergsonian notion of duration once again as a backcloth against the clock Time, that is doomed to move only forwards with mechanistic motion. In the following quotation, the emphasis is on the "immaterial colours of years" that exteriorised Time. Material reality includes clock time, but psychic and social reality are closer to the immaterial colours of years, including the multiplicity of cultures. To quote Proust, "[a] Punch and Judy show of puppets bathed in *the immaterial colours of years, of puppets which exteriorised Time*, Time usually invisible, which to attain visibility seeks and fastens on bodies to exhibit wherever it can, with its magic lantern" (*emphasis added* Proust, 1931, p. 212). The puppet-like performance of Time, then, is enactive

3   Proust capitalizes Time when Marcel refers to *Punch and Judy Show* (Proust, 1931, p. 192). See page 2 for further reference.

regarding the previous photographic images that are hidden in the minds of the audience, which "exteriorised Time" in the plurality of cultures. These photographic images have been recorded long ago yet they are always ready to be recollected in different virtual qualitative multiplicities, leading to heterogeneous feelings like love, longing, desire for the individual or for the narrator in the immaterial colours of years.

Bergson's definition of duration resembles the narrator's depiction in *Time Regained* in many respects: "Time [t]o be measured, it must first be spatialized" (Jacobson, 1965, p. vii). Combining "eye and memory" is associated with "the immaterial colours of years" (Proust, 1931, p. 212), which is harder than involving space to measure Time. The ambiguity in measuring Time by involving space as a part of inner duration is explicated as: a "process, which is taken when we think of the experienced flow of our inner duration as motion in space; and the next, when we agree to consider the path described by this motion as the motion itself" (Jacobson, 1965, p. vii). *Time Regained* reflects the immaterial colours of years that Marcel experiences as a reincarnation process when he takes up his book from his library. The book replaces him with a child first and then, a young man when he experiences another period in his imagination. That is to say, Marcel goes through a cultural plurality that reincarnates in childhood and youth. Through retroaction, he tries to create a sense of wholeness in an illusory moment in Lacanian terms.

Marcel's Books as his Vital Impulse in *Time Regained*

The social, empirical and psychic reality of the period brings out the possibility of transfiguration of different phantasmagoria embedded in photographic images of the mind in Bergson's notions of duration and *elan vital* (vital force that opposes only mechanistic, scientific view, vitalising the self-organisation) (DiFrisco, 2015, p. 59). Likewise, Proust likens the notion of (un)expected time of metempsychosis, with his artistic tendency that vitalises books as a means to travel through Time in *Time Regained*: "If, ever in thought, I take up *François le Champi* in the library, immediately a child rises within me and replaces me […] If I see a thing of another period, another young man will emerge" (Proust, 1931, 111). This explication for Bergsonian duration and Pythagoras's metempsychosis illustrates Marcel's possibility of becoming either a child or a young man while he reads *François le Campi* as he contemplates the experience, he has once lived in the past as a child and a young boy. Marcel's childhood fuse with the images of objects, vitalising the gap between his past and present in a non-linear, asynchronous pattern.

Time does not dominate rather intermingles past and present yet the present act of reading the book once again affects the past, *a posteriori,* under the influence of Marcel's present experience (Evans, 2006, p. 207), which is the Lacanian notion of retroaction. As Watt argues, Marcell's experiences are rich in images that flow back and forth in time with recollections and free associations of thought, including cultural multiplicities in literature. For instance, Marcell discovers "a copy of *François le Champi* in the library" which "reincarnates in him the young boy who first read the book with his mother in Combray" (Watt, 2011, p. 100-101). It is obvious that the book has kaleidoscopic images that are palpable transmutations of phantasmagoria that engenders a flow of ageing based on freedom and mobility. Thus, in Bergsonian terms, Time, which cannot be enunciated, is delineated through images indirectly.

The above-mentioned lines from *Time Regained* indicate that memory is constitutive of spontaneity in experience. The intuition marks Marcell's notion of Time rather than the cause- and-effect relationship of linearity. Marcell's teleological drive is not correlative with the notion of Time only as the measure because Time is totally incommensurable. This immeasurable Time instigates "elan vital" (Jones, 2007, p. 23) or creation of the inner life of Marcell through the images of objects based on his childhood memory. "The *élan vital* is a metaphor or image, […] that is "capable of orienting research '' '' (DiFrisco, 2015, p. 57). The emergence of another young man refers to how the future affects the present. Marcell, in other words, anticipates an impossible "future wholeness" (Lewis, 2008, p. 177), which is apropos of the Lacanian mirror stage, in which the child achieves a sense of wholeness with his/her caretaker.

In *Time Regained,* Marcel's references to other narratives indicate how his memory works within a virtual qualitative multiplicity: Marcel loves "the old Orient of the *Thousand and One Nights.* He even loses himself "in the network of black streets" as he is thinking "of the Caliph Haroun Al Raschid in quest of adventures in the lost quarters of Bagdad" (Proust, 1931, p. 67). Shahrazad's storytelling metamorphoses Marcel when he loses himself in fictional Time of *Thousand and One Nights,* experiencing the mysticism of the Orient in the tales that distract him from his daily routines. Marcel draws on Time again by referring to *Thousand and One Nights* because he thinks of Haroun Al Raschid's gift, the clock, to Charle Magne probably with an emphasis on the associations of the liquidity of Time, hidden in its mechanistic feature: "The Caliph Haroun Al Raschid, in 807, presented Charle Magne with a clock in which wheels were moved by falling water" (W.P., 1888, p. 12). Marcel is once again lost in the photographic images of his books,

embedded in his mind as the metaphoric extension of vital impulse that connects his imagination and his epistemology with colloquial language. He dives into the depths of the quest of adventures of art lover, Caliph Haroun Al Raschid in Bagdad, that intermingles with his pleasure for Oriental texts and his gift, the clock, in which "the twelve knights paraded round the dial-plate" (W.P., 1888, p. 12). The long-lasting tales of Shahrazad is a metonymic extension of Marcel's long-lasting imagination in *Time Regained*.

The Seal of Time and Ageing in *Time Regained*

The last lines of *Time Regained* draws the cyclic pattern of Time not to a close but to a new violent beginning for Man. This beginning imposes his/her monstrosity with his/her capability of measurement in all aspects of life, creating a giant status of modern aging Man. Man struggles in vain as s/he has immersed himself/herself in the "distant periods" of "the seal of Time" (Proust, 1931, p. 326). Here, Marcel's point is that Time is a seal, closing his artistry firmly, but the (un)expected Time of the end of life or rather the end of Time is a misrecognition of the idea, that the Man is the measure or Time is the measure. He, thus, claims that Time is immeasurable in simultaneity and Man is lost in its vastness: "as monsters occupying a place in Time […] simultaneously touching widely separated years" (Proust, 1931, p. 326), Marcel recognizes the impossibility of wholeness. Proust's long sentences run on and display a continuous flow of thought streaming through capitalised Time. Marcel depicts his anticipation of finishing his novel, which his seal of Time demarcates including the characters that are ageing as monsters that occupy a place in time. This Time is a seal that creates anxiety for Marcel. It is a force that imposes the insufficiency of Time on finishing his book.

The search for the lost Time in *Time Regained* ends with this flow of ageing, constituted with the images of Bergsonian Time, that is manifested indirectly. As Watt states "the Search ends on an image of giants: our store of experience mounts up beneath us as we age, elevating us until in later life we totter as if on stilts, like giants plunged into the years" (Watt, 2011, p. 103). Marcel sees Time, "only discursively present in terms of spatial images, yet in durée the moments are interpenetrated, making it misleading to think of time as any kind of succession of images or form of space" (Jones, 2007, p. 24-25). The possibility of becoming for Marcel is never a fixed static image of a being, so he can achieve that possibility through his art that emerges from mobility. The

continuous growth of vitalism in the image of ageing in the last paragraph of the novel intermingles with the image of giants contemplating in Time.

Thus, ageing is never a sign of loss of senses but rather a flowering of virtual qualitative multiplicities of past images. This intermingling with Time for Marcel reflects his experience in writing as his intuition of imagination; yet there is no teleological drive in this process. At present, under the seal of Time, Marcel anticipates finishing his writing. In this respect, moving backwards and forwards in Time with contemplation and recollection reveals the psychic possibility of circularity through repetition in *Time Regained*.

This is very much apropos of the Lacanian approach, which brings out circularity of time in the form of rings of chain. For Lacan, the term 'time' is not "a fleeting diachronic moment but a structure, a relatively stable synchronic state. The ordering is one of logical priority rather than of a chronological sequence" (Evans, 2006, p. 190). Change, therefore, for Lacan, is never a "smooth move along a continuum", but "an abrupt shift from one discrete structure to another" (Evans, 2006, p. 190). This is similar to what Marcel experiences as he plunges into his previous memories with *François le Champi* and *Thousand and One Nights*.

Medieval and Renaissance in *A Room with a View*

E. M. Forster's depiction of Time in *A Room with a View* epitomises the intrapsychic and intersubjective aspects for Cecil Vyse and Lucy Honeychurch. Cecil appears as a Medieval man for Lucy, whereas Lucy is a Leonardo Da Vinci woman, the embodiment of a Vitruvian woman for Cecil. Her image for Cecil creates an intrapsychic realm of Time that constitutes a non-linear intersubjectivity between Lucy and Cecil inasmuch as Cecil does not care for being rejected by Lucy. Cecil is the embodiment of Medieval Man, who creates a chamber of consciousness, echoing in Bergsonian involuntary memory and virtual qualitative multiplicity. They bring past and present together: "[Cecil] was medieval. Like a Gothic statue. Tall and refined, with shoulders [...] he resembled those fastidious saints who guard the portals of a French cathedral. Well educated, well endowed, and not deficient physically" (Forster, 2000, p. 106).

Forster, here, draws the attention to the gap between past and present, regarding Medieval and Renaissance aesthetics by demonstrating the incompatibility in Cecil and Lucy's engagement. Cecil's likeness to Medieval times may be associated with the

feudalism and knighthood, depicted in his statue-like figure. Thus, evaluating past considering her present situation, Lucy conceives Cecil as a "self-conscious" man, which is favoured by the aesthetic tastes of Medieval period. In terms of the Lacanian logical time "having surpassed the time for comprehending the moment of concluding, it is the moment of concluding the time for comprehending. Otherwise, this time would lose its meaning" (Lacan, 2006, p. 169). Being self-conscious about his appearance, Cecil does not conclude to finish his engagement with Lucy at that moment because he does not evaluate their relationship as a fiasco as Lucy's brother Freddy does. Thus, his hesitancy to react to Lucy's rejection leads to the loss of meaning for comprehending. Lucy Honeychurch is depicted as a "perfect" woman portrayed by Renaissance painter and architect Leonardo da Vinci, who centralises Man as the measure with his work of Vitruvian Man, which lays the cornerstone of humanism (Braidotti, 2013, p. 13): "[Lucy] was like a woman of Leonardo da Vinci's [...] The things are assuredly not of this life; no woman of Leonardo's could have anything so vulgar as a "story." [...] She reminded him of a Leonardo more than ever; her sunburnt features were shadowed by fantastic rock" (Forster, 2000, pp. 107-108).

Regarding Cecil's relation to Lucy, seeing, understanding, and concluding are means to rationalise his act of love. Hence, the notion of Time in their relationship can be traced in the Lacanian notion of logical time that is constituted of "the instant of seeing", "the time for understanding", and "the moment of concluding". Lacan bases these terms on an "intersubjective logic based on a tension between waiting and haste, between hesitation and urgency" (Evans, 1996, p. 208). Likewise, Cecil prefers to wait, hesitating before concluding for the ending of their relationship. In fact, he never attempts to leave Lucy. Thus, his action is structured around a social and empirical reality of hierarchised knowledge of anthropocentric view that places Lucy at the centre with the implication of light and the sun. His logical time revitalises his intersubjectivity with Lucy. The Lacanian logical time is "the intersubjective time that structures human action" (Evans, 1996, p. 208). Thus, Cecil concludes that being a "rejected suitor" did not have a meaning for him because he feels enlightened with Lucy's Renaissance image that bridges Medieval, Renaissance and the modernity of the twentieth century, creating an intersubjective time between them.

There are also instances in *A Room with a View* when the notion of time is handled with an effort to approach poetry or music[4] (Moran, 1999, p. 170). Lucy likens Cecil's

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4   The translation of the paraphrase from Berna Moran's *Edebiyat Kuramları ve Eleştiri* is mine.

romantic wish to be in nature to the state of being a poetess: "Do you know that you have never once been with me in the fields or the wood since we were engaged?" (Forster, 2000, p. 125). Cecil pinpoints the lack of romanticism in their relationship by referring to their lack of time spent together in nature. They have never been to the woods. Instead, they have kept their images to themselves in a room without a view within an illusory moment. This recurring image of a room without a view in the novel stands in contrast to the anticipation embedded in the notion of virtual qualitative multiplicity of images in nature in the novel. Without doubt the multiplicity of the images in a room is less than the ones in nature. Although Cecil is a Medieval Man, he rationalises his relationship with Lucy by referring to the lack of memories or Time spent with the beloved. Cecil is eager to rationalise his intersubjectivity with his fiancée in a linear fashion or with a view because he anticipates a marriage with her: "I don't know that you aren't. I connect you with a view—a certain type of view. Why shouldn't you connect me with a room?" […] Why not?" (Forster, 2000, p. 125). Concerning Time as a social construct, in *A Room with a View,* Lucy's being in a room with Cecil is the metaphoric extension of a static, fixed or absolute time that can be measured and manipulated. The room sets boundaries to the possible interactions and images, in Bergsonian sense, *elan vital* for linear intersubjectivity between Lucy and Cecil in nature. Time spent in the room sets boundaries to experiencing the flow of time in nature which encompasses the energy and vitality of simultaneity which is not man made. The immobility of time leads to man-made fixations of time zones that would only revitalise an energy of a moment which is impossible to hold. Therefore, the images of nature are of vital importance for the characters. They illustrate a picture of that intuition (Lawlor, Leonard, "Henri Bergson" 2021).

The fields and the wood, that are the metaphoric extensions of a romantic desire of becoming a poetess for Lucy and the "variable duration" (Evans, 2006, p. 159) are the embodiment of analysing the psychic time of the characters in the novel. Being in nature and the implications of being a poetess are the metonymic extensions of Nietzsche's approach to Time, that reflects Cecil's thought of becoming (Chehayed, 2019, p. 384).

Cecil and Lucy's conversation after their engagement elucidates Lucy's attempt for retroaction which would historicise the present. This present evokes the room in Bertolini pension with a view to recreate a moment to synthesise Lucy's past encounter with the Emersons. He, thus, tries to construct intimacy in their marriage. But the implication

reminds Lucy of George Emerson his father's previous encounter about the notions of view, and the room in the Bertolini pension in Italy. In Lacanian sense, room and view are "historicised in the present" (Evans, 2006, p. 209) when Cecil utters them. This retroaction is an attempt to spin or rather create a twist, a circular momentum in narration time to evoke the multiplicity of views. In Lucy's memory, once; Mr. Emerson has sought to constitute a common view as the embodiment of an anticipation for a possible future engagement with his son George and Lucy: "I have a view, I have a view." […] "This is my son," said the old man; "his name's George. He has a view too." […] "What I mean," he continued, "is that you can have our rooms, and we'll have yours. We'll change" (Forster, 2000, p. 24). It is possible that in her conversation with Cecil, Lucy's recollection with the Emersons creates a crisis of time for her memory, and she quickly associates the present scene with her remembrances of past encounters in Bertolini pension. The ambivalence is on the side of Cecil because Cecil and Lucy cannot achieve intimacy in their relationship. Therefore, "timely register of a temporality pressured by an immense sense of eventful change: a special present, a brink of time, a precipitous instant" becomes "a crisis time" (Sherry, 2016, %3) for Lucy as her fiancé becomes a "fiasco" (Forster, 2000, p. 115) with the lack of an intimacy.

Nevertheless, the images of Cecil as a medieval man and Lucy as a Renaissance woman demonstrate that the retroaction in Time produces an energy of virtual qualitative multiplicity for taste. This taste may either be interpreted as aesthetics or self-consciousness that are remodelled in the characters' unconscious in the novel. Time constructs images for Lucy and Cecil problematising their intersubjectivity for marriage. Lucy's intimacy with George Emerson, on the other hand, is prevented first by Mr. Eager's biased approach to his father Mr. Emerson who all are a school of tourists visiting Italy. Mr. Eager is unkind to Mr. Emerson with his implications of slander that Mr. Emerson "has murdered his wife in the sight of God" (Forster, 2000, p. 75). Thus, Mr. Eager moves beyond "intersubjective logic" by adding slander to the gap between past and present to re-evaluate "the present synthesis of the past" (Evans, 2006, p. 208). However, Lucy's life experience with George Emerson creates a more effective vital impulse than her Time constructed and fixated relationship with Cecil, as a result they get married.

Defence against the Wartime in *Time Regained*

Katie Fry comments on Marcel Proust's metaphor of the mind "as a dark room" filled with "photographic images" ready to be developed so that the past is brought into

light. This act elucidates his notion of "involuntary memory" (2018, p. 127) patterned with "photography and its latent image" (2018, p. 127). The characters in *Time Regained* experience this sense of fragmentation due to the photographic images of pastiche and collage fusing past and present yet their ageing becomes the embodiment of their gain. They display an ontic resistance to the wartime effects of violence: "I'd rather have my throat cut than obey savages like that […] Damn it, I wish it had been a proper wound" (Proust, 1931, p. 81).

In this respect, Time is a construct for Proust and Forster because it can be fictive. Linear succession of time is a matter of choice. Time cannot dominate everything. Wartime involuntary memory intermingles with past images with the latent image of present. The anticipation for the time to be regained, by resisting the pressure of Time, fuels the destructive influences of wartime on humanitarianism.

Images of brotherhood are also embodied in wartime memories in *Time Regained*. Timeless structures are reinterpreted through present experience. The image of the moon, this time stands for brotherhood that emerges with cooperation during wartime under the oriental crescent of the Parisian sky: "It was a clear, still night and, in my imagination, the Seine, flowing between its circular bridges, […] resembled the Bosphorus, the moon symbolising […] that invasion […] the cooperation of our Mussulman brothers with the armies of France, […] under the oriental sign of the crescent (Proust, 1931, p. 67).

Besides, Gilberte's letter about the war, in *Time Regained,* demonstrates her resistance to the destructive effects of wartime, and how she regained Time by staying in her dear Tansonville. Gilberte resists the remodelling effect of wartime that imposes the eradication of memories and unconsciousness that is constituted with past loveable views, revitalising time as an *elan vital*. This is done on purpose to weaken the possibility of a future revolt that would resonate in the nostalgia of the past. Gilberte succeeds in counteracting the remodelling by settling in her dear Tansonville to safeguard his father's Château and collections. "I was able to save the Château […] the precious collections which my dear father so much loved" (Proust, 1931, p. 36). Gilberte's act of staying in Tansonville bravely interweaves Lacanian logical time as she interconnects the enactive in wartime to her defence mechanism of retroaction to safeguard her memory with a return of the repressed. She sees the heavy consequences of Time, understands that she may lose that Time if she runs away. Thus, she synthesizes with

a vital impulse by defying the terrifying images of wartime. The intersubjectivity and Time, in Lacanian sense, constitutes Gilberte's action by keeping her close to her good old steward during wartime.

Remodelling in Wartime in *A View without a Room* (1958)

Spatiotemporality reiterates the drastic effects of modernity that eradicate traces of romantic interaction, constituting a different view for Lucy and George, thus, the retroactive effect of time is somewhat at stake. In the appendix, *A View without a Room* (1958) of 2000 Penguin Books edition of *A Room with a View,* George, who has enlisted to World War II, observes the remodelling streets of Lungarno and Pension Bertolini. He, thus, understands that Time extends and embodies present reinterpretation of the past encounters. Therefore, he synthesises that wartime aims at remodelling the minds of the people.

Eradication of one's loveable memories with his beloved in Italy destructs the unconscious constituted by former humanitarianism of the past: the Bertolini Pension was not damaged in war, but the houses in "Lungarno have been renumbered and remodelled and, as it were, remelted, some of the façades have been extended, others have shrunk, so that it is impossible to decide which room was romantic half a century ago" (Forster, 2000, p. 233). George anticipates seeing his memories, but the room and the view are still there, yet they cannot be found as the numbers of the buildings have changed. Forster's appendix *A View without a Room* is a composite portrait of wartime generic images of homelessness that fuels psychic, social and material fragmentation with a promise to end war: "George and Lucy await World War III" expecting that it would end all wars and all life (Forster, 2000, p. 233).

Death as an (un)expected End

Time Regained remarks the search for the lost beloved, Albertine in Marcel's internal monologue, in line with his memory and repression that manifest his symbiotic relationship with dead Albertine. Marcell seeks to achieve a sense of wholeness with his untainted memory of Albertine in the following lines: "Ah! if Albertine had lived, how sweet it would have been, on the evenings when I dined out, to make an appointment with her under the arcades." Marcel is once more preoccupied with the image of his beloved Albertine. His involuntary memory realizes her; as he specifies the moment

as: "her smiling eyes would have perceived me and we should have been able to walk arm-in-arm without anyone recognising […] us and to have gone home together" (Proust, 1931, p. 28).

The image of walking arm-in-arm with her beloved Albertine is a metaphoric extension of his desire that could never be achieved yet this image synthesises the *elan vital* of the past, *a posteriori*. Marcel's heart-breaking utterance "Ah, if Albertine had lived" implicitly intermingles his past and present. This reinforces his attempt to fill in the gap between his past and the present that stands out as an answer to the question whether remodelling and eradication practices in Time, transmute Albertine's image in Marcel's memory in *Time Regained*. Marcel never gives in to negation instead, he preserves a lovely image of Albertine, that creates a sense of wholeness. Time also constitutes a wish fulfilment to reunite with the lost loved one. His love for Albertine goes beyond the boundaries of Time as nothing could obstruct his imagination, that seeks a sense of wholeness with the beloved. Marcel's inward turn stands in contrast to the short-lived affairs between couples of modern times. His memory and intuition manifest his desire for a long-lasting love, that blurs the boundaries of restrictions set by death when he recollects the past kaleidoscopic images of Albertine, revitalising his imagination in the novel. Perhaps Marcel's involuntary memory could never have been achieved if Albertine had lived.

Conclusion

Time, an outside effect, is a notion that regulates our lives as we can measure the moments we encounter. Thus, it becomes an absolute force. However, it is man-made. This means that it is prone to speculation. The moment we live cannot be measured as Bergson states. The rules of chronology can be subverted any time. For instance, the omniscient narration of events is subverted through free association of thought in *Time Regained* because what is in the mind of the character foregrounds subjective experience and subverts the linearity and the chronological sequence of the plot. Timeless structures are reinterpreted through present experience. The narrators in *Time Regained* and the appendix of *A View without a Room* are far from being omni-scientific as their streams of thought transgress the boundaries of existence, so they create their art within their process of becoming. Marcel, Lucy, George are not afraid of ageing, on the contrary, they experience ageing as a virtual qualitative multiplicity regained in Time. Yet, Marcel experiences Time as a strain that might obstruct his writing intuition. In both novels,

Time is often taken as a social construct rather than a mechanistic regulator. Specifically, in *Time Regained,* the long sentences and phantasmagoria of images are foregrounded as a vital impulse or an energy of the subjective thought which is more precious than any other material reality.

Modernity can be associated with Bergson's materialised time, but Marcel and George Emerson's search for the traces of lost memories delineate what they anticipate in the two novels. The psychodynamics constituted with clock fixated time reveal their repressed lack, their inadequacy to keep up with their former image. This recognition of the impossibility of a totalized mastered body resonates with the impossibility of mastery over time. Both Marcel and George recognize that they can never achieve a totalized mastered body image through involuntary memory. They both fill their inadequacy fuelled by the outcomes of modernity. Their lack halts their mastery of life as they anticipate in retroaction violating the chronology of history through involuntary images. Marcel's metempsychosis is another revitalising element that involves retroaction and anticipation in various bodies. This sense is another way of totalising a mastery over chronology in the depth of the fluidity of allusive free associations of thought. The photographic aspect of involuntary memory, on the other hand, creates a psychic room for Marcel in *Time Regained* and George in *A Room with a View,* in which their lived experience with the other characters enlivens their vital impulse. However, the fragmentariness of modernity and the lost pleasurable memories, hidden in the objects, such as the Bertolini Pension or Gilberte's father's Château or the arcades under which Marcel and Albertine meet or Bosphorus are landscapes that occupy the colourful memories of the past. Love is the first running force to accord with *elan vital,* opposing the mechanistic scientific time that vitalises George and Marcel's self-organisation of either writing to finish his book or revisit the space to form a spatiotemporal realm to refresh the memory.

The mechanistic clock time that moves only forward juxtaposes with the characters' intuitive and involuntary memory in the two novels. This involuntary memory not only involves political Time but also social, empirical, and psychic Time. It also has a fictional status in the two novels as Time becomes a nutshell to the memories of the characters. That is to say, the characters can rewrite anything from their own perspectives or their mind's eye. In *A Room with a View* Time is sometimes a fixed concept to speculate on, and sometimes a vital impulse to "recreate life out of life" (Joyce, 1992, p. 186) as in *Time Regained*. In response to the enforcement of modernity, modern Time is encountered

in the minds of the characters in *Time Regained* and also in *A Room with a View* with an inward turn to the stratification of involuntary memory and repression specifically in the Appendix of Penguin Books edition, titled *A View without a Room,* paving the reader's way to focus on retroaction and anticipation of the characters.

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Tony Harrison's Adaptation of Phaedra's Moral Conflict: *Phaedra Britannica*

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ABSTRACT

This essay sets out to discuss Tony Harrison's play *Phaedra Britannica* (1975) by drawing primarily on Linda Hutcheon's views as expressed in her theory of adaptation and Harrison's own insights into adaptation. In this discussion, *Phaedra Britannica* as an adaptation of Jean Racine's *Phèdre* (1677), is understood as the outcome of an evolutionary process which started with ancient cultures and, at the same time, as an autonomous work. In order to make the story of Phaedra relevant for contemporary audiences, Harrison sets his play in a colonial context, during the British occupation of India. This essay addresses the adaptation of the play through the moral conflict associated with the story of Phaedra, a woman in love with her stepson Hippolytus, with a focus on shame and guilt. Throughout the centuries, these moral concepts have played a significant role in the story. The culture in Racine's *Phèdre* has been described as one dominated by guilt, but in Harrison's play a return to the shame culture depicted in *Hippolytus* by Euripides can be observed. Unlike Euripides, who is ambiguous about the role of gods, goddesses and fate, Harrison makes it clear that the characters' attempts at assigning blame to other people or to the gods of the colonised territory is simply their way of deflecting responsibility for the tragic events.
Keywords: Transcultural adaptation, moral emotions, Phaedra, Tony Harrison, *Phaedra Britannica*

Introduction

The culture in which a work of fiction is adapted is the primary agent in how that work will be both created and received. Even a more general explanation of the word adaptation would give us a natural and cultural phenomenon which defines "the capacities for human, cultural, and biological adjustments as a way of surviving, advancing or simply changing" (Corrigan, 2017, p. 26). Adaptation, then, is a dynamic concept by its very nature; it is formed and reformed in an unceasing fashion as it is anchored essentially in change. Linda Hutcheon, a leading figure in the field of adaptation studies, describes literary, film, theatrical and media adaptations as being based on stories that change over time and are rewritten in different cultures for particular reasons (2006, p. xvi). Even though an adapter's decision to take on a previously existing story may have ideological, stylistic or simply financial grounds, the impetus behind it, more often than not, is to appeal to contemporary audiences and their culture.

If stories change over time even within the changing structures of the culture they were born in, the transformation can be even more significant in transcultural adaptation. The traditional tale of Phaedra has been adapted not only across time and place, but also across genre and medium. As an example of mythical literature, it "depends upon, incites even, perpetual acts of reinterpretations in different contexts" (Sanders, 2006, p. 63). Despite the fact that the first authored version of the story belongs to Euripides (*Hippolytus*, 428 BCE), it was already a retelling of existing myths. The story does not have complicated or challenging content but is simply built on love, passion, vengeance, fate and death. Phaedra's passion for Hippolytus, her stepson, inflicted upon her by the goddess Aphrodite, ends up in death. When he rejects her, she accuses him of rape in a tablet found by her husband Theseus next to her corpse. His wife's suicide and the tablet incriminating the young man are enough to convince the father of his guilt. As a consequence of a curse granted by the god Poseidon, Hippolytus dies. This is how Euripides retells the story. However, similar patterns can be found before Euripides' time in other cultures as well, such as in the book of Genesis with the story of the Potiphar, his wife and Joseph (*Genesis 39*, Sarna, 1989, pp. 271-276), or in Egyptian mythology with the tale of Anubis, his wife and Batau (*Tale of Two Brothers*, pp. 95-99).

The reputation of the female protagonist, reinforced through numerous adaptations, gained her a place in psychological terminology, i.e. 'the Phaedra Complex', to

characterise the "non-pathological stepparent-stepchild attraction" (Messer, 1969, p. 213). In literary context, Albert S. Gérard introduces the term 'the Phaedra Syndrome' in his book *The Phaedra Syndrome: On Shame and Guilt in Drama* (1993) to refer to the moral conflict present in the story of Phaedra as adapted by Euripides, Seneca, Bandello, Lope de Vega and Racine. The subtitle 'on shame and guilt in drama' shows that throughout the centuries, these two moral concepts have played a key role in the story. Gérard (1993) doubts whether Phaedra's moral struggle can still "be regarded as a relevant topic for serious aesthetic treatment" (p. 135) in contemporary society. His view was challenged by Winston (1995) in his discussion of Timberlake Wertenbaker's *The Love of the Nightingale* (1989), which through a different myth brings about the same issues referred to in the Phaedra Syndrome. Winston agrees to a certain extent with Gérard, who "is no doubt right to speculate that Phaedra's agony of sexual guilt does not speak directly to the preoccupations of a contemporary audience", but he adds that matters "of sex and ethics remain very much at the heart of contemporary moral concern" (p. 511). It should be mentioned that, even if Wertenbaker's play addresses contemporary audiences, she chooses an ancient setting for the play, and not a contemporary one. The relevance of the Phaedra Syndrome may in fact be attributed, at least partially, to this decision.

The markedly individualistic traits of shame and guilt have also been employed to describe cultures at large: 'shame culture' and 'guilt culture' respectively. American cultural anthropologist Ruth Benedict is best known for popularising these concepts in her book *The Chrysanthemum and the Sword: Patterns of Japanese Culture* (1947). To Benedict, guilt is based on an "internalized conviction of sin" which can be relieved through confession and atonement, whereas shame[1] is "a reaction to other people's criticism", and cannot find such relief (p. 223). A defender of ethical relativism, Benedict argues that "morality differs in every society" (1934). In the adaptations of the story of Phaedra, the moral focus shifts according to the culture producing the adaptation. For instance, the culture portrayed in Euripides' *Hippolytus* has been characterised as a 'shame culture', particularly due to Phaedra's concern with the opinion of others; she does whatever is necessary to keep her reputation intact and goes so far as to falsely accuse Hippolytus of rape (Kovacs, 1980). Phaedra's accusation has dire consequences, but "the bare fact that she causes the death of the young man she thinks is her enemy

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1   Benedict has been heavily criticised for describing Japanese culture as 'shame culture.' She has not been criticised for her description of American culture as being driven by guilt, this criticism implying that shame is a feeling less desirable than guilt.

and the enemy of her good name [and with whom she has been passionately in love] would not in the fifth century have been regarded, without further encouragement from the poet, as evidence of moral failure" (Kovacs, 1980, p. 301), whereas in modern societies it is more likely that she would be perceived as an immoral human being. However, in Jean Racine's adaptation *Phèdre* (originally *Phèdre et Hippolyte*)*,* first performed in 1677, the prevalent aspect is guilt and this can be explained by the influence of the theological movement of Jansenism, with its moral rigour and "the emphasis on faith, [and] the expressions of guilt" (Calcamp, 2016, p. 122). This influence can be seen not only on French culture, but also on the playwright at a personal level, 1677 being the year when Racine's religious beliefs in the teachings of Jansenism revive.

Written by British poet and playwright Tony Harrison, *Phaedra Britannica* (1975) is a play based on Jean Racine's *Phèdre* (1677). This essay sets out to discuss the manner in which the moral conflict present in the story of Phaedra has been adapted by Harrison for the English stage, by drawing primarily on Linda Hutcheon's views as presented in *A Theory of Adaptation* (2006) and Harrison's own insights into adaptation which he provides in the introduction to the play. The play, as an adaptation, is understood as the outcome of an evolutionary process which started with Greek tragedy and the first versions of the story of Phaedra, which in turn developed with similar stories from other cultures. However, this essay also explores what exactly makes *Phaedra Britannica* an autonomous work and how the story is integrated into a colonial context, the play being set in nineteenth-century India. Not surprisingly, the nature of a story about the love of a woman for her stepson entails a moral conflict; for this reason, it is significant to investigate how moral issues such as shame and guilt have been integrated by Harrison in the colonial setting of his adaptation. Furthermore, the characters' internal struggles are valid only if they are responsible for their actions. If the actions, their causes and consequences are controlled by a divine power, then, the very notion of a moral conflict proves futile. For this reason, the role played by fate in the play is also integrated into the discussion of this essay.

Phaedra Britannica as an Adaptation

First performed in 1975 by the National Theatre Company at the Old Vic, the play featured Dame Diana Rigg as Phaedra and was directed by John Dexter (The National

Theatre Archive). *Phaedra Britannica* is an adaptation of Racine's *Phèdre* which, in turn, was inspired by the tragedies of Seneca and Euripides. Sanders (2006) observes that "frequently adaptations adapt other adaptations" (p. 13) which may be based on social circumstances at a given time or cultural characteristics at large while the initiative to adapt a particular version of a story is, more often than not, a matter of personal choice shaped by "a political or ethical commitment" (Sanders, 2006, p. 2). In the case of *Phaedra Britannica*, it was the National Theatre that commissioned the play after the success of Harrison's verse translation of Moliere's *The Misanthrope*; together, these two plays "firmly established the National as a rival to the Royal Shakespeare Company (RSC) in the production of verse drama" (Marshall, 2009, p. 266). Moreover, Harrison's successful collaboration with the National Theatre in the production of these plays, *Phaedra Britannica* ran for 47 performances and *The Misanthrope* for 82 (The National Theatre Archive), challenges the common belief that the works of Moliere and Racine cannot thrive on the English-speaking stage (Ploix, 2018, p. 491). Harrison (2002) was aware of this challenge and he thought that, in order to overcome it, one should "rediscover a s*ocial* structure which makes the tensions and polarities of the play significant again" (p. 115). The playwright's resolution proved to be effective indeed, since the main reason behind the change in the reception of the plays can be attributed to the setting of *The Misanthrope* and *Phaedra Britannica*, which are Charles de Gaulle's regime and British India, respectively. These fragments of history are more relevant for the English-speaking audiences than the distant, both in time and space, ancient Athens and even seventeenth-century France.

Changes in adaptations reinforce the link between a play that belongs to a past setting and the contemporary audience of a given culture. The version on which *Phaedra Britannica* is based, Racine's *Phèdre*, already displays a number of significant diversions from the classical plays of Euripides and Seneca. Following Seneca, the suicide of Phaedra happens later, but this time by poison, which is a slower way to die and offers the necessary time to clear Hippolytus' name. In Euripides' version, however, she hangs herself before learning the dire consequences of her desperate act. Another important innovation is Hippolytus' love for Aricia, an Athenian heir to the throne kept prisoner by Theseus. The insertion of this female character can be addressed in a number of ways. On the one hand, Hippolytus' rejection of Phaedra's feelings is not driven solely by the incestuous nature of such a union; his heart in this case belongs to someone else. On the other hand, and more importantly, his feelings towards Aricia shift the motivation behind Phaedra's accusation of rape, from a woman who wants to protect

her reputation in the classical texts to a woman whose vengeance is driven by jealousy in Racine's version.[2]

The core story of *Phaedra Britannica* is the same in the Racine version, but the setting and the characters are entirely different. The action takes place in the 1850s before the Indian Mutiny, in the Governor's Residency in British India and as Huk (1993) points out, the play "subtly shifts its focus from the title character to the larger social rhythm that creates her plight" (p. 211). The names of the characters are integrated into this context: Governor stands for Theseus, Memsahib[3] for Phaedra, Thomas Theophilus for Hippolytus and Ayah for Oenone. The British officials' government of the Indian territory, reinforced by the presence of their European wives, is antithetical to the role of native nurses, i.e. ayahs, forced to leave their own family to serve their masters (Harrison, 2002, p. 152), thus underlining the tension between opposing political and social forces. The names of Theseus, Phaedra and Oenone have no resonance with the turbulent history of colonialism and therefore they would not have been as powerful as the titles of Governor, Memsahib and Ayah to illustrate the British dominance over India which seems to be precisely what Harrison wants to emphasise by having a different take on the story of Phaedra.

The clues for a better understanding of *Phaedra Britannica* as an adaptation lie in Harrison's revealing introduction to the play; it is virtually impossible to discuss the play without taking this introductory part into consideration. The playwright tackles various aspects of adaptations and perhaps the most significant is his argument that, to produce an adaptation is as difficult and time consuming as the creation of the text to be adapted; in the case of both Racine and Harrison two years were necessary (Harrison, 2002, p. 113). The reason behind this similarity may be the fact that the authors are both adapters, which means they had to face the same challenge: to create a new play starting from an already existing story told by very prominent dramatists. Hutcheon (2006) underlines the fact that "the adapted text (…) is not something to be reproduced, but rather something to be interpreted and recreated" (p. 84), so that it can stand on its own as an autonomous creation. Furthermore, it

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2   In his lecture regarding the dramatic representations of Phaedra, Professor George Brandt (2001) explains that the motif of jealousy and Hippolytus' love for another woman which culminated in Phaedra's ending her life through poison, are introduced by Gabriel Gilbert in his play *Hippolyte ou le garcon insensible* (1645/1646) and with Mathieu Bidar's version *Hippolyte* (1675), respectively (pp. 9-10).

3   *Memsahib* was used to refer to or address white foreign women of high social status living in India, particularly the wife of a British official as is the case in *Phaedra Britannica*.

can be argued that each new adaptation is more challenging than the previous one since with every adaptation there are fewer and fewer gaps to be filled in the storyline. There have been more adaptations of Phaedra's story over the past three centuries than before Racine adapted his *Phèdre,* therefore presumably Harrison's task was more difficult than Racine's. Harrison openly offers insights into his experience as a poet and adapter when he writes, "In a pre-Romantic age I would feel little need for self-justification, nor feel I need be defensive about the poet's role as adapter" (Harrison, 2002, p. 113). The playwright's words imply a comparison with Racine, who lived and wrote in a pre-Romantic era and was spared of such necessities. Starting with the Romantic period though, literary purity and originality have become chief concerns for the poet; according to Hutcheon (2006), the "valuing of the original creation and of the originating creative genius (…) is clearly one source of the denigration of adapters and adaptations" (p. 4). The need to discuss his contribution to Racine's tragedy derives not so much from external pressure, but rather from an awareness of the substantial changes to the adapted text which becomes embedded within his own poetic and dramatic style. However, style may not be enough for the successful reception of a story which has been around for more than two millennia; another key element of poetic creativity is to present contemporary audiences with the prospect of identifying in the play elements closer to their political, social and cultural context.

Harrison's decision to set the play in British India addresses this contemporary issue of adaptation studies, but the playwright adds that he aims furthermore at a subtler effect; i.e. to stress the protagonists' internal struggle through the dichotomy between Minos and Pasiphae who are Phaedra's parents. Being the daughter of parents with conflicting personalities, Phaedra may be expected to feel and act in an imbalanced manner, yet the playwright views this dichotomy as "maintain[ing] the tension of the whole play" (Harrison, 2002, p. 117). Phaedra's father is, according to Greek mythology, one of the three judges of the Underworld. By referring to him as 'the Judge', this time in the physical realm, Harrison foregrounds the parallelism with Victorian Britain as a time and place which stands for the part that creates moral codes. In contrast, Phaedra's mother, and by extension India, represents the desire for the forbidden and the transgression of morality (Harrison, 2002, p. 117); in other words, what the coloniser both desires and condemns as immoral. In Pasiphae's case, her 'unnatural' desire for having sexual intercourse with a bull results in the birth of the Minotaur, a creature half bull, half man. It is worth pausing on the fact that, in the play, she does not receive a

proper name; instead, she is always referred to in relation to her husband or daughters, which signifies patriarchy's limitation of women to the roles of wife and mother.

Unlike Pasiphae, the Governor's desire is not related to crossing the borders between species. He desires what he cannot pursue in his own country or within the limits of his own culture, "leading, by virtue of his position, a double life" (Huk, 1993, p. 211). In the beginning of the play, when Thomas Theophilus is worried about his father's long absence, his tutor Burleigh, suggests that the Governor may have personal reasons for disappearing:

> BURLEIGH: (…) perhaps for reasons of his own
> H.E. prefers his whereabouts unknown.
> One knows his nature, ready to pursue
> anything that's savage, strange, or new,
> his 'curiosity' how wild tribes live,
> his 'scholar' 's passion for the primitive.
> (…) preoccupied both day *and* night,
> let's say 'researching' some strange marriage rite! (Harrison, 2002, p. 142)[4]

In Racine's play, this passage covers five lines and it mentions only a possible love affair for the absence of Theseus, whereas in *Phaedra Britannica* it is expanded to thirteen lines, thus making a point of the hypocrisy of the coloniser for whom India is a means of satisfying desires viewed as immoral in his own culture. Under the pretext of 'curiosity', 'scholar's passion' and 'research', the Governor manages to have experiences to satisfy his instincts, while at the same time remaining above the experiences themselves and those who indulge in them but lack his 'erudition'. A vivid example of this contrast can be seen in the way he describes his captor, which is in fact another addition to Racine's version:

> GOVERNOR: My captor was a beast, obscene, perverse,
> given to practices I won't rehearse,
> to crude carnalities that overrode
> every natural law and human code.
> He'd draw the line at nothing. No taboo
> would stop him doing what he wanted to. (p. 182)

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4   *Phaedra Britannica* in *Tony Harrison Plays 2* (London 2002). All numerical references to quotations from this play are from this book.

The long time spent in the captivity of this "black tyrant" (p. 182) is the reason why his family thought him dead. What is intriguing is that the two men present very similar traits. The only essential difference between them lies in the way the Governor perceives himself, as a superior white male; he is bound by laws and codes and although he wishes to, cannot engage as freely as his captor in obscene and perverse practices.

If the appellatives selected by Harrison for the characters of Phaedra (Memsahib), Theseus (Governor) and Oenone (Ayah) can be explained plainly in terms of colonial discourse, the case of Thomas Theophilus, the equivalent of Hippolytus, is more intriguing and yet, Harrison himself offers no explication for it. Nevertheless, some tentative steps can be taken towards an understanding of how the name works within the play. Contemporary audiences may not be aware of the fact that, in Greek, Hippolytus' name means 'he who unchains the horses'. Thus, the implicit relation between his name and his tragic end, when he is torn apart by his own uncontrollable horses, may escape them. Thomas Theophilus, on the other hand, sounds more familiar because Thomas is a common male name in many western countries. Even the religious reference to Thomas the Apostle, best known for being the only one out of the twelve apostles who doubted the resurrection of Jesus (thus called 'Doubting Thomas'), is not too foreign, at least in a Christian context. The religious aspect of the name becomes significant particularly when it is associated with the name Theophilus, meaning 'he who loves God'. The internal conflict of someone who both doubts and loves God is in line with Harrison's statement that the entire play is first and foremost a constant interplay and conflict between opposing forces. Moreover, the fact that Thomas Theophilus is the only main character who receives a proper name (two in actuality) stresses his uniqueness, his 'hybridity': he is neither British nor Indian. Born to a British governor and a woman from the prominent Rajput clan, he feels at ease neither in England, where his stepmother exiles him for a while, nor in India. However, even if his life meant a struggle between conflicting feelings, his death symbolises the beginning of a new phase in the relations between the two nations. Before dying, Thomas Theophilus asks his tutor to take care of Lilamani and expresses his hope that his father would treat her in a kinder way. The Governor's response seems to mean acceptance which goes so far as embracing her as his family. In Racine's version, Theseus' reconciliation with Aricia indicates the beginning of his atonement for his share in the death of Hippolytus. The end of *Phaedra Britannica* brings about the notion of social, and not divine, justice. Lilamani deserves to have an active role in

the government of her own country, more than the Governor himself. From a historical point of view, the Indian Mutiny, though unsuccessful, paved the way for India's independence. Harrison's play, thus, ends with the promise of hope overshadowed by Hippolytus' sacrifice, marking destruction as the first step towards a new order of things.

The vast majority of the adaptations of the story of Phaedra focus on the female character, as it can be deduced from the name by which the story is known and the titles of most adaptations. The same can be argued for the performance of the plays, an issue Harrison discusses in the first paragraphs of his introduction by engaging in a dialogue with Roland Barthes and Jean-Louis Barrauld. In agreement with them, Harrison observes a "theatrical imbalance" (p. 115) in the prominence given to Phaedra and implicitly the actress impersonating her. The playwright addresses this issue mainly by emphasising the role of the Governor (Theseus). Harrison grounds his decision on the fact that unlike his wife and son, the Governor does not have the 'privilege' of dying; he has to continue living with the burden of his deeds (p. 115). The playwright gives more significance to the father and further strengthens the link with the adapted text by including a direct allusion to the mythical character of Theseus, in the Memsahib's comparison of the young Governor with Theseus or Hercules (p. 169). In *Phaedra Britannica*, the Governor stands for the white Western hero personifying the agent of civilisation whose duty is to clean the face of the Earth of (both metaphoric and real) monsters, such as "a giant cannibal", "tigers" and "maneaters" (p. 145), which exist not in his own country, but in the colonised territory. His heroic accomplishments are more than enough to compensate for his other side, of a philanderer. The more he advances in age and success, the more he loses his innocence; when he was young and less of a hero, he was as innocent as his son and both the Memsahib and Lilamani fall in love with Thomas Theophilus, since he displays only the positive side of his father. The mainspring for Lilamani's love is "his father's good's in him without the ill" (p. 161) and in a similar manner, the Memsahib is aroused by the resemblance between the son and the young version of her husband.

Far from the two women's image of him, Thomas Theophilus is disappointed with himself for not having accomplished much. Thus, he sees himself as "the undistinguished son of such a father, and with nothing done!" and feels "trapped in this obscurity" (p. 181). These words are uttered after his father's reappearance from his presumed death. Thomas Theophilus is not aware that shortly afterwards he will have killed a terrifying

monster. The competition between father and son is a common feature of Ancient Greek mythology. A similar pattern can be seen in the case of the hero Odysseus and his son Telemachus, who for a long time is unable to stand up to the level of his father's achievements. Similarly, Thomas Theophilus engages in a competition with the Governor for the right of being called a hero and the moment of achievement follows the father's return after a long absence, just as in Homer's *Odyssey*.

In his discussion of 'the Phaedra Syndrome', Gérard (1993) underlines a taboo less obvious than that of incest, i.e. "the taboo against sexual competition between different generations which is the very foundation of family hierarchy" (p. 2). In *Phaedra Britannica*, the prize is not only the Memsahib. It is plausible, judging by the way his character is presented by Harrison, that the reason why the Governor orders house arrest for the Indian princess Lilamani, instead of killing her as he does with her entire family, is that he intends to make her his mistress. During his confession to Burleigh, Thomas Theophilus acknowledges the impossibility of their love precisely because his father forbids anyone to marry the princess. The Governor supports his decision on his fear that she or her hypothetical offspring may overthrow him:

> THOMAS: Could I be so distracted to dispute
> the Governor's veto for forbidden fruit?
> She's quite untouchable. A strict taboo
> falls like a scimitar between us two.
> Prohibited. The Governor rightly fears
> heirs to that family of mutineers. (p. 146)

Additionally, the end of the play with the Governor's acceptance to unite his family with that of Lilamani may signify either that he welcomes her as his own daughter, and this aspect has been previously discussed in this essay, or that he intends to make her his wife, now being a widower. The Governor "has the last word" (p. 115), just as Harrison suggests, even in the sexual competition with his young son. Regardless of what qualities Thomas Theophilus may possess and what qualities his father may lack, it all comes down to the latter's power. What is noteworthy is that this type of competition is perceived as a taboo by the patriarchy only when the son is the one to desire a woman his father forbids either for political or personal reasons, and not vice-versa.

Between Scylla and Charybdis[5]: Shame and Guilt

Hippolytus' love for Arica gives rise to Phaedra's thirst for revenge and this is perhaps the main reason why Gérard (1993) views in the French tragedy a shift from a culture characterised by shame, as is the case in Euripides' version, to a culture where the emphasis falls on guilt. In the shame culture presented in the ancient play, Phaedra's actions could be justified by the need to defend her and her family's honour. On the other hand, in Racine's version, with the insertion of the element of jealousy, the playwright emphasises the fact that there is simply nothing honourable in being so jealous as to cause the death of an innocent person. Racine's Phaedra is guilty not only for causing Hippolytus' death, but for doing so as a result of her uncontrollable jealousy towards the young couple. It might follow that Harrison's adaptation presents the same image of guilt-driven characters; however, this is not the case. It can be said that both feelings play a significant role, particularly for the Memsahib, and there are instances when Racine stresses the feeling of guilt and Harrison adds shame as well. When the Memsahib expresses her desire to die, before confessing her love for Thomas Theophilus, she simultaneously provides a definition of shame and guilt: "I'll die in any case. With twice the shame / once guilt, that's better nameless, gets a name" (p. 152). The second instance when shame comes to join guilt is when the two women are informed that the Governor is dead; in the Ayah's view, the Memsahib should now "fling guilt and shame aside" (p. 157) since the only reason to feel guilty or ashamed had to do with her being married, which is not the case anymore. Shame and guilt cannot be differentiated sharply; even so, it can be inferred from the Memsahib's words that guilt is related to something known only by the person who did something wrong, whereas shame is felt when that wrong is or may become known by others. The definitions provided by the Memsahib are in agreement with Benedict's views that unlike guilt, shame is an emotion related to the criticism of other people. However, more recent research shows that there is not enough evidence to support this private-public dimension. Anthony O'Hear (1976) remarks that shame does not necessarily "depend on a fear of public exposure, actual or potential" (p. 77). Similarly, June Price Tangney and Ronda L. Dearing's (2002) extensive research into moral emotions has found that "there is little empirical support for the commonly held assumption that shame arises from public exposure of some failure or transgression whereas guilt arises from the more private pangs of one's internalized conscience" (p. 24). Nevertheless, the researchers

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5   The meaning of the idiom is to be caught between two unpleasant or dangerous alternatives; Scylla and
     Charybdis being two sea monsters in Greek mythology.

stress that the desire to hide from the public eye is indeed associated with shame (2002, p. 25). The Memsahib's words in the beginning of Act 2 are in agreement with this; she says "Hide me (…) conceal my raw desire from the public view" (p. 173). She experiences shame in a peculiar way: the light of the day exposes her and her shame to the critique of other people. The Memsahib is consumed by light and by the sun's "all-seeing, penetrating rays" (p. 149) which make her "whole face hot with shame" (p. 150). It is obvious that she worries that, if exposed to light and others, her transgression will become a matter of public scorn, ridicule and contempt.

From the very first adaptations of the myth, Phaedra has been presented as a mother who cares for her children. In *Phaedra Britannica*, the Memsahib worries not only for her own reputation, but also for the reputation of her children "The only fear that lingers in my mind / is for my children. The shame I leave behind" (p. 178). This seems like a common concern, however, in her case there is more to it. She is a young woman who had to live with the shame of being the daughter of a woman who had sexual intercourse with an animal and gave birth to a monster. O'Hear (1976) stresses that "while guilt seems normally to involve a transgressive action or attitude, shame can without any problem be felt for a much wider variety of objects (…), such as (…) one's parentage" (p. 76). The Memsahib is terrified at the thought that her children will have to live with what the others will say about her: "the children, orphans, forced to face / those stories (all too true) of my disgrace" (p. 178). One of the distinctions between shame and guilt in Tangney and Dearing's (2002) opinion is that a person who feels shame is concerned "with other's evaluation of self", whereas in the case of guilt, one is concerned with the effects of his/her actions on others (p. 25). The Memsahib has to struggle not only with the shame of her mother's transgression and her own, but also with the feeling of guilt for the way her uncontrollable passion may affect the future of her children.

The Ayah cares deeply for her mistress and shares with her the burden of the whole situation, from the beginning almost to the very end. Later in the play, when the news of the Governor's death proves to be false, it is the Ayah who advises the Memsahib to accuse Thomas Theophilus of rape. She takes the responsibility to be the one to speak with the Governor and asks the Memsahib "only [to] keep silent" (p. 179), hoping, however, that he will not take any drastic action against his own son:

> AYAH: And just supposing guiltless blood were spilt
> to save your honour and to spare your guilt,

(…) Honour must be saved at all expense
even the sacrifice of innocence." (p. 179)

In this excerpt Harrison adds the word guilt, perhaps, to emphasise the passive role of the Memsahib in the events which eventually culminate in Thomas Theophilus' death and the more active role of the Ayah. For her, guilt can only be defined in terms of murder; when she wants to learn why the Memsahib feels guilty she asks "What blood of innocents have those hands spilt? / How could Memsahib's hands be stained with guilt?" (p. 151). The guiltless blood of Thomas Theophilus is spilled as a result of the incriminating words of the Ayah against him and the Governor who banishes and curses him; the Memsahib is guilty only of remaining silent. In previous versions of the play, she at least writes a letter incriminating her stepson, but this act is missing in the case of *Phaedra Britannica*. When she imagines that her father, the Judge of the Underworld, will have to choose a punishment suitable for her crime, she emphasises the fact that she 'did' nothing wrong and therefore should be spared of guilt: "I've broken laws, but never reaped the fruit!" (p. 194). She utters these charged words after learning that Thomas Theophilus is in love with Lilamani, information which makes her burn with jealousy and this is also the moment when she expresses the desire for the young lovers to die. However, as previously mentioned, Thomas Theophilus' death has already been set in motion by the Ayah's words and the Governor's curse to Shiva.

Just like in Euripides' version, where Aphrodite seems to be the cause of Hippolytus' death, here Shiva, and implicitly India, is seen as the agent of destruction. The Memsahib blames India and its "dark gods mocking, knowing they can claim / another woman with the Judge's name" (p. 155) for her untamed passion for Thomas Theophilus. Even the Ayah states that "Our India destroys white womankind / sapping the body, softening the mind" (p. 155). However, Poore (2012) reminds the readers that "Harrison's introduction to the play discourages us from reading this as a simple act of the gods" (p. 54). One of the coping mechanisms listed by Tangney and Dearing (2002) under the emotion of shame is "Blaming others (instead of self) [which] can serve an ego-protective function" (p. 92). Particularly the Governor takes no responsibility for his share in the events: either India is to be blamed (p. 204) or his wife (p. 205). What is striking in the dynamic between the British couple and Shiva, is that, as followers of a monotheistic religion, they should not even believe in the existence, and therefore power, of a god belonging to the Hindu pantheon. In fact, they do not really believe in Hindu gods and always refer to them as something alien: "your [India's] gods" (p. 176; p. 186). In the classical

adaptations there is still the shadow of predestination and divine punishment hanging over the lives of the characters and gods' plans are apparently more important than the futile attempt of mortals. Yet, basing his argument on Aristotle's *Poetics,* Agard (1933) sees Greek drama as indeed "concerned with fate and with control by the gods; but it was more deeply concerned with the ways of men, the failures and the achievements of human freedom" (p. 126). Euripides' contemporaries still believed in the goddess Aphrodite, but by designating Shiva as the revengeful god, in which the Governor and the Memsahib have actually no faith, the play clearly indicates that human beings alone are responsible for their actions and words. Together with the couple's lack of responsibility, Harrison also points out their desire to denigrate the colonised territory in any possible way, from the suffocating weather to its cruel gods. Hutcheon argues that "adapters' deeply personal (…) reasons for selecting a certain work to adapt and the particular way to do so should be considered seriously by adaptation theory" (p. 95). In an interview for *The Guardian* (1 April 2000), Harrison says that he is "a total atheist". It is therefore not surprising that his characters' faults cannot be charged to any divine power, but entirely to their own words, silences, actions or passivity.

The emotion which characterises the Governor and his son is shame, not guilt. The father laments that "Given all my fame / so that the world can better see my shame / This time there's no escape" (p. 205). Even from the first lines of the play, Thomas Theophilus expresses his frustration and shame for not being the one to lead the search for his father: "frustrated and ashamed I'm not the one / directing the search-parties, me, his son!" (p. 141). The other reason for him to feel ashamed is his love for Lilamani. This is not because she is not worthy of him, but if his feelings become known by others, who are aware that the Governor forbids anyone to love and marry her, his father's reputation will be denigrated. Thomas Theophilus believes that it is his duty as a son to respect his father's orders and protect his image in the eyes of the people. Furthermore, when he asks Lilamani to run away with him, she hesitates because they are not married and she is afraid of what the others might think. He is well aware of this impediment and for this reason he had already planned to marry in a shrine. Thus, it can be argued that Thomas Theophilus and the Governor's moral compass points to shame; they act and speak always taking into consideration the community they live in, whose role is to judge what is right and what is wrong. As members of the patriarchy they are more interested in matters of honour, particularly in relation to the members of their families; any stain on the reputation of children or wives having a negative reflection on theirs.

In contrast to them, the Memsahib and the Ayah experience not only shame, but also guilt. Both women end their own lives driven by remorse, a feeling closely associated with guilt and both believe in the power of confession and atonement, actions viewed from a religious point of view as well as psychological (Tangney and Dearing, 2002, p. 25) as part of the process which leads to forgiveness and healing. In the beginning of the play, the Ayah implores the Memsahib to confess in order to feel better. But this is the very moment that puts in motion the tragic events and transforms the Memsahib from a woman who was feeling shame for her passion, to a woman feeling guilt for the death of an innocent man. This confession can be seen as a selfish act; by accepting to share her secret with the Ayah, the Memsahib makes her an accomplice and moreover, a person to later blame: "All your native guile and honied speech / put the unattainable within my reach" (p. 174). In the end of the play she confesses to her husband her share of guilt and honestly wishes to restore the innocence of his son. But once again, her confession may also have a more egocentric motivation. She makes the Governor aware of the fact that he was misled by two women, one of them being his servant, which was most probably a harsh blow to his ego. Additionally, she makes him realise that he was too hasty in banishing and cursing his son. The father's refusal to listen to his son's version of the truth has been a constant aspect of the story from the very first adaptations. The Memsahib's confession comes as a punishment for his rush to judgement, but perhaps her deeper urge is to punish him for all his wrong-doings towards her, mainly for being an incorrigible philanderer.

Conclusion

Although Racine's adaptation of the story of Phaedra is indeed the foundation on which Harrison writes his play, *Phaedra Britannica*, the latter only bears a resemblance to the adapted text. Hutcheon (2006) argues that there is a kind of pleasure in the reception of adaptations as adaptations which derives "simply from repetition with variation, from the comfort of ritual combined with the piquancy of surprise" (p. 4). Perhaps the same feeling is experienced by the adapters as well, which motivates them to choose to work on an already existing story. Harrison offers to the audiences of his play a great deal of pleasure since his play presents numerous variations from the adapted text. First and foremost of these is the entirely different setting, British India. Particularly for those familiar with Racine's play, engaging with *Phaedra Britannica* is a stimulating experience; the story seems both familiar and entirely different at the same time. Through the story of a woman who falls in love with her husband's son while they

live in a colony, "Harrison departs from sheer psychologism and transcendentalism: the myth is transposed into an anthropological and social reality" (Ploix, 2018, p. 482). He expands the focus from the love story, to the conflict between the coloniser and the colonised territory, an issue the twentieth-century audiences can relate to, or more significantly, cannot ignore.

The tragic story adapted by Harrison cannot be perceived only through the lens of colonial discourse, since it is at its heart a story about unrequited, forbidden love and the complex moral conflict which goes along with it. The Memsahib's love for Thomas Theophilus and his love for Lilamani create a love triangle which climaxes in the death of two of the lovers. *Phaedra Britannica* throws into question the degree to which the characters are guilty or innocent; the tragic end of the play is presented as the result of a chain of events to which, in a way, all of them participated. The Memsahib is clearly not guilty of incest, but her confession to the Ayah and her later silence lead to the death of her stepson. Rather paradoxically, the father figure, the Governor, does not acknowledge his own fault; instead, he sees himself as the victim of his wife's manipulation and of India, the territory he rules, and its gods. The Governor is depicted as a powerful and fearless man, a hero, but the end of the play reveals his weak character. He displays strength only when it comes to ruling others and not himself. When the time comes for him to face his errors, the Governor chooses to protect himself from the hurtful reality that he contributed to the death of both his wife and son. The Ayah stands in stark contrast to the Governor; the native nurse who has no power whatsoever in her own country takes more responsibility than him for her share in the events. Obviously, it is debatable whether committing suicide actually means taking responsibility for one's actions or fleeing from that responsibility; nevertheless, what the Ayah's suicide clearly shows is that she feels remorse and admits her guilt.

What characterises the entire play is that shame and guilt do represent a significant topic, therefore Gérard's doubts regarding the relevance of the moral conflict of Phaedra in contemporary society do not apply to *Phaedra Britannica*. However, it is true that Harrison, just like Wertenbaker did in *The Love of the Nightingale* (1989), deliberately chooses a setting where "the sense of transgression was once an agonising burden" (Harrison, 2002, p. 129). The culture of nineteenth-century British India, as portrayed in the play from the prism of the coloniser, places shame at the centre of the stage. Academia traditionally dealt with Phaedra's moral concerns to characterise the culture of a particular version as either shame culture or guilt culture. If one is to

follow this approach -- and despite Harrison underlining his desire to give prominence to the other characters as well -- it can be argued that the Memsahib/Phaedra is torn between the two moral emotions. As the daughter of her mother, she has learned from childhood what shame is and as her father's daughter she has learned that lack of reason and wrong-doing lead to punishment. Perhaps in the hope of softening her father, whom she will meet after death in his quality of Judge of the Underworld, or driven by remorse, she confesses to her husband that everything was just a lie and his son died innocent.

As mentioned before, Harrison states that the play is built on the opposing characters of Pasiphae and Minos. From this dichotomy several others emerge, such as passion and reason, barbarian and civilised, antihero and hero, shame and honour, guilt and innocence, silence and utterance, confession and punishment, fate and freedom. In the classical adaptations, including Racine's *Phèdre*, it was possible for the audiences to sympathise with the tragic characters and view them as victims of a cruel destiny since the idea that gods and goddesses interfere with the human's lives was still very credible. However, Harrison's *Phaedra Britannica* leaves no room for such interpretation and his Phaedra and Theseus fail to convince that they are simple pawns in the hands of the gods of the colonised territory. *Phaedra Britannica* engages with the concerns of Phaedra's story, but only to reframe them from a new perspective.

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Research Article

The Melancholic Persona in Susan Evance's Sonnet *To Melancholy*

Susan Evance'in *Melankoliye* Sonesinde Melankolik Karakter

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ABSTRACT

This paper analyses the sonnet *To Melancholy* by the English Romantic writer Susan Evance in terms of the representation of the melancholic mind of the authorial persona. The study suggests that the implied author experiences melancholy as a form of mood state rather than a type of disorder or disease peculiar to the melancholic writers of the present and the past. Therefore, the author applies melancholy as a creative instrument and poetic inspiration in the narrative of the poem and a principal way to self-actualize as a Romantic writer. The literary representation of a melancholic mood thus causes the authorial persona to melancholize deliberately not only for her own sake, but also for the sake of both implied and historical readerships. With the aim of realizing her artistic potential, the poetic persona withdraws from the other and rejects society, experiencing a deliberate melancholy detachment for aesthetic reasons and a literary concern. This causes the subjective experience of melancholic suffering to turn out to be a social problem rather than simply a personal issue. Using the terminology of Julia Kristeva and Karen Horney, the paper analyses melancholy as a textual mode and a transient mood that removes self-estrangement but brings about social alienation.
Keywords: Susan Evance, Julia Kristeva, Karen Horney, Melancholy, sonnet

ÖZ

Bu çalışma, İngiliz Romantik yazarı Susan Evance'ın *Melankoliye* sonesini, melankolik yazıya hâkim olan yazar kişiliği ve bu kişiliğin melankolik zihninin temsili açısından analiz eder. Çalışma, örtük yazarın melankoliyi, günümüzün ve geçmiş dönemlerin melankolik yazarlarına özgü bir tür bozukluk ya da hastalıktan ziyade bir ruh hali olarak deneyimlediğini öne sürer. Bu nedenle, yazar melankoliyi şiirin anlatısında yaratıcı bir araç ve şiirsel bir ilham kaynağı ile Romantik bir yazar olarak kendini gerçekleştirmenin temel bir yolu olarak uygular. Bu melankolik ruh halinin edebi temsili böylelikle yazar kişiliğin kasıtlı olarak sadece kendi adına değil, aynı zamanda hem örtük hem de tarihsel okurlar adına da bilinçli bir biçimde melankoliye bürünmesine neden olur. Şiirsel kişilik, sanatsal potansiyelini ortaya çıkarabilmek ve kendini gerçekleştirebilmek amacıyla ötekinden kaçar ve toplumu reddeder; estetik sebepler ve edebi kaygılarla bilinçli melankolik bir kopuş yaşar. Bu durum melankolik ıstırabın bütüncül bir öznel deneyim olarak yalnızca kişisel bir sorun olmaktan ziyade daha çok toplumsal bir sorun haline gelmesine neden olur. Julia Kristeva ve Karen Horney'in terminolojisini baz alan bu çalışma melankoliyi metinsel bir mod ve öz-yabancılaşmayı ortadan kaldıran ancak bunun yanında toplumsal bir yabancılaşmayı beraberinde getiren geçici bir ruh hali olarak analiz eder.
Anahtar Kelimeler: Susan Evance, Julia Kristeva, Karen Horney, Melankoli, sone

Introduction

The distinction between the clinical terms and critical concepts related to the historical backdrop for melancholy should be drawn in order to cast light on the categorical transformation of melancholy as a phenomenon over the course of time. Apropos of disease, the label refers to a pathological and medical condition that displays a cluster of observable symptoms and signs and mostly covers the physiological states besides the psychological ones. The term accordingly signifies the presence of an abnormal biological state and explores "the will speaking through the body, a language for dramatizing the mental: a form of self-expression" (Sontag, 1978, p. 44) that represents a kind of anomaly which requires a medical diagnostic label, necessary treatment and "impairs the normal function" (Galen, 1916, p. 199). Throughout the ages, disease has always been associated with a certain imbalance, while treatment appertains to the act of restoring the balance so as to regain health. Within this framework, what classifies melancholy as a disease, besides the traditional notion of the excessive bodily black bile, turns out to be "the absence of the cause, or the unpredictable link between cause and effect, that makes for the abnormality" (Terry, 2011, p. 58) and "mental responses that are out of proportion to what triggers them" (Terry, 2011, p. 67). In terms of classical understanding, "among the several diseases of the black bile was identified the eponymous disorder of melancholy itself, a condition whose symptoms included unwarrantedly dispirited and apprehensive affective states" (Radden, 2009, p. 5). Hence, melancholy might be defined as a bodily and spiritual kind of disease that exhibits a wide variety of signs, symptoms as well as causes, and needs extensive treatment and cures in accordance with each individual patient. As for the explanation of disorder, it should be highlighted that the label involves the condition of dysfunction, impairment and disruption "affecting cognition and affection, respectively" (Radden, 2009, p. 15). Disorder comes to denote a medical condition with symptoms and signs, yet unlike disease, it does not lead to a structural change within the subject. Therefore, melancholy was correspondingly subcategorized as a disorder caused by the excessive black bile that turns out to be in itself a disease. Melancholy was thus regarded simultaneously as a kind of disorder and a subtype of disease. In terms of mood states, it might be specified that moods are simply states of mind and transient emotions or feelings that circumvolve the subject in certain circumstances. Moods are in essence nonintentional and causeless or, in other words, "objectless," (Radden, 2009, p. 15) as "because they color and frame all experience, moods are a particular way of experiencing, rather than a particular experience, it might be said" (Radden, 2009, p. 14). Henceforth, disease and

disorders might be basically evaluated as subjective experiences whereas moods are solely viewed as the instrument or by-product of this experience itself and an aspect of melancholic subjectivity. In regard to temperament, the term signifies the nature or personality of the subject, particularly attributed to that of the learned or scholarly subject that in fact promotes him as the man of genius. In light of all these dissimilarities, it is possible to suggest that "melancholy is in one sense a treatable illness," so that "diseases can be remedied, griefs can be consoled and moods can be lifted" (Lund, 2010, p. 195). Against this background, the present study particularly distinguishes authorial melancholy as a mood for interpreting the narrative of the poem, contrary to what has been believed and suggested. Previously, poets have used literature in their search for an effective cure for their melancholy experienced as disease, disorder and temperament, unlike Susan Evance, who deliberately uses melancholy to compose a sonnet form. The study thus suggests that Evance instrumentalizes her melancholic mood as a poetic subject for the construction of a poetic self and reveals the function of melancholic tendency in the process of self-actualization as a Romantic author. As a result, what the persona represents through the signs and the narrative is simply a melancholic experience instead of an essentially melancholic self, while the melancholic experience provides a therapeutic effect for a non-writing writer who at times becomes afflicted with neurotic inhibitions about her poetic abilities.

The Melancholic Writer and Melancholic Writing

Melancholic writing is significant in terms of revealing the melancholic mind of the writer and verbalizing the unutterable sorrow via signs so that the melancholic can comprehend and picture the quintessence of her melancholy. Julia Kristeva (1989) establishes a direct correlation between the melancholic writer and melancholic writing and mostly replaces the term with melancholia, providing the exact definition of the state as "the institutional symptomatology of inhibition and asymbolia that becomes established now and then or chronically in a person, alternating more often than not with the so-called manic phase of exaltation" (p. 9). Signifying melancholy as a whole with the phrase melancholy/depressive composite, she associates the state with object loss and a modification of signifying bonds. The melancholic loss causes in the subject a denial of speech so that language starts to function as an anxiety-punishment mechanism, forcing the melancholic into a kind of asymbolia. Therefore, the loss becomes transformed into a loss of speech in addition to a loss of the ego, rendering the loss to be entirely narcissistic. As for the nature of the loss, Kristeva lays special

stress on the fact that the melancholic experiences not the conscious loss of an object but an unconscious loss and the lack of a thing which itself turns out to be unsignifiable and noncommunicable. Solely through literature, the subject becomes able to represent, comprehend and "secure an uncertain but adequate hold over the Thing" (Kristeva, 1989, p. 14). In this respect, literary creation turns into a verbal evidence of the affect that encompasses the subject through the very act of creating, which "transposes affect into rhythms, signs, forms" (Kristeva, 1989, p. 22).

Kristeva associates melancholy with the failing matricide of the subject which in fact prevents individual autonomy. The loss of the mother as an object is, if eroticized, recovered and replaced by another substitute, as in the case of male heterosexual or female homosexual subjects. This loss might be transposed in the symbolic realm and lead to the eroticization of the other, as in the case of a heterosexual female subject or transfigured into a sublime form as an artistic creation in the semiotic realm. Hence, overidentification with or the introjection of the maternal object ends up with the loss of the self as the image that belongs to the undead mother who cannot be transformed into the other remains embedded within the subject, who gradually devours her psyche through melancholy. The melancholic woman turns out to be the one that only destroys herself and eternally mourns for the loss of the maternal object that can never be wholly lost in the final analysis. This unmetabolized loss manifests itself best in the discourse of the subject, which proves to be repetitive, depressive, tedious, broken, obsessive and chaotic. At times, it leads to the emergence of denial of the signifier that coerces the melancholic subject into recurring asymbolia and silence. This silence in fact provides a grand reunion with the indispensable Thing and functions as the evidence for the loss of meaning induced by melancholy. Literature in this regard provides a maternal space for the melancholic authorial persona to soothe her pervasive loss.

The relationship of the melancholic subject with language reveals itself in two basic ways: negation and denial. Denial denotes the loss of speech or "the rejection of the signifier as well as semiotic representatives of drives and affects," while negation refers to "the intellectual process that leads the repressed to representation on the condition of denying it, and on that account, shares in the signifier's advent" (Kristeva, 1989, p. 44). The discourse of the melancholic always signifies the ever-present obsession with the object that can never be given up. That is the essential reason why the subject feels unable to speak or write about anything except what is implicitly or explicitly related with the object and is forced into muteness in the meantime. Negation in this respect

enables the subject to accept and confront what has been repressed through denial whereas "at the same time what is essential to the repression persists" (Kristeva, 1989, p. 45). If the melancholic subject rejects negation and insists on denial, then repudiation brings about psychosis, destroying the reality itself and, with it, a coherent sense of self. Through negation, the depressed subject thus achieves in verbalizing the affect, the only sign of object constancy, in works of art in a way that it protects the subject against suicide and sudden attacks of psychosis. This type of work of art enables the melancholic author or melancholic reader to give birth to a new self, functioning as "if it isn't an antidepressant, is at least a survival, a resurrection" (Kristeva, 1989, p. 51). Yet, if the melancholic subject becomes resolute in denial of negation, then language itself turns out to be devoid of meaning and sense for herself and the maternal tongue is entirely foreign, becoming eventually the harbinger of suicide.

The significance of melancholic writing lies in the fact that it ameliorates the relationship of the subject with her melancholy states. It first and foremost helps the subject perceive and conceive the meaning of the unnameable Thing eternally mourned for and, secondly, to identify with an ideal and more sublime poetic form than the mere nothingness the state itself generates. Through mastering the signs, the subject experiences a form of forgiveness and renews the consciousness and the relationship with her own self in addition to that between the lost Thing and herself. This aesthetic sublimation and artistic style accordingly enable the subject to manage and overcome the melancholy moment which mostly reveals itself with the state of withdrawal and the presence of "an actual or imaginary loss of meaning, an actual or imaginary despair, an actual or imaginary razing of symbolic values, including the value of life" (Kristeva, 1989, p. 128). The writing persona reconstructs a subjectivity within narrative and in the semiotic "to overcome such wretchedness by setting up an "I" that controls both aspects of deprivation" (Kristeva, 1989, p. 145), a privilege she lacks in the symbolic realm. Therefore, it is possible to suggest that "the act of writing alone is implicitly master and avenger" (Kristeva, 1989, p. 158). In this regard, melancholic writing allows the melancholic writer to transpose, translate and transform the uncommunicable loss and the Thing/object in the form of "signs without signifieds, as *infra* or *suprasigns*, which beyond communication, attempt to reach the dead or untouchable object, to take over the unnameable being" (Kristeva, 1989, p. 165).

The melancholy/depressive composite accordingly lies as a whole within the neurotic realm. Hence, the uncompromising attitude of the melancholic writer might be evaluated

within the framework of neurosis, experienced within as either in the form of character or tendency. Horney (2007) elucidates the concept of neurosis as "deviations from the normal pattern of behaviour" (p. 19) and suggests that it stems from not only cultural factors but physiological as well as biological conditions. The two essential characteristics of all forms of neurosis are specified as "a certain rigidity in reaction and a discrepancy between potentialities and accomplishments" (Horney, 2007, p. 22). Besides, "anxieties and defenses built up against them" (p. 23) are defined as another common factor of all neuroses. Taking all these significant points into consideration, Horney (2007), in a brief statement, offers a concise definition of the state: "a neurosis is a psychic disturbance brought about by fears and defenses against these fears, and by attempts to find compromise solutions for conflicting tendencies" (pp. 28-29).

Neurosis manifests itself in the melancholic subject in two basic forms as character neurosis and situation neurosis. The former type is considered as the direct outcome of a chronic process that goes back to the childhood of the subject whereas the latter is brought about by the presence of an external conflict or a simple situation. A situation neurosis does not indicate the presence of a character deformation but rather "a momentary lack of adaptation to a given difficult situation" (Horney, 2007, p. 30), unlike character neurosis which exists much earlier than that particular situation or crisis. The very essence of all neuroses is anxiety, whether simple or basic, while the former refers to situation neurosis and the latter to character neurosis. The four principal ways to deal with simple anxiety are in this regard identified as "rationalize it, deny it, avoid it, narcotize it" (Horney, 2007, p. 48). The third mechanism is mostly associated with the presence of inhibitions in the subject who unconsciously adopts the attitude to avoid doing, feeling or thinking of certain things to escape the anxiety called forth by the very idea of those things. This anxiety generates a hostility for the subject which, if it remains repressed, prevents that person from changing the state and fighting against the other, ultimately resulting in a form of defenselessness. The last method is particularly connected with being released from the anxiety through numbing the consciousness whether directly or indirectly. Drowning the self in overactivity or passiveness might be accordingly accepted as methods of narcotizing the neurosis. Contrary to situation neurosis, character neurosis is related with pre-existing anxieties and hostilities, and prevails in interpersonal relations. The neurotic subject internalizes and introjects object relations in the form of acquired attitudes wholly based on childhood experiences concerning the Oedipus complex and sibling rivalry. Horney (2007) explicates four main ways to manage this basic anxiety as "affection, submissiveness, power, withdrawal"

(p. 96). As melancholy has an impact upon the relations of the subject with the other/ the symbolic, the subject might be said to apply particularly the last two techniques to manage the relationship with the state and the other along with her own self. In terms of power, the subject desires to be intellectually superior to the other, gaining power, possession or knowledge and satisfying the urge to self-actualize as an individual. Regarding the act of withdrawal, the subject might achieve a kind of independence from the other and remain not only emotionally detached but also physically isolated and socially disconnected. Hence, the melancholic subject very often displays the characteristics of character and situation neuroses which are determined as an inherent aspect of the melancholy-depressive composite.

Poetry enables the writer to contend with the neurotic tendency/character and the melancholy state experienced within as a temperament, mood, disorder or disease through holding onto a literary form and textual realm instead of developing masochism and attacking the self. The constant conflict with the self or the other that at times ends up with the loss of speech and attacks of asymbolia might be transformed, transfigured and transposed in the textual realm, which provides a new bond with the signifying system and allows the writer to negate through the semiotic. Literary production in this respect functions as the textual evidence of melancholy and neurosis and serves as a therapeutic device for the historical and implied writers and for the historical and implied readers. Through the act of writing, the writer narcotizes the pathos she is afflicted with and avoids the conflict with the self or the other while putting an end to the masochistic tendency and managing the present anxiety. The hostility caused by the conflict with the other is correspondingly transposed into a poetic form through sublimation and negation. The melancholic writer might make use of poetic form to manage object relations and redefine her own position in society by satisfying the desire to reach a form of intellectual superiority over the other so that she might overcome the label of outcast and reinvent a new self for herself as a bohemian and refined person. The repeated patterns of withdrawal might thus be tolerated by the other and provide a realm of creativity for the writing subject to self-actualize as an individual being.

Evance and Sonnet *To Melancholy* (1808)

Susan Evance is regarded as one of the lesser-known female poets of nineteenth-century English literature, having published only two volumes of poetry in 1808 and

1818, after which "she had dropped out of sight by the 1820s" (Feldman & Robinson, 1999, p. 134). In an era during which "a number of female poets experienced a similar degree of celebrity" (Knowles, 2007, p. 1100) and "in large and small ways, the women's influence on one another is apparent" (Backscheider, 2005, p. 341), Evance achieved a relatively unenduring poetic fame at the margins of a mostly male Romantic literary culture and was said to have been inspired by Charlotte Smith as her "poetry of female suffering welded the poetics of sensibility she learned from Smith's sonnets with religious piety" (Pinch, 2011, p. 165). As an influential figure of the feminine poetics of sensibility and sentimentality, Evance might be referred to as one of those writers that was involved in "the literary landscape [that] was dominated by female poets who led retired lives beyond public reproach" (Knowles, 2007, p. 1100) due to the pressure of cultural gender assumptions. The notion that there was a close relationship between the actual suffering of the literary figures and their poetry was thus supported in the early 19th century, particularly for those "aspiring female writers [who] were, therefore, in a bind, and their creative output reflected their predicament" (Incorvati, 2012, p. 159). Addressing an increasingly female audience, the works of these poets included "prefaces that encourage readers to link the suffering on the page with suffering in the poet's life" and to peruse the "poems that refuse to offer remedies for the habitual melancholy that plagues the speaker" (Incorvati, 2012, p. 160). At such a period, "in 1808, the little-known (but perhaps Welsh-sounding?) poet Susan Evance published some of the period's most recognizably Smith-inspired verses— among them, *To Melancholy*, "Written on an Eminence Over-hanging the Sea" and "Written Near the Sea"" (Edwards, 2017, p. 7). Of this collection of melancholy seaside poetry, predominantly the sonnet *to Melancholy* rivets the attention of the readers with its vivid depiction of a deeply intense emotional experience in the form of feminized distress and pensive mood that turns out to be a path towards a spiritual transcendence and creative awakening as well as a way to overcome the artistic inhibition and the anxiety of authorship.

> When wintry tempests agitate the deep,
> On some lone rock I love to sit reclined;
> And view the sea-birds on wild pinions sweep,
> And hear the roaring of the stormy wind,
> That, rushing through the caves with hollow sound,
> Seems like the voices of those viewless forms
> Which hover wrapped in gloomy mist around,

Directing in their course the rolling storms.
Then, Melancholy! thy sweet power I feel,
For there thine influence reigns o'er all the scene;
Then o'er my heart thy "mystic transports" steal,
And from each trifling thought my bosom wean.
My raptured spirit soars on wing sublime
Beyond the narrow bounds of space or time! (Feldman & Robinson, 1999, p. 134)

Included in the volume *Poems* (1808), *to Melancholy* might be presented as one of the finest sonnets that reflects the female poetic tradition of sensibility prevailing in the late eighteenth and early nineteenth centuries of English literature. It might accordingly be classified as a type of melancholy seaside poetry particularly associated with the pioneering female poet of the late 18th century literature, Charlotte Smith. The focal point for the sonnet is to highlight the explicit connection between melancholy mood and melancholy nature and to reveal the significance of intense emotional experience in the emergence of spiritual transcendence and poetic production. In the narrative of the poem, nature functions as the replica of melancholy, and the intrinsic nature of melancholy is displayed through exterior nature itself. The octave section (lines 1-8) provides a striking portrayal of melancholy with vivid visual and auditory imagery. The authorial persona begins the description with an indirect reference to the season, autumn, which is unequivocally related with the melancholy states since "autumn is the season most often associated with melancholy, invoking the sense of things passing, of imminent decline" (Bowring, 2009, p. 117) and referring to the inevitability of decay and death. In this respect, the persona turns out to be in the habit of experiencing and re-experiencing, constructing and reconstructing the melancholy mood and space with the coming of autumn as the word "when" (line 1) implies. On these occasions, the persona reveals a deep desire to seek solitude and experiences a kind of melancholic withdrawal and resignation. This is significant in that it reveals the essential connection between melancholy and solitude, which in itself proves to be self-imposed, self-controlled and self-sufficient as a form of aesthetic contemplation, as the signifier "love" (line 2) indicates. The persona deliberately melancholizes for both herself and for the implied and historical readers, willingly undergoing a complete melancholic detachment from everything and everyone at once to avoid particularly "the corrupting influence of society" (Knowles, 2010, p. 180), an inclination attributed to Romantic writers. This intense melancholic experience awakens within the authorial

subject a kind of defamiliarization in a way that she becomes attentive to the outside world and earthly things, observing nature more closely. In her reticence, the persona remains mindful of the fluttering of the sea-birds which "on wild-pinions sweep" (line 3), the loud sound of the storms that "agitate the deep" (line 1), the echoes within the caves which are sent out by "the roaring of the stormy wind" (line 4) and the dense mist around that turns out to be extremely gloomy while she listens with assiduous attention to "the voices of those viewless forms" (line 6). Amidst this bleak scenery, the persona identifies with the sea-birds that move swiftly across the celestial sky and gradually overcomes the emotional isolation as well as inhibition through forming a union with Melancholy, since her inner world and ideal/artistic self are reflected through the outside world and exterior nature by means of externalization. In this regard, the persona makes an obvious analogy between her artistic self/divinely inspired version and the sea-birds with outstretched wings, between the viewless forms and melancholy, and between the course and the transcendence. She accordingly draws an analogy between melancholy and the landscape, which as a matter of fact provides her with creative inspiration for the melancholy and the textual representation of the state. This might be interpreted as that the poetic persona experiences melancholy not as a disease, disorder or temperament but as a passing mood and rather as a way of experiencing and comprehending the outside world and the self, since if she is to move away from the shoreline, the feelings of despondency and the distress are to be immediately relieved, removing the melancholic state of mind. The present state might therefore be analysed as a form of melancholic experience rather than a real melancholic self, while the feelings are explained as transient emotions invoked by the melancholy landscape itself since, prevailing the narrative, "the transcendent voice is always wise, resigned, above the scene surveyed, supremely self-controlled, and timeless" (Backscheider, 2005, p. 333).

The authorial persona invokes Melancholy as the literary muse, which reveals that she, as the creative subject, deploys her melancholy as a kind of creativity object for the poetic output and a way of achieving a spiritual transcendence. In the sestet (lines 9-14) section, the poetic persona addresses the source of inspiration of the literary device as "thy sweet power" (line 9), which accordingly indicates another aspect of deliberate melancholizing within the narrative as the signifier "sweet" (line 9) reveals. Addressing the personified Melancholy directly as "then, Melancholy!" (line 9), she relates the basic cause for the enforced retirement from society and the melancholic withdrawal through the explicit link and the transparent analogy between the state

and the landscape: the union with melancholic nature makes it possible to reunite with the melancholy mood, which means, in the final analysis, a reunion with the literary creation and poetic production as well as a reunion with the ideal and artistic self. Hence, the persona makes a retreat into melancholy nature that evokes the melancholy mood in the writing subject for the mode of feminine self-representation. Through this melancholic experience, the authorial persona achieves transcendence by way of "mystic transports" (line 11), which releases her from the burden of earthly worries and "from each trifling thought my bosom wean" (line 12). Everything turns out to be trivial in the presence of melancholy, except for the melancholy itself and literature. Through this spiritual transcendence, the poetic persona "soars on wing sublime" (line 13) going beyond the borders of "space and time" (line 14) and feels exalted, as "my raptured spirits" (line 13) reveals. It might then be suggested that "melancholy is here explicitly a transporting force" (Knowles, 2006, p. 207) that provides a source of artistic inspiration for the writing persona to have a pair of sublime wings, as "in the western tradition, the inspired poets usually have their own wings" (Ferber, 2006, p. 848). Therefore, the melancholy mood plays an instrumental role in the conscious construction of a poetic self and a poetic display of female sensibility and self-representation, thus becoming necessary for Evance's self-construction and self-actualization as a female Romantic poet. It is purely through this meditative, gentle and self-controlled melancholy mood that the implied author becomes able to realize her unfulfilled artistic potential and self-actualize as a poet.

A metatextual perusal of the narrative suggests that the text functions as the literary representation of a personal suffering of melancholy the implied author experiences in the form of groundless and objectless mood rather than disorder, disease or temperament. In fact, the text in itself does not signify the presence of the verbal indicators for the characteristics of an inherently melancholic temperament, any physical or psychological symptoms or signs the persona might be afflicted with, and that constitutes the essential reason for the implied author to keep her subjectivity both from within (the semiotic) and outside the narrative (the symbolic). What she sustains is not the subjective experience of melancholy but rather an aspect or an instrument of the melancholic subjectivity peculiar to the mood states and an intense emotional experience. She deliberately melancholizes to textualize a self-representation and is portrayed not in search of a cure for her melancholy but rather a poetic display of the female sensibility of a Romantic writer and a careful construction of a melancholic poetic self, since she never refers to any curative methods or hopes of being released from the mood within the text and

there are no verbal indicators which reveal that she has a complaint about the melancholy state. She goes through the melancholy mood as a social problem that brings about a kind of self-estrangement, inhibition and alienation in the presence of the other in the symbolic, while the process of writing and solitude provide a curative effect for the act of overcoming the emotional isolation and anxiety within. The narrative as a whole, for itself and in itself, might be accepted as the textual and linguistic evidence of the melancholy mood, and reveals the explicit link between melancholic writing and the melancholic writer. Through the act of writing, the implied author transposes the melancholic affect into a sublime form and communicates via the signs the nonsignifiable, noncommunicable and nonrepresentable Thing inherent in melancholy states. Therefore, the text enables the melancholic writer to make the melancholic affect perceptible to both herself and the implied and historical readers with the use of nature analogy, figures of speech (imagery, metaphor and personification) and signifiers. The text thus turns out to be the replica of the melancholy mood that is to be remedied and lifted, as nature itself serves as the visual replica of the nature of melancholy and the inner world of the writing persona during the process of creating.

The undefinable and nonsignifiable loss or lack the female subject experiences in the symbolic due to the sudden and repeated attacks of depression and melancholy is transposed and transformed into a sublime and ideal form of artistic creation as poetry, which ultimately protects the subject from attacking her own self and developing masochistic attitudes at times of inhibitions and during severe attacks of anxiety. The narrative, therefore, provides a maternal realm for the melancholic implied author in the way nature offers a maternal realm to the female melancholic subject. Via the act of writing, the implied author becomes able to comprehend the quintessence of her melancholy and finds a curative effect for the artistic inhibition that afflicts her now and then. Therefore, she does not eternally mourn for the unnameable affect but rather transforms this destructive affect into creative energy, reinventing a new self and identity for herself as a poetess.

The melancholy mood, despite being represented as a deliberate and conscious act within the textual realm as the signifiers "love" (line 1) and "sweet" (line 9) indicate, ruins the ongoing relationship of the subject with language in the symbolic at times of melancholic fits but provides a new sphere in the semiotic, securing a firm bond with language through poetic production and textual representation. In this regard, the mood and affect might end up with the denial of the signifier in the symbolic on the

part of the female subject but, through the act of negation, the writing subject becomes able to overcome this denial and negate. Hence, the denial does not bring about a repudiation in the female subject who becomes able to protect her mental health and prevents the recurring rejection of the signifier from gradually growing into a pattern of psychosis. She accordingly prefers to transpose the symbolic asymbolia into a poetic form and verbalizes the mood that circumvolves her, partly releasing what still remains repressed in the symbolic and the subconscious, and finally having a confrontation against that thing within the semiotic or textual realm. In a very real sense, she builds and maintains a steady relationship with the melancholy mood, the signifying system and her own self through negation and textual production. Hence, in the symbolic, she becomes able to achieve in keeping control of these attacks and preventing the melancholy moods from being a repeated and unconscious pattern in her life.

The melancholic writing is significant in that it ameliorates and alleviates the relationship of the subject with her own self. The suffering subject turns her melancholy mood into an aesthetic and artistic form, which ultimately transforms the mourning subject into the writing and creative subject, transposing the passive sadness and masochistic tendency into an ideal form and active sadness. Thus, the implied author overcomes the feelings of nothingness the state itself generates and renews the consciousness of her own and the readers, experiencing a form of forgiveness. She creates a new self and persona for herself through the act of writing, redefining her own identity and position within society and for her own part with the role of author and the creator rather than a simply melancholic individual. The melancholy moment, which might be about imaginary or real suffering and a temporary or permanent loss of symbolic values becomes the focal point for creativity and literary aspiration for this creative and prolific subject. The act of writing prevents the loss of speech and destroys the mute feminine depression both from within (the semiotic) and outside the narrative (the symbolic). So, the writing exerts a curative effect for the implied author even though she does not seek a cure for the melancholy within the text, but a more sublime and idealized form of poetry and an ideal artistic self. This becomes the chief reason for the melancholy mood to remain as an object and a literary tool in the life and art of the melancholic subject.

Poetry permits the implied author to cope with the neurotic aspect of the melancholy state. She deals with the situation neurosis and the related simple anxiety through writing and negating. She avoids the outer conflict and external dilemma with the

other and the inner conflict with herself with the help of the state of withdrawal and related melancholy moments. Through poetic production, she narcotizes her consciousness, which is afflicted with not only the gloomy mood but also the anxiety of authorship, with the act of writing, which in itself provides a therapeutic effect. She avoids social anxiety and the ensuing inhibitions by preserving a complete privacy for her own self. In terms of object relations, it might be stated that the authorial persona manages her basic anxiety through withdrawal and power. She reaches a form of intellectual superiority over the other and her contemporaries in the symbolic through producing poetry, and satisfies the urge to self-actualize as a Romantic writer. She correspondingly gains knowledge, prestige and power as an author, replacing the label of outcast with the creative individual or a female artist, which Kristeva attributes to the melancholic writer. Thus, the repeated pattern of withdrawal opens up a new realm for creativity for the author, transforming the hostility into sublimation through ensuring independence from the other and destroying the symbolic asymbolia.

Conclusion

In the sonnet *To Melancholy* (1808), the English writer Susan Evance deploys melancholy as a literary subject, a mode of feminine self-representation and an artistic device to display a poetic sensibility peculiar to the Romantic authors of the period and to write a work of poetry, although the traditional melancholic authors deploy literature as a way of escaping and managing their melancholy states. In a different manner from these literati who have aestheticized their melancholy, which mostly manifests itself as temperament, disease and disorder in works of art in order that they might eventually achieve therapy and recuperate from the state, Evance makes use of the melancholy mood as a poetic inspiration and a form of therapy for her artistic inhibition, since without this she might not be able to create anything as a writer. She instrumentalizes this mood to self-actualize and compose sonnet so that she not only transposes and translates the affect and the asymbolia in the symbolic into the effect and infra/suprasigns in the semiotic, but also transforms her own self and identity in society. Poetry thus enables her to identify with a third form, the literary form and the act of writing, other than the loss, the lack, the unnameable Thing or the pensive mood the melancholy state often invokes so that she becomes able to convert and sublimate the destructive affect into an artistic form and eventually into the creative effect itself. The narrative and the semiotic in this respect provide a maternal realm for the persona, who succeeds in securing a firm bond with language and existing in the symbolic,

preserving her own subjectivity as an individual. As for the neurotic aspect of the melancholy-depressive composite, it might be said that she manages her basic and simple anxiety as well as the anxiety of authorship through narcotizing and achieving power/prestige. She simply submits to melancholy within the text and within a specific melancholy time and space, managing and controlling the state from both within (the semiotic) and outside the narrative (the symbolic). The text as a whole thus turns out to be the verbal evidence of this gentle and meditative melancholy mood that remains transient and functions as a romantic convention. To conclude, melancholic writers conventionally instrumentalize literature to seek a cure for their melancholy states, while Evance instrumentalizes her melancholy mood to produce a poetic discourse. She accomplishes this through limiting the melancholy mood to a specific time and space and reducing it to a conscious and deliberate act, so that the immature and neurotic defense mechanism of repression is ultimately transformed into a mature form of suppression and sublimation while, via writing, she "help[s] return the form to its status as a self-reflexive form and the poet's ultimate claim to being a Poet" (Backscheider, 2005, p. 324).

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The Confession of the Other: Mohsin Hamid's *The Reluctant Fundamentalist*

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ABSTRACT

The September 11th attacks on the U.S. caused unanticipated changes in the global arena. Their depiction in fictional discourse contributed to the broad understanding of the events and their memorialization. In this paper, I analyze Mohsin Hamid's novel *The Reluctant Fundamentalist* which presents the perspective of those who were silenced in the dominant rhetoric of the 9/11 tragedy and were single-mindedly blamed as "evil others." Through his monologue, Changez, the homodiegetic narrator of the novel, explicitly demonstrates the intention to present the voice of the Other. The narrator of the novel asks readers to listen to the other side of the conflict and not to judge all Muslims as bloodthirsty fundamentalists. Changez proposes that the American agent consider his view in order not to blame him but to understand the roots of his anger. In addition to his appeal for constructive dialogue between the West and the East, the narrator of the novel brings forward the critical revision of the U.S.' international politics. One of the messages is that after causing so much grief and misfortune abroad, the U.S. cannot play the role of an innocent observer. I conclude that the diegesis of the novel opens new ways for productive dialogue between nations and countries.

Keywords: Mohsin Hamid, *The Reluctant Fundamentalist*, post-9/11 fiction, dialogue between the West and the East, national identity and globalization

Introduction

The tragic events of 9/11 not only influenced the geopolitical situation in the world, undermined U.S. military power, and divided the American collective consciousness in two (before and after the September 11th), but also caused a radical shift in the existential paradigm of the twenty-first century. This was a shift from the idea of a safe future to a fear of daily instability and a sense of threat from those who were identified by Western civilization as "others." Moreover, this anxiety about the future has been intensified by the advancement of political technologies, the information society, and artificial intelligence. J. Derrida has observed that the tragedy of 9/11 could be the last example "of a link between terror and territory" (Borradori, 2003, p. 14) given that possible future attacks might be silent, invisible, and unimaginable.

The unexpected September 11th attacks seemed to be unreal to the worldwide audience who watched the news coverage. People could not imagine that bombings might take place on U.S. territory. As Richard Gray (2011) remarks, since the 1812 war with Great Britain, there had been nothing which suggested that "the United States itself might become an international battlefield," that "to have war brought home was an unusual experience for America," and that "to have the mainland not only invaded but attacked from the skies and devastated was not only unusual but unique" (Gray, 2011, p. 4). The World Trade Center's Twin Towers not only symbolized advanced technology and global capital, but also, according to DeLillo, embodied the safe future that America had invented (DeLillo, 2001). The tragedy has forced the U.S. as well as other countries to reconsider the order of things around them. Moreover, it drew attention to the "polarization of the world" (Shymchyshyn, 2021, p. 55).

The U.S. broadcasting media contributed to the formation of a particular version of the tragedy, a version formatted in the binary logic of the Western epistemological tradition: Islamic terrorism vs. civilization. According to Stuart Croft,

> Crises often mark the origins of a particular discourse, and a discourse that emerges with credibility in a crisis—in a sense, that which gives the crisis meaning—will soon take on the hallowed status of 'common sense' amongst those concerned with the issues both raised and threatened by that specific crisis. (2006, p. 1)

The new narrative of a security crisis justified antagonism toward Muslims and the "war on terror." Fear of threats emanating from the Muslim world became the dominant worldview after the terrorist acts and legitimated preemptive actions. Every image, picture, or piece of writing that contributed to the intensification of the affect of fear was promoted by mass media discourse. Douglas Kellner (2004) emphasizes that dramatic images and montage techniques were used to capture audience attention and catalyze unanticipated events that spread further terror through domestic populations (Kellner, 2004, p. 12). Kellner argues that U.S. television networks framed the 9/11 attacks to whip up war hysteria, "while failing to provide a coherent account of what happened, why it happened, and what would count as responsible responses" (p. 15). Besides the one-dimensional Western stereotypes of Muslims as bloodthirsty terrorists, the media networks constructed the collective image of Americans as victims. David L. Altheide describes the rhetoric of the mainstream media and points out that "the emphasis of the coverage of 9/11 was on the commonality of the victims rather than the cause or the rationale for the attacks" and that "the popular refrain was that all Americans were victimized by the attacks" (2010, p. 6).

The terrorist attacks of September 11th have found a specific niche in fictional space. Unlike media commentators (journalists, T.V. broadcasters, and photographers), who repeated the casualty figures and victims' names, writers found themselves disoriented about how to write about the mass casualties in New York. Richard Gray summarizes artists' feelings after 9/11: "If there was one thing writers agreed about in response to 9/11, it was the failure of language; the terrorist attacks made the tools of their trade seem absurd" (2011, p. 1). Years passed after the tragedy before writers found ways to write about it. These artists have created more diverse depictions than the mass media versions of September 11th. They have drawn attention to the complexity of the tragedy and have tried to avoid the U.S. official rhetoric of what happened on 9/11. Fiction has helped to extract the tragedy of 9/11 from the past and localize it in the present, as it is remembered and memorialized. Yet no single fictional narrative could ever fully encompass the events that belonged to that day in September. The past is never fully narratable; it cannot be reduced to a single order. In this sense, any story is just a partial, subjective variant of the past, and the more narratives we have about the past, the broader our understanding of what has happened.

The reality of the tragedy and the representations of it were not equivalent. J. Habermas, who was in New York after the terrorists' attacks, acknowledged in his dialogue with

Borradori (Borradori, 2003) the irreducible chasm between fact and representation, first and third-person perspectives. The images he saw on his T.V. screen in Germany were in the "breaking news" format. "By contrast, New Yorkers were left in existential and sensory chaos: not only did a pervasive smell hang over Manhattan for weeks, but the acute scream of sirens, usually lost in acoustic pollution, kept puncturing the silence left by the empty airspace – the great dome of contrails and roars crisscrossing above the city" (Borradori, 2003, p. 49). Discussing the idea of naming the terrorist acts as 9\11, Derrida remarks, "The event is made up of the 'thing' itself (that which happens or comes) and the impression (itself at once 'spontaneous' and 'controlled') that is given, left, or made by the so-called 'thing'" (Borradori, 2003, p. 89). Fictional representations of 9/11 are neither narrowed to mourning those who were monstrously killed, nor are they merely assigning blame to the Islamic extremists, but most fundamentally they offer a more nuanced perspective on the nature of the postmodern world and the reasons for overwhelming aggression, intolerance, and prejudice toward "others." Writers do not try to explain or justify the tragedy; they verbalize their versions of what has happened. In Iain Banks's *Dead Air* (2002), Frederic Beigbeder's *Windows on the World* (2004), Lynne Sharon Schwartz's *The Writing on the Wall* (2005), Jonathan Safran Foer's *Extremely Loud and Incredibly Close* (2005), Claire Messud's *The Emperor's Children* (2006), Martin Amis's *The Last Day of Muhammad Atta* (2006), Don DeLillo's *Falling Man* (2007), H. M. Naqvi's *Home Boy* (2009), and Amy Waldman's *The Submission* (2011), the authors do not seek to organize the events coherently or to put the characters in a defined niche. Instead, the narratives are ambiguous and nonjudgmental, drawing attention to the complexity of the situation. Fragmentation is the dominant and most effective strategy in these novels as it corresponds with the characters' searching for reasons, meanings, and explanations. The other widely used perspective of telling the story about 9/11 is multiple focalization that helps to narrativize the traumatic event from different views. Fictional works that deal with the attacks and traumas after them utilize the postmodern strategies of writing and do not signify a break with postmodern aesthetics. Michael Frank argues that "the attacks did not cause an abrupt break with twentieth-century narrative forms and styles, let alone a recalibration of the entire system of literature" (Frank, 2020, p. 175).

The Empire of the Global Period

The mass casualties in New York have received a "massive number of fictional responses" (Däwes, 2011, p. 7) written by U.S.-American novelists as well as by writers from abroad. According to Birgit Däwes,

As of late June 2011, at least 231 novels from around the world are available in print which can be classified as "9 / 11 novels" – that is, the terrorist attacks on New York and Washington provide the entire or a part of the setting, they feature more or less prominently as a historical context (establishing a particular atmosphere or set of themes), or they have a decisive function for the development of the plot, the characters, or the novel's symbolism. 162 of these fictional responses were written by U.S.-American novelists. (2011, p. 6)

Birgit Däwes (Däwes, 2011) has classified these novels into six categories: metonymic, salvational, diagnostic, appropriative, symbolic, and writerly. She has distinguished two waves in writings about 9 / 11. A first wave of "9 / 11 novels" has had a more American perspective, representing the events as a collective national trauma. A second wave has embraced a more transnational and cross-cultural perspective. As M. Frank (Frank, 2020) remarks, "…since the late 2000s, the body of predominantly American Ground Zero fiction has been complemented by novels that move away from Ground Zero to focus on the effects of the War on Terror both inside and, crucially, outside the US" (p. 178). According to Gray (Gray, 2011), this approach was pioneered by Mohsin Hamid.

Mohsin Hamid's novel *The Reluctant Fundamentalist* (2008), while it belongs thematically to the second wave of 9/11 fiction, does not deal directly with the tragic events in New York; instead, it is a reflection from the side of the Other, a young Pakistani businessman, on the reasons for the 9/11 attacks. The author tries to demystify the events of September 11th and put them in a broader context of a globalized world. M. Frank classifies this novel as a postcolonial War on Terror novel. In this context he argues that *The Reluctant Fundamentalist* "… assumes a counter-discursive position by offering different narrative contextualisations of the event" (Frank, 2020, p. 179). The narrator of the novel explains the cause of the attacks from the perspective of those who were silenced in reports about the tragedy, and this helps him to question the use of the term "terrorism." In his long monologue, Changez, the homodiegetic narrator, tells the story of his life to an American stranger at a café table in Lahore. The author flips the conventional strategy when the West speaks about the East. Instead, the American is just a listener; he does not have an opportunity to speak, while the Pakistani discloses to him the reasons for his moving step by step toward Islamic radicalism. The narrative has a somewhat confessional style, but unlike a confession, it does not have a component of penitence. In the words of M. Frank, "Changez' story about his disappointed love for

America is related in the form of a deliberately ambiguous self-narrative which combines a personal, intimate, even confessional mode of storytelling with one that is both allegorical and didactic" (Frank, 2020, p. 177).

Changez combines his personal story with a description of the taste of Eastern delicacies. In this way, he shows the American both his personal feelings and the unforgettable flavor of his country. Ethnic food is the last bastion that globalization has not touched yet. Pakistanis are proud of their traditional food, as it preserves their identity, their flavor of the world:

> Here in Old Anarkali that pride is visible in the purity of the fare on offer; not one of these worthy restaurateurs would consider placing a western dish on his menu. No, we are surrounded instead by kebab of mutton, the tikka of chicken, the stewed foot of goat, the spiced brain of sheep! These, sir, are *predatory* [italics in the original] delicacies, delicacies imbued with a hint of luxury, of wanton abandon. Not for us the vegetarian recipes one finds across the border to the east, nor the sanitized, sterilized, processed meats so common in your home-land! (Hamid, 2008, p. 101)

Through the invitation to taste Eastern cuisine, Changez asks the foreigner to look closer at the Pakistani world and tear away the veil of prejudice and stereotypes about it. The narrator shows the American listener the beauty of the landscape, the unforgettable combination of colors, and the spirit of the place: "Come, relinquish your foreigner's sense of being watched. Observe instead how the shadows have lengthened. Soon they will shut to traffic the gates at either end of this market, transforming Old Anarkali into a pedestrian-only piazza" (Hamid, 2008, p. 31 – 32). He presents his interlocutor with a different vision of Islamic culture and asks him not to be afraid of Muslims. They did not provoke the tragic events in New York, but reacted to the growing political and military intolerance of the U.S. Changez criticizes U.S. capitalism, with its cold logics of profit and of accumulation by dispossession (Harvey, 2003), and the American insensitivity to those who suffer from U.S. military and economic invasions.

Through his narration, Changez describes the U.S. as a new type of global Empire. His observations resemble the ideas of Michael Hardt and Antonio Negri. In their book *Empire* (2000) they summarize the main features of a new type of Empire that emerged along with the global market and global circuits of production. The first symptom of

the new imperial regime is the weakening of nation-states, in particular, their power to regulate economic and cultural exchanges. The Empire of the global period does not rely on fixed boundaries. In this sense, nowadays, it is different from the imperialism of the prior era that was based on the sovereignty of nation-states. "The boundaries defined by the modern system of nation-states were fundamental to European colonialism and economic expansion: the territorial boundaries of the nation delimited the center of power from which rule was exerted over external foreign territories through a system of channels and barriers that alternately facilitated and obscured the flow of production and circulation" (Hardt & Negri, 2000, p. xii). According to Hardt and Negri (Hardt & Negri, 2000), hybrid identities, flexible hierarchies, and plural exchanges constitute the main attributes of global Empire.

The authors emphasize that although the U.S. is not yet what they mean by a global Empire, today it occupies a privileged position in the history of Empire. Meanwhile, they underline that the imperial idea "has survived and matures throughout the history of the United States constitution and has emerged now on a global scale in its fully realized form" (Hardt & Negri, 2000, p. xiv). Dwelling further on the concept of a global Empire, Hardt and Negri identify the following features: a lack of boundaries as it rules over the entire "civilized" world; no temporal or historical regime as it presents itself outside of history or at the end of history; and finally, although the concept of Empire is always dedicated to peace, its practice is continually bathed in blood. Similarly, David Harvey writes, "From the late nineteenth century onwards, the U.S. gradually learned to mask the explicitness of territorial gains and occupations under the mask of a spaceless universalization of its own values…" (Harvey, 2003, p. 47).

The diegesis of *The Reluctant Fundamentalist* conveys the idea of the U.S.A. as a contemporary Empire that corresponds with the concept of global Empire described above. After being hired as an analyst by a valuation firm, Underwood Samson & Company, Changez observes his colleagues and remarks upon their similarity, "We were marvelously diverse … and yet we were not: all of us, Sherman included, hailed from the same elite universities – Harvard, Princeton, Stanford, Yale; we all exuded a sense of confident self-satisfaction; and not one of us was either short or overweight" (p. 38). They are even dressed in a similar way, making them virtually indistinguishable. The narrator understands that after being groomed by prestigious universities and completing training programs at the respected firm, young specialists become soldiers of the financial Empire. They are eager to contribute their talents and potential to the

American meritocracy. Changez and the other new hires are trained to prioritize and then to apply themselves single-mindedly to the achievement of that objective.

Young analysts are taught to concentrate on "the fundamentals" and not be emotional. Emphasizing the concept of "the fundamentals," the narrator is playing with the very idea of fundamentalism and redefining it. He also makes vivid that the "fundamentals" American Protestants have formulated differ from the "fundamentals" of the global financial Empire. Changez's "Third World sensibility" (Hamid, 2008, p. 67) often conflicts with the company's tasks. For example, he feels sympathy toward soon-to-be-redundant workers of the company Underwood Samson is evaluating. His colleague reminds him to focus on the fundamentals and not feel pity toward poor workers. The firm's analysts present a distilled embodiment of the U.S. empire that is continually searching for profits and does not consider those who stand in its way.

Changez eagerly integrates into the realities of American life. He behaves and dresses as his colleagues do. The young analyst is happy that nobody remarks about the color of his skin or his Pakistani identity. New York embraces every color and tint, every accent or dialect: "In a subway car, my skin would typically fall in the middle of the color spectrum. On street corners, tourists would ask me for directions. I was, in four and a half years, never an American; I was *immediately* [italics in the original] a New Yorker" (p. 33). When asked where he was from, he always answers that he is from New York. Changez enjoys his life, status, new possibilities, and career perspectives. He does not think of himself as a Pakistani, but as an Underwood Sampson analyst. On his first business trip to Manila, he supposes that his Pakistani nationality is invisible, cloaked by the expensive suit or expense account.

The Crisis of Identity after 9/11

Everything changes after 9/11: the American dream of the young analyst has been shattered, the firmness of the foundation of his new life in New York has been shaken. If, before the tragic events, nobody paid attention to his foreignness, after them, his Pakistani identity becomes visible and cause for suspicion. Changez feels this first when boarding an aircraft from Manila to New York. He is selected for a secondary screening at the airport. The world around him has changed instantly. Pakistani cab drivers are being beaten; the F.B.I. is raiding mosques, shops, and even people's houses. Although Changez is a Princeton graduate earning eighty thousand dollars a year, his Pakistani

identity plays a crucial role when the world is falling apart. Louis A. Cainkar, in his book *Homeland Insecurity: The Arab American and Muslim American Experience After 9/11*, writes that, "The Council on American-Islamic Relations (2002) reported 1,062 incidents of violence, threat, or harassment during the initial onslaught of the post-9/11 backlash" (2009, p. 192).

Further, Cainkar argues that "the negative treatment of Arabs and Muslims in the United States after 9/11 was caused not by the 9/11 attacks themselves, but by preexisting social constructions that configured them as people who would readily conduct and approve of such attacks. These social constructions did not emerge on 9/11 but were the culmination of processes of labeling and interpretation transmitted by interested actors through major American social institutions over the latter decades of the twentieth century" (p. 2). Cainkar summarizes by writing that Arabs and Muslims have been constructed in American culture as a monolithic group that has an inherent proclivity to violence and a morally deviant religion that sanctions killing (Cainkar, 2009, p. 2). The racialization of Arabs and Muslims as groups that threaten American cultural values and personal liberties played its role in the process of identifying "evil others" after the deaths of innocent New Yorkers on 9/11.

The crucial changes in American society not only shift Americans' attitudes toward Changez but also elicit unexpected emotions in him. The narrator's reaction to the attack in New York is the result of a latent persistence of his true feelings toward the Empire. "I stared as one—and then the other—of twin towers of New York's World Trade Center collapsed. And then I *smiled* [italics in the original]. Yes, despicable as it may sound, my initial reaction was to be remarkably pleased" (Hamid, 2008, p. 72). The narrator admits that he was moved by the death of the victims of the attack, but at that moment, he did not think about them. He was attracted by the symbolism of it all, "the fact that someone had so visibly brought America to her knees" (p. 73). The center of his narrative is thus relocated from the innocent people killed to the symbolism of 9/11. This shift has been unexpected in post 9/11 fictional discourse, as prior writers have mostly concentrated on the feelings of victims, their relatives, or their friends, relying chiefly on the rhetoric of victimization. Frank has noted that American Ground Zero novels have contributed to the master narrative of 9/11 as a cultural trauma, while postcolonial War on Terror writings have proposed a counter narrative (Frank, 2020, p. 179). This counter narrative of mass casualties in New York has been "marginalized by the discourse of loss, recovery, victimization, patriotism, nationalism, and American

exceptionalism that has prevailed since 9/11" (Wersching, 2012, p. 414). Hamid is proposing the perspective of those who considered the tragic event in symbolic terms. Initially, Changez does not understand why he wants to see America harmed. It is just his unconscious reaction to the tragedy. The narrator needs some time to understand his emotions. Derrida observes, "Whether we are talking about a psychological, political, police, or military response or reaction, we must acknowledge the obvious – at once qualitative and quantitative: for Europe, for the United States, for their media and their public opinion, quantitatively comparable killings, or even those greater in number, whether immediate or indirect, never produce such an intense upheaval when they occur outside European or American space (Cambodia, Rwanda, Palestine, Iraq, and so on)" (Borradori, 2003, p. 92). Changez's reaction responds to the realization that these deaths cause upheaval precisely because they are in the US.

The young Pakistani could not have the same feelings as Americans. He feels for the sufferings of his own region that was invaded by the US after the September 11 attacks:

> I chanced upon a newscast with ghostly night-vision images of American troops dropping into Afghanistan for what was described as a daring raid on a Taliban command post. My reaction caught me by surprise; Afghanistan was Pakistan's neighbor, our friend, and a fellow Muslim nation besides, and the sight of what I took to be the beginning of its invasion by your countrymen caused me to tremble with fury. (pp. 99 – 100)

In this crucial moment, he decides to return to Pakistan. At home, Changez suddenly realizes how far away he has moved from his family, native traditions, and ethnic roots. First, he feels uncomfortable and sad because he has lost his connection with his land. "I had changed. I was looking about me with the eyes of a foreigner, and not just any foreigner, but that particular type of entitled and unsympathetic American who annoyed me when I encountered him in the classrooms and workplaces of your country's elite" (p. 124). The understanding that he lacks something very substantial angers him. The narrator is trying to recover his Pakistani self. Mughal miniatures, ancient carpets, a rich library collection, the family house — all this help him to find his former self, to feel almost childlike, "rather than the permanent middle-age that attaches itself to the man who lives alone and supports himself by wearing a suit in a city not of his birth" (p. 125). The moment of Changez's encounter with his native place resembles Yi Fu Tuan's

writings: "Place can acquire deep meaning for the adult through the steady accretion of sentiment over the years. Every piece of heirloom furniture, or even a stain on the wall, tells a story" (Tuan, 2001, p. 33). Changez thoroughly and eagerly immerses himself in his native milieu, rich with history. Every detail helps him to recover his lost self.

The feelings of loss are mixed with deep melancholia and yearning for his country's former glory and power. Changez is continually comparing his country's past with present-day U.S.A. realities. Complaints, despair, and anger overwhelm him when he observes the remains of the former greatness of Pakistan and the present miserable state of his beloved country. Revenge and frustration dominate his inner world and supply the motive for his transformation into a reluctant fundamentalist. Habermas explains the roots of Islamic fundamentalism through the changing of the epistemological situation of the contemporary world. In particular, he interprets fundamentalist trends as "a defensive reaction against the fear of a violent uprooting of traditional ways of life" (Borradori, 2003, p. 32).

Further, the philosopher adds that the world today is split into beneficiary and loser countries. "To the Arab world, the U.S.A. appears as an insult to their self-confidence while simultaneously providing the secretly admired model. The West, in its entirety serves as a scapegoat for the Arab's world's own, very real experiences of loss, suffered by populations torn out of their cultural traditions during processes of accelerated modernization" (Borradori, 2003, p. 32). The situation described by Mohsin Hamid corresponds with the logic of Habermas' thinking. It is painful for Changez to encounter his country in the state of destruction and the disintegration of customary ways of life. He understands that the ancient glory of Pakistan belongs to history; his country now belongs to the fallen empires. It makes him resentful to acknowledge that "four thousand years ago, we, the people of the Indus River basin, had cities that were laid out on grids and boasted underground sewers, while ancestors of those who would invade and colonize America were illiterate barbarians" (p. 34). It is worth mentioning that such melancholic reminiscences do not provoke destructive aggression in the narrator. Instead, he begins reconsidering the situation around him, trying to figure out how he could help his country.

Changez sees that old traditions, values, national cuisine, and a way of life are being transformed to conform to the American pattern. The food he is enjoying with his interlocutor can rarely be found. Resistance to homogenization and globalization now

dominates his previous desire to integrate into American society. National cultures are granted little autonomy in the Empire. According to Hardt and Negri, "Traditional cultures and social organizations are destroyed in capital's tireless march through the world to create the networks and pathways of a single cultural and economic system of production and circulation" (Hardt & Negri, 2000, p. 326).

The other factors that provoke this change of the narrator's position are the aggressive U.S. strategy in the world arena and the absence of war on its own territory. These factors accelerate the cognitive dissonance between Americans and the nations engaged in military conflicts on their own soil. From time to time, the narrator reminds his listener that it is difficult for an American to understand the feelings and emotional state of people who reside within commuting distance of hostile troops. Changez directs the attention of his interlocutor to the fact that the U.S.A. "has not fought a war on its soil in living memory" (p. 127). Further, he reflects: "I had always resented the manner in which America conducted itself in the world; your country's constant interference in the affairs of others was insufferable. Vietnam, Korea, the straits of Taiwan, the Middle East, and now Afghanistan: in each of the major conflicts and standoffs that ringed my continent of Asia, America played a central role" (p. 156). In another context, the narrator observes: "I wondered how it was that America was able to wreak such havoc in the world—orchestrating an entire war in Afghanistan, say, and legitimizing through its actions the invasion of weaker states by more powerful ones, which India was now proposing to do to Pakistan—with so few apparent consequences at home" (p. 131). America is insensitive to the sufferings of other nations as it lacks their experience of impoverishment and powerlessness. Changez remarks: "As a society, you were unwilling to reflect upon the shared pain that united you with those who attacked you" (p. 168). Douglass Kellner, discussing the September 11th events, concludes, "Suddenly, the vulnerability and anxiety suffered by many people throughout the world was also experienced deeply by U.S. citizens, in some cases for the first time. The terror attacks thus had material effects, attempting to harm the U.S. and global economy, and psychic effects, traumatizing a nation with fear" (Kellner, 2004, p. 44).

The narrator's re-initiation in his homeland and reconfiguring of his worldview are registered through his refusal to shave his beard. It is a symbolic act through which Changez tries to show his belonging to and unity with his native land. A two-week-old beard was "a form of protest on my part, a symbol of my identity, or perhaps I sought to remind myself of the reality I had just left behind" (p. 130). It is the marker of the

narrator's transition from his identity as a New Yorker to a Pakistani identity. He refuses "to blend in with the army of clean-shaven youngsters who were my coworkers" (p. 130). At the same time, the beard changes the attitude of Changez: if before the events of 9/11, he had the feeling of blending in, after them, he was subjected to verbal abuse by strangers. At Underwood Samson, he becomes a subject of whispers and stares. Nevertheless, Changez stoically endures all misfortunes and searches for the way out of his existential crisis.

The next step in his reconsideration of the U.S.A. and its role on the world scene happens during his stay in Valparaiso. Together with his boss, Jim, they go to Chile to determine the value of the assets of a publishing company. Mohsin Hamid underlines the global nature of American capital. Territorial and capitalist logics intertwine as territorial control is a necessary means to the accumulation of capital. The Empire needs geographical expansion for its economic growth. Hardt and Negri underline the idea of open space as the immanent feature of this new form of sovereignty:

> The space of Empire is constantly reterritorialized and reconstituted. Perhaps the fundamental characteristic of imperial sovereignty is that its space is always open. As we saw in earlier sections, the modern sovereignty that developed in Europe from the sixteenth century onward conceived space as bounded, and its boundaries were always policed by the sovereign administration. Modern sovereignty resides precisely on the limit. In the imperial conception, by contrast, power finds the logic of its order always renewed and always re-created in expansion. (Hardt & Negri, 2000, p. 167)

This tendency toward an open project operating on an unbounded space goes back to the first phase of American constitutional history, Hardt and Negri argue. "The North American terrain can be imagined as empty only by willfully ignoring the existence of the Native Americans – or really conceiving them as a different order of human being, as subhuman, part of the natural environment" (pp. 169 – 170). This expansive tendency differs from the colonial extensions of the modern nations-states. Hardt and Negri summarize that the idea of nowadays Empire was "born through the global expansion of the internal U.S. constitutional project" (pp. 182). Hardt and Negri further explain that when the great open American spaces eventually ran out there emerged another option: "to return to the project of imperial sovereignty and articulate it in a way consistent with the original 'Roman' mission of the United States" (p. 172).

Because of the global expansion of the internal U.S. constitutional project, the financial analysts of Underwood Samson feel comfortable and sure of themselves in any part of the world. They are using their economic strategies and values as universal ones. When an older man who loves books and tries to save the publishing company asks the American professionals what they know about books, Jim sincerely answers that he has evaluated similar companies before. He is not aware that the question was actually about books.

Valparaiso's former grandeur reminds Changez of Lahore. The Panama Canal transformed what was once a great port into a deep periphery. During the meeting, the old publisher, Juan-Bautista, tells Changez a story about the janissaries, "Christian boys captured by the Ottomans and trained to be soldiers in a Muslim army, at that time the greatest army in the world. They were ferocious and utterly loyal: they had fought to erase their civilizations, so they had nothing else to turn to" (p. 151). Changez vividly sees that America is an example of today's Empire, and he is its janissary. "Moreover I knew from my experience as a Pakistani—of alternating periods of American aid and sanctions—that finance was a primary means by which the American empire exercised its power" (p. 156). After the conversation with the older man, he refuses to facilitate the project of American domination. Accordingly, Hardt and Negri state: "The networks of agreements and associations, the channels of mediation and conflict resolution, and the coordination of the various dynamics of states are all institutionalized within Empire. We are experiencing a first phase of the transformation of the global frontier into an open space of imperial sovereignty" (p. 200). During the trip to Valparaiso, the narrator awakens from the American Dream that has overshadowed his national inner self.

Changez comes back to Pakistan to teach at the university. His mission is to raise the national consciousness of young Pakistani students and "to stop America" (Hamid, 2008, p. 168). He organizes students to participate in demonstrations for the greater independence of Pakistan. Their protests are labeled anti-American, although they use the Empire's ideological strategy. "I can assure you that I am a believer in non-violence; the spilling of blood is abhorrent to me, save in self-defense […] I am not an ally of killers; I am simply a university lecturer, nothing more or less" (p. 181). His appeal to nationhood and the dignity of his people and culture serves as an ideological weapon to repel the dominant discourse. Nevertheless, the idea of liberation from foreign domination implies subordination to domestic structures of dominance.

Conclusion

Changez's monologue enlarges the context of the tragic events of September 11, 2001 through introducing into the conventional discourse of 9\11 the voices of those who were simply blamed as terrorists because they came from the East. Verbalizing the alternative vision of the September events in New York, drawing attention to their complexity, the novel's narrator does not justify the mass killings; he proposes a symptomatic reading of the tragedy that tries to fill in the lacunas left by the dominant discourse. Changez's narrative is a possible way of figuring out what has gone wrong in the "communicative action" (Habermas) between the West and the East. As Jürgen Habermas concludes, "conflicts arise from *distortion in communication* [italics in the original], from misunderstanding and incomprehension, from insincerity and deception" (Borradori, 2003, p. 35). Nations have become alienated from each other because of distorted communication and the biased perception of their citizens, and this fact is often used by political forces and regimes. "The so-called 'clash of civilizations' [Kampf der Kulturen] is often the veil masking the vital material interests of the West (accessible oilfields and secured energy supply, for example)" (Borradori, 2003, p. 35). According to D. Harvey (Harvey, 2003) and B. Massumi (Massumi, 2010), the 9/11 events were used by the U.S.A. to justify entering Iraq. Fear tactics became the dominant strategy for advancing a specific political agenda. David Harvey, after a deep analysis of the economic and social situation in the U.S. before the events of 9/11, concludes: "But it was, of course, 9/11 that provided the impetus to break with the dissolute ways of the 1990s. It provided the political opening not only to assert a national purpose and to proclaim national solidarity but also to impose order and stability on civil society at home. It was the war on terror, swiftly followed by the prospect of war with Iraq, which allowed the state to accumulate more power" (Harvey, 2003, p. 15).

The narrator of the novel asks readers to listen to the other side of the conflict and not to judge all Muslims as bloodthirsty fundamentalists. People must widen their perspectives of the world and "take up the roles of 'speaker' and 'hearer'. Taking up these roles in a dialogue, they engage in a fundamental symmetry, which, at the bottom, all speech situations require" (Borradori, 2003, p. 37). Changez invites the American agent to adopt his perspective in order not to blame him but to understand the roots of his anger. Mohsin Hamid leaves the ending of the novel open, so the readers do not know whether the American listener has changed his perspective or simply completed his mission.

In addition to calling for constructive dialogue between the West and East, the author of the novel considers the critical revision of U.S. international politics. One of the messages is that after causing so much grief and misfortune abroad, America cannot play the role of an innocent observer. In this context, it is worth mentioning Derrida's position towards the tragedy in New York: "Anyone in the world who either organized or tried to justify this attack saw it as a response to the state terrorism of the United States and its allies" (Borradori, 2003, p. 107).

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Research Article

Mohsin Hamid'in *Exit West* Romanı Işığında Göçmen Yazını ve Çeviri

Migrant Writing and Translation: The Case of Mohsin Hamid's *Exit West* in Turkish

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ÖZ

Göçmen yazını, göçmen deneyimleri üzerine oluşturulan ve gerçek yaşam anlatılarına alternatif bir düşünme ve ifade şekli sağlayan metinlerden oluşmaktadır; bu nedenle, göçmen yazınının çevirisinde (melez kimlikler, kararsızlık, sınır geçişleri ve dönüşüm gibi) içerik özellikleri ve (kod kaydırma, metafor ve anıştırma gibi) biçemsel özelliklerin aktarımı büyük bir önem kazanmıştır. Yazın metinleri sayesinde göçmen anlatılarına dair önemli bir farkındalık yaratıldığını vurgulayan bu çalışmada, göç deneyiminin duygusal ve psikolojik boyutlarını ortaya koyan iletişimsel ipuçlarının çeviriye nasıl aktarıldığı mercek altına alınacaktır. Bu bağlamda, Mohsin Hamid'in (2017) *Exit West* romanı ve romanın Türkçe çevirisi *Batı Çıkışı* (2019) incelenecektir. İnceleme, Teun van Dijk'ın (2005, 2018) göçmenler hakkındaki söylemleri konu aldığı çalışmasında kullandığı söylem stratejilerinin ışığında yürütülecektir. Göç bağlamında çeviri ediminin etik bir boyutunun olduğu uzun zamandır dile getirilen bir konu olsa da göçmen temsilinde yazın çevirisinin önemine de ayrı bir vurgu yapmak gerekir. Başka bir deyişle, göçmen anlatılarını medya ve toplum çevirmenliği kapsamında çeviren yazılı ve sözlü çevirmenler gibi, göçmen yazını çevirmenleri de etik bir sorumluluğa sahiptir. Bunun nedeni, yazın çevirisinde kullanılan söylem stratejilerinin göçmenlere özel bir ses kazandırması ve toplumdaki farkındalık düzeyini söylem yoluyla artırmasıdır. Bu farkındalığın mevcut olmadığı durumlarda göçmenler çoğu zaman suskun ve marjinal 'ötekiler' olarak ön plana çıkmaktadır. Çalışmanın sonunda, etik bir değer olarak farkındalık yaratmada başvurulan çeviri ediminin önemi ortaya konulmuştur.

Anahtar Kelimeler: Göçmen yazını, çeviri, söylem, Mohsin Hamid, *Exist West*

ABSTRACT

Migrant writing is based on textual productions that offer an alternative mode of reflection and expression of the migrant experience. Hence, the translation of migrant writing has significant implications for the representational politics that are closely related to the thematic features (e.g. hybrid identities, ambivalence, border-crossings, and metamorphoses) and stylistic features (e.g. codeswitching, metaphors, and allusions). Arguing that literature plays a key role in enabling readers to make better sense of migrants' life narratives, this paper seeks to shed light on how literary translation may transfer communicative complexities, unravelling the emotional and psychological aspects of the migrant experience that manifests itself in literary texts. In this context, the study will focus on Mohsin Hamid's (2017) *Exit West* and its Turkish

translation *Batı Çıkışı* (2019). The analysis of the source and target texts will be carried out in light of the discursive strategies listed by Teun van Dijk (2005, 2018) in his study of various discourses on migrancy. Ultimately, this paper emphasises that even though the idea of translation as an ethical act is not new in the context of migration, reconsidering the ethical significance of creating awareness through literary translation is significant. The study hence places special emphasis on the recreation of the discursive strategies in fictional accounts in order to (re)present migrants who might otherwise become silent and mute.

Keywords: Migrant writing, translation, discourse, Mohsin Hamid, *Exist West*

EXTENDED ABSTRACT

This study sets out to explore how fictional accounts of migrant narratives are reconstructed through literary translation. Discursive features (e.g. us and them discourse, code-switching, metaphors, allusions, and the like) in migrant writing serve as strategic elements in reinforcing the role literary translation plays in the representation of migrants. As Moira Inghilleri and Loredana Polezzi (2020, p. 32) emphasise, translators 'have an ethical responsibility to the voices and to the narratives of those who are positioned as the weaker party in the exchange […]'. In this context, it is reasonable to argue that not only the translation of migrants' life narratives, but also the translation of fictional accounts spotlights an ethical dimension, since both influence the (re) presentation of the 'other'.

In light of these points, this study focuses on the Turkish translation of Mohsin Hamid's *Exit West*, which was published in 2017, a year before the number of forcibly displaced people worldwide had reached an all-time high (UNHCR 2019). Given that Hamid's narrative of the European migration crisis enhances literary discussions of current global migrant crises, the study argues that the translation of his novel would play a key role in renarrating how migrants are devoid of their inalineable rights and become 'others'.

Before analyzing *Exit West* and its Turkish translation, the study notes that migrant writing contributes to the enlargement of the frontiers of translation to include self-translation performed by migrant writers who compose works in the language of their host countries. To apply Ngugi Wa Thiong'o's (2009, p. 18) words to the present context, migrant writing can be seen as an 'exercise in mental translation' since migrant writers 'translate' themselves by reproducing their cultural specificity in a foreign way (Asad 1986, Bhabha 1994). That is, migrant writing constitutes a form of cultural translation that involves more of a process based upon the movement of the people than the

movement of texts. In this context, the analysis of how Hamid's self-translation is transferred to the Turkish language will be carried out in line with Teun van Dijk's (2005, 2018) framework, which sheds light on a discourse analytical method for the study of migration. The present study explores, in the words of van Dijk (2018, p. xx), 'the many ways migration discourse is structured, how it expresses underlying mental models, attitudes and ideologies, and what social and political functions such discourses have'.

At this juncture, it is significant to note that Hamid's style 'mimics' the thematic content throughout the novel (Lagji, 2018, p. 2); hence, his text requires the translator's active role in the generation of literary meaning. The analysis shows that the Turkish translation mirrors the source text's 'winding sentences whose words wander across the page, accumulating clauses until the period end point' (Lagji, 2018, p. 2). It is worth noting here that the long syntax of the source-text sentences seems to denote the long waiting period involved almost in every immigration process. Note also that Hamid's novel wittily unravels the objectification and delegitimization of migrants in the world. As the analysis illustrates, the Turkish translation diligently recreates the source text's dehumanizing metaphors, which prevail in the public debates about migration. The target text's reproduction of those metaphorical expressions is of vital importance for the reception of Hamid's text in the target society (e.g. for facilitating readerly identification with migrants) because the source text, by and large, deconstructs the mythical narratives (e.g. the construction of a stereotypical migrant identity) that marginalize migrants in line with an 'us and them' discourse. The Turkish translation further recreates the source text's allusions that refer to the key texts in migrant writing and postcolonial literature which foreground the liminal position of the 'other'. This study concludes that the discursive strategies used in the Turkish translation (re)present the social manifestations of migrancy.

1. Giriş

Pakistan asıllı İngiliz yazar Mohsin Hamid'in (2017) *Exit West* romanı göç krizinin fiziksel sınırlarla, askeri gözetimle ve uluslararası anlaşmalarla kontrol altına alınamayan bir olgu haline geldiğini göstererek, toplumsal huzursuzluk, iç savaş ve insanların kendi yurtlarından edilmesi gibi günümüzün en önemli gündem maddelerini oluşturan olayları ön plana çıkarmaktadır. Başka bir deyişle, *Exit West* küresel düzeyde bir mülteci krizine dikkat çekmektedir. Romanın başkahramanları Saeed ve Nadia, neresi olduğu belirtilmeyen anayurtlarından ayrılmak zorunda bırakılarak, kendilerini güvende hissedecekleri bir ülkeye doğru yola çıkmıştır. Yolculukları esnasında sırasıyla Mikonos, Londra ve San Francisco'da kalan karakterlerin hem birbirleri ile hem de anayurtları ile olan ilişkileri bu şehirlerin atmosferinin derin izlerini taşımaktadır.

Romanın realizm çizgisinden sapan en önemli özelliği, göçmenlerin sihirli kapılardan geçerek bir yerden başka bir yere göç edebilmesidir. Mohsin Hamid, tıpkı Salman Rushdie (1991) gibi, romanında büyülü gerçekçiliğe yer vermektedir. Savaşın yıkık dökük izlerini taşıyan yurtlarından kaçan başkahramanlar, sihirli kapılardan geçerek iltica etmişler ve yukarıda adı geçen her bir şehir için bu gizemli kapıları kullanmışlardır. Başkahramanları anlatan olay örgüsünün yanısıra, romanda ulusal sınırları sihirli kapılarla aşıp geçen başka insanların hikâyelerine de yer verilmiştir. Romandaki sihirli kapılar binlerce insanın din, dil, ırk ve mezhep ayrımı yapılmaksızın birer göçmen olarak istedikleri ulus-devletlere sorgusuz sualsiz geçiş yapmasını sağlamaktadır. Küresel bir boyut kazanan göçmen krizi ekseninde, bu kapılar okurun dünyayı fiziki sınırlardan ve siyasi çıkarlardan arınmış olarak hayal edebilmesine sebep olmaktadır (Dew, 2017, s. 274).

Hamid, romanında göç olgusunu evrenselleştirmeyi amaçlamaktadır. Bu nedenle, hayatlarında hiç yer değiştirmemiş insanların bile zamanın içinde göç yaşadığını vurgulayarak, geçen zamanla birlikte insanların kimliğinin de değişebileceğini belirtmiştir (Hamid, 2017, s. 209). Göç deneyiminin zaman içinde yaşanan değişikliklerle ilişkilendirilmesi, göçmenler tarafından yaşanan olayların genelleştirilerek basite indirgenmesine neden olabilir. Ancak, romanda, zamanın içinde göç eden insanların da bir daha asla geçmiş zamana dönemedikleri belirtilmekte ve gerek coğrafi bağlamda gerekse zamanın içinde yaşanan göçün güç ve acı bir deneyim olduğu belirtilmektedir (Hamid, 2017, s. 209). Bu şekilde, göçün küresel bir hareket olduğu ve göç eden kişilerin ulusal kimliklerini terk ederek küresel bir kimlik edindiği vurgulanmaktadır.

Hamid, Ruby Cutolo (2012, s. 21-22) tarafından düzenlenen söyleşide, kendisini "coğrafi bir göçebe" olarak görmekle birlikte, "coğrafi bağlamda cinsiyet değiştirmiş" gibi hissettiğini de belirtmiştir. Bu durumun en önemli nedeni, kendisi gibi Doğu'dan Batı'ya göç eden insanların diğer insanlar tarafından, "Doğu/Batı [ikilemi] ekseninde gerçek bir erkek ya da gerçek bir kadın" olarak konumlandırılamamış olmasıdır (Cutolo, 2012, s. 22). Hamid, dikkat çektiği tüm bu noktaların ışığında, "göç-sonrası edebiyat" alanında "yerlerinden edilmiş yazarlar" arasında önemli bir yer edinmiştir (Gamal, 2013, s. 597-598).

Tim Cresswell'in (2010, s. 21) dünyadaki "göç hareketliliği nasıl temsil edilmektedir" sorusunu temel alan bu çalışma, çeviri ve diyasporayı eşdeğer kabul eden Salman Rushdie'nin (1991, s. 17) *Imaginary Homelands* (Hayali Vatanlar) kitabında yer alan "[d]ünyanın öteki tarafında doğmuş olmamız sebebiyle, hepimiz çevrilmiş insanlarız" ifadesinde vurguladığı gibi, hem kültürel çeviri metaforu hem de dillerarası çeviri bağlamında, *Exit West* eseri ve eserin Türkçe çevirisinde göç ve göçmen olgusunun temsiline ışık tutacaktır. Kültürel çeviri kavramı bağlamında, anadilinden farklı bir dilde eser yazan göçmen bir yazarın özçevirmen olarak görülmesi sebebiyle (Thiong'o, 2009), Mohsin Hamid, Pakistan asıllı bir özçevirmen olarak ele alınacak ve bu yazar tarafından yapılan özçevirinin Türkçeye nasıl aktarıldığı ortaya koyulacaktır. Kaynak ve erek metinlerin incelenmesinde, göçmenlerin, toplumu oluşturan bireylerin zihinlerinde ötekileştirilmesi ve bu durumun sözcük seçimi, sözdizimi, imge ve metafor düzeyinde söyleme yansımasını inceleyen Teun van Dijk'ın (2003, 2005) söylem çözümlemesi için kullandığı kavramsal araçlara yer verilecektir.

2. Göçmen yazını ve çeviri ilişkisi

Homi Bhabha'nın (1994) *The Location of Culture* (*Kültürel Konumlanış*) kitabında sömürgecilik sonrası edebiyat alanına yoğunlaşarak kültürel çeviri kavramını ortaya atması, kültürün ulusötesi ve çevrilebilir bir özellik taşıdığını vurgulaması, melezlik ve aradalık gibi kavramları kullanarak göçmen söyleminin kültürel çeviriden beslendiğini vurgulaması, ve çeviriyi bir metafor olarak uluslararası ve uluslaröتesi hareketliliğin bir ürünü olan göçmen yazınının irdelenebileceği şekilde kullanması göç olgusunun çeviribilim alanının gündeminde önemli bir yer teşkil etmesine neden olmuştur. Bhabha tarafından kavramsallaştırılan kültürel çeviri, farklı diller arasında gerçekleşen metinsel bir aktarımı vurgulamanın ötesinde, göçmenlerin yaşadığı arada kalmışlık duygusunu ön plana çıkarmaktadır. Bhabha'nın kültürel çeviri metaforu, Salman Rushdie'nin (1988,

s. 62) *The Satanic Verses* kitabında geçen "İngiliz ortamına çevrilmiş bir Hintli" ifadesini çağrıştırmaktadır.

Sömürgecilik sonrası bakış açısı ile 'öteki' kavramını ele alan Bhabha (1994), Avrupa-merkezciliği temel alan Batılı düşünce şeklinin diğer kültürler üzerinde tahakküm kurması nedeniyle, 'ötekinin', ötekileştiren özneyi taklit etmesi sonucunda kararsızlık (ambivalans) durumunun ortaya çıktığını belirtmiştir. Bhabha (1994), ayrıca, bu durumun ötekileştiren (ev sahibi) kültüre göç eden bireyde kimlik buhranı yarattığını ve bu bireyin artık üçüncü uzamda yer alarak melez bir kültüre sahip olduğunu belirtmiştir. Bhabha (1994) ötekileştiren öznenin söylem yoluyla ırk ve cinsiyet temelinde farklılık vurgusu yaparak tahakküm kuran bir alan yarattığını ve bu şekilde ötekileştirme sürecinin sürekli olarak yinelendiğini de kaydetmiştir. Bu noktada, benzer bir vurgunun daha önce Said (1978) tarafından Doğu ve Batı kültürleri arasında "ontolojik ve epistemolojik ayrıma" (Ashcroft, Griffiths & Tiffin, 1989, s. 153) dayanan 'öteki' imgesi temelinde yapıldığının ve Doğu kavramının Batılı söylemler yoluyla üretilmesi sonucunda çevirilerin de bu söylemleri sürekli olarak beslediğinin altını çizmek gerekmektedir.

Göç ve aidiyet, kimlik siyaseti, yerel ve küresel dil kullanımları gibi olgular yirmibirinci yüzyılda çeviribilim alanında en çok dikkat çeken konular haline gelmiştir (Inghilleri, 2017). Mekânsal hareketlilik ve temsiliyet olguları ile birlikte sürgün ve gönüllü sürgün gibi diyaspora olgularının da eşliğinde, özçeviri ve dillerarası çeviri büyük bir önem kazanmıştır. Özçeviri, belirli bir yazar tarafından yazılan özgün bir eserin, aynı yazar tarafından farklı bir dile çevrilmesi olarak tanımlanmış olsa da (Popovič, 1976, s. 19), sömürgecilik sonrası edebiyat ve göçmen edebiyatı, çeviri tanımının sınırlarını genişleterek özçeviriye bakış açımızı geliştirmiştir (Polezzi, 2012, s. 350). Özçevirmen kavramı, artık anadilinden farklı bir dilde eser üreten yazarlar için de kullanılmaktadır (Thiong'o, 2009; Akbatur, 2010). Göçmenlerin özçevirmen olarak yazın alanında faaliyet göstermesinin bir sonucu olarak, özgün metin ve çeviri kavramları arasında var olan sınır muğlak bir hal almıştır; çeviri kavramının sınırlarının genişlemesiyle, göçmenlerin anadilleri dışında yazdıkları metinlerle birlikte çok-dilli olarak yazdıkları metinler de çeviri kapsamında ele alınmaya başlanmıştır.

Çeviri, bu kapsamda, göç edenler ve göç edenleri misafir edenler arasındaki güç hiyerarşisini gözler önüne serme potansiyeline sahiptir. Öncelikle, göçmenlerin hem özne konumunda olan birer eyleyici hem de çevirinin nesnesini oluşturan birer birey olduğunun unutulmaması gerekmektedir (Polezzi, 2012, s. 345). Bu noktada sormamız

gereken bazı sorular bulunmaktadır. Göç eylemiyle ilişkili dil pratikleri hangi yollarla çeviri edimine yansıtılmaktadır? (Polezzi, 2012, s. 346) Çeviri, göçmenlerin hayatında nasıl bir rol oynamaktadır? (Inghilleri, 2017, s. 29) Bu soruların cevabında çeviri etiği ön plana çıkmaktadır çünkü göç eden insanların çeviri yoluyla temsiline yapılan müdahaleler, kullanılan yerlileştirme stratejileri ve 'ötekine' ait sosyo-kültürel özelliklerin yok edilmesi bu insanlara yapılacak bir "ihanet" olarak algınabilir (Polezzi, 2012, s. 346). Bu nedenle, göç yazınının çevirisi söz konusu olduğunda sadece metinlerin çevirisi değil, "göç edenlerin [kültürel] çevirisi" de göz önünde bulundurulmalıdır (Polezzi, 2012, s. 347).

Aynı şekilde, çeviriyi, ulusal, kültürel ve dil sınırlarını aşan "özgün" bir metin üzerinden gerçekleştirilen bir aktarım olarak gören "çizgisel bakış açısının" yetersiz kalacağını bilmemiz gerekir çünkü çeviri sadece kelimelerin yer değiştirmesi ile sınırlandırılamaz: insanların yeni bir sosyal ortama girmesinin de çeviri eylemi olarak görülmesi gerekmektedir (Polezzi, 2012, s. 348). Çeviri, göç eden insanların yaşamlarında asimilasyon stratejisi olarak ortaya çıkabilir: göçmenler ev sahibi kültürün dil ve kültürel özelliklerine uyum sağlayarak kültür potasında erime yaşayabilir (Cronin, 2006, s. 52). Diğer yandan, çeviri bir uzlaşı aracı olabilir ve göç eden kişilerin dil ve kültürlerini yaşatma stratejisi olarak karşımıza çıkabilir (Cronin, 2006, s. 52). Birçok toplumda tekdilliliğin bir norm olarak kabul edilmesine karşın göçmen yazını eserlerinde çokdilli örneklerin göçler sayesinde ön plana çıktığını vurgulamak gerekir (Tymoczko, 2006, s. 16). Bu bağlamda, göçmenler çevirinin nesnesi olmaktan kurtularak aktif birer eyleyici konumuna geçebilir (Polezzi, 2012, s. 348).

Türk yazın sisteminde de göçmen eserlerinin örnekleri yer almaktadır. Yüksel Pazarkaya, Aras Ören, Emine Sevgi Özdamar, Şinasi Dikmen, Habib Bektaş, Bekir Yıldız, Fethi Savaşçı ve Güney Dal gibi yazarlar Almanya'ya göç eden birinci kuşak yazarlardır. Bu yazarlar göçün nedenleri, gurbet, kültür şoku, yabancılık, misafir işçilik, kaçak işçilik ve dil sorunları gibi konuları temel almıştır (Salim, 2011a; Zengin, 2011). Yüksel Pazarkaya göçmen edebiyatı türünde eserler vermekle birlikte Türk edebiyatının önemli temsilcilerini Almancaya çevirmektedir. İkinci kuşakta Şinasi Dikmen, Fakir Baykurt, Zafer Şenocak, Mevlüt Asar, Zehra Çırak, Akif Pirinçci ve Hatice Akyün gibi yazarlar bulunmaktadır. Şinasi Dikmen gibi bazı yazarlar Almanca eserler de vermektedir. Bu kuşak tarafından üretilen eserlerde karma bir kültürü yaşama ve bu kültürle çatışmanın önemi ön plana çıkmaktadır (Salim, 2011b). Üçüncü kuşakta ise Renan Demirkan, Levent Aktoprak, Feridun Zaimoğlu, Zehra Çırak ve Selim Özdoğan gibi yazarlar yer almaktadır. Zafer Şenocak gibi bazı yazarların aynı zamanda çevirileri de bulunmaktadır. Bu kuşağın

eserlerinde kültür ve kimlik kavramları ile birbirinden ayrıştırılan insanların gerçekte birbirinden çok da farklı olmadığı vurgulanmaktadır (Cengiz, 2010).

Göç ve çeviri ilişkisi üzerine Türkiye'de verimli çalışmalar yapılmaktadır. Rana Kahraman'ın (2010) *Göç ve Çeviri: İltica Başvurularında Sözlü Çeviri Uygulamaları ve Toplum Çevirmeninin Rolü* başlıklı doktora tezi, Gamze Okumuş'un (2017) *Göçmen Belleğinin Mekânı Kurgulama ve Yeniden Üretme Biçimleri: Kolaj, Montaj ve Çeviri* başlıklı yüksek lisans tezi, Filiz Şan ve Seda Koçlu'nun (2018) "Sakarya'daki Mültecilerin İletişim Sorunlarının Belirlenmesi ve Toplum Çevirmenliğine Olan İhtiyaç" başlıklı makalesi ve Umut Balcı ve Medeni Akgün'ün (2018) "Emine Sevgi Özdamar'ın *Mutterzunge* adlı eserindeki kalıp ifadeler ve Türkçe çevirisindeki karşılıkları" başlıklı makalesi bu çalışmalardan bazılarıdır. Göç ve çeviri ilişkisini konu alan bu çalışmalarda yer alan en temel vurgu sözlü ve yazılı çevirilerde, yazın ve yazın alanı dışındaki metinlerin çevirisinde çevirmenlerin üstlendiği önemli role ilişkin farkındalığın artırılmasıdır.

Göçmen yazını eserlerini çeviren çevirmenler aktivist bir rol üstlenebilir. Çevirinin dünyayı görme ve algılama şekillerini değiştirebileceği, anlatıları okuma ve dinleme biçimlerini etkileyebileceği görüşüne paralel olarak (Venuti 2013), göçmen yazını gibi metinlerin çevirisinde izlenen yabancılaştırma stratejilerinin (örn. akıcı olmayan, erek kültürdeki çeviri normlarını çiğneyen ve erek okurun aşina olmadığı stratejiler) yerlileştirme stratejilerine (örn. kaynak metnin yabancılığını en aza indirgeyen stratejiler) ve egemen yazın biçemlerine karşı "direnç" oluşturarak farkındalık yaratabileceği düşüncesi ortaya çıkmıştır (Venuti, 2008, s. 22). Bhabha'nın (1994, s. 321) da belirttiği gibi, çeviride var olan bu tür "dönüşüm süreç[lerinde]" önemli bir "direnç unsuru" yer almaktadır.

Boris Bachmann-Medick (2006, s. 38) "çevrilmiş" göçmeni iki kültür arasında "sürüklenen", "köklerinden" koparılıp yeni bir kültüre yerleştirilen kişiler olarak görmektedir. Söz konusu "sürüklenme" olayının zorunlu bir yer değiştirme olabileceğini ve şiddet içeren bir tehdit karşısında gerçekleşmiş olabileceğini göz önünde bulundurursak, çevirinin hem "saldırgan" hem de "koruyucu" bir strateji olarak kullanılabileceğini ve göç eden insanlara çeviri yoluyla bir ses ve kimlik verilebileceğini de unutmamak gerekir (Polezzi, 2012, s. 349). Bu bakış açısıdan hareketle, 'Analiz' bölümünde, Mohsin Hamid'in *Exit West* romanı çerçevesinde, kaynak ve erek metinlerde göçmenlerin nasıl temsil edildiği, göçmen kimliğinin hangi yollarla oluşturulduğu ve göçmenlere verilen sesin okurlar üzerindeki potansiyel etkileri üzerinde durulacaktır.

3. Analiz

Giriş bölümünde belirtilen amacı tekrar etmek gerekirse, bu bölümde, Cresswell'in (2010, s. 21) dünyadaki göç hareketliliğinin nasıl temsil edildiğine ilişkin sorusuna yazın çevirisi bağlamında yanıt aranmaktadır. Romanda, göçmenlerin ülkelerinden ayrılmak için beklediği süre ile sınır dışına çıktıktan sonra başka bir ülkeye kabul edilmek için beklediği süre arasında yaşanan hareketliliğin temsili ön plana çıkmaktadır (Haas, 2017, s. 75). Bu bölüm toplumsal yapıların bilişsel yapılar vasıtasıyla söylem üzerinde büyük bir etki oluşturduğunu örneklerle göstermeyi amaçlamaktadır. Analiz, bilişsel yapıların toplum ve söylem arasında bir "arayüz" görevine sahip olduğunu vurgulayan van Dijk'ın (2003, s. 13-14) toplum, biliş ve söylem düzeyindeki ilişkiyi incelemek üzere kullandığı sözdizimi, sözcük seçimi, imge ve metafor kullanımı gibi stratejilerden yola çıkacaktır. Bu bağlamda, *Exit West* romanındaki göç ve göçmen temsilinin Türkçe çeviriye nasıl aktarıldığına ışık tutulacaktır.

Analiz için van Dijk'ın (2003, 2005, 2018) sosyo-bilişsel yaklaşımının seçilmesinin nedeni göçmenlere dair oluşturduğu zihinsel temsil şeklini belirli söylem stratejileriyle metne döken Hamid'in "bilişsel durumunun" erek metin okuruna nasıl aktarıldığını (Boase-Beier, 2006, s. 54) incelemek için gereken kavramsal araçların van Dijk'ın çalışmalarında karşımıza çıkmasıdır. Yazın metinlerinde okuma eyleminin yoğun bir interaktif sürece dayanıyor olmasından dolayı yazar tarafından kullanılan (sözdizimi, muğlaklık, sözcük seçimi ve metafor gibi) stratejiler okurun metinden hareketle belirli bir "bilişsel duruma" erişmesini sağlar (Boase-Beier, 2003, s. 255). Erişilen bu bilişsel durum, aynı zamanda kaynak metnin bağlamının erek okur tarafından yeniden oluşturulmasını sağlamaktadır. Lagji (2018, s. 10) tarafından vurgulandığı gibi, Hamid'in söylemi roman boyunca tematik içeriğe eşlik etmekte ve romanın temasını oluşturan göçmen temsilini yansıtmaktadır. Analiz, bu bakış açısı doğrultusunda kaynak ve erek metinlerin söylem ve içerik bakımından karşılaştırılmasına dayanmaktadır.

3.1. Sözdizimi ve Muğlaklık Aktarımı

Cümle uzunlukları *Exit West* romanı için büyük bir önem taşımaktadır. Örneğin, varış noktasındaki ülke tarafından kabul edilme sürecinde yaşanan sürenin uzunluğu, Hamid'in uzun cümleler kurarak okurda sabır ve heyecanlı bekleyiş gibi hisleri uyandırmak istemesinden kaynaklanmış olabilir. Bu nedenle, Hamid'in kullandığı cümleler göç esnasında görülen "virajlı yollar" gibi sayfa boyunca uzayıp gitmekte, çok sayıda

yancümlenin birbirine bağlanması ile sonu bir türlü gelmeyen bir yolculuğa benzer cümleler nokta ile bölünmeden roman içinde yer almaktadır (Lagji, 2018, s. 10).

KM1

> Nadia and Saeed quickly located a cluster of fellow countrywomen and -men and learned that they were on the Greek island of Mykonos, a great draw for tourists in the summer, and, it seemed, a great draw for migrants this winter, and that the doors out, which is to say the doors to richer destinations, were heavily guarded, but the doors in, the doors from poorer places, were mostly left unsecured, perhaps in the hope that people would go back to where they came from—although almost no one ever did—or perhaps because there were simply too many doors from too many poorer places to guard them all. (Hamid, 2017, s. 101)

EM1

> Nadia ile Saeed hemen kendi memleketlilerinden oluşan kadınlı erkekli bir grup buldular ve yazın turist akınına ve görünüşe göre bu kış da mülteci akınına uğrayan Yunanistan'ın Mikonos Adası'nda olduklarını öğrendiler. Dışarıdan açılan kapılar, yani daha zengin varış noktalarına açılan kapılar çok iyi korunurken içeri açılan kapılar, yani daha fakir yerlerden açılan kapılar belki de insanların geldikleri yerlere geri dönecekleri umuduyla (her ne kadar neredeyse hiç kimse geri dönmese de) veya belki de yalnızca çok sayıda fakir ülkeden açılan çok sayıda kapı olduğu için hepsini korumanın imkânsızlığıyla, çoğunlukla korumasız bırakılmışlardı. (Hamid, 2019, s. 87)[1]

Yukarıdaki örneği incelerken, uzun cümlelerin biçemsel bir değer taşıdığını ve bir yandan kaynak metnin mesajını iletmeye çalışırken diğer yandan yazarın biçemini yeniden oluşturmak için uğraşan çevirmen açısından önemli bir zorluk teşkil ettiğini göz önünde bulundurmak gerekir. Türkçe çeviriye genel olarak bakıldığında, çevirmenin Hamid'in uzun cümlelerinin yapısını korumaya çalıştığı gözlemlenebilir. Ancak uzun cümlelerin anlam akışına engel olduğu ve mesaj iletimini engellediği bazı durumlarda, cümlelerin çeviride nokta kullanılarak bölündüğüne de rastlanılmaktadır. Örnekte görüldüğü gibi, erek metinde sadece bir kez nokta kullanılmış, cümlenin kalan kısmı

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1   Kaynak ve erek metinler üzerinde yapılan tüm vurgu makale yazarına aittir.

bölünmeden aktarılmıştır. Bu stratejinin çevirinin geneline yansımış olması ve erek metinde sadece anlam akışının bozulduğu durumlarda nokta kullanılması uzun cümlelerin kaynak metin okurunda uyandırması beklenen bilişsel etkinin çevirmen tarafından da oluşturulmaya çalışıldığının bir göstergesidir.

Göç ve hareketlilik çalışmalarında da vurgulandığı gibi, bekleme alanları ve bekleme kuyruklarında yaşanan durağanlık göçmen yazınının söylemine de yansımaktadır (Bissel, 2007, s. 277). Ancak göçmen yazınını sadece durağanlık ile sınırlamak doğru değildir çünkü göç sürecindeki bekleyişin içinde hareketlilik ve hareketsizlik ile aktiflik ve pasiflik birlikte bulunmaktadır (Bissell, 2007, s. 279). İltica etmek isteyen mültecilerin deneyimlerinin de gösterdiği gibi, bekleme süreci boş ve pasif bir şekilde yaşanan verimsiz bir zaman aralığından oluşmamaktadır (Rotter, 2016; Turnbull, 2016). Bu bağlamdaki bekleme süreci her ne kadar uzamış bir süreç olsa da "karmaşık ve diyalektik bir süreç" olması nedeniyle duygusal ve zihinsel olarak çaba gerektiren ve mültecilerin kabul edilmek için yoğun bir emek harcadığı aktif ve verimli bir zaman dilimini kapsayan bir süreç olarak görülmektedir (Rotter, 2016, s. 86).

Bu diyalektik süreç, Hamid'in romanında sözcük düzeyinde yaratılan birtakım çelişkilerle ortaya konulmuştur. Kaynak metni çevirme nedenlerinden biri metnin biçemsel özelliklerinin okur üzerinde yarattığı etkiyi erek metin okuru için de oluşturmak ise bu tür çelişkilerin çeviride düzeltilmemesi ve okurun benzer çelişkilere maruz bırakılması önem taşımaktadır. Aşağıdaki örneklerden de anlaşılabileceği gibi, "herkes yabancıydı […] hiç kimse yabancı değildi", "hem bir ölüm hem bir doğum gibi", "utanıyorlardı […] utangaçlığın ne olduğunu bilmiyorlardı" ifadeleriyle kaynak metindeki çelişkili ifadeler erek metne aktarılmıştır:

KM 2

> In this group, everyone was foreign, and so, in a sense, no one was. (Hamid, 2017, s. 100)

EM 2

> Bu grup içinde herkes yabancıydı, bu nedenle bir anlamda hiç kimse yabancı değildi. (Hamid, 2019, s. 87)

KM 3

> It was said in those days that the passage was both like dying and like being born, […]. (Hamid, 2017, s. 104)

EM 3

> O günlerde geçişin hem bir ölüm hem de bir doğum gibi olduğu söyleniyordu, […]. (Hamid, 2019, s. 85)

KM 4

> [Migrants] were ashamed but did not yet know that shame. (Hamid, 2017, s. 184)

EM 4

> [Göçmenler] utanıyorlardı ve henüz bu utangaçlığın ne olduğunu bilmiyorlardı. (Hamid, 2019, s. 150)

Ayrıca, bir yerden başka bir yere göç eden insanların hayatında yaşanacak olayların önceden tahmin edilememesi ve gelecekteki birçok gelişmenin muğlak kalması nedeniyle, Hamid'in romanında anlam belirsizliği biçemsel ve estetik bir unsur olarak karşımıza çıkmaktadır (Naydan, 2019, s. 448). Bu nedenle, karakterlerin arada kalmışlık duygusu romanda özellikle de sözcük seçimi yoluyla ön plana çıkarılmıştır:

KM 5

> Others didn't move at all: stunned, maybe, or resting. Possibly dying. (Hamid, 2017, s. 23)

EM 5

> Başkaları kımıldamıyordu bile. Afallamışlardı belki. Veya dinleniyorlardı. Muhtemelen ölüyorlardı. (Hamid, 2019, s. 26)

KM 6

> His eyes rolled terribly. Yes: terribly. Or perhaps not so terribly. (Hamid, 2017, s. 9)

EM 6

> Gözleri korkunç biçimde geriye doğru kaydı. Evet korkunç bir şekilde. Veya belki de o kadar korkunç değildi. (Hamid, 2019, s. 12)

Örneklerden anlaşılabileceği gibi, belirsizlik ifade eden cümleler Hamid'in romanına estetik bir hava kazandırmaktadır çünkü romanda sistematik olarak tekrar edilen birçok sözcük (maybe, possibly ve perhaps gibi), "belirsizlik", "eşiktelik", "kararsızlık" ve "arada kalmışlık" gibi durumları çağrıştırmaktadır (Naydan, 2019, s. 444). Romandaki mültecilerin sihirli bir kapıdan içeri adım atarken nereye varacaklarını bilememesi gibi yetkililerin de ne zaman ve hangi bölgeden yeni bir kapının ülkelerine açılacağını bilememesi bu belirsizlik duygusunu artırmaktadır. Bu türden bir belirsizlik duygusu, Türkçe çeviride de "belki" ve "muhtemelen" gibi sözcük tekrarlarının hiç atlama ya da çıkarılma yapılmaksızın çevrilmesiyle okurun dikkatini çekecek hale getirilmiştir.

Exit West romanında göç edenlerin temsili konusunda öne çıkan başka bir özellik de göçmenlerin ulusal kimliğine dair bilgilerin belirsiz olmasıdır. Bu şekilde yaratılan belirsizlik, van Dijk'ın (1997, s. 31) da belirttiği gibi, belirli bir motivasyonla seçilen bir söylem stratejisidir. Son yılların gündeminde en önemli yeri teşkil eden kitlesel göç konusu, Hamid'in romanında iç savaşlar ve dünya çapında yaşanan kargaşalar doğrultusunda ele alınırken, göçmenlerin anayurtlarına dair hiçbir bilgi verilmemiştir. Bu durumun nedeni, Hamid'in bir söyleşide vurguladığı gibi, "göç deneyiminde ve mülteci yaşantısındaki evrenselliği" okurun hissedebilmesini sağlamak ve göç veya iltica deneyimini hiç yaşamamış olan kişilerin dünyasında göçmen ve mültecilere "empati alanı" açmaktır (Chandler & Hamid, 2017). Bu nedenle, çeviride göçmenlerin uyruğuna ilişkin olarak yapılabilecek herhangi bir ima Hamid'in bahsettiği "evrensellik" algısına zarar verebilir. Agamben (1995, s. 119), *Exit West*'in herhangi bir "kategoriye" (örn. dil, uyruk ve ırk) aidiyeti devreden çıkarıp, sadece göç unsurunun ön plana çıkmasını amaçladığını vurgulamaktadır. Bu durumun en çarpıcı örneklerinden biri de aşağıdaki gibidir:

KM 7

> [...] it was inexplicable that she continued to wear her black robes, and it grated on him a bit, for she did not pray, and she avoided speaking their language, and she avoided their people, and sometimes he wanted to shout, well take it off then, and then he would wince inwardly, since he believed he loved her, and his resentment, when it bubbled up like this, made him angry with himself. (Hamid, 2017, s. 187)

EM 7

> Fakat kara çarşaflarını giymeye devam etmesini anlayamıyordu ve bu durum onu biraz sinirlendiriyordu. Çünkü Nadia dua bile etmiyor, kendi dillerini konuşmaktan kaçınıyordu ve kendi insanlarından da kaçınıyordu. Bazen Saeed ona, o halde çıkar şunları üstünden, diye bağırmak istiyordu ancak hemen ardından Nadia'yı sevdiğine inandığı için kendi içine kapanıyordu ve bu şekilde kabaran kırgınlığı kendisine [...]. (Hamid, 2019, s. 153)

Örnekte de görüldüğü gibi, roman boyunca, "their language" ve "their people" gibi ifadeler kullanılarak başkarakterlerin anayurtları ve anadilleri belirsiz bırakılmıştır. Çeviride de karakterlerin kimliklerine ilişkin bu belirsizlik durumu korunmuştur. Ancak, kaynak metinde başkahramanın (Nadia) siyah bir giyisi ("black robe") giydiği belirtilmiş olsa da, bu giyisi yazar tarafından özellikle 'chador' (kara çarşaf), 'hijab' (türban), ya da 'veiling' (tesettür) olarak nitelendirilmemiş, belirli bir bölgeye ya da ülkeye özgü bir vurgu yapmaktan kaçınılmıştır. Bu nedenle, erek metinde de bu belirsizliğin sürdürülmesi yerinde olacaktır.

Yukarıdaki örneğe benzer şekilde, sekizinci ve dokuzuncu örneklerde de göçmenlerin kimliğine dair net bir bilgi ortaya koyulmamıştır:

KM 8

> The preacher was a widower, and his wife had come from the same country as Saeed, and so the preacher knew some of Saeed's language, and his approach to religion was partly familiar to Saeed, while at the same time partly novel, too. (Hamid, 2017, s. 199)

EM 8

> Vaiz duldu ve karısı da Saeed'in ülkesinden gelmişti. Bu nedenle vaiz, Saeed'in dilini az da olsa biliyordu ve dine yaklaşımı Saeed'e kısmen de tanıdık gelmişti. (Hamid, 2019, s. 160)

KM 9

> […] and then there was the fact that the preacher had married a woman from Saeed's country, and also that the preacher's daughter was born of a woman from Saeed's country. (Hamid, 2017, s. 219)

EM 9

> […] ve ayrıca vaizin, Saeed'in ülkesinden bir kadınla evlenmesi gerçeği de önlerinde duruyordu. (Hamid, 2019, s. 174)

Bu gibi örnekler, okurun dikkatini belirli bir coğrafya içinde tanımlanabilen tek bir jeopolitik krizden uzak tutmak, binlerce insanın yaşadığı evrensel bir insanlık krizine odaklanmak ve dikkatleri "yerinden edilmiş" kişilerin ortak olarak yaşadığı evrensel deneyime yöneltmek amacını taşımaktadır (Perfect, 2019, s. 8). Bu nedenle, çeviride de belirli bir coğrafya ya da ulusal özelliğin vurgulanmaması büyük bir önem taşımaktadır. Türkçe çeviride görüldüğü üzere, "Saeed's country" (Saeed'in ülkesi), "Saeed's language" (Saeed'in dili) ve "Saeed's religion" (Saeed'in dini) ifadelerinin düzenli olarak tekrar edilmesi ile aynı etki yaratılmaya çalışılmaktadır. Bu tekrarlar kaynak metinde özel bir amaç doğrultusunda yapıldığı için tekrarların estetik açıdan bir değer taşıdığını ve çeviriye aynı biçemsel özelliği aktarabilmek için kaynak metindeki tekrarları yapmaktan kaçınmamak gerektiğini vurgulamamız önemlidir.

Yazınsal kurgu, okurda empati yaratmanın en somut yöntemlerinden biridir (Keen, 2007). Hamid, okurlarında empati duygusu oluşturabilmek için göçün evrenselliğini vurgulayacak farklı stratejiler seçmiştir. Yukarıda belirtilen stratejinin dışında, Hamid tarafından uygulanan başka bir strateji de romanın anlatıcısının "ben" yerine "biz" ifadesini tercih etmesi ve bu şekilde göçün "her insanı [ortak bir noktada] birleştirdiğini" vurgulamaya çalışmasıdır (Hamid, 2017, s. 202). Burada dikkat çeken önemli bir nokta, van Dijk (1995, s. 32) tarafından vurgulandığı gibi, "biz ve onlar" karşıtlığının göçmenlere

karşı önyargı, ayrımcılık ve ırkçılığı pekiştirmesi sebebiyle, Hamid'in bilinçli olarak insanlara hitap ederken "biz" ifadesini kullanması ve göçmenleri göçmen olmayanlardan ayırmamasıdır.

Hamid tarafından her insanın aslında birer mülteci olduğunun vurgulanmasının nedeni tüm insanların yaşantısını geçmişten geleceğe taşıyor olmasıdır; başka bir deyişle, hiç göç etmemiş ya da hiç yer değiştirmemiş insanların bile mülteci olarak tanımlanması zaman içinde yaşanan göçten kaynaklanmaktadır. Bu doğrultuda, bu türden bir evrensellik duygusunu yansıtmak için roman anlatıcısı tarafından kullanılan "biz" ifadesinin çeviriye de sistematik bir şekilde aktarılması büyük bir önem taşımaktadır:

KM 10

> […] even if we stay in the same houses our whole lives, because we can't help it.
> We are all migrants through time. (Hamid, 2017, s. 209)

EM 10

> […] hatta tüm hayatımız boyunca aynı evde kalsak bile bunun önüne geçemiyormuş gibi hissediyordu.
> Artık herkes zamanda yolculuk eden göçmenlerdi. (Hamid, 2019, s. 168)

Onuncu örnekte görüldüğü gibi, çeviride çeşitli eklerle sağlanan "biz" kullanımının, "we can't help it" ve "we are all migrants" ifadelerinde de kullanılması aynı empati duygusunu yaratmak için uygun olacaktır. Ayrıca, Hamid'in göçmen romanının diğer bir özelliği de yoğun bir şekilde anıştırma kullanımıdır. Romandaki "we are all migrants through time" ifadesi, Salman Rushdie'nin (1992: 12) "[g]eçmiş, hepimizin göç ettiği bir ülkedir ve onun kaybı ortak insanlığımızın bir parçasıdır" ifadesine yapılmış olan bir anıştırmadır (Perfect, 2019, s. 12). Bu bağlamda, "biz"/"hepimiz" ifadesinin kullanılması anıştırmanın çeviriye aktarılması açısından ayrı bir önem taşımaktadır.

Romanda yapılan diğer dikkat çekici anıştırma ise Joseph Conrad'ın (1982) *Heart of Darkness* (*Karanlığın Yüreği*) eseri bağlamındadır:

KM 11

> […] but the closet doorway was dark, darker than night, a rectangle of complete darkness—the heart of darkness. (Hamid, 201, s. 8)

EM 11

> […] fakat odasına uzanan eşik karanlıktı, gecenin karanlığından bile daha karanlıktı, mutlak bir karanlıktan ibaret bir dikdörtgendi, karanlığın kalbiydi. (Hamid, 2019, s. 11)

Örnekten de görülebileceği gibi, kaynak metinde, göçmenlerin çektiği acıları ve kendilerini bekleyen sonun tamamen belirsizliklerle dolu olduğunu vurgulamak için yapılan "dark"/"darkness" tekrarının Türkçe çeviride korunması kaynak metnin okuru üzerinde oluşturduğu etkinin erek metin okuru için de oluşturulmasını sağlamıştır. Diğer yandan, *Karanlığın Yüreği*, Condrad'ın denizci olduğu dönemde Kongo'ya yaptığı bir yolculuktan esinlenerek sömürgecilik ve zulüm konusunu işlediği bir romandır. Bu nedenle, anıştırmayı daha belirgin bir hale getirmek için kitabın başlığının Türkçe'ye çevrildiği şekliyle (karanlığın yüreği) erek metne aktarılması okurun anıştırmayı fark etme sürecini kolaylaştırabilir.

3.2. Metafor Aktarımı

Soyut zihinsel yapılar, metaforlar sayesinde somut bir hal almaktadır. Birçok toplumda, göç gibi soyut bir kavramın somutlaştırılması ya da içinde bulundurduğu düşünülen tehdit unsurunun daha fazla ön plana çıkarılması için olumsuz çağrışımlar yapan metaforlar kullanılmaktadır. Başka bir deyişle, göç olayının ev sahibi ülkeler için yarattığı tehlikeler vurgulanmaktadır. Hamid'in romanında, mülteciler için özellikle basında yer alan doğal afet metaforları kullanılmaktadır. Doğal afetler için kullanılan kavramsal metaforların yıkım, tahribat ve felaket gibi toplumda sosyo-ekonomik kayıplara neden olan ve yaşamın akışını sekteye uğratan engeller oluşturmasına benzer şekilde, Hamid de, mültecilerin toplum içinde bir tehdit oluşturduğuna dair ortaya çıkan algıyı ön plana çıkarmak istemektedir. Bu noktada, van Dijk'ın (2005) *Racism and Discourse in Spain and Latin America* (İspanya ve Latin Amerika'da Irkçılık ve Söylem) çalışmasına bakacak olursak, göçmenlerin sık sık "heyelan" ve "sel" gibi su metaforlarıyla eşleştirildiğini ve bu şekilde kamuoyunda bir algı oluşturulmaya çalışıldığını görebiliriz. Aynı bağlamda,

Hamid, farklı kavramsal metaforların kullanımıyla, bu algının insan onurunu nasıl zedelediğini ve insanların eşitlik hakkının nasıl zarar gördüğünü göstermeye çalışmaktadır (Bağlama, 2019, s. 151). Aşağıda yer alan on iki, on üç ve on dördüncü örneklerde geçen "flow", "pour into" ve "overflow" sözcükleri bu durumu özetlemektedir:

KM 12

> […] adding to an unprecedented flow of migrants that was hitting the rich countries, who were building walls and fences and strengthening their borders, but seemingly to unsatisfactory effect […]. (Hamid, 2017, s. 71)

EM 12

> […] duvarlar ve çitler inşa eden, sınırlarını güçlendiren fakat görünüşe göre tatminkâr bir sonuç alamayan zengin ülkelerin sınırlarına akan mültecilerin sayısının eşi benzeri görülmedik ölçüde artmasına ilave olarak […]. (Hamid, 2019, s. 63-64)

KM 13

> But even as people poured into London, some were venturing out of it as well. (Hamid, 2017, s. 129).

EM 13

> İnsanlar Londra'ya akın etse de şehirden kaçanlar da vardı. (Hamid, 2017, s. 106).

KM 14

> The crowd filled the narrow road and overflowed into the margins and stretched many hundreds of meters at its longest, and Saeed wondered where they were going, and then up ahead he saw they were approaching a hotel or resort of some kind. (Hamid, 2017, s. 105).

EM 14

> İnsanlar dar yolu doldurmuştu, kenarlara doğru taşıyordu ve yüzlerce metre uzunluğunda bir kuyruk oluşturuyordu. Saeed onların nereye gittiğini merak etti ve ardından ileri doğru bakınca bir otele veya bir tür tatil köyüne yaklaştıklarını gördü. (Hamid, 2019, s. 92)

Kaynak metinden alınan örneklerin Türkçe çevirilerine baktığımızda Hamid'in roman boyunca sistematik olarak kullandığı su metaforlarının erek metinde de korunduğunu görebiliriz. Çeviride dikkat çeken önemli bir nokta, "akıntı", "taşmak", "akmak" gibi su metaforlarının yanında, tahribat ve yıkım etkisi uyandıran savaş metaforlarının da (örn. akın ve mücadele) anlam açısından bütünlük sağlamak için erek metine dâhil edilmesidir. Başka bir değişle, kaynak metinde kullanılan bir su metaforunun, erek dilde anlam akıcılığını sağlamak üzere çevirmen tarafından seçilen bir savaş metaforu ile karşılandığı durumlar da görülmektedir. Çeviride su metaforu yerine tercih edilen savaş metaforunun da göçmenlere yönelik olumsuz bir algıyı temsil ediyor olması nedeniyle, göçmenlerin birer 'öteki' olarak algılandığının okura gösterilmesi açısından aynı role sahip olduğunu söyleyebiliriz. Aşağıda, bu duruma benzer başka bir örneği görebiliriz:

KM 15

> In a city swollen by refugees but still mostly at peace, or at least not yet openly at war, a young man met a young woman in a classroom and did not speak to her. (Hamid, 2017, s.1)

EM 15

> Mültecilerle dolup taşan fakat hala çoğunlukla huzurlu olan ya da en azından henüz açıkça savaş halinde olmayan bir kentte, genç bir adam sınıfın birinde genç bir kadınla karşılaştı ama onunla hiç konuşmadı. (Hamid, 2019, s. 7)

Bu örnek, Hamid'in romanının ilk cümlesini oluşturmaktadır. Romanın daha ilk cümlesinde mülteciler bağlamında olumsuz bir fiil kullanılmıştır: "swollen" (şişmiş). Mültecilerin gelişi ile "şişmiş" olan bir şehir güçten düşüren ya da sıkıntı yaratan bir

hastalığa işaret etmektedir (Perfect, 2019, s. 4). Hamid'in romanında bu tür metaforlar mültecilerin toplumda nasıl "marjinalize" edildiğini vurgulamak amacıyla kullanılmaktadır (Perfect, 2019, s. 4). Kaynak metindeki hastalık metaforunun, Türkçe çeviride bir su metaforu ("dolup taş[mak]") ile karşılandığını görmekteyiz. Bu durumun nedeni, erek okuru romanın daha ilk cümlesinden alışık olmadığı düşünülen bir metaforla (kentin şişmesi) karşı karşıya bırakmamak düşüncesi olabilir.

Analizin son örnekleri, göçmenlerin ve mültecilerin nasıl ötekileştirildiğinin en önemli göstergelerinden biri olan "cisimleştirme" olgusu bağlamında ele alınacaktır (van Dijk, 1995). Kaynak metinde göçmenler sık sık cisimleştirilerek, göçmen olmayan insanlardan ayrı birer nesne olarak ele alınmaktadır:

KM 16

> The cherry trees exploded on Palace Gardens Terrace at that time, bursting into white blossoms, the closest thing many of the street's new residents had ever seen to snow, and reminding others of ripe cotton in the fields, waiting to be picked, waiting for labor, for the efforts of dark bodies from the villages, and in these trees there were now dark bodies too, children who climbed and played among the boughs, like little monkeys […]. (Hamid, 2017, s. 177)

EM 16

> Palace Garden Terrace'daki kiraz ağaçları işte o günlerde patladı, beyaz tomurcuklar halinde açtı. Bunlar, sokağın yeni sakinlerinin çoğunun gördüğü, kar tanelerine en yakın şeylerdi. Diğerlerine de tarlalarda toplanmayı, kasabalardan gelen kara derili bedenlerin çalışmalarını bekleyen olgunlaşmış pamukları hatırlatıyorlardı. Bu ağaçlarda şimdi de kara derili bedenler vardı, küçük maymunlar gibi ağaçlara tırmanıp dalların arasında oynayan çocuklar […]. (Hamid, 2019, s. 113)

KM 17

> Saeed and Nadia had to be careful when making turns not to run over an outstretched arm or leg. (Hamid, 2017, s. 23)

EM 17

> Nadia ve Saeed öne uzatılmış bir kola veya bacağa basmamak için yönlerini değiştirdiklerinde dikkatli olmak zorundaydı. (Hamid, 2019, s. 26)

On altıncı ve on yedinci örneklerde, sırasıyla, "dark bodies" ve "an outstretched arm or leg" ifadeleriyle, mülteciler insan vücudunu oluşturan parçalara indirgenerek insanlıktan arındırılmakta ve ötekileştirilmektedir. Van Dijk (1995, s. 29) tarafından "dehümanizasyon" (insani özelliklerden arındırma) olarak adlandırılan bu strateji, basın alanında da "öteki[ler]" için sıklıkla kullanılmaktadır. Kaynak metindeki "the efforts of dark bodies" ifadesinin- 'kara derili insanların çalışmaları' yerine- "kara derili bedenlerin çalışmaları" ve "not to run over an outstretched arm or leg" ifadesinin- 'insanların koluna veya bacağına basmamak' yerine- "öne uzatılmış bir kola veya bacağa basmamak" şeklinde çevrilmiş olması, göçmenlerin maruz kaldığı 'dehümanizasyon' durumuna dair çeviri yoluyla farkındalık oluşturulması açısından büyük bir önem taşımaktadır.

Son olarak belirtilmesi gereken nokta, *Exit West* çevirisinin bitimini takip eden son sayfada, Hamid'in (2007) *The Reluctant Fundamentalist* romanının Türkçe çevirisi *Gönülsüz Köktendinci* için Elif Şafak (2008) tarafından yazılan tanıtım yazısına yer verilmiş olmasıdır. Şafak'ın yazısı, çevirinin göçmenlerin hayatında oynadığı role ışık tutmaktadır. *Batı Çıkışı*'nın sonuna eklenen bu yazı, "Doğu'nun" ve "Batı'nın" insan zihni ile oluşturulan "hayali kurgular" olarak sorgulanması gerektiğine dair ifadelerle başlamaktadır (Şafak, 2019, s. 183). Şafak (2019, s. 183) tarafından "[a]raftaki bireylerin hayal kırıklıklarını[n]" anlaşılması gerektiğinin vurgulanması, çevirinin göçmenleri anlamak konusunda ne kadar büyük bir paya sahip olduğunu göstermektedir. Şafak'ın (2019, s. 183) "arada birikmiş tepkilerin, kırgınlıkların ve kızgınlıkların azalması", "gönüllü ya da gönülsüz 'Batı karşıtı ya da İslam karşıtı tepkiseller'" yetişmesinin önlenmesi ve göçmenlere karşı oluşan "sağırlığın yerini hakiki bir kültürel olgunlu[ğa]" bırakması gerektiğine dair sözleri, göçmenlere ihtiyaç duydukları sesin kazandırılması ve çeviri eyleyicilerinin söz konusu ses ve temsiliyet hususunda üzerine düşeni yapması ile gerçekleşebilir.

4. Sonuç

Göçün "yayılma, [kültürel] sahiplenme, asimilasyon, direnç, belirsizlik" gibi pek çok boyuta sahip olması sebebiyle ortaya çıkan farklı algıların "müzakere edilmesi", "şekillendirilmesi" ve [bazı algılarla] mücadele edilmesi için önemli bir rol oynayan çeviri,

sadece göçmen toplumların dil yoluyla ifade ettiklerinin başka dillere aktarımını değil, aynı zamanda göçmenlerin kendilerini yabancı bir topluma kültürel boyutta hangi yollarla "çevirdiğini" ve toplumun sosyal ve fiziksel ortamlarına nasıl katılım sağladığını da ortaya koymaktadır (Inghilleri, 2017, s. 34). Bu çalışmada, Mohsin Hamid göç ettiği toplumun diline kendisini 'çeviren' bir özçevirmen olarak konumlandırılmıştır ve özçevirinin Türkçe çeviride nasıl hayat bulduğu incelenmiştir.

Göç ve göçmen olgularının kaynak ve erek metinde nasıl temsil edildiğine odaklanan bu çalışmaya temel teşkil eden inceleme, van Dijk'in (2005, 2018), dil kullanımlarının temelinde zihinsel bir dayanağın (ön yargılar, algı ve benzeri) olduğunu ve ötekileştirme ve kutuplaştırma gibi algı yönetimi sağlayan söylem stratejilerinin bir toplumun göçmenlere bakış açısını etkileyebileceğini vurguladığı çalışması ışığında yürütülmüştür. Bu incelemenin sonucunda, aşağıdaki sonuçlara ulaşılmıştır:

- Göçmenlerin iki farklı kültür arasında yaşadığı belirsizlik ve arafta kalmışlık duygusu kaynak metinde sıkça kullanılan ikilemler ve çelişkilerle okura yansıtılmıştır. Hamid'in romanında önemli bir söylem stratejisi olarak kullanılan muğlaklık Türkçe çeviride korunmuş, kaynak metnin çelişkili ifadeleri herhangi bir düzeltmeye tabi tutulmamıştır.
- Göç olgusunun evrensel niteliğini ön plana çıkarmak, göçmenleri belirli kalıp-tipler (stereotip) ile sınırlandırmamak ve romana konu olan göçmenlerle aynı din, dil, ırk özelliklerini taşımayan okurların da göçmenlere empati ile yaklaşmasını sağlayabilmek için birçok bilgi imalar ve sezdirimler yoluyla verilmiştir. Bu özellik çeviride de korunmuştur.
- Göçmenlere karşı pek çok toplumda oluşturulan kamuoyu algısının özellikle metaforlar ile daha da pekiştirildiğini göstermek üzere kaynak metinde kullanılan kavramsal metaforlar Türkçe çeviride korunmuştur. Çevirinin incelenmesinden elde edilen ilginç bir sonuç da göçmenlerin ev sahibi kültürde nasıl algılandığına ilişkin olarak kaynak metinde kullanılan su metaforlarından bir kısmının 'akın' gibi savaş metaforları ile karşılanmış olmasıdır. Bu da çeviride kullanılan metaforların yer yer kaynak metin metaforlarından farklılık gösterebileceğini ve bu durumun çeviri eyleyicilerinin zihinsel şemalarında göçü hangi olgularla ilişkilendirdiğine bağlı olarak değişebileceğini göstermektedir.

Sonuç olarak, göçmenlerin nasıl ötekileştirildiğine, yaşadıkları arafta kalmışlık duygusunun ne kadar güçlü olduğuna, göçün belirli bir kültüre ya da ırka özgü olmayan evrensel bir olgu olduğuna, göçmenlerin hangi metaforlarla 'biz ve onlar' şeklindeki ayrıma maruz bırakıldığına ilişkin olarak göçmen yazını kapsamındaki eserlerde yer alan birtakım söylem stratejilerinin çeviride yeniden oluşturulması ve söz konusu durumlara dair çeviri yoluyla farkındalık oluşturulması etik bir boyut taşımaktadır. Söylemin tarihsel, sosyolojik ve kültürel etkileri içinde barındıran bilişsel bir durumu yansıtması ve bu durumun yazar ve çevirmen tercihleri ile metne dökülmesi de yukarıda sözü geçen etik sorumluluğun önemini artırmaktadır. Feminizmin ortaya çıkışından sonraki dönemlerde kadın yazarların eserlerini çevirmek ve yayımlamak ne kadar büyük bir öneme sahip olmuşsa, göçmen yazarların anlatılarından oluşan yazın metinlerini çevirmek de toplumsal farkındalık yaratmak açısından aynı öneme sahiptir. Bu noktadan hareketle, göçmen yazını çevirisi için yazılacak önsözler, çevirmen notları ve sonsözler de toplumda etkili bir rol oynamaktadır. Bu nedenle, göçmen yazını çevirisini akademik çalışmalarla irdelemek ve bu tür metinler üzerinde söylem incelemeleri gerçekleştirmek göçmen anlatılarındaki temsilin farklı kaynaklarda nasıl gerçekleştiğini göstermek açısından büyük bir önem taşımaktadır.

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Le parcours de l'abbé Pierre

Abbé Pierre's Journey

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RÉSUMÉ

Cet article étudie *Les trois villes*, trilogie d'Émile Zola dont les romans *Lourdes* (1894), *Rome* (1896) et *Paris* (1898) décrivent les villes éponymes de l'optique d'un prêtre catholique. Il s'agit des déplacements que l'abbé Pierre Froment effectue entre et dans les trois villes et de son trajet spirituel, intellectuel et sentimental. Le parcours du protagoniste est empreint par deux influences : la charité et le besoin de vérité et de justice. Le prêtre prend pour modèle son frère Guillaume, un scientifique, et la famille de ce dernier. Les femmes jouent un rôle prépondérant dans ce voyage ; tout d'abord deux femmes dévotes, sa mère qui lui fait embrasser la carrière ecclésiastique et Marie, son amour platonique d'enfance. Ce sont surtout deux femmes émancipées qui lui servent de guide, Madame Leroi, grand-mère de ses neveux et une autre Marie, jeune fille cultivée que Pierre aime. L'abbé renonce enfin à la soutane. Pour conclure, Les *Trois Villes* qui semblent être tombées dans l'oubli de nos jours sont dignes d'être reconnues parmi les grandes œuvres de Zola ; cet avant dernier cycle romanesque de l'écrivain repose sur une documentation minutieuse et affiche, en même temps, des qualités esthétiques. En outre, ce sont les enfants de Pierre et Marie qui seront les protagonistes des *Quatre Évangiles*, dernier cycle du romancier.
Mots-clés: Exploitation des croyances, science et religion, inégalité sociale urbaine, roman expérimental, voyage

ABSTRACT

This article is about Émile Zola's *Three Cities: Lourdes* (1894), *Rome* (1896) and *Paris* (1898), in which the author describes the eponymous cities through the eyes of a Catholic priest. This trilogy is not only about Pierre's journeys and his wanderings inside the three cities, but it also reveals his spiritual, sentimental, and intellectual path. The protagonist is marked by two influences: charity and the need for truth and justice. Guillaume, the priest's scientist brother and his family members, in time become his role models. Women have an important role in this journey. First of all, there are two devout women: Pierre's mother, who made him choose the clerical state, and Marie, his platonic childhood love. Also, two independent women help him find his real vocation. These are Madame Leroi, the grandmother of his nephews, and Marie, an educated young girl with whom Pierre will fall in love. The abbot finally decides to leave the cassock. This cycle, which seems to be forgotten nowadays, deserves to be accepted among the great works of Zola because it is based on accurate documentation and it displays distinguished aesthetic qualities. Furthermore, Pierre and Marie's children will be the protagonists of the author's final cycle of novels, *Les Quatre Évangiles* (*The Four Gospels*).
Keywords: Exploiting beliefs, science and religion, urban social inequality, experimental novel, travel

EXTENDED ABSTRACT

In his second cycle of novels *Les Trois Villes - Three Cities: Lourdes* (1894), *Rome* (1896) and *Paris* (1898*)*, Zola has for a protagonist a Catholic priest named Pierre Froment. The reader visits the three cities of the *fin de siècle* through the eyes of Pierre and witnesses his loss of faith. Some of the topics covered by this cycle include his visit to Lourdes and his thoughts about the pilgrimage and miracles; his bitter feelings on the exploitation of the ill and hopeless; his *New Rome*, a book on the primitive purity of Christianity and its condemnation by the Congregation of Index; his journey to Rome and his observations on the papacy, especially on the political and financial ambitions of the high clergy; and his reflections on the social and political corruption, iniquity, and rise of violence in Paris. Zola debates, through the series, many social issues contemporary to the production of these novels. These include infamous financial scandals, unemployment, anarchic attacks, and urban renewal projects carried out to the detriment of both the environment and working-class residents.

The trilogy is a basis for discussion of dogmas, the vows of celibacy and chastity, the natural inclination for love and procreation, and the virtue of science and labour. Furthermore, the author emphasizes his disapproval both of terrorism and the death penalty and underlines the absurdity of the conflicts between the theoreticians of numerous social doctrines.

Each novel based on a city describes two cities separated by class conflict. These novels are not only about Pierre's journeys and his wanderings inside the three cities, but they also reveal his spiritual, sentimental, and intellectual path. Guillaume, the priest's scientist brother, and his family members become, in time, his role models in his research for truth and justice. The women around him also have an important role in his journey. First of all, there are two devout women: his mother, who made him choose the clerical state, and his platonic childhood love, a paralyzed girl whose faith-healing makes him think about miracles. Finally, two independent women help him find his new path: the grandmother of his nephews, an exemplary character of strength and honour, and Marie, an educated young girl with whom he falls in love. The cycle ends with Pierre replacing the notion of charity with that of justice and leaving the Church. If Pierre cannot cure all ills during his travels between the three cities and his comings and goings between two urban poles, he will have, at least, given up the double life of an agnostic priest that he had led just to be able to heal some social injury.

Today, the last novels of Zola, especially those of the trilogy of the cities, are not as well-known as his *Rougon-Macquart* books. Zola critics explain this unfamiliarity with various and sometimes contradictory reasons: the author's being a celebrity whose popularity might have advanced his work; his becoming an object of hate, especially after the Dreyfus Affair; his severe criticisms of the iniquities of the Third Republic regime; and some scholars' finding the last novels idealist and didactic, therefore incompatible with Zola's naturalism and his conception of the experimental novel.

In fact, although Zola explicitly exposes his own ideas and feelings in these novels, it is also important to note that they are based as much, perhaps more on reality than his previous works. It isn't about a recent reality like that of *The Natural and Social History of a Family under the Second Empire*; on the contrary, the events that take place in these cities and the author's writing about them are almost simultaneous. Zola depicts Lourdes and Rome according to his travel notes. As for Paris, he knows his birthplace very well, as attested by some of his previous works, famous especially for their urban descriptions. The preparatory notes for the novels as well as the author's correspondence also witness the exactitude of the reality depicted in the trilogy.

To conclude, *Lourdes*, *Rome*, and *Paris* are as important as the previous novels of Zola both for the accurate documentation on which they are based and for the distinguished aesthetic qualities that they display. Last but not least, Pierre and Marie's sons will be the protagonists of the author's utopian novels, *Les Quatre Évangiles* (*The Four Gospels*), the tetralogy that was unfinished because of his sudden death.

Un Zola méconnu

« Le nom de Rome ne peut plus ne pas évoquer Zola. »
(Mallarmé)

Il s'agit, dans cet article, du Troisième Zola, l'auteur des derniers cycles dont les romans, surtout ceux de sa trilogie ne sont pas autant connus que les *Rougon-Macquart*. Selon Michel Butor, « une espèce de censure » aurait été à l'origine de cette méconnaissance. Il l'explique d'abord par le danger que ces livres posent. Quand les romans précédents révèlent les failles sociales du Second Empire, les derniers cycles mettent en évidence les problèmes que la Troisième République n'a su résoudre, avance-t-il (1989). Lisons Denise, fille du romancier dont les propos sur la trilogie justifient cet argument. La considérant comme « l'examen de conscience du XIXe siècle finissant », elle ajoute :

> L'auteur y montre la crise profonde des esprits, partagés entre la science et la foi. (…) la redoutable incertitude des sociétés contemporaines, hésitant entre la fidélité aux forces du passé, aux puissances capitalistes, aux traditions sentimentales et l'adhésion aux possibilités futures, au socialisme, à l'anarchie… (Le Blond-Zola, 2019, p. 221)

Encore, selon Butor qui qualifie Zola de figure « médiatique », c'est paradoxalement « la perturbation de la célébrité » qui aurait provoqué l'oubli des derniers romans ; la popularité du personnage devançant l'art du romancier. Voici quelques exemples de la « notoriété » de Zola qui est « un homme public » : Il reçoit de nombreuses demandes « de conseils, d'appui, d'autographes » ; ses lettres et ses manuscrits sont vendus aux enchères, il est le président de la Société des Gens de lettres ; il est invité aux congrès à Gênes (1892) et à Londres (1893) (Becker, 1990, p. 30).

Une autre explication de cette méconnaissance est l'hostilité à laquelle le romancier faisait face en raison de son intervention dans l'Affaire Dreyfus, surtout avec la parution de *J'accuse* en janvier 1898, l'année où paraît *Paris*. Citons Becker pour concrétiser quelques-unes des conséquences de cette haine : « Il a été injurié, lapidé même ; sa vie, celle de son père ont été traînées dans la boue » (1990, p. 32). Cette haine peut expliquer l'oubli de *Lourdes,* premier roman du cycle qui, en mars 1898, « était le troisième roman le plus vendu de l'auteur après *La Débâcle* et *Nana* » (Gugelot, 2010, p. 216). Signalons aussi que *Rome*, ayant été vendu à 100 000 exemplaires de 1896 jusqu'en

1898, ne sera vendu qu'à 6000 seulement jusqu'en 1902 (Brown, 1997, p. 753), l'année où décède Zola d'une asphyxie de monoxyde de carbone, classée hâtivement comme accident mais soupçonnée, depuis, être d'origine malveillante (Brown, 1997, p. 793). D'ailleurs, la situation était tellement menaçante qu'au moment où Jeanne Rozerot, sa maîtresse, avait appris la disparition de l'auteur, elle avait pressenti le crime ; aux dires de Denise, elle « s'imagina qu'on avait tué Zola ! » (Le Blond-Zola, 2019, p. 292).

N'oublions pas non plus l'effet négatif de certains critiques qui considèrent les derniers romans moins importants que les *Rougon-Macquart* parce qu'ils seraient didactiques et idéalistes. Or, il y a d'autres qui avancent le contraire. La vérité inhérente à toute œuvre zolienne est « particulièrement pertinente à propos de Lourdes », affirme El Kettani (2013, p. 147). Selon Cook-Gailloud, la trilogie est une « mise en pratique littéraire des grands axes de réflexion du roman expérimental » avec son « schéma expérimental qui inclut une interrogation initiale, une procédure, des variables dépendantes et indépendantes, un résultat, une conclusion » (2011, p. 134).

Certes, dans sa trilogie, Zola expose explicitement ses idées et ses sentiments. En revanche, elle se base autant, voire même davantage, sur les vérités que ses œuvres antérieures. Cette réalité ne relève pas d'un passé récent comme celui de *L'histoire naturelle et sociale d'une famille sous le Second empire* ; tout au contraire, le temps du récit est presque le même que le temps de la rédaction. Zola y dépeint Lourdes et Rome selon ses notes de voyage. Quant à Paris, il parle d'une ville dont il devrait connaître tous les coins et recoins. Les notes préparatoires aussi attestent qu'il s'agit d'une vérité minutieuse.

Lourdes[1], ville de l'espoir ?

Avant d'écrire le premier roman du cycle, Zola fait deux voyages à Lourdes. En 1891 quand il s'y arrête en allant aux Pyrénées, il trouve « un admirable sujet », un « beau livre à faire » comme l'atteste une lettre envoyée à Henry Céard (Becker et al., 1993, p. 230). Alors, en 1892, il y va et reste deux semaines « par souci d'exactitude » (Gugelot, 2010, p. 214). En fait, avec des informations précises du dossier préparatoire, *Lourdes* est une « ressource documentaire indiscutable sur le fonctionnement des pèlerinages à la fin du XIXe siècle »; c'est un « roman naturaliste » avec les « documents humains » (El Kettani, 2013, pp. 150-151).

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[1] Nous avons déjà étudié *Lourdes* dans un article qui analyse la place de la femme dans l'univers religieux dominé par les hommes. Dans le présent travail, notre point de départ est l'optique d'un homme. En outre, quand le premier article aborde *Lourdes* dans son entité de roman, celui-ci l'étudie dans l'ensemble d'un cycle.

La structure de *Lourdes* (1894) est étrangement moderne avec la durée du déroulement de l'action principale. Tout se passe en cinq jours, voyage aller-retour, séjour et visites compris. Le roman comprend en même temps l'histoire de la vie de Bernadette, jeune visionnaire « porteuse d'une mémoire culturelle » (Ménard, 2012, p. 69). Vue et racontée de l'optique du protagoniste, porte-parole de Zola, cette histoire se présente comme un second roman dans le roman.

Lourdes est l'un des hauts lieux de pèlerinage dans le monde chrétien. En 1858, près d'une grotte, Bernadette aurait vu dix-huit apparitions mariales et entendu la Vierge se présenter comme l'Immaculée Conception. Elle devient une héroïne religieuse et un objet de curiosité, si bien qu'on décide de l'éloigner de Lourdes, non seulement pour la protéger mais aussi, selon Pierre, pour laisser la gloire aux pères de l'église chargés de la direction de la grotte. Elle meurt à l'âge de 35 ans dans un couvent à plus de 600 km du sanctuaire créé par ses visions.

Pierre Froment est le fils d'un savant qui meurt d'une explosion dans son laboratoire. Son frère aîné Guillaume, devenu chimiste comme son père, mène une vie indépendante tandis que Pierre, dont l'éducation est désormais aux mains d'une mère dévote, embrasse la carrière ecclésiastique.

De retour chez lui après cinq années passées au Séminaire, Pierre retrouve Marie qu'il aime depuis l'enfance. Au seuil de la puberté, Marie a été paralysée des jambes par suite de deux traumatismes, l'un physique, chute de cheval, l'autre psychologique, perte de sa mère. Si Marie est infirme, Pierre ne l'est pas moins : « Ils se trouvaient mais à quoi bon maintenant ? puisqu'elle était comme morte, et que lui allait mourir à la vie de ce monde » (Zola, 1894, p. 28).

Marie espère évoquer la compassion de la Sainte-Vierge en faisant le pèlerinage de Lourdes. Pierre l'accompagne pour plusieurs motifs, d'abord, par curiosité scientifique. Après la mort de sa mère, il avait fouillé dans le bureau de son père fermé à clé par celle-ci et trouvé des documents sur Lourdes contestant la crédibilité des apparitions mariales. En outre, Pierre n'est pas désespéré du rétablissement de Marie, car il a consulté un médecin qui la trouve apte à guérir ; la paralysie de la jeune fille serait d'origine nerveuse. Ainsi se manifeste la fameuse problématique de l'effet de la nature et du milieu. L'hérédité d'un père d'une imagination puérile et l'éducation austère d'une mère dévote, en contrepoint des circonstances -accident, puberté inachevée et deuil-

auraient contribué à créer chez Marie cette maladie. Enfin, Pierre cherche un autre miracle, son propre rétablissement, considérant son incroyance comme un mal à guérir. Devenu prêtre malgré lui, il tient à le rester. Il croit pouvoir secourir les misérables, apaiser leurs maux sous le toit de l'Église. Marie, son père et Pierre prennent le train consacré aux pèlerins.

Marie retrouve sa santé à Lourdes. Le miracle se manifeste comme prévu par le médecin : Ayant maintes fois répété les prières au cours de la procession, et vu quatre autres personnes miraculeusement guérir, Marie se tient « toute droite dans son chariot, chancelante, bégayante ». C'est aussi le moment où elle a sa première menstruation, « elle sentait jaillir d'elle la source de sang, la vie de la femme, de l'épouse et de la mère » (1894, pp. 405-406). Dans ce passage on reconnaît le Docteur Charcot qui, dans *La Foi qui guérit* explique les miracles avec le fait de faith-healing. Certes, si les sciences naturelles sont le domaine de Zola, les sciences sociales ne le sont pas moins. *Lourdes* est « tributaire d'un matériau ethnologique, celui des traditions, des légendes et des superstitions qui font croire aux miracles et attisent les imaginations » affirme Ménard (2012, p. 59). Elle ajoute que Zola « considère l'hallucination ou le rêve comme une empreinte culturelle qui renvoie à des invariants folkloriques tout autant qu'aux croyances chrétiennes » (2012, p. 68). Notons aussi que Zola, qui attache beaucoup d'importance à la force procréatrice de la femme est très visible dans cette scène dramatique

Pierre ne sera pas guéri de son mal ; tout au contraire. Devant la grotte, il essaie d'imiter les croyants qui prient sans cesse, avec passion et violence ; lui-même est « éperdu d'émotion ». Ensuite, « envahi d'une invincible répugnance » par les sanglots du prêtre gagnant la foule comme une « contagion », il s'éloigne (1894, p. 159). Rappelons que Zola, lui-même « assiste aux mouvements de dévotion, de piété naïve, de transe » lors du pèlerinage national qu'il accompagne (Gugelot, 2010, p. 214).

Bien qu'il soit heureux pour Marie, Pierre éprouve plus de malaise par la guérison de celle-ci : « Ce prétendu miracle qui la réveillait à la vie, venait d'achever en lui la ruine de toute croyance au surnaturel » (p. 430). Marie est à jamais perdue pour Pierre, elle est « très forte, très belle, et désirable, et féconde ». Elle est devenue femme. Or l'abbé est condamné à ne jamais être homme, à exister sous « la pierre tombale qui écrasait sa chair » (p. 431). En fait, on apprend plus tard que Marie fera vœu de chasteté comme son modèle Bernadette.

Pierre remarque, dans ses promenades, l'indigence des vieux quartiers, surtout de la maison de Bernadette. Il compare aussi l'ancienne église à la nouvelle. Selon lui, l'état de misère de la première provient d'une « ruine voulue » (p. 457). A l'amertume de l'incroyance et du regret d'amour, s'ajoute l'indignation que Pierre éprouve face à l'avidité des hommes. Comme l'auteur qui constate, lors de son séjour, les marques « de simonie et de vile commercialisation » (Gugelot, 2010, p. 214), son protagoniste sera témoin des millions laissés par les pèlerins, de l'exploitation de leur naïveté, du commerce basé sur le malheur de Bernadette, selon lui, victime de ses visions. Un ami, qui sert de guide à Pierre lors de sa visite de l'ancienne ville, accuse les pères de la Grotte d'avoir exilé la jeune voyante et persécuté le curé de Lourdes. Il paraît qu'ils ont laissé à l'oubli l'église restée inachevée après la mort de ce dernier par souci de concurrence. « Et la ville leur appartient, et ils y tiennent boutique, ils y vendent Dieu, en gros et en détail » (1894, p. 456). D'où peut-être la « brusque explosion de haine » (Le Blond-Zola, 2019, p. 224) provoquée par *Lourdes*. Dans sa dernière sortie, Pierre remarque la boutique du frère de Bernadette :

> Cela le chagrinait, le frère vendant la Sainte Vierge que la sœur avait vue. Mais il fallait bien vivre, et il croyait savoir que la famille de la voyante, à côté de la Basilique triomphale dans son resplendissement d'or, ne faisait pas fortune, tellement la concurrence était terrible. (p. 503)

Ce témoignage bouleversant lui inspire une idée qui revient pendant le voyage de retour : une religion nouvelle. Zola, qui reprend cette formule neuf fois dans l'épilogue (pp. 594-597) annonce aussi le thème de son prochain roman.

Rome, dernières illusions perdues

Dans ses *Notes* pour la rédaction de *Rome*, Zola se réfère à « l'effort du néo-catholicisme pour reprendre la direction du monde » (Le Blond-Zola, 2019, p. 222). Au retour de Lourdes, Pierre écrit un livre intitulé *La Nouvelle Rome*. Ce livre risque d'être mis à l'Index. Donc il fait un voyage à Rome pour être admis en audience privée avec le Pape Léon XIII dont il croit les idées semblables aux siennes. De même pour le *Lourdes* de Zola qui était mis à l'Index deux mois après sa parution. En fait, les travaux préparatoires montrent que Zola a eu l'intention de publier un roman sur Rome suivant *Lourdes*. « J'ai eu une brusque idée : faire deux volumes, l'un qui s'appelerait *Lourdes*, l'autre *Rome* » écrit-il (Lumbroso, 2016, p. 24). C'était au moment où Léon XIII s'affichait être contre les

politiques réactionnaires de son prédécesseur Pie IX. *Le Socialisme catholique* de Nitti où Jésus est dépeint « comme un utopiste au style 1848 » aurait inspiré à Zola le thème de *Rome*. Il l'a étudié en 1894 et en a fait un résumé qui serait le synopsis de *Rome* (Brown, 1997, p. 688).

D'ailleurs, l'auteur désirait visiter l'Italie, pays de son père. Comme Pierre, lui aussi a eu l'intention d'être reçu par le Pape. Il s'est fait présenter à l'Ambassadeur de France au Vatican qui était le cousin des Goncourt. L'ambassadeur a essayé d'arranger une entrevue, en vain (Brown, 1997, p. 692). Son protagoniste, qui croyait pouvoir voir le Saint-Père dans une semaine, doit attendre pendant des mois.

Si *Lourdes, Rome* et *Paris* « sont des titres de guide Michelin, des titres dignes de journaux de voyage » (El Kettani, 2013, p. 148), parmi tous les trois, c'est surtout *Rome* qui correspond le mieux à cette qualification. La lettre que Zola écrit à sa femme quand cette dernière est de nouveau à Rome l'année suivante, montre son intérêt pour les monuments romains. Il lui conseille de revisiter La Chapelle Sixtine qu'il considère comme une merveille du monde (Zola, 2014, p. 95). Quant à son protagoniste, il fait tantôt des promenades dans le centre ville, tantôt il visite la proche banlieue romaine. Dès son arrivée à Rome, Pierre fait une promenade en voiture et l'incipit du roman comprend des noms de lieux et de monuments touristiques, historiques, politiques, financiers et religieux : les thermes de Dioclétien, le Quirinal, la colonne Trajane, le Capitole, le Tibre, le Janicule, le Gesù... Il s'étonne, cependant, par les « pentes soudaines » et les « continuelles collines » (Zola, 1896, pp. 2-4). Zola aurait parcouru le même chemin ; d'où l'impression d'un récit personnel relatant une expérience vécue.

Cette promenade déclenche chez l'abbé un retour en arrière pour nous dévoiler son trajet spirituel et sentimental depuis Lourdes. Il a mené une vie recluse, « cœur sanglant », seul avec les « ruines de son amour et de sa foi » (1896, p. 7). S'il n'a pas sombré dans la mélancolie, c'est qu'il a fait connaissance d'un abbé qui avait créé un asile pour les indigents du quartier. Les deux années suivantes, il a travaillé avec acharnement pour secourir les misérables. Les premiers paragraphes de *Rome* comprennent donc plus de descriptions des espaces de Paris que ceux de Rome : « des maisons sordides, des ruelles entières de masures sans jour, sans air ». Ces images sont à fendre l'âme : « Des tout-petits tombés à la rue », « un mort de faim qu'on oublie pendant une semaine », « une mère qui se suicide avec ses enfants » (p. 11).

Telles étaient les conditions dans lesquelles Pierre a commencé *La Rome Nouvelle* où il parle d'un monde d'équité et de justice. La religion nouvelle exclut les superstitions pour retrouver « le christianisme redevenant la religion de justice et de vérité qu'il était, avant de s'être laissé conquérir par les riches et les puissants » (p. 23).

Si Zola fait recevoir son abbé dans les salons de la haute société romaine, lui aussi a assisté à d'innombrables réceptions données en son honneur. Il a été même reçu par le roi qui semblait manifester un grand intérêt à propos de ses études sur la ville. En fait, Zola a été tellement célèbre que tout ce qu'il faisait en Italie trouvait de l'écho dans les presses italienne et française. Le Blond-Zola écrit à ce propos, et non sans amertume : « L'éclat de cette triomphale visite réjouit même certains chauvins » en citant Barrès, écrivain et député nationaliste connu pour son hostilité envers Zola (2019, p. 225). Tout le monde n'était pas du même avis. Goyau écrit, d'un ton indigné que « Zola regarda Rome et quelques journalistes le regardèrent ». Au dire de ce dernier, tout ce que Zola a écrit sur Rome ne provenait pas de ses observations ; il s'agissait d'informations « achetées par des pourboires », des « ouï-dire », des « histoires sur la puissance des Jésuites » (1902, pp. 5-6, 9). Zola, conscient de l'aigreur que son roman évoquera, écrit, en novembre 1895, à sa femme qui est en Italie : « donne-t'en, de Rome, par-dessus la tête, car je crois bien que la publication de mon livre va nous en fermer la porte à jamais » (Zola, 2014, p. 83).

Pierre, tout en espérant de défendre son livre à Rome, y passe assez de temps pour connaître la ville et ses habitants. Témoin des passions et des intrigues, il remarque le combat acharné des cardinaux aspirant au trône papal ainsi que la lutte entre la bourgeoisie ascendante et l'aristocratie décadente de Rome. En promeneur pensif, Pierre visite les monuments, contemple des vestiges antiques et des édifices chrétiens. Les tours de ville lui permettent de comparer les empereurs romains et les chefs chrétiens. On ne pardonne pas à Zola cette comparaison ; il est blâmé d'avoir rapproché « les ambitions des Césars et celles des papes » pour prouver « la défaite de Jésus par le paganisme » (Goyau, 1902, p. 20). Ce n'est pas seulement les catholiques qui réprouvent *Rome*, certains l'accusent de plagiat. En revanche, il y a des hommes de lettres qui l'admirent, surtout les descriptions urbaines. Citons deux poètes : François Coppée considère *Rome* comme le « chef d'œuvre » de Zola « du point de vue descriptif » ; pour Mallarmé, « le nom de Rome ne peut plus ne pas évoquer Zola » (Le Blond-Zola, 2019, pp. 227-228).

Les promenades de Pierre lui dévoilent la transformation de Rome ; on construit des édifices modernes tandis que les habitants natifs sont durement expulsés de

leurs quartiers, réduits à la pauvreté par la rénovation urbaine. En fait, « cette abominable injustice sociale qui condamne le plus grand nombre à une existence de bêtes maudites, sans joie, sans pain » (1896, p. 353) est trop grande pour être seulement l'œuvre des constructeurs. Il entend dire que le clergé était d'accord avec la bourgeoisie, et même le Souverain Pontif pour faire travailler son argent. Ce jeu de spéculations a abouti à une catastrophe estimée à une perte d'une quinzaine de millions (pp. 343-344). Par ailleurs, en visite chez les Boccanera, une famille de l'ancienne aristocratie dont le chef est un cardinal puissant, il fait la connaissance des invités du Palais et des membres du haut clergé. Ceux qui vénèrent le Pape sont ironiquement ceux qui suivent de près les nouvelles de sa santé, pour pouvoir agir à temps au cas de son décès : « (…) le pape ne peut plus avoir un rhume, sans que tout le Sacré Collège et la prélature soient en l'air, bouleversés par la brusque bataille des ambitions » (p. 442).

Cette rivalité entre les cardinaux, accompagnée d'un amour passionné constituent la trame principale de l'œuvre. Pierre assiste à des intrigues dignes d'un roman d'aventures : passions, honneur, jalousie, vengeance, attentat, empoisonnement… Dario, neveu du Cardinal Boccanera, agonise après avoir mangé des figues empoisonnées destinées à son oncle. Sa cousine Benedetta, qui l'aime passionnément et qui attend la cassation de son mariage afin de l'épouser, fait l'amour avec le moribond pour s'unir dans la mort. Le fait que la fin tragique du neveu et de la nièce du Cardinal, qui s'aiment à la folie laisse cette famille sans progéniture, signifie aussi l'écroulement inévitable du monde ancien. C'est cette tragédie provoquée par le « poison des Borgia qui symbolise la fin de l'aristocratie romaine » (Becker et al., 1993, p. 371).

Pierre est enfin reçu par le Pape qui se montre indigné contre « le plus dangereux et le plus condamnable des livres » (1896, p. 629) et qui lui apprend sa mise à l'Index. Le cardinal, lui aussi exprime son « horreur de tout ce songe-creux d'une religion nouvelle ! de cet appel aux plus laides passions qui soulève les pauvres contre les riches » (p. 688). Pierre réprouve son livre non seulement pour satisfaire le Vatican mais aussi pour trouver une nouvelle inspiration. Il se rend compte de la vanité de la charité et la remplace par la justice :

> La charité n'avait fait qu'éterniser la misère, la justice la guérirait peut-être. C'était de justice que les misérables avaient faim, un acte de justice pouvait seul balayer l'ancien monde, pour reconstruire le nouveau. (p. 744)

Paris, désespoir et espoir

Si l'on doit résumer *Paris* en une phrase, on peut le faire en reprenant la formule qui se trouve dans l'épilogue de *Rome* : c'est le roman de ceux qui aspirent à « balayer l'ancien monde pour reconstruire le nouveau ». En bon prélude à *Travail*, roman de la tétralogie des *Évangiles*, *Paris* comprend l'énumération des théories sociales et socialistes, y compris libertaires. Il est compréhensible que l'auteur, qui déclare dans *Le Gaulois* que « tout l'avenir est contenu dans ce mot de socialisme » (Mitterand, 2012, p. 566), en dresse un bilan dans son roman. C'est peut-être la raison pour laquelle *Paris*, même lors de sa parution en feuilleton, a attiré l'attention des hommes politiques. Zola écrit à sa femme en novembre 1897, qu'un député l'a prié de se porter candidat aux législatives (2014, p. 223). « Tous les socialistes chimériques, tous les rêveurs qui lisent *Paris* m'écrivent, me proposent des systèmes pour guérir l'humanité de sa misère en six mois » affirme-t-il dans une autre lettre (p. 230).

En fait, Zola divise Paris en quatre parties dans le roman. Mais comme dans *Lourdes* et *Rome*, dans *Paris* aussi il y a surtout deux villes antagonistes. De l'optique de Pierre depuis la Butte Montmartre, l'est, avec ses « quartiers de misère et de travail » et « le souffle des chantiers et des usines », est l'antithèse de l'ouest, de ces « quartiers de richesse et de jouissance » (Zola, 1898, p. 1). Également, dans ce dernier roman du cycle, la rénovation urbaine est une source de contraste et un indicateur de l'injustice sociale.

> De hautes et bourgeoises maisons se dressaient déjà, au milieu des jardins éventrés (…) avec leurs façades cossues d'une blancheur neuve, elles ne faisaient que rendre plus sombres, plus lépreuses, les vieilles bâtisses branlantes restées debout. (p. 12)

Une autre opposition se voit entre les deux frères. Malgré la perte de sa foi, Pierre n'est pas complètement émancipé du traditionalisme d'un prêtre. Il essaie d'éviter son frère ainé dont il n'approuve pas le train de vie. Guillaume est un chimiste illustre et un intellectuel de gauche soupçonné d'avoir des liens avec les anarchistes. Resté veuf de bonne heure, il vit à Montmartre isolé du monde avec ses trois fils, sa belle-mère Madame Leroi et une jeune fille, Marie qu'il avait adoptée. On les soupçonne d'avoir une liaison ; d'où leur projet de mariage.

L'abbé qui considère la charité « dérisoire » et « inutile » (1898, p. 6) ne peut pas complètement s'en passer et visite la baronne Duvillard pour l'implorer d'installer un vieillard dans un asile. Or, la baronne n'a aucun autre souci que de ne pas manquer son rendez-vous avec son jeune amant, son futur gendre. Le passage résumant l'histoire de l'enrichissement des Duvillard, dresse aussi un bilan de l'augmentation de la fortune de la bourgeoisie en cent ans. Le grand-père s'enrichit grâce à la Révolution, « dans l'agio sur les biens nationaux », puis avec Napoléon comme « fournisseur des armées impériales ». Le père, anobli par Louis-Philippe fait fortune « par ses gains scandaleux sous la monarchie de juillet et sous le second Empire, dans tous les vols célèbres des spéculations, les mines, les chemins de fer, Suez ». Enfin le fils, « acheteur des consciences à vendre » s'enrichit davantage sous la Troisième République (pp. 27-28).

Les déplacements de Pierre entre les deux Paris lui font remarquer de plus en plus l'abîme qui sépare la ville des bourgeois de celle des pauvres; et il se révolte davantage contre l'injustice sociale opposant l'hôtel des Duvillard « fleuri des fleurs les plus rares », avec ses « pièces somptueuses » devenues « des serres tièdes et odorantes » à « l'abominable odeur » qui s'exhale du « lac de fange immonde »; et le « fauteuil de satin bleu, lamé d'argent » de la baronne Duvillard à la « pièce nue et sans feu » où vivent des ouvriers chômeurs comme Salvat (pp. 12, 15, 27).

Ce dernier, gagné par la vague anarchiste, effectue un attentat à la bombe, acte de propagande par le fait contre l'hôtel des Duvillard. La seule victime de l'explosion est une jeune ouvrière, une apprentie modiste qui est là pour apporter à la baronne son nouveau chapeau : « étalée sur le dos, la jeune fille, le petit trottin blond et joli gisait, le ventre ouvert, avec son fin visage intact » (p. 121). En fait Zola, qui qualifie l'anarchie de « rêve noir des démolisseurs » en 1892, énonce qu'elle « durera autant que le mal » (Mitterand, 2012, p. 18).

Guillaume, voulant empêcher Salvat, est blessé au poignet par les éclats. On parle de l'Affaire des Chemins de fer d'Afrique et de l'éventuelle chute du ministère ; cette bombe, pour les Parisiens, est un remède contre les bruits de ce scandale. Pierre, tout en essayant de secourir son frère, entend dire un passant à un autre : « Le ministère, ah bien ! voilà une bombe qui le raccommode ! » (1898, p. 122). En fait c'est l'époque, d'une part, des attentats anarchistes, d'autre part d'un scandale financier. L'Affaire des Chemins de fer est une transposition du scandale de Panama, c'est la même histoire de corruption des députés et de la presse (Noiray, 2000, pp. 205-206).

Cette tragédie où le nom de Guillaume risque d'être compromis rapproche les deux frères. Pierre l'accueille dans sa maison et connaît de près plusieurs personnages qui visitent Guillaume et discutent entre eux. Ainsi défilent, « comme une galerie des personnages caricaturaux » aux dires de Noiray (2000, p. 207), des adeptes des différentes idéologies du siècle : saint-simoniens, fouriéristes, proudhoniens, positivistes scientifiques - condamnant le Comte des dernières années devenu mystique-, collectivistes marxistes, anarchistes… Bien que tous représentent des idées sociales, ceux-ci suivent « d'adverses doctrines » (1898, p. 140). Toutes ces figures fictives ont, pour modèles, des personnages réels, à l'instar du savant Berthelot et du fondateur du parti ouvrier français, Jules Guesde. En outre, les journalistes Hébrard et Drumont sont représentés dans le roman. De même pour les anarchistes Vaillant et Émile Henry qui deviennent Salvat et Victor Mathis (Noiray, 2000, pp. 205-207).

Guillaume est l'inventeur d'un explosif dont il veut donner la formule au gouvernement pour que la France soit garante de la paix mondiale. Révolté contre l'injustice dont il est témoin, surtout après avoir assisté à l'exécution de Salvat, il tente de faire sauter le Sacré-Cœur par un attentat suicide dans un moment de folie, empêché heureusement par Pierre. La veille de cet événement où les deux frères se rendaient au lieu de l'exécution, Guillaume exprime son ressentiment envers la Basilique : « Paris couronné, dominé par ce temple idolâtre, bâti à la glorification de l'absurde[2] » (1898, p. 480). Butor explique la présence du Sacré-Cœur comme l'unique monument dans le roman en raison de la haine que Zola porte à son égard, car il représente pour lui, comme pour ses protagonistes, le règne de l'iniquité sociale (1989).

C'est encore cette nuit où marche Pierre jusqu'à l'aube, en accompagnant Guillaume d'un bout de la ville à l'autre, que sont peints, tour à tour, les quartiers miséreux et riches. Les images qui évoquent la pitié et l'horreur à la fois, « toute la vase des bas-fond » remontant à la surface, « la basse prostitution en quête d'un grabat », les « meurt-de-faim », un vieillard dont « les pieds nus », « une fille en loques » (1898, pp. 482) lui font penser à Salvat qui sera guillotiné dans quelques heures, mais aussi à l'échafaud dressé comme un symbole de l'iniquité sociale :

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2   Le Sacré-Cœur est généralement censé être construit pour fêter la défaite de la Commune, et selon certains comme Zola, pour condamner même la Révolution de 1789. Aujourd'hui encore, il est sujet à controverse lorsqu'il s'agit de son classement aux Monuments historiques. Dans *L'Humanité* du 20 octobre 2020, Soucheyré reprend les propos de Guillaume. Voir aussi *Le journal de l'histoire* du 9 novembre 2020 sur *France Culture* et *Libération* du 4 novembre 2020.

> Et quels spectres d'absolu dénuement, quelles apparitions de douleur et d'effroi, quel gémissement de lointaine agonie, dans le Paris de ce matin-là, où l'on devait, à l'aube, guillotiner un homme, un de ceux-là, un pauvre et un souffrant ! (p. 482)

Si l'auteur évoque la « répulsion » que ses protagonistes éprouvent devant l'exécution de Salvat et dépeint cette scène avec horreur, c'est qu'il est un « ennemi déclaré de la peine de mort » comme l'atteste le *Dictionnaire d'Émile Zola*. Les premières traces de son aversion pour la peine capitale se trouvent dans une lettre envoyée à un ami en 1860. En s'inspirant du *Dernier jour d'un condamné* de Victor Hugo, le jeune homme considère ce châtiment comme « un aveu d'impuissance, de cruauté et de paresse ». Sa réprobation de cette peine s'affiche dans les articles qu'il publie en 1869 et en 1889 en tant que journaliste établi et romancier renommé (Becker et.al., 1993, p. 312).

Cette longue marche dévoile aussi la vie nocturne des riches oisifs des grands boulevards, l'insouciance des messieurs « allumant des cigares », et la joie des dames « en grande toilette, en manteau de bal » (1898, p. 483), contrastant avec la souffrance des pauvres.

Les déplacements que l'abbé effectue dans Paris le dépriment davantage. Enfin, grâce au sentiment d'être utile chez Guillaume, Pierre sort de sa tristesse profonde. Son « salut » se réalise quand il vit « non plus au service de l'Église, mais tout simplement au service de l'homme, par le biais d'une vie modeste, laborieuse et fertile » (Cook-Gailloud, 2011, p. 140).

Certes, l'exemple d'un savant et de ses fils laborieux destinés aux métiers d'enseignant, de savant et d'artiste respectivement, le rend heureux. Ce sont surtout deux femmes de cette maison qui l'aident dans son émancipation. Pour Madame Leroi, une femme puissante et intelligente que tout le monde vénère et appelle Mère-Grand, selon les propos de Noiray : C'est une « petite république » où la « science » est le « dogme », le « travail » est la « règle », et « l'autorité » est la « Mère-Grand » (2000, p. 219). Quant à Marie, elle lui propose d'enlever sa soutane quand il aide ses neveux dans leurs travaux, et grâce à elle, Pierre quittera son habit de prêtre pour toujours. Il fait une promenade en bicyclette avec Marie, cette jeune fille qui est allée au lycée et qui incarne « l'émancipation de la femme par la bicyclette » et par le pantalon (1898, p. 418). Ils s'aiment sans oser se l'avouer. Enfin, Madame Leroi fait comprendre que ce sont Pierre et

Marie qui doivent se marier. Comme Cook-Gailloud le note, l'épilogue du roman annonce *Les Quatre Évangiles* « en parsemant les mots fécondité, travail, justice et vérité » (2011, p. 144). Enfin, Pierre et Marie auront leur premier enfant, Jean[3], qui profitera de « la moisson future de vérité et de justice » (p. 608). Quoique le cycle soit plein d'obscurité et de tristesse, il s'achève sur une note d'espoir et de bonheur.

Conclusion

La trilogie basée sur les voyages et les promenades de Pierre reflète les images des villes telles qu'elles sont vues par Zola. Chaque roman raconte en fait deux villes entièrement opposées, séparées par le conflit de classes. Pierre saisit que cet antagonisme s'accroît davantage par le pouvoir des puissants, qu'ils soient des univers financier, politique ou spirituel. Il se rend compte aussi que la rénovation urbaine effectuée au détriment de l'environnement et des habitants est une autre source de l'iniquité.

Il s'agit non seulement des déplacements que le protagoniste effectue entre et dans les trois villes, mais aussi du trajet spirituel, intellectuel et sentimental qu'il traverse dans sa vie intérieure. Ce voyage pénible, mais définitivement porteur d'espoir, est marqué par les présences féminines que le prêtre croise sur sa voie. Débutant par *Lourdes*, roman dans lequel une Marie adorée se voue au culte de la Vierge, passant par *Rome* où Pierre essaie de défendre son livre contre l'Index, son parcours s'achève en émancipation et bonheur -malgré les malheurs et les misères- dans *Paris* avec une autre Marie qui deviendra sa femme. Devenu prêtre pour satisfaire sa mère, Pierre s'émancipera grâce à deux femmes indépendantes d'esprit. S'il ne peut pas soigner tous les maux pendant ses voyages entre trois villes et ses va-et-vient entre deux pôles urbains, Pierre aura, du moins, renoncé à la double vie de prêtre agnostique qu'il mène juste pour pouvoir panser quelque blessure sociale.

Ces voyages annoncent aussi le futur créateur des *Quatre Évangiles*, un Zola plus ou moins différent de celui des *Rougon-Macquart*. Toutefois, même s'il y affiche ses idées plus explicitement que dans ses œuvres précédentes, le Troisième Zola n'est pas moins important que le Deuxième Zola. C'est le même auteur qui s'appuie sur « les documents humains » (El Kettani, 2013, p. 151). C'est le même romancier expérimental qui soumet son personnage « à une véritable procédure expérimentale » (Cook-Gailloud,

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3   Si Zola avait pu achever *Justice*, restée à l'état d'ébauche, Jean aurait été son protagoniste. Chacun des romans du cycle des *Évangiles* a, pour personnage principal, un fils Froment.

2011, p. 134). C'est le même peintre des paysages urbains que Mallarmé appelle « romancier poète » (Le Blond-Zola, 2019, p. 227).

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Emotion en tant que sensation et sentiment dans *La Peur* de Maupassant

Emotion as Sensation and Feeling in Maupassant's *La Peur*

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RÉSUMÉ

La présence de l'argumentation n'est pas exclusive aux textes non-fictifs. Tout au contraire, elle est incluse dans la narration depuis la nuit des temps. De point de vue anthropologique, les sociétés primitives imposaient les interdictions et les lois sociales par l'intermédiaire des discours narratifs -tels que les mythes- afin d'éviter les crises possibles au sein de la société et d'assurer la survie de l'*homo sapiens sapiens*. Partant de cet aspect narratif de l'argumentation, il serait adéquat de supposer que le discours littéraire pourrait constituer une réalité argumentative. Ladite supposition est à vérifier à l'aide de cet article qui vise à découvrir la manière dont un personnage littéraire intratextuel touche son lecteur extratextuel en construisant un ethos discursif dans les limites de l'argumentation. Dans *La Peur* de Guy de Maupassant, multiples locuteurs discutent sur le sens véritable de l'émotion de la peur : en effet, on y argumente dessus. L'ethos construit par le personnage du conteur et son expression de l'émotion servent à révéler comment la peur peut se métamorphoser en différents états tels que la sensation et le sentiment de manière à rendre légitime le conteur. En conclusion, l'article adopte en tant que méthodologie l'analyse des procédés narratifs, énonciatifs et discursifs afin de dégager la dimension et la puissance argumentatives d'un texte littéraire.

Mots-clés: Argumentation, émotion, sensation, sentiment, ethos

ABSTRACT

The argumentation process is not exclusive to non-fictional texts. On the contrary, it has coexisted with narrative since the early stages of human history. From an anthropological point of view, primitive societies imposed social prohibitions and laws through narrative discourses - such as myths - to avoid a possible crisis within society and to ensure homo sapiens survival. In considering the narrative aspect of the argument, it would be appropriate to assume that literary discourse can constitute a certain argumentative reality. This article seeks to discover and verify the way a character affects its extratextual reader through the argumentation process. In Guy de Maupassant's *La Peur*, a group of soldiers discuss the true meaning of the emotion of fear: indeed, they argue about it. The ethos constructed by the storytelling character and his way of expressing his emotions leads us to discover how fear's literary expression can metamorphose into different states, like sensation and feeling, for the sake of making the storyteller legitimate in his discourse. The methodology of this article is based on narrative, enunciative and discursive analyzes to identify the argumentative reality in Maupassant's *La Peur*.

Keywords: Argumentation, emotion, sensation, feeling, ethos

EXTENDED ABSTRACT

According to Alain Rabatel, the argumentation process is far from being limited to neutral reasoning which banishes the speaker's passions. On the contrary, argumentation, and narration only make sense in relation to each other. According to anthropological studies, before narration became the literary domain's aesthetical object, it answered the purpose of avoiding crises endangering *homo sapiens* survival. Communication in a primitive society is achieved first by the narrativization of certain social laws - such as myths - which make explicit the prohibitions within a society. In this context, this article proposes to analyze the argumentative side of literary texts. In our case, the literary character's personality, attitude, posture, and feelings are manifested through the narration process. At this point, the ethos,known as the identity constructed through discourse, has a crucial weight in the argumentation process in the narrative context. To examine the argumentative process through which a speaker conveys his emotion of fear, this article will study *La Peur*, one of the short stories of Maupassant, who is renowned for his writings in the fantastic genre. In this short story, a group of soldiers, a commander and a storyteller discuss the concept of fear. The story's plot is based on a discussion of semantics. In the discussion, the commander claims that he experienced fear when his ship ran onto the rocks. The storyteller disagrees with the commanders meaning of fear by stating that fear is real when it becomes a physical sensation or a lasting feeling. Therefore, he establishes his ethos by maintaining himself as a person who has real experiences about this very emotion.

It seems useful to introduce the notions of emotion, sensation, and feeling at this time. Emotion is considered an involuntary behavior experienced simultaneously in the body. In other words, it is a brief response to an external stimulus whereas sensation is a phenomenon by which physiological stimulation provokes a specific physiological reaction. Feeling, on the other hand, settles over a certain period. It is a complex emotional state, fairly stable and lasting depending on the genetic, cultural, and intellectual background of the individual.

In *La Peur*, the storyteller establishes for himself a brave ethos built by war, condemnation, and torture sequences through the instrument of grammatical tenses such as imperfect and conditional, and the connector "but". His argumentative steps try to prove that fear is hard to forget once you feel it. This unforgettable aspect of fear turns into a long-term feeling, therefore, contributes to the establishment of the

storyteller's ethos. He tells two anecdotes that he uses to illustrate fear's development in his mind. His first anecdote takes place in Africa, in a wide-reaching desert. After a violent windstorm, followed by a mysterious drum sound, his companion falls off his horse and dies. The storyteller sees this event as the moment when he understands what it is like to be afraid and feel multiple sensations. But according to him, fear is something greater than that, which is why he introduces a second anecdote referring to the night of the second anniversary of a murder committed by an old man. Accompanied by a disastrous rain, the storyteller goes to an old forest guard's family house for dinner.

The living room is dark, family members act awkwardly, and the haunted-looking family dog is possessed by the fear that surrounds them. The storyteller indicates that the fear is now a stable feeling that manifests on each anniversary of the murder as this family has experienced it the very first time.

In conclusion, because the final reaction of the storyteller's interlocutor doesn't appear at the end of the story, it seems possible that Maupassant wants the final reaction to belong to his reader. When the ethos established by the passions' argumentation affects readers, the story opens itself to its public with an emotional and emphatic aspect. Therefore, literary discourse ends by going beyond the framework of the imaginary to create a certain reality where reason and passion break the boundaries holding them apart.

Introduction

« L'argumentation est loin de se limiter à des raisonnements froids qui doivent bannir la subjectivité du locuteur et ses passions » (Rabatel, 2004, p. 7) affirme Alain Rabatel pour souligner que l'acte d'argumenter n'est pas strictement propre aux textes objectifs, scientifiques ou non-fictifs. La persuasion n'est pas spécifique aux affaires juridiques, aux discussions politiques, aux doctrines scientifiques ou aux débats concernant les différents domaines des sciences humaines. Tout au contraire, il se manifeste comme un outil verbal auquel toute sorte de texte et de discours recourt indispensablement. En effet, l'argumentation et la narration, qui, dans un premier temps, nous donnent l'impression d'être deux pôles, « n'ont de sens que l'un par rapport à l'autre, tant d'un point de vue linguistique que d'un point de vue anthropologique » (Rabatel, 2004, p. 10). Avant que la narration ne devienne objet esthétique du domaine littéraire, elle servait à « éviter les crises mettant en danger la survie » (Rabatel, 2004, p. 10) de l'*homo sapiens sapiens*. Selon les travaux de Victorri et de Danblon, « la fonction narrative du langage joue donc un rôle capital dans l'expression des lois sociales qui suppléent, chez l'homme, aux inhibitions instinctives » (Victorri, 2002, p. 121). En d'autres termes, la communication dans une société primitive se réalise tout d'abord par la narrativisation de certaines lois sociales qui explicitent les interdictions au sein d'une société. Il est à noter que les exemples les plus marquants concernant la narrativisation desdites lois sociales sont les mythes : ces derniers sont « le[s] récit[s] que les gens croient » (Leavitt, 2005, p. 7). Elles sont préoccupées, en effet, par des enjeux tels que les classes sociales, les guerres et les lois civiles. C'est dans ce cadre qu'intervient la nécessité d'analyser le côté argumentatif des textes littéraires. La majorité de ces derniers prennent au centre de leur préoccupation le personnage : la personnalité, l'attitude, la posture, les sentiments du personnage se manifestent par le biais de l'intrigue narrée. Du point de vue discursif, il est très probable que le personnage devient le locuteur tout en possédant le pouvoir de construire un certain discours dans une partie ou, parfois, tout au long de la narration. Sur ce point, ajoute Rabatel que l'ethos, l'identité construite par l'intermédiaire du discours, dont l'importance est accordée en premier lieu par Aristote dans *La Rhétorique* (1991), a un poids crucial dans la forme d'argumentation en contexte narratif. En effet, Dominique Maingueneau emprunte l'ethos à la rhétorique aristotélienne pour la première fois et l'intègre dans sa théorie de l'analyse du discours (Amossy, 2010, p. 21). Ayant un point de vue parallèle à Rabatel et à Maingueneau, Ruth Amossy révèle que « l'ethos peut être étendu à toutes les pratiques écrites – qu'il s'agisse d'un texte administratif, politique, publicitaire ou

littéraire » (Amossy, 2010, p. 9). Elle ajoute qu'agir sur un public exige non seulement d'avoir les arguments solides *(logos)* et d'avoir une influence affective sur le public *(pathos)*, mais aussi de donner l'impression d'avoir une image de soi « susceptible d'inspirer confiance » (Amossy, 2010, p. 9). Il est à noter que chaque locuteur a d'abord un ethos préalable avant de commencer à construire une image de soi. Amossy le définit comme « l'ensemble des données dont on dispose sur le locuteur au moment de sa présentation de soi » (2010, p. 45). En bref, il s'agit de l'état prédiscursif d'un locuteur. Une multitude d'aspects tels que la réputation individuelle, le métier, l'apparence physique, l'âge ou le statut social du locuteur peuvent constituer l'ethos préalable. Comme son nom le suggère, l'ethos préalable se métamorphose pendant le discours puisque « la parole vivante (qu'elle soit orale ou écrite) a la capacité d'infléchir ce qu'on sait et pense du locuteur » (Amossy, 2010, p. 53). L'ethos en question devient, dans ce cas, « retravaillé » au profit de la lutte de légitimité de la parole.

Le terme d'ethos, renvoyant au « caractère » en grec, correspond à l'instrument le plus indispensable du processus de la persuasion. Aristote explicite clairement dans *La Rhétorique* que :

> On persuade par le caractère, quand le discours est de nature à rendre l'orateur digne de foi, car les honnêtes gens nous inspirent confiance plus grande et plus prompte sur toutes les questions en général, et confiance entière sur celles qui ne comportent point de certitude, et laissent une place au doute. […] C'est le caractère qui, peut-on dire, constitue presque la plus efficace des preuves. (Aristote, 1991, pp. 22-23)

A partir de la réflexion d'Aristote, nous considérons que c'est la crédibilité du locuteur qui assure le degré de réussite de persuasion du discours. Puisque chaque locuteur construit son propre ethos, nous pouvons en déduire que chaque ethos construit nous mène à un nouveau point de vue construit, ce qui nous renvoie à l'enjeu de la subjectivité du discours. Si le discours est un phénomène subjectif, il est ouvert à toute sorte de raisonnement subjectif, voire émotionnel.

Émotion, sensation et sentiment

Selon Hekmat, Micheli et Rabatel, « les théories de l'argumentation les plus récentes ajoutent l'idée que l'émotion peut être également elle-même l'objet de l'argumentation »

(Hekmat, Micheli, Rabatel, 2013, p. 7). Autrement dit, l'émotion et les notions dérivés de l'émotion telles que la sensation et le sentiment peuvent être utiles pour la construction de l'identité discursive. C'est parce que les émotions ne sont pas censées d'être considérées comme simples produits des pulsions ou réponses biochimiques. Au contraire, elles doivent être examinées en tant qu'éléments préliminaires de la cohésion sociale puisqu'elles sont partagées également par les autres membres de la société. « Etant signe de reconnaissance pour les membres d'un groupe, [les émotions] reposent sur un jugement collectif qui s'institue en une sorte de règle morale » (Charaudeau, 2000, p. 2) une fois qu'elles soient manifestées. Dans ce cas, il n'y aurait aucune raison pour que lesdites émotions -étant signes de reconnaissance pour le public- ne contribuent à assurer la crédibilité du locuteur au sein d'un groupe. Elles pourraient contribuer à la construction d'un ethos centré sur une émotion spécifique qui opte pour la persuasion de son public visé. Alors, nous en déduisons que si la manifestation de l'émotion l'emporte sur les autres aspects d'un texte littéraire, il y aurait une grande probabilité qu'un ethos discursif soit en train d'être construit au profit d'une certaine volonté de persuasion.

Dans cet article, nous étudierons l'une des nouvelles intitulée *La Peur* de Maupassant, auteur réputé par ses écrits de genre fantastique, afin d'examiner le procédé argumentatif par lequel le locuteur transmet l'émotion qu'il ressent. Dans cette nouvelle, il s'agit de deux locuteurs -que nous nommons L1 et L2 pour l'exemple suivant- qui parlent de ce que c'est la peur. Suite à la narration du premier (L1), le commandant d'un navire, le second (L2) prétend qu'il connaît mieux la notion de peur et raconte une de ses expériences importantes en la matière :

> [L1 (commandant) :] Oui, j'ai eu peur ce jour-là. Mon navire est resté six heures avec ce rocher dans le ventre, battu par la mer. Heureusement que nous avons été recueillis, vers le soir, par un charbonnier anglais qui nous aperçut.
> [L2 (homme à figure brûlée) :] Vous dites, commandant, que vous avez eu peur ; je n'en crois rien. Vous vous trompez sur le mot et sur la sensation que vous avez éprouvée. Un homme énergique n'a jamais peur en face du danger pressant. Il est ému, agité, anxieux ; mais la peur, c'est autre chose. (Maupassant, 2005, p. 41)

Tout au long du récit, nous verrons qu'en assurant sa crédibilité devant L1 et les autres membres du groupe, L2 sert des nuances notionnelles et sémantiques entre les

définitions des réactions subjectives de l'être humain. C'est la manière dont il construit son ethos en scène littéraire en insistant sur une émotion vraie qu'est la peur qui sera l'objet de notre étude. Il nous parait crucial, donc, d'observer de quelle manière la peur cesse d'être uniquement momentanée et se transforme en réaction physique jusqu'à ce qu'elle se transforme à un sentiment durable dans le discours de L2.

La psychologie tente de comprendre et d'analyser les émotions et ses dérivés tandis que la linguistique étudie ses manifestations verbales, car l'esprit humain exprime l'affectivité à l'aide de plusieurs termes. Notre démarche nécessite tout d'abord les définitions de trois termes du domaine subjectif que nous avons récupérés du texte n'étant autre que l'émotion, la sensation et le sentiment. Afin d'atteindre à notre but, nous adoptons les définitions du dictionnaire du français intitulé *Centre National de Ressources Textuelles et Lexicales* (CNRTL) où la notion d'émotion est considérée comme une « conduite réactive, réflexe, involontaire vécue simultanément au niveau du corps d'une manière plus ou moins violente et affectivement sur le mode du plaisir ou de la douleur » (CNRTL, 2005). Quant à la sensation, il s'agit d'un « phénomène par lequel une stimulation physiologique (externe ou interne) provoque, chez un être vivant et conscient, une réaction spécifique produisant une perception ; état provoqué par ce phénomène » (CNRTL, 2005). Selon les définitions données, l'émotion est associée à une « réponse brève à un stimulus extérieur » (Debat, 2019). Elle semble être instinctive et plutôt chimique. Au contraire, la sensation se manifeste par la réaction physique lorsqu'une émotion envahit le corps. A titre d'exemple, l'émotion de peur peut provoquer, chez un être humain quelconque, une série de sensations telles que l'accélération cardiaque, le froid, le chair de poule, les mains moites, la pâleur, etc. Dans ce cas, la sensation ne se manifeste qu'à la présence d'une émotion. Quant à la notion de sentiment, il s'installe durant un certain intervalle de temps. Il est plutôt un « état affectif complexe, assez stable et durable, composé d'éléments intellectuels, émotifs ou moraux, et qui concerne soit le « moi » (orgueil, jalousie...) soit autrui (amour, envie, haine...) » (CNRTL, 2005). Le sentiment se réfère plutôt à la stabilité, voire à un certain état de conscience ou un ressentiment durable. Donc, il serait possible de présupposer que par rapport au bagage génétique, culturel et intellectuel et au système de valeur de l'individu en question, les émotions puissent se transformer en sentiments plus ou moins persistants. Autrement dit, l'état de la peur dépend de l'individu concerné, c'est pourquoi elle peut se manifester en tant qu'émotion, sensation ou sentiment. A partir de ces définitions, nous visons à analyser le processus de la construction d'ethos en scène littéraire et la contribution ainsi que le reflet desdites notions dans ce processus.

Coordonnées narratives : construction de l'Ethos

Nous avons précisé dans l'introduction que chaque locuteur qui construit son propre ethos construit donc un nouveau point de vue et qu'il s'agit de la subjectivité du discours. Nous avons en déduit que la subjectivité en question pourrait facilement mettre l'émotion au centre du discours argumentatif. En effet, l'une des premières marques de l'émotion dans un discours serait naturellement le lexique approprié à ce champ. Sur ce point, Maupassant présente une variété de mots indiquant la subjectivité émotionnelle : « émotion », « sensation », « peur », « tranquille », « étrange », « ému », « agité », « anxieux », « effroyable », « atroce », « angoisse » ne sont que quelques exemples tirés de tout au début de la nouvelle (2005). Ensuite, le pronom personnel « je » qui évoque « la présence énonciative du locuteur » (Elouni, 2018, p. 75) consolide le caractère individuel et subjectif du discours.

La trame de la nouvelle *La Peur* est basée sur une discussion pour ainsi dire sémantique qui s'appuie sur l'expérience par rapport au sens d'un « mot et [de] la sensation que [l'on] éprouve » (Maupassant, 2005, p. 41) n'étant autre que la peur. Un commandant dans le groupe raconte le jour où il a eu peur à cause de son navire cloué dans un rocher. A noter que même avant de commencer à parler, le commandant a un ethos préalable provenant des valeurs attribuées à son métier. Son grade élevé en tant qu'officier militaire nous donne l'impression qu'il est assez fort, fiable, légitime et ce n'est pas la peine d'interroger la validité de ses paroles. Cependant, un homme, n'étant point bavard jusqu'à ce moment-là, prend la parole pour expliquer aux membres du groupe ce qu'est la vraie peur, bien que le narrateur principal soit quelqu'un d'autre. Par contre, le vrai narrateur de la nouvelle est intradiégétique mais hétérodiégétique en termes de Genette (1972) ; c'est-à-dire qu'en tant que narrateur-témoin, il raconte son histoire mais il n'y prend pas part et il laisse la parole à l'homme mystérieux que nous appellerons « le conteur ». Ledit narrateur-témoin se manifeste tout au début du récit, avec une description brève de l'espace, un pont donnant sur la Méditerranée sur lequel sont assis lui et quelques autres hommes, ainsi que la description du conteur qui parlera jusqu'à la fin du récit :

> Un grand homme à figure brûlée, à l'aspect grave, un de ces hommes qu'on sent avoir traversé de longs pays inconnus, au milieu de dangers incessants et dont l'œil tranquille semble garder, dans sa profondeur, quelque chose des paysages étranges qu'il a vus : un de ces hommes

qu'on devine trempés dans le courage, parla pour la première fois. (Maupassant, 2005, p. 41)

Dans cette citation, le temps du récit mérite autant d'attention que la description elle-même. Nous voyons qu'il s'agit d'un récit de rétrospection au passé simple puisque le narrateur narre son récit bien après l'avoir vécu et qu'il sait naturellement ce qu'il arrivera. Cependant, les usages du présent de l'indicatif pour les verbes 'sentir', 'sembler' et 'deviner' y ajoutent une dimension de « généralisation ». Autrement expliqué, accompagné également du pronom personnel 'on', le narrateur-conteur laisse penser qu'il est normal qu'un homme ayant une telle force physique et une telle sérénité aie une réussite prédictible de survivre dans n'importe quel état. Cependant, la lecture complète de la nouvelle nous indique que ce n'est pas le cas, et que les expressions comme 'pays inconnus', 'dangers incessants', etc. que nous soulignons dans la citation ci-dessus sont des indices de ce que nous sommes sur le point d'apprendre. Sur ce point, nous trouvons, déjà, les indices d'un ethos réussi de ce conteur aux yeux de notre narrateur. A noter que ceci peut aussi se référer à l'ethos 'sage' ou 'expert du genre humain' du narrateur, qui nous signale qu'il avait déjà deviné le point où arriverait ce conteur.

Contre la réaction du commandant[1] qui insiste sur le fait qu'il a connu la vraie peur selon sa conception de l'émotion, le conteur commence à construire son ethos discursif en répondant au commandant : il s'agit d'un ethos brave construit par les descriptions de batailles, condamnations et tortures. Même si c'est la grammaire qui l'exige puisque le conteur fait référence aux événements passés, « le recours à l'imparfait et au conditionnel donne l'impression d'un monde possible, en suspendant la contradiction que lui oppose le monde réel » (Niziolek, 2017, p. 97) : les expressions telles que « ça ressemblait… » (Maupassant, 2005, p. 42), « on aurait dit » (Maupassant, 2005, p. 42) contribuent à la construction de son ethos plein de courage. L'ethos discursif continue à être formé par l'apparition consécutive du connecteur 'mais'. Un de ces 'mais' prend une importance capitale puisque toute la conversation est basée sur la présence du contraste créé par ce connecteur :

Et, pourtant, j'ai traversé bien des hasards, bien des aventures qui semblaient mortelles. Je me suis battu souvent. J'ai été laissé pour mort par des voleurs. J'ai été condamné, comme insurgé, à être pendu, en Amérique, et jeté à la mer du pont d'un bâtiment sur les côtes de Chine.

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1   « *Fichtre ! je vous réponds bien que j'ai eu peur, moi.* » (Maupassant, 2005, pp. 42)

> Chaque fois je me suis cru perdu, j'en ai pris immédiatement mon parti, sans attendrissement et même sans regrets. Mais la peur, ce n'est pas cela. (Maupassant, 2005, p. 42)

Selon Maingueneau, « dans une séquence 'E1[2] mais E2' E1 est présenté comme un argument tendant vers une certaine conclusion, implicite, et qu'E2 présente un argument censé plus fort en faveur de la conclusion contraire » (Maingueneau, 2001, p. 34). Au premier regard, -sans prendre en considération la présence de « mais »- E1 semble être un argument plus élaboré qu'E2 en raison de sa richesse d'exemple, sa longueur et son structure syntaxique complexe. En revanche, notre E1 exprime le fait qu'il a ressenti beaucoup d'émotions négatives à cause des tortures qu'il a subies et qu'il a réussi à s'en sortir tandis que notre E2 se manifeste comme la réalité selon laquelle la peur n'est pas une émotion qui puisse surmonter le traumatisme qu'elle crée. Cette étape argumentative vise donc à prouver que la peur est difficile à oublier une fois qu'on la ressent. Cet aspect inoubliable de la peur qui se transforme en un 'sentiment' à long terme contribue à la construction de l'ethos du conteur. Ainsi, selon lui, la peur est ce qui est « effroyable, atroce, décomposition de l'âme, spasme affreux de la pensée, terreur fantastique, épouvantable horreur » (Maupassant, 2005, p. 43). Ce qui est décrit ici n'est autre qu'une sensation en face de ce que nommerait Todorov « événement fantastique », contrairement à l'émotion ressentie par le commandant, mais mise à terme par une équipe de secours. Il s'agit plutôt d'une agitation conclue n'ayant pas eu de temps à se transformer en une sensation ou en un sentiment. Le conteur a donc deux gains à la suite de cette discussion : d'une part il contredit le commandant en donnant une description adéquate de la peur, de l'autre, il construit un ethos plus convaincant, supérieur à celui du commandant, c'est-à-dire il assure sa légitimation (de parole) qui est, selon Maingueneau et Charaudeau, « la position d'autorité qui permet au sujet de prendre la parole » (Maingueneau et Charaudeau 2002, p. 339). Maintenant il est légitime pour continuer son discours avec deux histoires distinctes dont il se servira afin d'illustrer sa position envers l'émotion de la peur.

Première rencontre avec la peur : de l'émotion à la sensation

Nous avions précisé dans les chapitres précédents que le conteur distinguait les notions de l'émotion, la sensation et le sentiment afin d'élaborer sa démarche de construction d'un ethos crédible. Pour atteindre à son but, il se sert de deux anecdotes

2   E = énoncé

-dont la deuxième est beaucoup plus longue et détaillée que la première- concernant ses propres expériences subjectives par rapport à la peur.

La première anecdote narrée par le conteur se passe en Afrique, dans un désert à perte de vue. Pendant un ouragan suivi du son de tambour, son compagnon tombe du cheval et meurt. Le conteur introduit cette anecdote à l'aide d'un argument de généralisation abusive à propos des Orientaux pour lesquels la vie « ne compte pour rien », autrement dit, elle est insignifiante. De plus, il révèle qu' « en Orient, on peut connaître la panique, on ignore la peur » (Maupassant, 2005, p. 42). Il utilise la réaction verbale des Arabes, « la mort est sur nous », suite au battement du tambour, pour justifier son argument. Le conteur fait une description détaillée d'une scène d'ouragan apocalyptique :

> Eh bien ! figurez-vous l'Océan lui-même devenu sable au milieu d'un ouragan ; imaginez une tempête silencieuse de vagues immobiles en poussière jaune. Elles sont hautes comme des montagnes, ces vagues inégales, différentes, soulevées tout à fait comme des flots déchaînés, mais plus grandes encore, et striées comme de la moire. Sur cette mer furieuse, muette et sans mouvement, le dévorant soleil du sud verse sa flamme implacable et directe. (Maupassant, 2005, p. 42)

Au cas où nous comparions cette description à celle du commandant par rapport à son accident marin, nous en déduisons que le conteur a subi aux conditions beaucoup plus dures que celles du commandant. Les hautes vagues du désert semblent être plus violents que « la mer qui bat le navire ». Les couleurs jaunâtres fournies par « sable », « poussière jaune », « soleil » et « flamme » donnent l'impression que l'atmosphère décrite est plus apocalyptique par rapport au décor bleuâtre dont parlait le commandant. Dans ce cas, il est évident que le conteur tente de faire une introduction forte et habile pour son anecdote avec laquelle il vise à obtenir une supériorité discursive devant le commandant. Ensuite, il parle d'un tambour qui « [bat] distinctement, tantôt plus vibrant, tantôt affaibli, arrêtant, puis reprenant son roulement fantastique » (Maupassant, 2005, p. 42). L'aspect inquiétant et fantastique du tambour peut être considéré comme un indice par rapport à l'émotion à venir. Quant au mystère du tambour dont le son se répand au désert juste avant cette mort, il est expliqué plus tard par le conteur : il s'agit d'un mirage produit par des événements naturels. Cependant, le mystère persiste dans l'anecdote puisque la prédiction faite par les Arabes n'a pas pu atteindre à une explication

logique. Le conteur considère cet événement comme le moment où il a compris « ce que c'était que d'avoir peur » (Maupassant, 2005, p. 44). Mais selon lui, la peur est quelque chose de supérieur à cela. Par-là, nous comprenons qu'il a expérimenté la peur pour la première fois en tant qu'émotion dont les sensations sont nettement présentes dans son corps, en précisant qu'il « sentait se glisser dans ses os la peur, la vraie peur, la hideuse peur » (Maupassant, 2005, p. 44). Le fait que le conteur parle de ses os où il prétend sentir la peur semble être une réponse physiologique en face d'une stimulation extérieure. Par contre, le fait que la peur ne soit pas encore en état chronique chez lui affirme que la peur n'est pas encore un véritable sentiment. C'est pourquoi il introduit sa deuxième anecdote grâce à laquelle il a « su mieux encore une autre fois » (Maupassant, 2005, p. 44) la peur.

Deuxième rencontre avec la peur : de l'émotion au sentiment

Nous avions insisté sur la différence entre l'émotion et le sentiment en les distinguant par rapport à leur stabilité : l'émotion est une réaction momentanée tandis que le sentiment se manifeste sous forme de l'émotion persistante tout au long d'une certaine intervalle du temps.

Le conteur déclenche son discours en signalant le mal qui arrivera par le biais des conditions météorologiques : « C'était l'hiver dernier, (…), la nuit vint deux heures plus tôt, tant le ciel était sombre » (Maupassant, 2005, p. 44). Ce seront les premières 'traces extérieures' de cette peur. Il introduit la peur qui arrive par des éléments naturels (« une voûte de sapins dont le vent déchaîné tirait des hurlements », « des nuages en déroute, des nuages éperdus qui semblaient fuir devant une épouvante » (Maupassant, 2005, p. 45) auxquels il associe le vent déroutant qui signifie, dans notre imaginaire collective, la peur. Il appuie et certifie cet aspect imaginaire par ce que son guide lui dit : « Triste temps ! » (Maupassant, 2005, p. 45). Les indices donnés par le conteur se poursuivent ; cette fois il s'appuie sur l'atmosphère dans laquelle une maison se trouve : dans l'obscurité, « des cris aigus de femmes (leur) répondirent » (Maupassant, 2005, p. 45) dès que le guide heurte la porte. Déjà, l'emploi du substantif du verbe 'crier' et la construction passive de la phrase, thématisent et personnifient les « cris », ce qui nous préparent pour une atmosphère inquiétante.

Quand ils entrent dans la maison du garde forestier, le conteur voit d'abord un vieil homme « à l'œil fou » (Maupassant, 2005, p. 45) tenant à la main un fusil chargé,

puis les deux fils du vieillard qui « gardaient la porte » (Maupassant, 2005, p. 45), et enfin il distingue « deux femmes à genoux, le visage caché contre le mur » (Maupassant, 2005, p. 45) qui ne sont autres que les épouses de ces fils. Il s'agit d'un tableau horrifiant, mais également incompréhensible puisque la raison pour laquelle on rencontre une telle situation est inconnue dans les circonstances décrites. Puis, le conteur apprend que ce jour-là est le deuxième anniversaire d'un meurtre commis par le vieillard. Ce dernier croit que « l'autre année, il est revenu l'appeler » (Maupassant, 2005, p. 46) et il « l'attend encore ce soir » (Maupassant, 2005, p. 46) en se construisant un ethos superstitieux. Le vieillard ajoute, au nom de la famille, qu' « [ils] ne [sont] pas tranquilles » (Maupassant, 2005, p. 46). Il est à noter que l'image d'un vieillard qui craint la résurrection d'un homme mort crée un certain contraste en face de notre conteur ayant un ethos assez crédible et brave. Ensuite, pendant le souper, le vieillard entend des sons qui leur font réanimer la scène d'accueil : les maris, les femmes et le vieillard prennent leurs positions initiales malgré le conteur qui « parvient à calmer à peu près tout le monde en racontant des histoires » (Maupassant, 2005, p. 46). Ici, nous voyons d'abord que l'ethos brave du conteur se fortifie de plus en plus, et ensuite que la peur, n'étant au début qu'une simple sensation causée par l'émotion elle-même, est maintenant un sentiment stable qui se manifestera à chaque anniversaire de ce meurtre comme ils l'avaient éprouvé le jour même du meurtre. Le réveil, le hurlement et l'apparence hantée d'un chien qui dormait auparavant ainsi que le vocabulaire indécis[3] adopté par le conteur impliquent ce qu'il arrivera. S'ajoutent les femmes à cette séance d'hurlement chez qui le dosage de la sensation est au niveau extrême. A ce moment-là, le conteur se met au premier plan par le biais de l'énoncé « Malgré moi, un grand frisson me courut entre les épaules » (Maupassant, 2005, p. 47). La valeur du connecteur 'malgré' mérite ici d'être accentuée, de sorte qu'il contribue à la construction de son ethos brave : la sensation de peur l'envahit même en présence de sa force physico-mentale et de son expérience. Les attitudes récentes du conteur qui ne prenait pas cet état de délire au sérieux laissent leur place à la victoire de la 'même' sensation chez lui.

Le reste de l'anecdote est consacré à la description détaillée de la sensation causée par la vision qui les hante : le chien qui tourne, le paysan qui le jette dehors, la partie où un être entre dans la maison et glisse sur les murs pendant des heures et le fusil dont la balle tue par accident le chien. Cependant, le conteur finit son anecdote en précisant ce que cette expérience a éveillé dans son esprit : « j'aimerais mieux

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3   "il se remit à hurler vers quelque chose d'invisible, d'inconnu, d'affreux (…)" (Maupassant, 2005, p. 46)

recommencer toutes les heures où j'ai affronté les plus terribles périls, que la seule minute du coup de fusil sur la tête barbue du judas » (Maupassant, 2005, p. 48) Cette volonté, bizarre, au premier regard, désigne la particularité et la puissance de la peur en tant que 'sentiment' chez le conteur. En voulant l'éprouver encore une fois, la peur dépasse les limites de l'émotion, change d'aspect et de dimension pour devenir une sensation constante, voire anxieuse. Dans ce cas, 'la peur' dont parlait le commandant au début du récit n'a rien à voir avec celle du conteur qui s'en sert pour construire un ethos crédible et habile par le biais du processus de l'argumentation.

Constatations

Tout au long du récit, le conteur tente de prouver que « la peur » n'est pas simple à éprouver : selon lui, elle ne peut être causée ni par un accident marin, ni par une aventure mortelle. Au contraire, elle a lieu dans les circonstances anormales, mystérieuses, voire fantastiques. Tout en restant fidèle auxdits arguments et en les illustrant par deux anecdotes qu'il a déjà vécues, le conteur construit un ethos habile et brave qui l'aide à augmenter sa crédibilité. Sur ce point, nous nous attacherons sur quelques points concernant la motivation du conteur en adoptant sa démarche argumentative.

D'abord, nous avions déjà précisé que dans la nouvelle, parmi un groupe de « six ou huit » (Maupassant, 2005, p. 41) les seuls qui parlaient étaient le commandant et « [le] grand homme à figure brûlé » (Maupassant, 2005, p. 41) que nous avions appelé le conteur. Le commandant, ayant un ethos préalable qui assure une crédibilité constante grâce à son statut militaire, introduit une anecdote assez brève, même superficielle par rapport à la peur qu'il prétend d'avoir ressenti. Contre le discours succinct du commandant, le conteur introduit une démarche argumentative illustrée par deux anecdotes longues, soignées, assez détaillées et dotées par une richesse du champ lexical de la subjectivité. Nous en déduisons que l'ethos préalable du commandant n'est pas suffisant, à lui seul, pour établir une supériorité discursive. Le discours du conteur qui « parl[e] pour la première fois » *(*Maupassant, 2005, p. 41) l'emporte apparemment sur celui du commandant puisque le commandant écoute presque sans interrompre le discours du conteur. Ainsi, sa seule question « Pardon, Monsieur, mais ce tambour ? Qu'était-ce ? » (Maupassant, 2005, p. 42) montre qu'en effet, il finit par se trouver en état de curiosité par rapport aux expériences du conteur. Il est à noter qu'il serait naturellement impossible de vérifier si les anecdotes du conteur sont réellement vécues ou si elles sont imaginées

pour l'occasion, mais nous insistons sur le fait que la validité l'emporte sur la vérité quand il s'agit du territoire discursif. C'est pourquoi nous en déduisons que la victoire de l'ethos du conteur est indéniablement visible dans la nouvelle.

Ensuite, nous avons déjà insisté sur le fait que ladite victoire de l'ethos ne dépend de l'honnêteté du conteur. Cependant la manière dont le conteur argumente les différentes formes de la peur le conduit inévitablement à sa triomphe discursive. Non seulement ses exemples illustrant sa démarche sont pertinents, mais aussi ses propres définitions de l'émotion, de la sensation et du sentiment sont conformes à la réalité extradiscursive. Autrement dit, les définitions tirées de CNRTL évoquées dans les chapitres précédents prennent place dans notre démarche afin que nous puissions les comparer avec celles du conteur. L'aspect momentané d'une émotion, le caractère physiologique d'une sensation ainsi que la persistance d'un sentiment trouvent ses représentations exactes -ou qui semblent être exactes du point de vue sémantique, voire scientifique- dans les anecdotes racontées par le conteur.

Enfin, du point de vue philosophique, il serait adéquat de se référer à René Descartes dans son *Discours de la Méthode* (1995) qui distingue pour la première fois l'âme, associée à la raison, et le corps, hébergeant les sentiments et les passions de l'être humain (Descartes, 1995, p. 49). C'est la raison pour laquelle l'imaginaire collectif tend toujours à opposer l'âme au corps, l'objectif au subjectif, la conscience à l'intuition ainsi que la raison au sentiment. Cependant, l'argumentation, associée à la raison, n'exclut pas les émotions sous prétexte qu'elles ne soient assez rationnelles. Tout au contraire, selon les analystes du discours tels que Patrick Charaudeau,

> Les émotions ne relèvent pas seulement de la pulsion, de l'irrationnel et de l'incontrôlable, mais qu'elles ont aussi un caractère social. Elles seraient le garant de la cohésion sociale, elles permettraient à l'individu de constituer son sentiment d'appartenance à un groupe […], elles représenteraient la vitalité de la conscience collective. (Charaudeau, 2000, p. 2)

A partir d'une telle réflexion de Charaudeau ainsi que la démarche argumentative dans *La Peur* de Maupassant, nous en déduisons que les émotions contribuent à l'établissement d'un ethos encadré par une émotion particulière et donc deviennent l'objet d'une démarche assez rationnelle.

Conclusion

Concernant les conséquences de la démarche argumentative du conteur, nous concluons notre travail en se rendant compte de la spécificité du texte littéraire quand il s'agit des procédés argumentatifs.

Il est à noter que le récit se termine là où le conteur finit sa narration. Autrement dit, nous ne voyons ni la réaction du narrateur ni celle des autres membres du groupe contre les deux anecdotes du conteur. Selon nous, le choix de finaliser la nouvelle qui ne prend pas en considération l'opinion de notre narrateur intradiégétique-hétérodiégétique a pour but de mettre sous la lumière la peur argumentée par le conteur qui fait, en effet, plus qu'argumenter : d'abord il forme une image habile et brave de soi, puis il illustre son image créée afin de redéfinir la peur à sa manière. Le fait que la réaction finale de son interlocuteur ne figure pas à la fin du récit laisse entendre que Maupassant veut que la réaction finale appartienne à son lecteur. A côté de l'ethos réussi du conteur et de sa force persuasive, il nous semble essentiel de souligner que le conteur n'est pas seul dans sa démarche, mais que Maupassant lui rejoint en persuadant son propre lecteur sur une émotion donnée et ses différents aspects. Nous pensons qu'en tant qu'auteur de *La Peur*, Maupassant vise à nous transférer essentiellement sa perception à lui par rapport à l'émotion de la peur. C'est pourquoi à partir de l'ethos réussi du locuteur intratextuel, nous envisageons la peur en tant que récepteur-lecteur extratextuel. Dans ce cas, vu qu'il s'agit d'un texte littéraire ayant une certaine masse de lecteurs, nous oserons dire qu'au point où l'ethos et l'argumentation d'un personnage nous touchent en tant que lecteur, le récit devient un produit public ayant un aspect affectif et emphatique. Finalement, au moment où un personnage (être fictif intratextuel) touche ou persuade un lecteur (être réel extratextuel) sur un sujet donné, le discours littéraire sort du cadre de l'imaginaire pour créer une certaine réalité où la raison et la passion brisent les limites des raisonnements froids.

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Exploitation des phénomènes énonciatifs dans un manuel de FLE : Exemple d'*Édito*

The Exploitation of Phenomena Related to Enunciation in a French as a Foreign Language Course Book: The *Édito* Example

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RÉSUMÉ

Ce travail vise à examiner certains phénomènes énonciatifs et en tirer les implications didactiques dans le cadre de leur traitement dans un manuel de FLE. Nous tentons de soulever, plus particulièrement, la question de transmission des phénomènes énonciatifs dans le cadre de l'expression d'une opinion au sein d'une partie d'un chapitre issu du manuel *Édito* B2. Pour ce faire, nous opérons en fonction de certains phénomènes, notamment les plans d'énonciation, les marqueurs d'embrayage, les marqueurs de modalité, les marqueurs de prise en charge énonciative et la polyphonie. Les phénomènes mentionnés nécessitent, selon nous, la prise en compte des éléments suivants : *plans embrayé/non embrayé, indices de personne/d'ostension, modalités d'énonciation/d'énoncé* et *marqueurs de point de vue polyphoniques*. Ainsi ces éléments-là constituent-ils aussi notre grille d'analyse dans la perspective méthodologique. Notre analyse de la liste d'énoncés possibles proposés par le manuel pour l'expression d'une opinion aboutit aux résultats suivants : premièrement, les pronoms personnels/adjectifs possessifs de la 1ère/2ème personne, le pronom démonstratif *ça* et le présentatif *c'est* assument la fonction d'*embrayage*. Deuxièmement, les *modalités d'énonciation* relèvent de l'assertion, de l'interrogation et de l'exclamation, tandis qu'il est possible de dégager certains *actes de parole* spécifiques qui se rattachent à l'expression d'une opinion. Troisièmement, concernant les *modalités d'énoncé*, la subjectivité est assurée, au niveau lexical, surtout à travers certains verbes d'opinion et adjectifs à construction attributive. Dernièrement, certains *marqueurs de point de vue* sous forme de locutions prépositives s'emploient pour la prise en charge énonciative mais concourent essentiellement à la polyphonie.

Mots-clés: Énonciation, marqueur, modalité, embrayage, didactique du FLE

ABSTRACT

This study aims to examine certain phenomena concerning enunciation and draw from there the didactic implications in the scope of the exploitation of these phenomena in a French as a Foreign Language course book. More specifically, we attempt to raise the question about enunciative phenomena transmission related to the expression of opinions within part of a chapter from the *Édito* B2 course book. To enable this, we proceed in terms of phenomena such as enunciative dimensions, shifting markers, modality markers, enunciative management markers

and polyphony. From our point of view, these phenomena require the consideration of the following elements: *shifted/non shifted levels, shifters of person/ostension, modalities of enunciation/utterance* and *polyphonic markers of point of view*. Methodologically, these elements thus constitute our analysis grid. The analysis of the list of utterances recommended by the course book concerning the expression of opinions leads us to the following findings: Firstly, the 1st/2nd-person pronouns/possessive adjectives, the demonstrative pronoun *ça* and the presentative *c'est* undertake the *shifting* function. Secondly, whereas the *modalities of enunciation* are related to assertion, interrogation, and exclamation, it is possible to identify certain specific *speech acts* regarding the expression of opinion. Thirdly, with regard to the *modalities of utterance*, subjectivity is ensured at the lexical level, especially through the use of certain opinion verbs and attributive adjectives. Lastly, while some *markers of point of view* in the form of prepositional locutions are utilized for the management of enunciation, they essentially contribute to polyphony.

Keywords: Enunciation, marker, modality, shifting, teaching of French as a foreign language

EXTENDED ABSTRACT

This study examines enunciative phenomena within discourse analysis and tries to build ties between these phenomena and their implementation for didactic purposes in a French language course book. The following question stems from the problematic: Which didactic content is proposed by a more or less current French language course book in order to convey information about enunciative phenomena to students?

In the light of the above-mentioned question, we review phenomena such as enunciative dimensions, shifting markers, modality markers, enunciative management markers and polyphony in the theoretical section of the study. These phenomena are analyzed in terms of the following components: *shifted/non shifted levels, shifters of person/ostension, modalities of enunciation/utterance* and *polyphonic markers of point of view*.

As far as enunciation is concerned, we deal with the *shifted level* where the speaker is subjectively engaged in the utterance, which constitutes in fact the starting point of enunciation according to Benveniste (1966 & 1974). Hence, for this French linguist, it is possible to retrieve linguistic traces or marks in an utterance, as the product of enunciation: These linguistic marks are called *shifters* (see Jakobson, 1963).

Shifters are divided into two broad categories: shifters of person and shifters of ostension. *Shifters of person* (see Sarfati, 2005; Charaudeau & Maingueneau, 2002, etc.) concern, for the French language, the 1st/2nd-person pronouns (e.g. *je*, *tu*, *nous*, *vous*), the 1st/2nd-person possessive pronouns (e.g. *le mien/le nôtre/le tien/le vôtre* and their derivatives) and possessive adjectives (e.g. *mon/ton/notre/votre* and their derivatives),

as these markers acquire a significance according to the speaker and the situation of enunciation. It should also be noted that these markers are different from the 3rd-person related lexical unities of the same grammatical categories which prove to be relevant in terms of textual co-reference as part of cohesion. *Shifters of ostension* firstly consist of lexical unities which mark spatiality and fall into different grammatical categories such as demonstrative adjectives/pronouns (e.g. *ce*, *ça*, *ceci*, *celui* and their derivatives), adverbial particles (e.g. *–ci* and *–là*), adverbs/adverbial locutions (e.g. *ici*, *là*, *là-bas*, etc.) and presentative constructions (e.g. *c'est*, *voici* and *voilà*). Secondly, they also mark time through the use of adverbs/adverbial locutions (e.g. *maintenant*, *hier*, *dans trois jours*, etc.) and the suffixes of present/past/future tenses serving to conjugate the root verb.

Modalities of enunciation (see Sarfati, 2005) refer to two phenomena: first of all, the modality of an utterance (e.g. assertive, interrogative, imperative and exclamatory modalities) and secondly, the speech act undertaken by an utterance (e.g. assertion, demand, promise, order, suggestion, etc.). Nouns (e.g. *un chauffard*), adjectives (e.g. *bon*), adverbs (e.g. *franchement*) and verbs (e.g. *espérer*) which present subjectivity are categorized as part of the *modalities of utterance*.

Polyphonic markers of point of view (see Riegel *et al.*, 2009) derive from enunciative subjectivity but they also point to the presence of an actual or a virtual co-speaker towards whom the speaker takes position enunciatively. For instance, a prepositional locution such as *selon moi* indicates that the speaker enunciatively takes charge of the utterance; however, it also refers to the implicit or explicit presence of another enunciative position, hence the polyphonic aspect of such usage.

In the light of the above-mentioned enunciative phenomena, the analysis grid is methodologically based on the following components: *shifted/non shifted levels*, *shifters of person/ostension*, *modalities of enunciation/utterance* and *polyphonic markers of point of view*. In order to carry out the analysis, a part of a chapter (the topic of which being the expression of opinion) in a French language course book (*Édito* for the B2 learning level, Heu & Mabilat, 2015) was chosen.

First of all, the results show that *shifting* proves to be the starting point of enunciation. In this regard, the 1st/2nd-person pronouns/possessive adjectives, the demonstrative pronoun *ça* and the presentative *c'est* especially function as *shifters of person/ostension*.

Secondly, it was found that speech acts may be considered as a rationale for enunciation: We observed that the *modalities of enunciation* are related to assertion, interrogation, and exclamation, while some specific *speech acts* concerning the expression of opinion were identified (e.g. *asking for an opinion*, *expressing certainty/disagreement/possibility*, *agreeing with someone with reservations*, *sharing a point of view*, etc.).

Thirdly, the *modalities of utterance* operate as the lexical apparatus of subjectivity within enunciation, i.e. some lexical unities are revealed to be the linguistic marks for ensuring subjectivity, especially opinion verbs (e.g. *Qu'en pensez-vous ? Il me semble que…*, *ça ne fait aucun doute*, etc.), attributive adjectives (e.g. *C'est absurde/aberrant/ridicule/délirant*, *je n'en suis pas si sûr(e)*, etc.) and opinion adverbs (e.g. *certes*, *effectivement*, *probablement*, etc.).

Lastly, while some *markers of point of view* (e.g. *à ma connaissance*, *d'après moi*, etc.) in the form of prepositional locutions are used for the management of enunciation, they essentially contribute to the polyphony.

Introduction

Ce présent travail se propose d'examiner les *phénomènes énonciatifs* dans le cadre de l'analyse du discours et de tisser ainsi les liens pertinents entre ces phénomènes et leur mise en place à des visées didactiques dans un manuel de français langue étrangère (désormais FLE).

Plus spécifiquement, nous tenterons de soumettre à la réflexion l'exploitation des phénomènes énonciatifs au niveau didactique dans un manuel de FLE. Il ressort de cette problématique la question suivante : *Quel contenu didactique est-il proposé dans un manuel plus ou moins actuel de FLE pour faire acquérir les phénomènes énonciatifs aux apprenants ?*

1. Bref aperçu sur les notions de discours et d'énonciation

Il est largement admis que le déclin du structuralisme saussurien et l'épanouissement des courants pragmatiques ont donné lieu à la prolifération des études dans le domaine d'analyse du discours (*cf.* Charaudeau & Maingueneau, 2002, p. 185). En tant qu'objet d'étude de l'analyse du discours, le *discours* relève de l'usage réel de la langue ; autrement dit, un locuteur/scripteur pourvu de la faculté de langage utilise/manipule une langue naturelle dans une situation de communication réelle suivant une intention de communication et des normes/conventions sociales établies dans le flot de l'histoire.

Ainsi, comme entité hétérogène, le discours puise-t-il ses concepts à une diversité de disciplines, si bien qu'il se plie à une vaste variété d'acceptions, dont nous ne retiendrons ici que quelques-unes tout en nous référant à Sarfati (2005, pp. 13-14) :

- le langage mis en action, la langue assumée par le sujet parlant. Équivalent de « parole », le mot *discours* s'applique ici aux réalisations écrites ou orales de la langue. Par opposition à la « langue » […], le discours en constitue l'actualisation, à travers la diversité des usages ;
- tout énoncé supérieur à la phrase, considéré du point de vue des règles d'enchaînement des suites de phrases. […] ;
- au sens de Benveniste, le discours désigne tout d'abord l'instance d'énonciation (le « moi-ici-maintenant » du sujet parlant). Dans un sens

restreint, spécialisé, *discours* désigne tout énoncé envisagé dans sa dimension interactive. Discours s'oppose ici à récit. Dans le récit, tout se passe comme si aucun sujet ne parlait, les événements semblent se raconter d'eux-mêmes ; le discours se caractérise, au contraire, par une énonciation supposant un locuteur et un auditeur, et par la volonté du locuteur d'influencer son interlocuteur […] ;

- de manière plus spécifique, le mot *discours* désigne la conversation. […] ;
- au sens de Maingueneau, le discours est un système de contraintes qui régissent la production d'un ensemble illimité d'énoncés à partir d'une certaine position sociale ou idéologique (par exemple, le discours « féministe »).

Lors de la considération des définitions énumérées ci-dessus, il s'avère qu'on se heurte à une variété de champs d'étude du discours, respectivement la théorie des actes de langage, la grammaire de texte, la théorie d'énonciation, l'analyse conversationnelle et l'approche idéologique. De surcroît, on se rend compte que le discours est donc susceptible de se prêter à une immense gamme d'analyses :

Autant dire qu'en faisant varier tel ou tel paramètre, on peut construire une infinité d'objets d'analyse. En fait, il faudrait plutôt se demander de quoi il pourrait bien ne pas y avoir « discours » : non seulement les énoncés, mais aussi les analyses de ces énoncés, et ainsi *ad libitum*, offrent la possibilité de découper un ensemble illimité de terrains d'investigation. (Maingueneau, 1987, p. 11)

Certes, toute activité langagière implique obligatoirement la mise en place du discours ; néanmoins, en vue de nous focaliser aux éléments discursifs les plus saillants dans le cadre didactique qui nous préoccupe, nous restreindrons nos analyses aux seuls phénomènes en relation avec l'*énonciation*.

En l'occurrence, il convient de rendre compte de la relation qu'entretiennent le discours et l'énonciation. Chez Benveniste surtout, le discours se rapproche de l'énonciation (*cf.* Charaudeau & Maingueneau, 2002, p. 186), vu qu'il est considéré comme « la langue en tant qu'assumée par l'homme qui parle, et dans la condition d'*intersubjectivité*, qui seule rend la communication linguistique » (Benveniste, 1966,

p. 266). Dans cette optique, de la même façon que l'énonciation réclame l'implication subjective du locuteur, « [l]e discours est pris en charge par un sujet » :

> Le discours n'est discours que s'il est rapporté à un sujet, un JE, qui à la fois se pose comme source des *repérages personnels*, temporels, spatiaux […] et indique quelle *attitude* il adopte à l'égard de ce qu'il dit et de son co-énonciateur (phénomène de « modalisation »). Il indique en particulier qui est le responsable de ce qu'il dit : un énoncé très élémentaire comme « Il pleut » est posé comme vrai par l'énonciateur, qui se donne pour son responsable, le garant de sa vérité. Mais cet énonciateur aurait pu moduler son degré d'adhésion (« Peut-être qu'il pleut »), en attribuer la responsabilité à quelqu'un d'autre (« Selon Paul, il pleut »), commenter sa propre parole (« Franchement, il pleut »), etc. (Maingueneau, 2007, pp. 32-33)

Néanmoins, même si les phénomènes issus de l'énonciation jouent un rôle capital dans l'analyse du discours, ils sont partagés en effet entre deux conceptions bien distinctes suivant le positionnement extralinguistique (ou discursif) ou linguistique auquel on adhère :

> Si l'on insiste sur l'énonciation comme évènement dans un type de contexte, qu'on l'appréhende dans la multiplicité de ses dimensions sociales et psychologiques, on opère plutôt du côté du *discours*. Mais l'énonciation peut aussi être envisagée dans un cadre strictement *linguistique* comme un ensemble d'opérations constitutives d'un énoncé […]. (Charaudeau & Maingueneau, 2002, p. 229)

Cela émane du fait que le *discours* est en soi un phénomène à double facette : d'une part, il réfère aux stratégies et aux conditions sociales de la production d'une langue (comme situation de communication, intention de communication, normes sociales, réalités sociohistoriques, genres discursifs sociohistoriquement déterminés, etc.), et d'autre part, il relève du produit même de l'énonciation qui présente des « marques ou traces énonciatives » en tant qu'« unités linguistiques qui indiquent le renvoi de l'énoncé à son énonciation » (Charaudeau & Maingueneau, 2002, p. 230). Dans cette perspective, étant donné que ce travail ne se veut pas exhaustif dans le cadre des phénomènes discursifs, nous tenons plutôt à nous focaliser sur certains procédés linguistiques se manifestant au niveau énonciatif (et donc discursif dans une certaine mesure).

2. Phénomènes linguistiques liés à l'énonciation

Selon Charaudeau et Maingueneau (2002), bien que le terme *énonciation* soit un terme qui remonte aux temps anciens dans le cadre de la philosophie, c'est grâce aux travaux de Charles Bally (pendant les années 1930) qu'il est étudié régulièrement et systématiquement en linguistique. En tant que courant pragmatique, la *théorie d'énonciation* s'adosse surtout sur les travaux d'Émile Benveniste, où le terme *énonciation* est défini comme « la mise en fonctionnement de la langue par un acte individuel d'utilisation » (Benveniste, 1974, p. 80), alors qu'on entend par *discours* « toute énonciation supposant un locuteur et un auditeur, et chez le premier l'intention d'influencer l'autre en quelque manière » (Benveniste, 1966, p. 242). Par l'acte d'énonciation, on produit donc des *énoncés*[1] qui en attestent les marques/indices linguistiques. Néanmoins, il convient de rappeler encore une fois que le terme *discours* équivaut plus ou moins à l'énonciation (autrement dit, à la *mise en discours*) suivant la conception benvenistienne (*cf.* Charaudeau & Maingueneau, 2002, p. 186).

En conséquence, la théorie énonciative privilégie à la fois les phénomènes (ou conditions) extralinguistiques[2] de la production des énoncés et les marques ou indices linguistiques qui en témoignent par la réalisation d'énoncés ; ce qui permet ensemble au locuteur « de s'approprier la langue » (Benveniste, 1966, p. 262) :

> Avant l'énonciation, la langue n'est que la possibilité de la langue. Après l'énonciation, la langue est effectuée en une instance de discours, qui émane d'un locuteur, forme sonore qui atteint un auditeur et qui suscite

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1 La notion d'*énoncé* est le plus souvent prise dans une multitude d'acceptions. L'énoncé est largement admis comme « le *produit* à *l'acte de production* » ; autrement dit, il désigne « la trace verbale » de l'énonciation, où « la taille de l'énoncé n'a aucune importance : il peut s'agir de quelques mots ou d'un livre entier » (Maingueneau, 2007, pp. 33-34). Ainsi, l'énoncé peut être conçu comme un *ensemble de phrases* (de longueur variable) qui se succèdent entre deux pauses silencieuses (*cf.* Éluerd, 2012) ; en cela, il est susceptible d'équivaloir même à la notion de *texte* comme « une séquence verbale qui forme une unité de communication complète *relevant d'un genre de discours déterminé* » (Maingueneau, 2007, p. 34). Pourtant, certains linguistes le définissent, d'une manière plus restreinte, comme « une suite douée de sens et syntaxiquement complète » dans le cadre d'une « phrase inscrite dans un contexte particulier » (en tant que « l'unité élémentaire de la communication verbale », Maingueneau, 2007, pp. 34-35). C'est dans ce sens que nous préférons utiliser le terme *énoncé*.

2 Ces phénomènes sont surtout liés au plan socio-communicatif du langage comme par exemple l'opposition énonciateur/co-énonciateur, la situation de communication (contexte social/individuel), les rapports psychosociaux entre les interlocuteurs, l'intention de communication (visée communicative de l'énonciateur), le thème/topique du discours, les savoirs partagés entre l'énonciateur et son allocutaire sous forme de référenciation, etc.

une autre énonciation en retour. En tant que réalisation individuelle, l'énonciation peut se définir, par rapport à la langue, comme un procès *d'appropriation*. Le locuteur s'approprie l'appareil formel de la langue et il énonce sa position de locuteur par des indices spécifiques, d'une part, et au moyen de procédés accessoires, de l'autre. (Benveniste, 1974, pp. 81-82)

À la lumière de ce que nous venons de mentionner, nous nous préoccupons de préférence, dans le cadre de ce travail, des phénomènes linguistiques ou des « repérages énonciatifs » (*cf.* Adam, 2011, p. 34) qui constituent essentiellement ce qu'appelle Benveniste (1974) « appareil formel de l'énonciation » (p. 79) ; c'est-à-dire l'ensemble des dispositifs par lequel le locuteur devient capable de référer à la réalité extralinguistique et de s'inscrire/s'impliquer subjectivement comme *sujet-énonciateur* pour pouvoir communiquer un message suivant le contexte : *distinction discours-histoire, marqueurs d'embrayage, marqueurs de modalité, marqueurs de prise en charge énonciative* et *polyphonie*.

2.1. Distinction discours-histoire

Avant de débattre des indices d'énonciation, il convient de mettre en relief la distinction à laquelle procède Benveniste (1966) entre « discours » et « histoire » (ou *récit*) qui forment les deux « plans d'énonciation » (p. 238). Alors qu'il ne s'agit d'« aucune intervention du locuteur dans le récit » (Benveniste, 1966, p. 239), du côté du discours, « quelqu'un s'adresse à quelqu'un, s'énonce comme locuteur et organise ce qu'il dit dans la catégorie de la personne » (Benveniste, 1966, p. 242). Autrement dit, « tout texte comportant des *shifters*[3], c'est-à-dire des éléments de mise en relation avec l'instance d'énonciation » renvoie au *discours*, tandis que « tout texte sans *shifters* » s'appelle *histoire* (Simonin-Grumbach, 1975, p. 87).

Selon Benveniste (1966), le *discours* privilégie l'emploi du présent, de la première et de la deuxième personne, alors que l'*histoire* met en relief l'emploi du passé simple et de la troisième personne. Pour pallier les insuffisances qui proviendraient par exemple de la combinaison de certaines formes verbales et personnelles dans n'importe quel texte (comme par exemple la combinaison de la troisième personne avec le présent

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3   Rappelons en l'occurrence que Nicolas Ruwet traduit ce terme de l'anglais en français comme « embrayeurs » dans les *Essais de linguistique générale* de Jakobson (1963/2003, p. 176).

de l'indicatif, le présent de narration dans un récit, le présent de vérité générale, le récit au passé composé, l'insertion de l'acte d'énonciation dans un texte narratif, etc.), Simonin-Grumbach (1975) recourt à une nouvelle formulation :

> Il faudrait donc, sans doute, reformuler l'hypothèse de Benveniste en des termes un peu différents, et je proposerai d'appeler « discours » les textes où il y a repérage par rapport à la situation d'énonciation (= Sit Ɛ), et « histoire », les textes où le repérage n'est pas effectué par rapport à Sit Ɛ mais par rapport au texte lui-même. Dans ce dernier cas, je parlerai de « situation d'énoncé » (= Sit E). Il ne s'agit donc plus de la présence ou de l'absence des *shifters* en surface, mais du fait que les déterminations renvoient à la situation d'énonciation (extra-linguistique) dans un cas, alors que, dans l'autre, elles renvoient au texte lui-même. (p. 87)

Bien entendu, c'est une reformulation quelque peu modifiée de l'opposition benvenistienne ; néanmoins, elle ne fait pas preuve d'exhaustivité ou de rigueur nécessaire pour rendre compte de différentes possibilités textuelles et communicatives. Ainsi, comme le précisent Charaudeau et Maingueneau (2002), « il existe des énoncés qui ne sont pas narratifs et qui sont dépourvus d'embrayage (par exemple une définition de dictionnaire ou un proverbe) » (p. 211). Inversement, des séquences munies d'embrayeurs et donc ancrées dans la situation d'énonciation peuvent bien précéder celles sans embrayeurs dans un même texte oral ou écrit (dans une conversation informelle ainsi que dans un roman par exemple). Dans cette perspective, tout énoncé relèverait donc plus ou moins du discours au sens plus large. Parlant dans une perspective terminologique, il nous semble finalement plus propice de discerner le « plan embrayé » de celui « non embrayé » à l'instar de Maingueneau (2007) :

> La grande majorité des énoncés comporte des embrayeurs ; ils sont donc en relation avec leur situation d'énonciation : on parle alors d'énoncé embrayé. […] On peut également produire un énoncé qui soit dépourvu d'embrayeurs, qui se présente comme coupé de la situation d'énonciation ; on parle alors d'énoncé non embrayé. (pp. 90-91)

Par conséquent, ces deux plans qui s'imbriquent le plus souvent dans un texte peuvent être pris comme point de repère en vue d'engager la discussion à propos d'éléments plus concrètement linguistiques à travers lesquels le locuteur prend en

charge son énoncé en s'y impliquant d'une manière subjective. Dans ce cas-là, on a plutôt affaire aux *marqueurs d'embrayage* et aux *marqueurs de modalité.*

2.2. Marqueurs d'embrayage

Lorsque Benveniste met en œuvre son chapitre intitulé « De la subjectivité dans le langage » au sein des *Problèmes de linguistique générale I*, il fait l'observation suivante :

> À quoi donc *je* se réfère-t-il ? À quelque chose de très singulier, qui est exclusivement linguistique : *je* se réfère à l'acte de discours individuel où il est prononcé, et il en désigne le locuteur. C'est un terme qui ne peut être identifié que dans ce que nous avons appelé ailleurs une instance de discours, et qui n'a de référence qu'actuelle. La réalité à laquelle il renvoie est la réalité du discours. C'est dans l'instance de discours où *je* désigne le locuteur que celui-ci s'énonce comme « sujet ». […] Le langage est ainsi organisé qu'il permet à chaque locuteur de *s'approprier* la langue entière en se désignant comme *je*. Les pronoms personnels sont le premier point d'appui pour cette mise au jour de la subjectivité dans le langage. De ces pronoms dépendent à leur tour d'autres classes de pronoms, qui partagent le même statut. Ce sont les indicateurs de la deixis, démonstratifs, adverbes, adjectifs, qui organisent les relations spatiales et temporelles autour du « sujet » pris comme repère : « ceci, ici, maintenant », et leurs nombreuses corrélations « cela, hier, l'an dernier, demain », etc. Ils ont en commun ce trait de se définir seulement par rapport à l'instance de discours où ils sont produits, c'est-à-dire sous la dépendance du *je* qui s'y énonce. (Benveniste, 1966, pp. 261-262)

À partir de ce constat, il s'avère que « tout code linguistique contient une classe spéciale d'unités grammaticales qu'on peut appeler les embrayeurs : la signification générale d'un embrayeur ne peut être définie en dehors d'une référence au message » (Jakobson, 1963, p. 178). Autrement dit, les embrayeurs constituent, avec les marqueurs de modalité, l'une des « catégories d'indices » (Sarfati, 2005, pp. 20-22) ; ce qui permet l'opération dénommée « embrayage sur la situation d'énonciation » (Charaudeau & Maingueneau, 2002, p. 211).

Ceci dit, les marqueurs d'embrayage forment une catégorie de mots ou « tout un matériel linguistique » qui « organise l'expression de la subjectivité linguistique » (Sarfati, 2005, p. 20), si bien que le « repérage par l'énonciation » nécessite la prise en compte des « marques linguistiques à travers lesquelles se manifeste l'énonciation » :

> Un énoncé ne se pose pas dans l'absolu ; il doit être situé par rapport à quelque chose. Or le langage humain a pour caractéristique que les énoncés prennent pour point de repère *l'événement énonciatif* même dont ils sont le produit. Ce ne sont pas toutes les caractéristiques de cet événement qui sont prises en compte, mais celles qui définissent la **situation d'énonciation** linguistique : énonciateur et co-énonciateur, moment et lieu de cette énonciation. (Maingueneau, 2007, p. 83)

Tout en considérant le cas du français, les embrayeurs recouvrent (*cf.* Charaudeau & Maingueneau, 2002, p. 212 ; Sarfati, 2005, pp. 20-22 ; Maingueneau, 2007, pp. 85-86) :

- les « indices de personnes » *je* et *tu*, « comme les véritables personnes de l'énonciation » qui sont opposés à *il* et *on* en tant qu'« authentiques pronoms puisqu'ils assument une fonction de représentants » ; ce qui revient à dire que l'on peut procéder à une distinction claire « entre le régime de la personne et celui de la non-personne (en tant que personne absente de l'espace de l'interlocution) » (Sarfati, 2005, p. 21). En bref, les indices de personne recouvrent les pronoms personnels de la première et de la deuxième personne et les possessifs qui y correspondent ; en d'autres termes ;
  - les déterminants/adjectifs possessifs *mon-ton* et *notre-votre* ainsi que leurs variantes au féminin et au pluriel,
  - les pronoms possessifs *le mien-le tien* et *le nôtre-le vôtre* ainsi que leurs variantes au féminin et au pluriel.
- les « indices d'ostension » (dénommés aussi « indices de monstration » ou « indices spatio-temporels ») qui s'organisent autour des adverbes *ici* et *maintenant* ressortissent à des parties du discours différentes comme ;
  - les « déictiques spatiaux »[4] où l'on inclut ;

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4 En l'occurrence, il convient de souligner la confusion terminologique à laquelle prête l'usage du terme *déictique*, vu qu'en partant des recherches de Benveniste, certains linguistes l'utilisent comme synonyme d'embrayeurs, où le mot *déictique* renvoie aux indices de personne et à ceux d'ostension à la fois. Or, l'appellation *déictique* est censée désigner, pour d'autres linguistes, les indices spatio-temporels uniquement (voire les indices spatiaux pour certains chercheurs) et c'est dans cette conception restreinte du terme que le mot est utilisé dans ce travail (pour une discussion plus élaborée à ce propos *cf.* Sarfati, 2005, p. 22).

    i. les adjectifs démonstratifs (*ce* et ses variantes) et les pronoms démonstratifs (*ceci*, *cela*, *ce*, *ça*, *celui-ci* et leurs variantes),

    ii. les particules adverbiales *–ci* et *–là*,

    iii. les adverbes et locutions adverbiales (servant à exprimer la proximité, l'éloignement ou toute sorte de positionnement par rapport à l'endroit où se trouve le locuteur) comme *ici*, *là*, *là-bas*, *en haut*, *en bas*, *à droite*, *à gauche*, etc.,

    iv. les présentatifs *c'est*, *voici* et *voilà*.

- les « déictiques temporels » où l'on prend comme point de repère énonciatif l'adverbe *maintenant* autour duquel s'organisent divers éléments linguistiques ;

    i. « les marques de présent, passé et futur » qui s'ajoutent au radical des verbes,

    ii. « les mots ou groupes de mots à valeur temporelle » qui expriment une simultanéité, une antériorité ou une situation future par rapport au moment de l'énonciation ; ce sont des adverbes et des locutions adverbiales comme par exemple *maintenant*, *actuellement*, *en ce moment*, *hier*, *aujourd'hui*, *naguère*, *jadis*, *récemment*, *il y a trois jours*, *dans trois jours*, *plus tard*, *bientôt*, etc.[5]

Avant d'engager la discussion sur les marqueurs de modalité, nous tenons à mentionner l'opposition figurant entre les déictiques et l'anaphore. Comme le précisent Charaudeau et Mainguenenau (2002), dans la conception traditionnelle de cette opposition, si le référent « se trouve *dans le texte*, il y a relation **anaphorique**, si ce référent est situé *dans la situation de communication immédiate* (faisant intervenir les interlocuteurs, le moment de l'énonciation ou des objets perceptibles), il y a référence **déictique** » (p. 159). En effet, cette distinction fait écho premièrement à celle de Simonin-Grumbach (1975) entre la situation d'énonciation et la situation d'énoncé. Deuxièmement, « un certain nombre d'unités linguistiques peuvent être utilisées aussi bien pour le repérage énonciatif que pour le repérage cotextuel » (Maingueneau, 2007, p. 89). Par exemple, dans *Paul est venu, ce garçon…*, il s'agit du repérage cotextuel (qui concerne plutôt le domaine de grammaire textuelle dans le cadre de la cohésion textuelle) car l'identification du référent de *ce garçon* est effectuée suivant l'environnement linguistique antérieur dans la continuité

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5   Selon Sarfati (2005, p. 22), les déictiques temporels comprendraient également les articles définis qui renvoient à un référent relevant de la temporalité et déterminé par le contexte, comme dans le cas de *le mois*, *l'année prochaine*, etc. Pourtant, c'est le groupe nominal entier qui témoigne de la temporalité de notre point de vue.

textuelle ; ce repérage cotextuel relève donc, pour cet exemple, d'une « anaphore infidèle » qui consiste en « une reprise avec changements lexicaux » (Riegel *et al.*, 2009, p. 1038). Pourtant, dans le cas de *Ce garçon est…*, il y a le repérage par rapport à la situation d'énonciation (il se peut que le locuteur accompagne sa parole d'un geste déictique qui est pointé vers quelqu'un présent dans l'espace physique).

2.3. Marqueurs de modalité

Dans un énoncé, on peut distinguer deux « parties » selon Bally :

> [L]'une est le corrélatif du procès qui constitue la représentation […] ; nous l'appellerons […] le *dictum*. L'autre contient la pièce maîtresse de la phrase, celle sans laquelle il n'y a pas de phrase, à savoir l'expression de la modalité, corrélative à l'opération du sujet pensant. La modalité a pour expression logique et analytique un *verbe modal* […], et son sujet, le *sujet modal* ; tous deux constituent le *modus*, complémentaire du dictum. La modalité est l'âme de la phrase ; de même que la pensée, elle est constituée essentiellement par l'opération active du sujet parlant. (1944, p. 36)

Plus précisément, le *dictum* met en relief le contenu d'un énoncé (la représentation d'une chose/d'un fait ou la transmission d'une information *grosso modo*), tandis que le *modus* relève plutôt de « l'attitude du sujet parlant à l'égard de ce contenu » (Charaudeau & Maingueneau, 2002, p. 385), où « [l]a présence des termes modalisants modifie le *dictum* de l'énoncé et le transforme en *modus* » (Büyükgüzel, 2011, p. 132), comme c'est le cas de l'usage des verbes modaux *devoir*, *pouvoir*, *croire*, *vouloir*, etc. ou des adverbes *sûrement*, *franchement*, *évidemment*, etc., qui témoignent de l'implication ou de la prise de position du locuteur vis-à-vis de son énoncé.

Dans la perspective mise au point ci-dessus, les *marqueurs de modalité* ou de *modalisation*[6] « indiquent l'attitude de l'énonciateur à l'égard de son énoncé ; ou de

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6   Il faut signaler toutefois que Büyükgüzel (2011, p. 134) procède à une distinction entre la *modalisation* et la *modalité*, où le premier terme renvoie au « *processus* de réaction à l'égard de l'énoncé » chez le locuteur et le deuxième au « *résultat* qui implique les traces de ce processus, tout comme dans le rapport entre l'énonciation (processus) et l'énoncé (résultat, produit) ». En d'autres termes, la modalisation relève du processus d'énonciation en parallèle avec la production discursive, alors que la modalité en constitue les traces linguistiques au niveau d'énoncé. Büyükgüzel (2011, p. 134) parle également des « modalisateurs » en tant que « marqueurs par lesquels l'énonciateur affiche son attitude face à son énoncé, à son interlocuteur et à la situation d'énonciation ». Pour ne pas prêter à des confusions qui émaneraient de différents choix terminologiques se manifestant chez divers linguistes et pour ainsi opérer plus simplement, nous avons opté pour l'usage des termes *modalité/marques/marqueurs* au sein de cette étude.

son co-énonciateur » : « Le fait que tout énoncé ait une valeur modale, qu'il soit **modalisé** par son énonciateur, montre que la parole ne peut représenter le monde que si l'énonciateur, directement ou non, marque sa présence à travers ce qu'il dit » (Maingueneau, 2007, p. 85). Par ailleurs, les marqueurs de modalité rassemblent simultanément des phénomènes extralinguistiques et linguistiques, et peuvent être soumis donc à la réflexion en deux dimensions qui interagissent constamment selon Meunier :

> Modalité d'énonciation : se rapporte au sujet parlant (ou écrivant). Elle intervient obligatoirement et donne une fois pour toutes à une phrase sa forme déclarative, interrogative ou impérative. [Elle] caractérise la forme de la communication entre Locuteur et Auditeur.

> Modalité d'énoncé : se rapporte au sujet de l'énoncé, éventuellement confondu au sujet de l'énonciation. Ses réalisations linguistiques sont très diverses de même que les contenus sémantiques et logiques qu'on peut lui reconnaître […]. (1974, pp. 13-14)

Les *modalités d'énonciation* réfèrent donc « aux moyens par lesquels le locuteur implique ou détermine l'attitude de l'allocutaire à partir de sa propre énonciation » (Sarfati, 2005, p. 23). Dans cette perspective, à côté des modalités de phrase comme par exemple la déclaration (assertion), l'interrogation, l'injonction et l'exclamation qui entrent en vigueur, elles vont de pair surtout avec les *actes de parole* (*cf.* Austin, 1962/1970) ; autrement dit, à part les « constatifs » (phrases « qui décrivent le réel en termes de vérité ou de fausseté »), la langue témoigne aussi d'un autre type de phrases qui « cherchent à agir sur l'état du monde, à le modifier »[7] : « **Les performatifs servent à accomplir des actes**, des actes 'institutionnels', c'est-à-dire qui n'existent que relativement à une institution humaine et **qui font référence à une convention humaine** » (Bracops, 2010, p. 35). Plus spécifiquement, lorsque le locuteur parle, il entreprend par le langage trois actes simultanément selon Austin (1962/1970) : *locutionnaire*, *illocutionnaire* et *perlocutionnaire*. La production d'un énoncé aux niveaux phonétique, syntaxique et sémantique (c'est-à-dire un énoncé formé des sons, construit conformément à une organisation syntaxique et pourvu d'une signification) relève d'un « acte locutionnaire » ; pourtant, cet acte primaire ne constitue en effet qu'un « objet abstrait qu'il est nécessaire d'articuler sur une énonciation » :

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7   En effet, comme le précise Maingueneau (2007), « [l]e discours est une forme d'action » (p. 31).

> L'acte « illocutionnaire » intervient alors comme l'acte d'énonciation qui prend en considération les relations entre le locuteur et le(s) allocutaire(s) : telle phrase peut constituer une promesse, une menace, un conseil, etc. Austin parle […] de « forces illocutionnaires » ; ces « forces » n'ont de valeur qu'à l'intérieur de conventions définies. Mais ce n'est pas tout : l'acte « perlocutionnaire » renvoie à l'effet produit par l'illocution, ainsi telle question du locuteur peut servir à embarrasser un adversaire, ou à lui permettre de s'intégrer à une discussion, etc. (Maingueneau, 1976, p. 130)

Ainsi l'assertion, la promesse, le conseil, la requête, l'ordre, etc. illustrent-ils quelques-uns des actes de parole qui créent un effet psychologique et/ou actionnel chez l'allocutaire.

À la lumière de ce que nous venons de mentionner ci-dessus, les modalités d'énonciation disposent, de but en blanc, d'une double importance en didactique des LE : elles coïncident tout d'abord avec les « types de phrases » plus ou moins canoniques comme la phrase déclarative, interrogative, exclamative et impérative s'inscrivant chacune à un acte de parole (selon l'intention du locuteur) et ayant une forme affirmative ou négative (Delatour *et al.*, 2004, p. 10). Deuxièmement, par l'intermédiaire des modalités d'énonciation, la théorie d'énonciation se rapproche à la *théorie des actes de langage* (*cf.* Austin, 1962/1970) qui se révèle pertinente dans la perspective didactique, de notre point de vue, au sein de la « compétence fonctionnelle », qui forme, en collaboration avec la compétence discursive, la compétence pragmatique dans le *Cadre européen commun de référence* :

> Cette composante recouvre l'utilisation du discours oral et des textes écrits en termes de communication à des fins fonctionnelles particulières. […] **Les micro-fonctions** sont des catégories servant à définir l'utilisation fonctionnelle d'énoncés simples (généralement courts), habituellement lors d'une intervention dans une interaction. […] **Les macro-fonctions** sont des catégories servant à définir l'utilisation fonctionnelle du discours oral ou du texte écrit qui consistent en une suite (parfois importante) de phrases. (Conseil de l'Europe, 2005, p. 98)

Les macro-fonctions relèvent des séquences textuelles (types de texte à l'oral ou à

l'écrit) à une échelle plus globale, telles qu'elles sont définies par Adam (2011), comme par exemple la narration, la description, l'argumentation, etc., alors que les micro-fonctions correspondent aux fonctions langagières plus spécifiques qui équivalent plus ou moins à un acte de parole bien déterminé (se présenter, parler de son entourage, demander l'adresse à quelqu'un, etc.). Par conséquent, les actes de parole acquièrent une signification à travers les *fonctions langagières* (figurant dans les manuels de FLE par exemple).

La prise en charge des énoncés témoigne tout d'abord d'une subjectivité au niveau actionnel et communicatif chez le locuteur ; il s'en suit que la subjectivité dont il est question ici s'exprime de « tous les moyens linguistiques par lesquels le locuteur manifeste une attitude par rapport à ce qu'il dit » et c'est ainsi qu'on parle des *modalités d'énoncé* portant les traces linguistiques de l'énonciation (Sarfati, 2005, pp. 23-26) et incluant :

- les « substantifs subjectifs » à valeur méliorative ou péjorative comme par exemple *un chauffard*, *un cossard*, etc.,
- les « adjectifs subjectifs » formés de la classe des qualificatifs comme par exemple *drôle*, *important*, *bon*, *utile*, *agaçant*, etc.,
- certains verbes (ou locutions verbales) qui servent d'évaluation subjective ou d'apport de jugement comme par exemple *espérer*, *souhaiter*, *considérer*, *estimer*, *trouver que*, *avoir l'impression que*, etc.,
- les « adverbes modalisateurs d'énoncés » comme par exemple *heureusement*, *sûrement*, *franchement*, *vraisemblablement*, etc.

Dernièrement, les modes verbaux comme le conditionnel et le subjonctif peuvent être classés comme des modalités d'énoncé en vue d'exprimer une hypothèse ou une incertitude comme dans le cas de *On croirait/voudrait/pourrait/devrait/dirait que* … par exemple.

En fin de compte, pour ce qui concerne à la fois les modalités d'énonciation et celles d'énoncé, Charaudeau et Maingueneau (2002) y incluent aussi d'autres phénomènes linguistiques/paralinguistiques comme par exemple l'interjection, l'intonation, la thématisation/la focalisation, etc., qui reposent sur la prise en charge énonciative mais qui ne seront pas traités dans le cadre de cette étude.

2.4. Marqueurs de prise en charge énonciative

De notre point de vue, les *marqueurs de prise en charge énonciative*, où la théorie énonciative va de pair parfois avec la grammaire textuelle, prennent part dans les modalités d'énoncé mais méritent un traitement à part en raison de leur haute valeur énonciative et de leur pertinence à l'oral.

Selon Adam (2005), les *marqueurs de prise en charge énonciative* constituent un sous-ensemble des *connecteurs pragmatiques* (cités dans Riegel *et al.*, 2009, p. 1046), concourent « au fonctionnement du discours » et « marquent généralement l'émergence d'un point de vue, qui n'est pas forcément celui du locuteur, que celui-ci peut ou non prendre en charge » ; ils se répartissent en diverses composantes (Riegel *et al.*, 2009, pp. 1049-1052) :

- les « marqueurs de point de vue » comme les groupes prépositionnels *d'après, selon, pour*, etc.,
- les « marqueurs de reformulation » comme *c'est-à-dire [que]* (locution conjonctive de coordination/subordination), *autrement dit* (locution adverbiale), *en d'autres termes* (locution adverbiale), *à savoir [que]* (locution conjonctive de coordination/subordination), etc.[8],
- les « marqueurs de clôture » (temporels, argumentatifs et/ou énumératifs) comme les adverbes/locutions adverbiales *enfin, finalement, par conséquent, en conséquence, en fin de compte, en somme, en définitive, en résumé, bref*, etc.,
- les « marqueurs de structuration de la conversation » qui « jouent un rôle important dans la structuration des discours oraux », marquent en effet un haut degré d'implication/de subjectivité du locuteur dans son discours au niveau pragmatique plutôt qu'argumentatif :
  - les adverbes comme *bon*, *ben*, *alors*, etc. et la conjonction *mais*, qui indiquent l'ouverture/la clôture du discours ou mettent en relief un sentiment/une réaction émotionnelle du locuteur, comme par exemple dans la phrase *Bon/Ben/Alors/Mais, qu'est-ce que tu fais là ?*
  - les « phatiques » comme *tu vois*, *tu sais*, *n'est-ce pas,* etc. qui « assurent l'entretien du contact avec l'interlocuteur », contrôlent si le canal communicatif avec l'interlocuteur marche bien et/ou recherchent l'adhésion de l'interlocuteur à ce que l'on dit, comme

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8   Les locutions qui fonctionnent comme marqueurs de reformulation ou de clôture sont appelées *adverbes de liaison* ou *adverbes de coordination de phrase* par certains grammairiens (*cf.* Delatour *et al.*, 2004).

par exemple dans la phrase *Je te l'avais dit, tu vois/tu sais/n'est-ce pas, il est fou, ce mec !*[9]

2.5. Polyphonie énonciative

En tant que terme emprunté à la musique, qui renvoie à la cooccurrence harmonique de plusieurs voix dans une pièce, la *polyphonie* désigne selon Mikhaïl Bakhtine (qui a étiqueté et développé ce concept pour la littérature pendant les années 1920) le fait de « faire parler plusieurs voix » dans un texte, ce qui revient à dire que « les textes véhiculent, dans la plupart des cas, beaucoup de points de vue différents », alors qu'en analyse linguistique, Oswald Ducrot (inspiré des travaux de Bakhtine mais aussi ceux de Gérard Genette dans les années 1970 sur la focalisation pour rendre compte de la distinction ou de la superposition des voix du narrateur et des personnages) intègre et élargit ce concept dans le cadre de l'énonciation, si bien que « [l]a polyphonie est associée au niveau de l'*énoncé* » qui « renferme des traces des protagonistes de son énonciation » (Charaudeau & Maingueneau, 2002, p. 444).

Ainsi, Ducrot (1984, p. 183) tente-t-il « de montrer comment l'énoncé signale dans son énonciation la superposition de plusieurs voix » tout en procédant à une distinction opératoire entre surtout le *locuteur* (comme responsable de l'énonciation) et l'*énonciateur* que ce premier fait parler explicitement ou implicitement par une multitude de procédés énonciatifs en vue de se réclamer de divers points de vue ; c'est ainsi que le locuteur devient capable de mobiliser, en supplément à lui-même, divers énonciateurs à l'instar des personnages mis en scène par un narrateur.

La polyphonie s'avère plus délicate dans le cas de la *négation* ou du *conditionnel* (*cf.* Ducrot, 1984 ; Charaudeau & Maingueneau, 2002) : dans une phrase négative, en supplément au locuteur qui y exprime la négation, il s'agit donc de la présence d'au moins un énonciateur (soit une personne avec qui le locuteur est en train de parler soit une personne implicite ou virtuelle), dont les idées (exprimées soit sur place soit quelque part dans le passé) sont soumises à la négation (à une opposition) concernée. Un autre exemple lié à la polyphonie est issu de l'emploi du conditionnel (dans le jargon journalistique par exemple), par l'intermédiaire duquel le locuteur énonce ses propos en se basant sur une information reçue, d'une manière ou d'une autre, d'un tiers, comme

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9   Riegel *et al.* (2009) classent sous les phatiques aussi l'interjection *euh* qui fait preuve d'hésitation ou sert au locuteur d'un moment de réflexion : *Euh, je ne sais quoi dire.*

dans la phrase *Il y aurait eu une dizaine de personnes mortes* (selon les autorités, les témoins, la source qui a transmis cette information, etc.).

Tout en considérant divers procédés/phénomènes énonciatifs (comme l'usage des pronoms personnels, la négation, le discours rapporté, les modalités, l'argumentation, etc.) dont se préoccupe la polyphonie, il nous semble plus intéressant d'exploiter les *marqueurs de point de vue* dans cette perspective car lorsque le locuteur prend d'emblée une position à travers son énoncé, il se situe implicitement et automatiquement par rapport aux autres énonciateurs surtout virtuels.

Méthodologie : élaboration d'une grille d'analyse pour les phénomènes énonciatifs

Comme le précisent Papo et Bourgain (1989), le *repérage des faits énonciatifs* s'avère essentiel dans la didactique du FLE car « il permet d'apercevoir les choix qu'a faits le scripteur pour privilégier tel aspect de la communication qu'il veut établir avec le lecteur à travers les différentes instances du texte » (p. 16). En somme, l'énonciation présente une double importance en didactique du FLE selon nous : elle fournit les moyens linguistiques nécessaires en vue de sensibiliser l'apprenant à certains faits discursifs dans le cadre de la compréhension orale/écrite ; de surcroît, elle sert d'étayage à la construction du discours dans le cadre de la production orale/écrite.

Ceci dit, lors de la prise en compte de la problématique de départ, nous nous proposons d'examiner la *transmission des phénomènes énonciatifs* au sein d'une partie d'un chapitre dans le manuel *Édito* de niveau B2 (Heu & Mabilat, 2015). Sans entrer dans les détails, *Édito* constitue l'un des manuels les plus actuels de FLE mais nous pouvons justifier le choix du manuel surtout par son adhésion à la *perspective actionnelle* en tant que méthode d'enseignement-apprentissage la plus actuelle et efficace de notre point de vue, favorisant ainsi l'autonomie et la compétence communicative chez les apprenants-utilisateurs par le recours à des documents authentiques et à des tâches-projets, tels qu'ils sont décrits et préconisés dans le CECR (Conseil de l'Europe, 2005). Quant à notre choix du niveau B2, nous nous référons aux descripteurs du CECR (2005, pp. 97-98) à propos des rubriques « souplesse » et « cohérence et cohésion » figurant au sein de la compétence discursive, où le niveau B2 marque un tournant décisif dans le cadre de la compétence énonciative (mais aussi à l'égard de l'organisation textuelle à l'écrit ou à l'oral) par rapport aux autres niveaux langagiers (*cf.* Tableau 1).

Tableau 1 : Descripteurs de *souplesse* et de *cohérence-cohésion* au niveau B2 dans le CECR (Conseil de l'Europe, 2005, pp. 97-98)	
Souplesse	
B2	Peut adapter ce qu'il/elle dit et la façon de le dire à la situation et au destinataire et adapter le niveau d'expression formelle convenant aux circonstances.
	Peut s'adapter aux changements de sujet, de style et de ton rencontrés normalement dans une conversation. Peut varier la formulation de ce qu'il/elle souhaite dire.
Cohérence-cohésion	
B2	Peut utiliser avec efficacité une grande variété de mots de liaison pour marquer clairement les relations entre les idées.
	Peut utiliser un nombre limité d'articulateurs pour relier ses énoncés bien qu'il puisse y avoir quelques « sauts » dans une longue intervention.

Méthodologiquement parlant, notre grille d'analyse est fondée sur quatre paramètres essentiels : *plans d'énonciation*, *marqueurs d'embrayage*, *marqueurs de modalité* et *marqueurs de prise en charge énonciative*. Ces quatre paramètres essentiels font appel, à leur tour, à sept sous-paramètres autour desquels les analyses seront effectuées. Ce sont respectivement *plan embrayé*, *plan non embrayé*, *indices de personne*, *indices d'ostension*, *modalités d'énonciation*, *modalités d'énoncé*, *marqueurs de point de vue polyphoniques* (*cf.* Tableau 2).

Tableau 2 : Grille d'analyse pour les phénomènes énonciatifs			
Plans d'énonciation	**Marqueurs d'embrayage**	**Marqueurs de modalité**	**Marqueurs de prise en charge énonciative**
Plan embrayé	Indices de personne	Modalités d'énonciation	Marqueurs de point de vue polyphoniques
Plan non embrayé	Indices d'ostension	Modalités d'énoncé	

Résultats

Dans cette partie, nous tenterons d'effectuer les analyses et de présenter les résultats en fonction des paramètres et des sous-paramètres énumérés auparavant. Ceci dit, nous pensons que le manuel *Édito* (niveau B2) constitue un exemple saillant au traitement de l'énonciation et surtout à la mise en place de la subjectivité du côté du locuteur par l'appareil formel de la langue, même si le guide pédagogique du manuel (Braud, 2015) ne mentionne pas ouvertement les distinctions énonciatives à aborder en classe au sein des consignes données aux professeurs.

De surcroît, nous restreindrons nos analyses à la seule rubrique « vocabulaire/grammaire : exprimer son opinion » (Heu & Mabilat, 2015, pp. 12-13) de la première

unité intitulée « À mon avis » comme contenu didactique dans le manuel *Édito* (Heu & Mabilat, 2015, pp. 9-22) car dans la rubrique en question, les auteurs donnent une liste d'énoncés possibles destinés à l'expression/la demande d'une opinion, où nous nous attendons à une diversité de phénomènes énonciatifs en raison de la thématique.

1. Embrayage comme point de repère de la subjectivité

De notre point de vue, le plan embrayé constitue le point de départ pour l'engagement du locuteur dans son énoncé, si bien que la subjectivité entre automatiquement en vigueur par l'intermédiaire de l'appareil formel de la langue. Il est possible de voir proliférer cette subjectivité surtout autour de l'emploi fréquent du *présent de l'indicatif* dans la rubrique.

Les *indices personnels* y prennent part avec le recours abondant aux pronoms personnels et adjectifs possessifs de la 1ère et de la 2ème personne dans des énoncés comme *Pouvez-vous me donner votre point de vue ? Je suis de votre avis*, *je vous approuve*, *qu'en pensez-vous ?*, etc., où les pronoms acquièrent une signification selon le contexte communicatif et que la subjectivité entre d'emblée en jeu par les modalités déclaratives ou interrogatives.

Parmi les *indices d'ostension*, nous constatons surtout l'usage des déictiques comme le pronom démonstratif neutre *ça* et le pronom clitique sujet *ce* dans le présentatif *c'est* : *Ça ne m'étonnerait pas que…*, *ça dépend*, *ça se peut*, *ça a l'air…*, *ce n'est pas si simple*, *c'est ça*, *c'est peut-être le cas*, etc. Ce qui est pertinent concernant les déictiques, c'est que le pronom *ça* est utilisé très fréquemment dans les énoncés de la rubrique, étant donné qu'il est plutôt réservé à l'oral ; son emploi fait preuve de la primauté accordée par Édito aux traits de l'oralité dans la rubrique.

Néanmoins, comme c'est le cas pour l'usage à valeur anaphorique de l'indice spatial *là* dans la rubrique (dans l'énoncé *Là, tu vas trop loin !* pour exprimer le désaccord), suivant la situation de communication dans laquelle se trouveraient les interlocuteurs, certains usages de *ça/c'est* relèveraient aussi de la reprise d'un élément (ou d'un événement, d'une circonstance, etc.) de discours censé déjà connu de la part de l'allocutaire, de telle sorte qu'il s'agirait plutôt d'une anaphore faisant appel à la mémoire de l'allocutaire : par exemple, dans *Ça dépend* qui renvoie probablement à un élément de discussion antérieur. Par contre, comme c'est le cas par exemple dans la rubrique pour ce qui est de *Ça ne*

m'étonnerait pas que… ou *…C'est sûr, tu te feras des amis*, nous avons affaire évidemment à une cataphore mais aussi au fonctionnement déictique, étant donné que le locuteur attire l'attention de l'allocutaire au niveau cognitif sur ce dont il parle ou va parler.

2. Actes de parole comme raison d'être de l'énonciation

Il s'avère que le locuteur entreprend en effet une action par l'usage de la langue et agit ainsi sur l'état des relations psychosociales (pourvues d'un caractère conventionnel) en influant sur son allocutaire. Bien entendu, les actes de parole sont pertinents en didactique du FLE et surtout dans les manuels à travers les fonctions langagières autour desquelles les thèmes et les unités sont élaborés. En fait, nous ne voyons aucune raison pour ne pas considérer les actes de parole et les fonctions langagières presque comme équivalents.

Dans cette perspective, en tant que *modalités d'énonciation*, il est possible de repérer dans la rubrique examinée des énoncés de type assertif, interrogatif et exclamatif (néanmoins, aucune occurrence de la modalité impérative) comme par exemple *Je vous approuve sans réserve, qu'en pensez-vous ? N'importe quoi ! Tu rigoles !*, etc.

Quant aux *actes de parole* dans le cadre de l'expression d'une opinion, nous pouvons énumérer les suivants : *demander son avis à quelqu'un, refuser de donner une opinion, donner son avis, exprimer ses impressions, exprimer son accord, partager un point de vue, approuver un point de vue en émettant des réserves, exprimer son désaccord, exprimer un désaccord atténué, exprimer la certitude, exprimer l'évidence, mettre en doute, exprimer le doute* et *exprimer la possibilité/l'impossibilité/la probabilité/l'improbabilité*. Ces actes de paroles liés à l'expression d'une opinion offrent aux professeurs de FLE un lieu d'étude idéal pour l'exploitation des phénomènes énonciatifs, vu qu'ils mobilisent à la fois la subjectivité et la prise de position du locuteur à l'égard de ses énoncés.

3. Appareil lexical de la subjectivité

Pour ce qui concerne les *modalités d'énoncé* (c'est-à-dire les substantifs, adjectifs, adverbes et verbes à valeur subjective) dans le cadre de l'expression d'une opinion, ce sont surtout les verbes subjectifs (ou locutions verbales) qui entrent dans diverses constructions de phrase (simple ou complexe) pour exprimer l'opinion : *Qu'en pensez-vous ? Vous croyez que ça en vaut la peine ? Il me semble que…, ça ne fait aucun doute, je*

vous approuve sans réserve, *j'en doute*, *j'en suis persuadé(e)/convaincu(e)*, *je pense qu'il me le dira*, *je trouve que…*, *j'ai l'impression que…*, *j'ai la conviction que…*, *on dirait que…*, *ça se peut*, *il va de soi que…*, *ça m'étonnerait*, etc. Les verbes prennent en charge donc la plupart de la subjectivité lors de l'expression d'une opinion. En outre, nous avons relevé certains emplois à valeur figurative/métaphorique comme dans le cas de *Tu parles !* ou de *Tu veux rire !*, ou encore certaines expressions comme *J'en mettrais ma main au feu*, *j'en mettrais ma main à couper* (pour exprimer l'évidence) ou *Quand les poules auront des dents* (pour exprimer l'impossibilité). En l'occurrence, le seul substantif à valeur subjective dans la rubrique relève de l'emploi du mot *œil* dans l'expression *Mon œil !* (pour exprimer l'incrédulité).

Une autre pertinence provient du fait que les adjectifs subjectifs entrent en jeu surtout dans les constructions attributives : *Ce n'est pas si simple*, *c'est absurde/aberrant/ ridicule/délirant*, *je n'en suis pas si sûr(e)*, *c'est indubitable/incontestable*, *il est clair/manifeste que…*, *ça a l'air + adjectif*, *je trouve + adjectif + que…*, *ça me laisse perplexe*, *ça me paraît invraisemblable/inimaginable*, *c'est peu probable*, *c'est faisable*, etc.

Quant aux adverbes (ou locutions adverbiales) modalisateurs, ils sont exploités dans le cadre de l'approbation/l'accord, le doute ou la probabilité : *certes*, *effectivement*, *absolument*, *évidemment*, *exactement*, *sûrement*, *en effet*, *tout à fait*, *bien sûr que oui*, *sans doute*, *pas forcément*, *probablement*, *peut-être*, etc. Par ailleurs, certains adverbes de quantité concourent à l'ajustement du degré de subjectivité : *Vous avez bien raison*, *pas tant que ça*, *il faut bien se rendre à l'évidence*, *je n'y crois pas trop*, etc.

Dernièrement, nous avons repéré, dans le cadre des modalités d'énoncé, trois occurrences de l'emploi du conditionnel (suivi du subjonctif) pour mettre en place une hypothèse ou une impression : *Ça ne m'étonnerait pas que + subjonctif*, *il semblerait que + subjonctif* et *il se pourrait bien que + subjonctif*. L'emploi du subjonctif est donc surtout lié à la construction qui le précède dans ces constructions conditionnelles et aussi dans d'autres cas qui le nécessitent, comme par exemple pour *il est possible que + subjonctif*.

4. Polyphonie dans les marqueurs de point de vue

Il est possible de constater certains phénomènes de polyphonie typiques dans la rubrique ; à titre d'exemple, il convient de mentionner :

- l'emploi du pronom personnel de la deuxième personne comme dans *Pouvez-vous me donner votre point de vue ?*, où il s'agit de la coprésence du locuteur et de l'interlocuteur à qui le locuteur s'adresse,
- la négation dans la construction elliptique *pas forcément*, qui constitue la réponse du locuteur qui contredit un autre énoncé antérieur ; donc il s'agit ici aussi de la coprésence sous-jacente de deux locuteurs,
- le discours rapporté dans l'énoncé *Il me semble que Nadia a dit que la France est un pays de culture*, où le locuteur qui énonce ce propos renvoie aux propos d'autrui.

Pourtant, l'emploi des marqueurs de point de vue s'intégrant dans les marqueurs de prise en charge énonciative nous paraît plus délicat. Dans la rubrique, les auteurs du manuel recommandent certaines locutions prépositives (pour donner son avis à un autre) parmi lesquelles nous pouvons citer *à ma connaissance*, *d'après moi*, *quant à moi*, *pour moi*, *pour ma part*, *à mes yeux*, *de mon point de vue*, *sauf erreur de ma part*, etc. Ces locutions sous-entendent plus ou moins la présence d'un autre énonciateur réel ou virtuel, d'un autre point de vue, d'une autre position ou d'une autre opinion à propos d'un sujet. D'ailleurs, lorsque le locuteur se positionne subjectivement en prenant en charge son énoncé, c'est par rapport à cet énonciateur réel ou virtuel (qui aurait dû dire quelque chose à ce propos dans le passé immédiat ou lointain) qu'il exprime son opinion. Par conséquent, les marqueurs de point de vue présentent une polyphonie au plein sens du mot.

En guise de conclusion

Dans ce présent travail, nous avons tenté d'exploiter la transmission de certains phénomènes énonciatifs en relation avec l'*expression d'une opinion* dans une rubrique d'un chapitre du manuel *Édito* pour le niveau B2. Pour ce faire, nous avons effectué nos analyses autour de 4 paramètres : *plans d'énonciation*, *marqueurs d'embrayage*, *marqueurs de modalité* et *marqueurs de prise en charge énonciative*.

De prime abord, nous avons constaté que les pronoms personnels/adjectifs possessifs de la 1ère/2ème personne, le pronom démonstratif *ça* et le présentatif *c'est* servent surtout d'*embrayage*.

En deuxième lieu, les énoncés de type assertif/interrogatif/exclamatif constituent les diverses *modalités d'énonciation*, alors qu'il est possible de privilégier certains *actes de parole* spécifiques dans le cadre de l'expression d'une opinion.

Troisièmement, pour ce qui est des *modalités d'énoncé*, certains verbes d'opinion et certains adjectifs à construction attributive assurent au niveau lexical la plupart de la subjectivité.

Dernièrement, certains marqueurs de point de vue sous forme de locutions prépositives servent de *prise en charge énonciative* mais contribuent aussi à la *polyphonie énonciative*.

De notre point de vue, la pertinence des résultats cités ci-dessus en didactique du FLE peut être résumée comme suit : lors de la considération générale des objectifs communicatifs et langagiers que l'on se fixe en vue d'améliorer la production orale et la production écrite (par exemple, suivant les descripteurs proposés dans le CECR), la transmission des faits énonciatifs en classe s'avère primordiale dans le cadre de la compétence discursive et donc pragmatique.

Bien entendu, afin que l'apprenant-utilisateur puisse s'approprier les stratégies adéquates, qui sont destinées à mener à bien la communication orale ou écrite, pour la réalisation des activités de classe et en situation réelle face à un locuteur natif, il convient d'octroyer une importance particulière aux faits énonciatifs qui se rapportent surtout à l'expression d'une opinion et comme le montrent les résultats de ce travail, il faut surtout sensibiliser les apprenants-utilisateurs aux phénomènes langagiers suivants :

- l'emploi des présentatifs (surtout pour la structuration du discours oral),
- la modalité assertive (mais aussi celle interrogative pour demander l'avis d'un allocutaire),
- certains actes de parole correspondant aux fonctions langagières et servant ainsi de points de repère communicatifs (dans les manuels et dans les activités en classe),
- certains verbes ou adjectifs exprimant l'opinion en tant que modalités d'énoncé et certaines locutions prépositives comme marqueurs de prise en charge énonciative.

Parmi les phénomènes énumérés ci-dessus, nous tenons à mettre en relief, dans le cadre de la structuration de l'énonciation, les actes de parole qui équivalent plus ou

moins aux fonctions langagières (présentant ainsi l'aspect actionnel de l'usage langagier) et les catégories lexico-syntaxiques (c'est-à-dire les adjectifs, les verbes et les locutions prépositives) qui témoignent d'une subjectivité.

En effet, les actes de parole en rapport avec l'expression d'une opinion se regroupent globalement autour de la macro-fonction (dont la définition est fournie par le CECR, *cf. supra*) d'*argumentation*. L'argumentation revêt une importance particulière en didactique du FLE par rapport à d'autres types de macro-fonction (notamment la narration, l'explication et la description), pour la simple raison que la culture éducative française (ou la vision du monde générale de la culture française) y accorde la primauté pour développer le sens critique chez l'apprenant-utilisateur.

Dans l'optique soulignée ci-dessus, il s'avère que les manuels de FLE et les activités communicatives langagières qui y sont préconisées en relation avec l'argumentation (comme par exemple un monologue suivi, un exposé, un débat, une dissertation dialectique, etc.) promeuvent aussi à leur tour la construction du discours argumentatif, où les phénomènes énonciatifs jouent un rôle considérable, étant donné qu'ils permettent d'équiper l'apprenant-utilisateur des moyens linguistiques nécessaires pour une telle construction.

Similairement, certaines catégories lexico-syntaxiques en rapport avec l'énonciation permettent à l'apprenant-utilisateur de s'approprier une subjectivité et de s'impliquer ainsi dans ses énoncés (en général pour des motifs argumentatifs, tantôt lors d'un débat, tantôt dans une conversation quotidienne ordinaire). Par conséquent, la transmission des phénomènes linguistiques liés à l'énonciation demeure essentielle à la didactique du FLE.

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The Burial of Ambivalence in Edgar Allan Poe's *The Cask of Amontillado*

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ABSTRACT

In Edgar Allan Poe's short story *The Cask of Amontillado*, Fortunato's captivity by
Montresor in the middle of a carnival with no explanation amazes readers and leaves
many unanswered questions in readers' minds, thereby leading to reductionist
interpretations of the story. Each of these readings leaves some elements in the story
in ambiguity, failing to integrate them into a totalizing interpretation of the story.
The reading of the story in relation to the Freudian concept of the uncanny, however,
helps us to understand the motive behind the murder, by revealing the unconscious
mechanisms at work. In light of this, this study argues that as a murder story involving
the cruel death of a helpless victim on the surface level, *The Cask of Amontillado* is
based on what is left unsaid in the narrative. It arouses the sense of the uncanny, as
what Montresor says on the conscious level in the guise of the *heimlich* turns out to
be, on the unconscious level, actually a phantasy of acting out the repressed wishes
that he had pushed back to the darkest recesses of his psyche because of their
disturbing threat to his egotistical unity.

Keywords: Edgar Allan Poe, *The Cask of Amontillado*, Sigmund Freud, the uncanny,
psychoanalytical criticism

Introduction

Told from the perspective of an intradiegetic narrator, Montresor, Edgar Allan Poe's short story *The Cask of Amontillado* (1846) goes back to the soul-shattering memory of a brutal murder committed 50 years ago in a carnival season.[1] Ending simply with Montresor's heartfelt(!) blessing of "In pace requiescat!" (Poe, 2011, p. 188) for Fortunato, whom he had mercilessly murdered below his palazzo, the story presents a menacing atmosphere mixed with tension, suspicion and fear. Adding to the story's unexplained complication, Montresor never clarifies the motive behind the murder, apart from stating that "[t]he thousand injuries of Fortunato I had borne as I best could, but when he ventured upon insult I vowed revenge" (Poe, 2011, p. 181). Another possible reason for his attempt is vaguely hinted at between the lines. The narrator regards himself as an expert in wine tasting, and the only genuine rival to him is Fortunato. Another element that hints at a possible rivalry is, as his name implies, his lucky standing in life. Fortunato represents the best in every sense of the term, as Montresor says to him, "Your health is precious. You are rich, respected, admired, beloved; you are happy, as once I was. You are a man to be missed" (Poe, 2011, p. 184). In such a context, Fortunato appears as a rival who leads the narrator to narcissistic aggression due to his inability to feel narcissistic omnipotence in Fortunato's presence. In other words, Fortunato represents the glorified mirror image that makes Montresor feel inferior to him. Because of his hatred for Fortunato due to an offense that he never makes explicit, Montresor wants to take revenge on him and asks him to come with him to sample a cask of Amontillado. Then, they descend a long staircase and find themselves among Montresor's family catacombs in the wine cellar, after passing through damp tunnels beneath the palazzo. Having arrived at the catacombs, Montresor chains Fortunato to a wall and kills him by burying him alive. Montresor literally builds a hall in the

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1   The story is narrated by Montresor who, as an intradiegetic narrator, tells down to the last detail how he murdered Fortunato. Being unable to stand Fortunato's insult after the thousand injuries that he had borne as best as he could, Montresor decides to take revenge on him. Choosing the time of the carnival for the punishment of his victim so that he can benefit from his drunken and clownish state, Montresor lures Fortunato into his palazzo with the promise of a taste of Amontillado that he has just purchased. After coming to the palazzo, which he has emptied by sending his attendants to the carnival, they take two torches and pass through labyrinthine rooms in search of the wine. Then, they descend a long staircase into the damp ground of Montresor's family catacombs. In the underground chamber, surrounded by dust and bones, Fortunato finds it difficult to breathe and he begins coughing. However, Fortunato still goes on insulting Montresor because he does not remember his family arms and is amazed at the thought of his being a member of the brotherhood. After this, they continue their search for Amontillado. When they arrive at the deepest crypt, Montresor chains Fortunato to a wall and buries him alive by building a new wall around him. Stating that no one has disturbed Fortunato's bones for fifty years, Montresor ends the story with an ironic blessing of peace.

deeper recesses of his cellar to imprison him. With its many narrative gaps, the story is regarded as a riddle that leaves many questions unanswered and its interpretation does not go beyond the story of a murder committed for no reason at all. A close reading of the story in relation to the Freudian concept of the uncanny, however, goes beyond such a reductionist interpretation as it sheds light on the motives behind the murderous act and decodes its mystery by directly penetrating the intricacies of Montresor's unconscious. In light of this, this study argues that by offering insight into narrative gaps, the Freudian idea of the uncanny helps us both to weave the narrative elements into a coherent pattern and to get glimpses of Montresor's unconscious mechanisms.

The way Montresor tells the story of how he murdered Fortunato triggers a sense of the uncanny because what he says on the conscious level offers an insight into his dark psychic recesses and testifies to the return of the repressed *heimlich* in the form of the *unheimlich*. Fortunato speaks to Montresor's unconscious in his threatening role. That is, he triggers some unconscious reactions in Montresor. Several times in the story, Montresor expresses his admiration for Fortunato for his being not only an expert in wine but also for being a man of wealth, respect and happiness. Montresor's appreciation of Fortunato reflects that he sees him as his narcissistic rival, as his idealized image. Also, Fortunato's murder reveals what a huge threat he poses to Montresor's egotistical unity and self-esteem because of his perfection. One focus of the article will be how Fortunato, as Montresor's narcissistic rival, metamorphoses into an uncanny element and how this element leads Montresor to a womb phantasy. Reflecting the *unheimlich* in the guise of the *heimlich*, Montresor's palazzo, with its damp vaults and catacombs below, takes on the role of his unconscious. The cellar of the palazzo acts as the displaced form of a uterus, as it is accessed by long stairs. As Freud (2001) states, while "all elongated objects, such as sticks, tree-trunks and umbrellas (the opening of these last being comparable to an erection) may stand for the male organ," "boxes," "cases," "chests," "cupboards," "ovens," "hollow objects," "ships" and "vessels of all kind" assume the role of "the uterus" (*Standard Ed.*, *Vol. 5*, p. 354). Descending the stairs, Montresor treats his palazzo as a womblike environment where he can feel secure and his choice to bury Fortunato here proves to be not a random act, given the pleasure he feels. Montresor's burying Fortunato alive evokes another uncanny effect in the story. This unfamiliar way of killing triggers the uncanny as it acts both as a displaced fear of premature burial and of the death instinct. It can also be interpreted as a pervert transgressive act, given that it reflects the undervaluation of the reality

principle by the pleasure principle or a literalization of a metaphorical process. Montresor literally buries the glorified image, which bothers him, rather than repressing the sense of inferiority inspired by Fortunato.

The Burial of Ambivalence in Edgar Allan Poe's *The Cask of Amontillado*

Giving insight into the return of the personal *heimlich*, the uncanny feeling is evoked firstly by Fortunato's complexity of character and the ambivalence embodied in it. Montresor's account of how he killed Fortunato reveals his unconscious mechanisms, which can explain his real motives. Looking at the connotations of his name might shed further light on Fortunato's implications for Montresor. Meaning "fortunate, wealthy, happy, or more generally, because of its derivation from the verb *fortunare*, blessed by the goddess Fortuna or random fate" (Scott, 2004, p. 87), Fortunato presents a model of perfection for Montresor. Montresor perceives their interaction in binary terms and locates himself on the opposite leg of this binarism. The name also symbolizes "Montresor's low estate, his agonizing remembrance of power and his present spiritual impotence" (Sova, 2007, p. 44). Moved by the wealth and prominence Fortunato has attained by "chance" rather than by "personal virtue" (Baraban, 2004, p. 51), Montresor adopts a changing attitude towards Fortunato. He not only expresses admiration for Fortunato and feels an irresistible urge to kill him for his insulting perfection but also hints at his hollowness. For instance, He says: "he had a weak point, this Fortunato, although in other regards he was a man to be respected and even feared" (Poe, 2011, p. 181). Then, he implies that he is shaped by pretense and deception: "few Italians have the true virtuoso spirit. For the most part their enthusiasm is adopted to suit the time and opportunity, to practice imposture upon the British and Austrian *millionaires*" (Poe, 2011, p. 181). Likewise, he adds, "in the painting and gemmary, Fortunato, like his countrymen, was a quack, but in the matter of old wines he was sincere" (Poe, 2011, p. 181). The way he depicts not only the strengths of Fortunato but also his weaknesses at such points as painting and gemmary seems to create confusion concerning the role of Fortunato as the ideal model for him. However, the intensity of his hatred and jealousy implies that he feels the need to insert such negative expressions about Fortunato so that he can escape confronting his captivation by Fortunato's enchanting perfection on an unconscious level. In this way, the negative statement "He had a weak point" (Poe, 2011, p. 181) preceding his complimentary expressions about Fortunato acts as a defense mechanism to resist his threatening feelings of envy through negation.

As Freud (2001) states, "the content of a repressed image or idea can make its way into consciousness, on condition that it is *negated*" (*Standard Ed.*, *Vol. 19*, p. 235). Furthermore, he cannot help comparing himself to Fortunato after boosting him. Having stated that Fortunato was skillful in the matter of old wines, he adds, "[i]n this respect I did not differ from him materially; — I was skillful in the Italian vintages myself, and bought largely whenever I could" (Poe, 2011, pp. 181-182). Comparing himself to Fortunato in terms of his financial status and skill in Italian wines, he reveals his narcissistic yearning through the mechanism of negation. This is exactly what Freud (2001) means when he defines a way of "taking cognizance of what is repressed" and "a lifting of the repression," "though not, of course, an acceptance of what is repressed" (*Standard Ed.*, *Vol. 19*, p. 236). Thus, this negation becomes a formula of his painful inferiority in the face of Fortunato's perfection.

Repressing his painful state of mind, Montresor addresses Fortunato with such sincere terms as "My dear Fortunato" and seems to feel happy for encountering him: "You are luckily met" (Poe, 2011, p. 182). In this way, he covers his malice towards his narcissistic rival. Regarding the concept of narcissistic rival, Freud (2003) argues that "a person may identify himself with another and so become unsure of his true self; or he may substitute the other's self for his own. The self thus may be duplicated, divided and interchanged" (p. 142). This motif, called "the double" in Rank's terms, attains an uncanny quality, deriving from the fact that though being "a creation that belongs to a primitive phase in our mental development, a phase that we have surmounted, in which it admittedly had a more benign significance," "the double has become an object of terror, just as the gods become demons after the collapse of their cult" (Freud, 2003, p. 143). By his simultaneous evocation of the feelings of sympathy and terror, Fortunato stands as Montresor's narcissistic rival. After persuading Fortunato to sample Amontillado, Montresor's self-control dissolves and he aims to annihilate his narcissistic rival, who surpasses him and who damages his narcissistic omnipotence. On entering the palazzo and descending the long stairs opening into the damp ground of the catacombs below, Montresor's reality principle dissolves and he is overruled by his unconscious drives. Thus, he reveals how worthless he feels when compared to his narcissistic rival, Fortunato: "Your health is precious. You are rich, respected, admired, beloved; you are happy, as once I was. You are a man to be missed. For me it is no matter" (Poe, 2011, p. 184). In his words, we smell the nostalgic yearning for his long-lost omnipotence, which is represented by Fortunato, and also the immensity of the threat posed by Fortunato to his present self. He tells Fortunato later, "you will be ill, and I cannot be responsible"

(Poe, 2011, p. 184). So Montresor cannot stand up against the pressure of his unconscious forcing him to annihilate his narcissistic rival, which arouses in him a feeling of inferiority. This feeling of inferiority does not leave Montresor in peace, thereby clarifying also "the thousand injuries" and "the insult" he complains about in the opening sentence. In their relationship, on the one hand, he seems to be considerate about Fortunato's health. On the other hand, he triggers the jealousy Fortunato feels for Luchesi, whom Fortunato calls an "ignoramus" (Poe, 2011, p. 186). This small detail shows that there is a similar rivalry between Fortunato and Luchesi, and Montresor is well aware of it and deliberately refers to it.

Fortunato offends Montresor not only by being greater than him in every aspect but also by deliberately humiliating him with face-threatening speech acts. He begins his verbal attacks by asking Montresor about his family coat of arms, which shows his "feudal family's fall as concomitant with the rise of capitalism" (White, 1989, p. 553). When Fortunato shows his ignorance of Montresor through his simple but sharp statement, "I forget your arms," Montresor's reply is, "A huge human foot d'or, in a field azure; the foot crushes a serpent rampant whose fangs are embedded in the heel" (Poe, 2011, p. 184). Montresor's answer reflects the traumatizing intensity of Fortunato's humiliating attitude towards him and also foreshadows the forthcoming violence to which he will expose Fortunato, given that he likens him to a serpent which is to be killed. Fortunato also despises Montresor when he forgets his motto: after asking about his coat of arms, he asks him "And the motto?" and Montresor answers, "Nemo me impune lacessit" ("No one injures me with impunity") (Poe, 2011, p. 184). Moreover, upon Montresor's answer, he pedantically adds "Good!" (Poe, 2011, p. 184). What is worse, Fortunato harms Montresor's self-esteem regarding his social reputation when he, with a cynical tone of voice, implies that he cannot be a member of the brotherhood:

> 'You do not comprehend?' he said.
> 'Not I,' I replied.
> 'Then you are not of the brotherhood.'
> 'How?'
> 'You are not of the masons.'
> 'Yes, yes,' I said; 'yes, yes.'
> 'You? Impossible! A mason?'
> 'A mason,' I replied.
> 'A sign,' he said, 'a sign.'

> 'It is this,' I answered, producing from beneath the folds of my *roquelaure* a trowel.
> 'You jest,' he exclaimed, recoiling a few paces. 'But let us proceed to the Amontillado'. (Poe, 2011, p. 185)

As in the above lines, no matter how hard Montresor tries, he cannot persuade Fortunato about his membership in the brotherhood. Although he also displays a trowel, "a legitimate tool of Masonry itself," discerning that "authentic recognition is key to brotherhood" (Foy and Lambo, 2015, pp. 254-255), he fails in his attempt because Fortunato remains insistent on not taking him at his word. The irony of situation here is that Montresor has a feeling that he can grasp only the literal meaning of masonry rather than the network of power which is charged with masculine or phallic energy. As Baraban (2004) points out, Fortunato's refusal to remember neither the coat of arms nor the motto of the Montresors reveals that their conflict is rooted in an earlier time:

> The display of family insignia was an indispensable part in the life of a socially prominent nobleman. Since a rich and a powerful man cannot remember the Montresors' insignia, it is logical to assume that Montresor was not an active participant in the life of social aristocracy. Montresor's inability to recognize a secret sign of the freemasons made by Fortunato and the latter's remarks 'Then you are not one of the brotherhood', also imply that Montresor is probably a bit of a recluse. Fortunato is definitely more powerful than Montresor. (p. 51)

As Baraban underlines, Montresor's inability to become an active member of the life of social aristocracy speaks of his marginal status in the social world and his problematic relation with the markers of patriarchal culture. In this battle of power between the two socially contrasting antagonists, "the nobleman Montresor" and "the nouveau riche, bourgeoisie Fortunato" (Benton, 1991, p. 184), Montresor's insistence on being one of the brotherhood shows how much he suffers from his marginal status and it paves the way for him to counter this humiliating gaze. As Fortunato has a very low opinion of him, Montresor feels traumatized. However, he never reveals his plan of murder, in the same manner as he tries to look considerably silent or unconcerned when Fortunato does not believe his claim that he is a member of the brotherhood. Though wearing the mask of a smiling face to hide his burning hatred for Fortunato, his smile shifts from the familiar to the menacing, as he states, "I continued, as was my wont, to smile in his face,

and he did not perceive that my smile now was at the thought of his immolation" (Poe, 2011, p. 181). He hides beneath the mask of this smile a sense of pleasure derived from the forthcoming idea of Fortunato's death. The peak of this sense of pleasure is when Montresor makes Fortunato beg of him "For the love of God, Montresor!" (Poe, 2011, p. 188). As Kishel (1982) claims, "stripped of its direct address, the plea 'For the love of God' becomes a beggar's traditional cry for alms, commonly heard in the street" and "Montresor, of course, would have enjoyed hearing his successful friend reduced to the beggary that must have haunted his own declining fortunes" (p. 30). Reducing Fortunato to the state of a beggar and "systematically denying every impulse represented by 'the noble Fortunato,'" Montresor "restores the perfect, lucid order that prevailed when the Montresors 'were a great and numerous family'" (Poe, 2011, pp. 188-184) and he tries to attain "a mental equilibrium" (Stepp, 1976, p. 451), though ending in failure.

A sense of the uncanny is evoked secondly through the womb phantasy concretized in the form of travel into the deeper layers of Montresor's palazzo. Montresor's womb phantasy is reflected initially by the physical description of the place that he chooses for Fortunato's destruction. Here, one cannot help referring to Freud (2001), who in his *The Interpretation of Dreams* claims that many "dreams, often accompanied by anxiety and having as their content such subjects as passing through narrow spaces or being in water, are based upon phantasies of intra-uterine life, of existence in the womb and of the act of birth" (*Standard Ed., Vol. 5*, p. 399). Similarly, the palazzo to which Montresor takes Fortunato stands as a womblike environment with its dark grounds descended by a long winding staircase and opening to several interwoven corridors lying in unplumbed darkness. For instance, to enter into the labyrinthine passages of the palazzo's murky ground, they need light, and Montresor says, "I took from their sconces two flambeaux, and giving one to Fortunato, bowed him through several suites of rooms to the archway that led into the vaults" (Poe, 2011, p. 183). Even though they take flaming torches with them so that they can see what lies ahead, they never have clear vision because the heavy and smothering state of the deep crypt with its "foulness of the air" causes their flambeaux "rather to glow than flame:" "It was in vain that Fortunato, uplifting his dull torch, endeavored to pry into the depth of the recess. Its termination the feeble light did not enable us to see" (Poe, 2011, pp. 185-186). In addition to this misty and stuffy atmosphere, which is also reflected by Fortunato's coughing ("Ugh! Ugh! Ugh!-ugh! ugh! ugh!-ugh! ugh! ugh!-ugh! ugh! ugh!-ugh! ugh! ugh!" (Poe, 2011, p. 183)), the unknown depths of the cellar, to which there is no easy access, become another sign of the womb phantasy:

> At the most remote end of the crypt there appeared another less spacious. Its walls had been lined with human remains, piled to the vault overhead, in the fashion of the great catacombs of Paris. Three sides of this interior crypt were still ornamented in this manner. From the fourth side the bones had been thrown down, and lay promiscuously upon the earth, forming at one point a mound of some size. Within the wall thus exposed by the displacing of the bones, we perceived a still interior crypt or recess, in depth about four feet, in width three, in height six or seven. It seemed to have been constructed for no special use within itself, but formed merely the interval between two of the colossal supports of the roof of the catacombs, and was backed by one of their circumscribing walls of solid granite. (Poe, 2011, pp. 185-186)

As shown by Montresor's account above, even when they arrive at the most remote end of the crypt, they confront another interior recess and they can never be sure about the final border of the ground because of its convoluted state. Echoing the psychological depth of the story, the deep-reaching position of the labyrinthine ground, which allows no easy entrance, takes on the role of a womb where the ovum waits to be fertilized in the deeper layers of the uterus, covered in darkness and moisture. In addition to the physical description of the wine cellar, which arouses the sense of the uncanny with its womblike darkness, moisture and depth, the motive behind Montresor's going into that remote vault objectifies his womb phantasy as it unveils the feeling of insecurity and fear of Fortunato lying deep in his heart. As Freud (2001) states, in order to escape the menace, the ego resorts to "a temporal regression to infancy" and "in extreme cases, to a time when the subject was in his mother's womb and protected against the dangers that threaten him in the present" (*The Standard Ed., Vol. 20*, p. 127). Similarly, in the face of Fortunato, who outmatches him in all aspects as a threat to his ego boundaries, Montresor resorts to an intra-uterine regression so that he can be stripped of the dangers of the external reality. The analysis of how he kills Fortunato uncovers his womb phantasy further, although he verbalizes it as an ordinary murder committed in the darkness of a cellar. He prefers to put an end to Fortunato's existence not in front of everybody, in the open space of the carnival, but rather in the wine cellar surrounded by his family catacombs—in other words, not in the domain of the father, which is represented by culture, but in the domain of the mother, the repressed member of the family, which is represented by the cellar. By taking him away from the huge crowds of people who gathered for

the carnival celebration and making him pass along the narrow corridors of his palazzo, he solidifies his process of regression into his intra-uterine existence. The fact that it is the carnival time contributes to the sense of the uncanny, as it is the time for the unleashing of repressed desires on a communal level. Luring him into the vaults on the damp ground, he wants to relieve his unconscious from the tension of the disturbing psychic material and thereby to return to the sterilized state of an embryo in his mother's womb. His phantasy is implied also by how he persuades Fortunato to come with him. He convinces Fortunato to descend the stairs opening to the damp ground of the wine cellar by asking him to sample a cask of Amontillado, and at the very moment they arrive at the desired wine cellar, Fortunato finds himself surrounded by walls all around. In this way, while Montresor turns into an embryo in the cask that represents the womb, Amontillado takes on the role of amniotic fluid because he is forced to be reborn by the force of wine. Wine, a liquid of intoxication, contributes to the unleashing of desires. As such, with the cask of Amontillado, which symbolically represents not only intra-uterine regression but also the dominance of the pleasure principle over the reality principle (given the wine's silencing influence on the ego), Montresor wants to get rid of the difficulty of confronting himself. His repressed anxiety comes to the surface with the difficulty he has in facing himself and the expectations of the wider world, and also with his attempt to get away from the presence of others by taking shelter in the womb, the cellar. His emptying of the palazzo before descending into the vault implies, for instance, that he wants to pull away from those around him by hiding in a protected place where he will not feel the need to assert who he is or what "a great and numerous family" the Montresors were (Poe, 2011, p. 184)—that is, where he will be protecting himself from the threat of external forces to his egotistical unity:

> There were no attendants at home; they had absconded to make merry in honor of the time. I had told them that I should not return until morning, and had given them explicit orders not to stir from the house. These orders were sufficient, I knew well, to ensure their immediate disappearance, one and all, as soon as my back was turned. (Poe, 2011, p. 183)

As reflected in the lines given above, Montresor encourages the attendants in an ironic way to go away so that he can get rid of the menace of their gaze, acting as the superegoized self. This prepares the perfect setting to act out his womb phantasy and to escape the danger of punishment that might be given by the wider world.

Through his phantasy to return to the embryonic state and to be reborn by pushing Fortunato into the womblike environment of his wine cellar, Montresor also indirectly fulfills his phantasy of having an incestuous affair with his mother, as Freud (2001) states: "the phantasy of re-birth" is "in all probability regularly a softened substitute (a euphemism, one might say) for the phantasy of incestuous intercourse with the mother" (*Standard Ed., Vol. 17*, pp. 101-102). Thus, "there is a wish to be back in a situation in which one was in the mother's genitals" where "the man is identifying himself with his own penis and is using it to represent himself" (*Standard Ed. Vol. 17*, 2001, p. 102). Montresor's taking Fortunato to his labyrinth-like wine cellar implies that he wants to inject more energy to the field of the pleasure principle through his regression. As stated above, driving the servants away, he wants to evade the gaze of the external world. At this point, Fortunato's statement "Will not they be awaiting us at the palazzo, the Lady Fortunato and the rest? Let us be gone" becomes important as it signals the beginning of Montresor's rebirth with Fortunato, given that Fortunato uses not a singular but a plural pronoun in "Let us be gone" (Poe, 2011, p. 188). Apart from signaling their rebirth, the mention of Lady Fortunato gives clue about the reason why Montresor feels the need to be in his mother's womb, thereby reflecting one more motive behind the murder. While Fortunato has his Lady Fortunato, whom he thinks would be worried about his absence, Montresor has no such female figure in whom he can see the image of his mother and feel the security of a newborn baby. Disgusted at the thought of having no imago who could give him the image of an omnipotent man in the conscious world, he decides to return to the womb of his mother and, in the psychic space of the cellar, regain the lost feeling of wholeness that comes from union with the mother. As Freud (2001) argues, "for a man who is impotent (that is who is inhabited by the threat of castration), the substitute for copulation is a phantasy of returning into his mother's womb" (*The Standard Ed., Vol. 20*, p. 139). Similarly, by his incestuous phantasy, Montresor acts out his wish to attain a competent image of himself and to replace the role of the father.

Though giving him the chance to return to the security of his mother's womb and fulfill his Oedipal wishes, the perverse transgressive act of having union with the mother, however, does not prevent him from re-experiencing the same traumatic effect at birth. As the indicator of Montresor's going through an intra-uterine regression, his experience of rebirth is shown both through the anxiety that grips him on the verge of entering the cellar (the womb), and through the excitement that leaves him almost paralyzed with hope at the thought of a new birth—a new identity which is implied by the

atmosphere of the carnival mixed with tension and elation. "The act of birth" stands as the "first experience of anxiety, and thus the source and prototype of the affect of anxiety" (*Standard Ed. Vol. 5*, 2001, pp. 400-401). Likewise, even the very first idea of entering into the cellar triggers a sense of distress in Montresor. Though cunningly tempting Fortunato to come with him, he procrastinates regarding going underground with such excuses as the dampness of the vaults below, the coldness of the air and the probability that Fortunato might have an engagement with Luchesi:

> 'Come, let us go.'
> 'Whither?'
> 'To your vaults.'
> 'My friend, no; I will not impose upon your good nature. I perceive you have an engagement. Luchesi—'
> 'I have no engagement; —come.'
> 'My friend, no. It is not the engagement, but the severe cold with which I perceive you are afflicted. The vaults are insufferably damp. They are encrusted with nitre.
> 'Let us go nevertheless. The cold is merely nothing. […]'. (Poe, 2011, pp. 182-183)

While it is Montresor who offers the suggestion that they descend into his wine cellar to sample a cask of Amontillado, this offer seems to have been made by Fortunato, given that persuasive expressions such as "'Come, let us go,'" "'Let us go nevertheless'" and "'The cold is merely nothing'" (Poe, 2011, pp. 182-183) are used by Fortunato. By his timidity in carrying out his plan of descending into the damp ground of the palazzo, Montresor seems to be avoiding the anxiety of the birth trauma. Behind his timidity might lie the feeling of uneasiness from which he suffers due to the pain of the rebirth by intra-uterine regression. His feeling of anxiety about rebirth is also implied when he says "'We will go back'" (Poe, 2011, p. 184) and repeats the same excuse about the dampness and the increasing nitre lying below to dissuade Fortunato from proceeding on their way underground: "'The nitre!' I said; 'see, it increases. It hangs like moss upon the vaults. We are below the river's bed. The drops of moisture trickle among the bones. Come, we will go back ere it is too late. Your cough—'" (Poe, 2011, p. 185). In addition, voicing the painful reminiscences of his traumatic birth experience, he depicts himself as if he had been dragged into the cellar by the force of Fortunato, as he says, "Thus speaking, Fortunato possessed himself of my arm; and putting on a mask of black silk

and drawing a roquelaure closely about my person, I suffered him to hurry me to my palazzo" (Poe, 2011, p. 183). Baraban (2004) claims that Montresor uses the verbs "to possess" and "to suffer" not accidentally and he relates his choice of these verbs to his having a "better aristocratic lineage" than Fortunato, though being not as "wealthy" and "powerful" as him: "he 'suffered' when his offender virtually led him to his palazzo because etiquette does not allow minor aristocracy the liberty of touching someone of more noble origin" (p. 51). However, Montresor's deliberate choice of these two verbs reflects more than his discontent with their undeserved current social standing or his hatred for his being traumatized by his narcissistic rival. Expressing on the conscious level his dissatisfaction with Fortunato's hurrying him to his palazzo, Montresor, in fact, objectifies his unconscious anxiety about being so suddenly taken to his mother's womb to experience the traumatic effect of rebirth. In addition to anxiety, however, he also experiences some sort of excitement, though mixed with stress, due to the idea of this rebirth. No matter how much he suffers from the anxiety of rebirth, he does not give up the idea of going back to the mother's womb to be reborn. He motivates himself by pausing and holding Fortunato firmly: "I paused again, and this time I made bold to seize Fortunato by the arm above an elbow" (Poe, 2011, p. 184). His perseverance in continuing his travel into the cellar, despite the anxiety capturing him, is coupled with the happiness he feels with the thought that he will reverse his role with Fortunato through the experience of rebirth.

Montresor's excitement about the prospective idea of changing roles through rebirth is presented within the context of the carnival season, which gives insight into how much he wants to annihilate his present self and to re-create himself in the image of a person having a superior social standing to him. For Baraban (2004), given the fact that "a new class of nouveaux riches, of whom Fortunato was probably one, became socially prominent in the eighteenth and nineteenth centuries," it is implied that the story is set in the eighteen or nineteenth century, and the relationship between Montresor and Fortunato, accordingly, sheds light on the "social tensions of the capitalist society" (p. 52). Looked at from this perspective, Montresor's choice of the carnival season as the time to take Fortunato to his cellar is shown to be, on the unconscious level, actually a wish-fulfilment to be reborn as how he wants to be, instead of remaining as how society perceives him to be. The fulfilment of his wish to be reborn into a new self is reflected overtly by his attempt to reverse his and Fortunato's current social standing through the exploitation of their appearance. As Bakhtin (1984) states, "in the world of carnival, all hierarchies are canceled" and "all existing forms of the coercive socioeconomic

and political organization" are suspended (pp. 251-255). Likewise, while Montresor wears "a mask of black silk" and "a roquelaure," he describes Fortunato like a clown: "The man wore motley. He had on a tight-fitting parti-striped dress, and his head was surmounted by the conical caps and bells" (Poe, 2011, pp. 183-182). Through this incongruity between their clothes and current social standing, their roles are reversed. Although Fortunato is forced to "degenerate into the role of a drunken fool, both in costume and behavior" despite his "obsession with his self-importance" (Sova, 2007, p. 44), Montresor is allowed to act out his phantasy of renewal, shrouded behind his phantasy of elevation in social rank. So it becomes apparent that through enjoying his "roquelaure" that conceals his current inferior social standing and mocking the clownish look of Fortunato by paying him the ironic compliment, "How remarkably well you are looking today" (Poe, 2011, pp. 183-182), Montresor not only expresses the simple satisfaction of having the chance to undermine his enemy but also experiences some sort of *jouissance* by transgressing his stabilized social identity, recreating himself through the carnivalesque rebirth and putting an end to living neurotically with his repressed feeling of inferiority. As a man who is "almost beaten by what he views to be the loss of his birthright, the theft of ancestral claims and the disgrace of his glorious name" (Sova, 2007, p. 44), Montresor benefits from the unsettling atmosphere of the carnival world to become "the master of the man who has mastered him and humiliated him" (Gargano, 1967, p. 124). Moreover, he renews himself, though at the cost of undergoing the traumatic experience of rebirth marked by both pain and pleasure.

The sense of the uncanny is evoked thirdly by the premature burial of Fortunato. When interpreted on the conscious level, this live burial seems to conflict with the intensity of the hatred that Montresor feels for Fortunato, as it would extend the time needed for the death of his victim. In other words, due to his disturbance by Fortunato's menacing existence, Montresor is expected not to hesitate for a second to kill him as soon as possible; however, he delays this by giving him some time inside the wall. This premature burial of a hated victim that does not sound reasonable on the conscious level attains a reasonable explanation when analyzed with reference to the concept of the Freudian uncanny: behind it lies Montresor's repressed unconscious fear of being buried alive.

The historical background of the premature death provides a better insight into the return of Montresor's fear of premature burial in his capturing Fortunato within a wall. As Dülmen (1990) states, in the sixteenth and early seventeenth centuries, "the traditional

rituals of execution were burning, drowning and burying alive" and those violating the religious and moral order were killed not by "the executioner's hands, but without bloodshed by forces of nature, through fire, water or earth, to which especially purifying and destructive powers were attributed" (p. 121). Among these three rituals of death, live burial was the cruelest:

> Being buried alive was deemed a particularly horrific and severe punishment for a variety of sexual offences such as adultery, murder of one's spouse and infanticide, but it also punished cases of grand larceny. It was used mainly as a punishment for women, as a counterpart to breaking on the wheel for men. The delinquent was generally undressed and laid on her back in a pit beneath the gallows, bound, covered with thorns and buried from the feet upwards. This was often combined with impalement- that is, a pale was driven from above through the heart, navel or chest. This might be carried out before or after burial. The symbolism is not completely clear; obviously a return was to be rendered impossible and at the same time impalement prevented slow suffocation. (Dülmen, 1990, p. 121)

Born in the following age in which "attempts were made both to protect individuals from premature burial and society from judicial acts of public torture that were formerly sanctioned as rites of purification" (Platizky,1999, p. 208), Poe discloses, through the character of Montresor, an unresolved conflict whose roots go back to his repressed fear of being punished with a premature burial. Interestingly enough, Bennett (2011) claims that embedded in Fortunato's burial scene might be "a (homoerotic) bondage fantasy gone too far" and he further notes that even if not implying homoeroticism, "what Montresor does to Fortunato dramatizes the greatest fear of every submissive bondage enthusiast—namely, to be restrained and then abandoned" (p. 49). In contrast to Bennett, we argue that it is his unconscious fear of being buried alive that motivates Montresor to bury Fortunato alive. Thus, motivated by his fear of being buried alive, Montresor leads Fortunato to the "extremity of the niche," and "finding his progress arrested by the rock," he chains him to the granite with the help of "two iron staples, distant from each other about two feet horizontally" (Poe, 2011, p. 186). Moreover, chaining him on the waist in a few seconds, he withdraws the key and walls him up with a "trowel" and "a quantity of building stone and mortar" that he finds by throwing aside the pile of his family bones (Poe, 2011, p. 187). Analyzed from a Freudian perspective, Montresor's precautions to secure the captivity of his victim (chaining or walling in

with stone) reveal the degree of his repressed anxiety about being chained and walled up in the entrance of a niche, with no chance of survival. They also reflect his yearning for attaining male potency, given that the trowel and the mortar he uses are packed with implications of the phallus. As Freud (2001) states, "all weapons and tools are used as symbols for the male organ: e.g. ploughs, hammers, rifles, revolvers, daggers, sabres, etc." (*Standard Ed., Vol 5*, p. 356). Thus, as Bradley (2008) also underlines, in burying Fortunato alive, Montresor emasculates him and acts out his phantasy of gaining dominion over him: Fortunato's "continued existence is what empowers Montresor" (p. 60). By doing so, Montresor objectifies his repressed unconscious fears. Engel (1983) draws attention to the release of his "neurosis," stating that "the enclosures and the crypt" in which he buries Fortunato stand as "metaphors" for his "obsessive mind and the complex relationship between the reality of his disturbed inner self and his controlled, rational outer appearance" (p. 29).

Montresor's neurotic anxiety about being enclosed helplessly within a wall also explains the reason why he feels the need to describe Fortunato as having jingling bells on his clown hat. He mentions Fortunato with "bells" on his head (Poe, 2011, p. 182) to act out his own unconscious wish for being rescued in case of a premature burial. As Crichton states, "in an attempt to keep living entombments from occurring, coffins and vaults—especially for the wealthier classes—were equipped with special springs and sounding devices to give the person mistakenly buried alive a chance to be rescued" (ctd. in Platizky, 1999, p. 206). Similarly, acting out his phantasy of escaping premature burial and avoiding the darkness in the wall in which he unconsciously fears being enclosed and left to die, Montresor throws his torch into Fortunato's crypt before putting the last tier on him: "I thrust a torch through the remaining aperture and let it fall within" (Poe, 2011, p. 188). Also, no matter how much he resembles an executioner by burying Fortunato alive, his fear of premature death in the guise of his aggression reveals his being no different from a prisoner. Despite the difference in their roles, he still identifies with Fortunato. This is revealed by that he experiences a sense of jouissance while listening to Fortunato's vibrations inside:

> There was then a long and obstinate silence. I laid the second tier, and the third, and the fourth; and then I heard the furious vibrations of the chain. The noise lasted for several minutes, during which, that I might hearken to it with the more satisfaction, I ceased my labours and sat down upon the bones. When at last the clanking subsided, I resumed the trowel,

and finished without interruption the fifth, the sixth, and the seventh tier. The wall was now nearly upon a level with my breast. I again paused, and holding the flambeaux over the mason-work, threw a few feeble rays upon the figure within. (Poe, 2011, p. 187)

Listening to Fortunato's vibrations of the chain and holding the flambeaux over the wall, Montresor relieves himself of the fear of being unable to be rescued from premature burial. In this context, while the ongoing vibration of Fortunato's chain comes to mean the continuation of his life in the case of being punished with a premature burial, Montresor's throwing a few rays, though feeble, over the wall implies his desire to have someone who could notice his enclosure and rescue him from death. By walling in Fortunato and hearing his fading but ongoing sound, he creates the image of a pervert. Montresor uncannily tries "to isolate, and enclose, a part of himself and a neurosis he hates—symbolized by Fortunato" (Engel, 1983, p. 28) and he feels pleased with acting out his unconscious mind and relieving himself, though only for a time, of his unconscious fear. Montresor's unconscious fear of premature burial in turn reflects his unconscious wish for immortality. As Freud (2001) states, phantasies about life in the mother's womb "afford the deepest unconscious basis for the belief in survival after death, which merely represents a projection into the future of this uncanny life before birth" (*Standard Ed., Vol. 4*, p. 193). Similarly, burying Fortunato alive, Montresor acts out his phantasy of attaining immortality. This is closely linked with his phantasy of survival, as shown through his ascertaining the rescue of his victim by placing jingling bells on his head, throwing a torch into his crypt or listening to the ongoing vibration of the chains inside.

Conclusion

To conclude, reflecting that "for Poe, it is not supernatural beings that people should fear" as "the real horror lies in what human beings themselves are capable of" (Sova, 2007, p. 42), Montresor's depiction of how he murdered Fortunato triggers the uncanny because what it presents on the conscious level as a cold-case murder story turns out to be actually an attempt to deal with the return of the disturbing psychic material that he had pushed back because of its destabilizing effect on the equilibrium of his psyche. The sense of the uncanny dominating the story by involving a blurry distinction between the known and the unknown stems from the fact that Fortunato incarnates Montresor's narcissistic rival by traumatizing him with his perfection and representing "all that Montresor and his family have lost" (Sova, 2007, p. 44); the damp vault of the palazzo to

which Montresor takes Fortunato by making him descend through vagina-shaped long stairs takes on the role of an encompassing and protective uterus where Montresor acts out his womb phantasy by regressing into an embryonic state; and the premature burial of Fortunato reflects Montresor's attempt to deal with his repressed fear of being buried alive. Penetrating into the deeper layers of Montresor's unconscious, these uncanny elements converge in his wish to go through a phantasmal renewal through coping with his repressed feelings of envy, low self-esteem, sense of incompleteness and fear of premature burial. Suitably, he murders Fortunato during the carnival, which "celebrates the destruction of the old and the birth of the new world" (Bakhtin, 1984, p. 410). However, the question of whether or not he can really attain a psychic rebirth by stripping himself of the reminiscences of his repressed feelings remains unanswered, given the ending of the story. His explaining the murder in a detailed manner fifty years later implies the inevitability of the return of the repressed psychic material which he had tried to get rid of and reflects that "even though the long dead Fortunato may be buried," he is "still obsessed with the details of the crime and can recite them complete and intact after half a century" (Engel, 1983, p. 28). More importantly, Fortunato's insistence on posing a threat to Montresor's egotistical unity is reflected in Montresor's final remark, "In pace requiescat!" (Poe, 2011, p. 188), as "the reader is left to question if he wishes peace upon Fortunato or for himself" (Sova, 2007, p. 43) with this blessing for peace.

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Research Article

Ten Thousand Ways of Survival and Healing: Reading *Ten Thousand Sorrows: The Extraordinary Journey of a Korean War Orphan* as An Example of Minor Literature

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ABSTRACT

Not only did Elizabeth Kim never meet her American father who impregnated her mother during the Korean War, but she also witnessed the murder of her mother who was the only family member she had. After her mother's death, she was sent to an orphanage and was adopted by an oppressive and abusive American family who forced her to marry a man who turned out to be a schizophrenic and sadistic brute. Her traumatic experiences left permanent marks on Kim as she has suffered from prolonged depression and anxiety. *Ten Thousand Sorrows: The Extraordinary Journey of a Korean War Orphan* (2000) is Elizabeth Kim's only book in which she details her encounters with death, violence, sexual abuse and rape. This article will analyze Kim's memoir as an example of what Gilles Deleuze and Félix Guattari have called minor literature which is defined by the deterritorialization of language, a work's political stance against oppression and its collective value. It will also discuss Elizabeth Kim as a deterritorialized character who eventually becomes a nomad. Taken through this framework, *Ten Thousand Sorrows* does not emerge as a cultural assimilation story, nor is it the breakthrough narrative of an oppressed minority woman. Rather, the book is Elizabeth Kim's attempt to heal the wounds caused by the constant physical and spiritual abuse she had to endure throughout her life.
Keywords: Elizabeth Kim, deterritorialization, minor literature, nomad, Deleuze and Guattari

Introduction

Ten Thousand Sorrows: The Extraordinary Journey of a Korean War Orphan (2000) is Elizabeth Kim's only book, which has been translated into eleven languages, including Turkish. In this memoir, Elizabeth Kim shares her traumatic experiences as a mixed-blood orphan who was born in Korea and brought up by a fundamentalist American family in the United States. By sharing her traumas with an invisible reader, the author attempts to come to terms with her past and heal her soul.

Elizabeth Kim never knew her American father who went to Korea to fight in the Korean War, impregnated her mother and abandoned the country. When she was presumably around five years old, Kim witnessed the death of her mother who was murdered by her brother and father. As she explains in the Prologue to the book, the birthday of the author is uncertain: "I don't know how old I was when I watched my mother's murder, nor do I know how old I am today. There is no record of my birth, or of my name. There is no record of my mother's brief life. No certificate records her death at the hands of her brother and father in an 'honor killing'" (Kim, 2000). After spending some time in an orphanage, Kim was adopted by an oppressive and abusive American family who relocated her to California. At the age of seventeen, they forced her to marry a man who turned out to be a schizophrenic and sadistic brute. Although she divorced her husband and built a life as a journalist independent from her family, the traumas of her past have continued to haunt Kim. Unable to form healthy and close relationships, she has suffered from prolonged depression and anxiety. As this article will illustrate, the author has attempted to recover from her traumas several times. The fact that the pessimistic tone of the book changes into optimism shows that writing her story has helped Kim to recover from the trauma caused by physical and emotional abuse as well as racism.

In their book entitled *Reading Autobiography: A Guide for Interpreting Life Narratives*, Sidonie Smith and Julia Watson suggest that the act of telling is therapeutic for narrators who suffer from traumatic memory because writing changes "the narrator and the life story itself" (2010, p. 28). Seiwoong Oh concurs with Smith and Watson's definition and analyzes Kim's memoir as a "transcript of a psychiatric therapy session during which the author/patient pours out her anger, resentments, and trauma of being a victim of racial prejudice, religious oppression and gender inequities" (2018, p. 194). As Riordan also puts forward, "verbally labeling and describing a trauma

through writing allows an individual to cognitively process the event and gain a sense of control" (2019, p. 263). In this regard, given the therapeutic effect of writing, the book serves as scriptotherapy, which Suzette Henke defines as "the process of writing out and writing through traumatic experience in the mode of therapeutic reenactment" (1998, p. xii). Smith and Watson also explain the term as "the process of speaking or writing about trauma in order to find words to give voice to previously repressed memories" (2010, p. 29). Then, *Ten Thousand Sorrows: The Extraordinary Journey of a Korean War Orphan* (2000) is a product of Kim's attempt to heal the wounds caused by the constant physical and psychological abuse she has had to endure throughout her life.

This article argues that the memoir is an example of what Gilles Deleuze and Félix Guattari have called minor literature, which is defined by the deterritorialization of language, a work's political stance against various forms of oppression and its collective value. It is further argued that Elizabeth Kim is a deterritorialized character who becomes a nomad and uses scriptotheraphy to heal her spiritual wounds. Kim's account of her life reveals that her trauma is multifaceted, caused not only by harsh and abusive parents/husband, but also by the deep-rooted racism embodied in American society. In this sense, *Ten Thousand Sorrows* does not emerge as a cultural assimilation story, nor is it the breakthrough narrative of a woman who belongs to an oppressed minority. Rather, it is a healing narrative categorized under minor literature which frankly discusses racism, oppression, abuse, depression and suicide. Kim's personal story also sheds light on the ostracization and mistreatment of those who have long been silenced in the United States.

Deterritorialization and Becoming a Nomad

Deleuze and Guattari are closely interested in a subject's relation to a territory, which ranges from the physical space to psychological, abstract, and literal spaces. According to the scholars, a subject is in a continuous voyage, which is "a process that engages him [the individual] in becomings, rises and falls, migrations and displacements" (1983, p. 84). Moreover, this voyage between territories is "a feeling, a series of emotions and feelings as consummation and a consumption of intensive quantities. . . .We pass from one field to another by crossing thresholds: we never stop migrating, we become other individuals as well as other sexes, and departing becomes as easy as being born or dying" (1983, p. 84-85).

This voyage, or the process of becoming, is possible through deterritorializations and reterritorializations of the individual. According to the scholars, deterritorialization and reterritorialization refer both to mental and physical condition of a character. They state that a person deterritorializes when s/he leaves the territory, which can be a physical territory or a state of mind; therefore, "it is the operation of the line of the flight" (1987, p. 508). In other words, deterritorialization is being off-territory and it is a state of not belonging. Then, a subject is repeatedly deterritorialized in the process of a voyage because she/he moves "from the center to the periphery" (1983, p. 258). Reterritorialization, on the other hand, is settling down and returning to territory, which does not have to be the same as the previous one. Therefore, the scholars argue that two terms are closely related to one another and the difference between them is indistinguishable "since they are mutually enmeshed, or like opposite faces of one and the same process" (1983, p. 258). The deterritorialized person searches for ways to reterritorialize, and thus becomes a nomad. As suggested by the two theorists, a nomad is "a clandestine passenger on a motionless voyage. To become like everybody else; but this, precisely, is becoming only for one who knows how to be nobody, to no longer be anybody. To paint oneself gray on gray" (1987, p. 197). Moreover, a nomad "reterritorializes on deterritorialization itself. . . . nomads have no points, paths, or land, even though they do by all appearances. If the nomad can be called the Deterritorialized par excellence, it is precisely because there is no reterritorialization" (1987, p. 381). Deleuze and Guattari also claim that the novel as a genre deals with lost characters, or nomads, who "no longer know their name, what they are looking for, or what they are doing, amnesiacs, ataxics, catatonics" (1987, p. 173).

In this regard, Elizabeth Kim is a deterritorialized character who eventually becomes a nomad as she never feels home and can never settle down. Kim is lost, she feels less than human, and she does not feel that she belongs to her body: "I hated every aspect of my face and body: my quasi-Asian eyes, my wide cheek-bones, and on down through each layer, to the skull beneath the skin" (Kim, 2000, p. 157). She is deterritorialized and she has an endless desire for acceptance and love, on which she can reterritorialize.

Deleuze and Guattari stress that "anything can serve as a reterritorialization, in other words, 'stand for' the lost territory; one can reterritorialize on a being, an object, a book, an apparatus or system" (1987, p. 508). Elizabeth Kim also attempts to reterritorialize on various concepts: Her Omma, her American parents, animals, books, and her daughter.[1]

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1   Omma is the Korean word for "mom." Kim refers to her biological mother as Omma throughout the book.

However, she is unable to form a sense of belonging to the United States, to Korea, to her family, or to her own body.

Kim remembers the days she spent with her Omma as a blessing: "We had little food, but I didn't know I was hungry. With Omma, a bowl of rice was a banquet. We were locked in isolation, but I wasn't lonely. In Omma I had mother, storyteller, playmate, confidante, and defender" (2000, p. 27). Therefore, Kim experiences her first deterritorialization after losing Omma as she is left unguarded and defenseless. Kim's recollections of her mother give her the strength to carry on in the United States, yet the authenticity of the stories she shares about Omma is questionable.

As Smith and Watson note, life writing requires remembering and it is the "reinterpretation of the past in the present" (2010, p. 22). Claiming that autobiographical subjectivity is complicated, Smith and Watson suggest differentiating "I" as: the real or historical I, the narrating I, the narrated I and the ideological I. The real "I" is the historical person whose name appears on the title page (2010, p. 72); the narrating "I" tells the "autobiographical narrative" and is "the persona of the historical person" (2010, p. 72). The narrated "I", on the other hand, is "the version of the self that the narrating "I" chooses to constitute through recollection for the reader" (2010, p. 73). Finally, the ideological "I"s "are possible positions for autobiographical narrators to occupy, contest, revise, and mobilize against one another at specific historical moments." Therefore, ideological "I"s are "multiple, mobile, and mutating" (2010, p. 78). In this regard, experiences of the past are interpreted as the narrating I distances herself/himself from the narrated I and reads her/his "experiential histories" (Smith and Watson, 2010, p. 33). This problematizes the authenticity of life writing because interpretation may distort what has happened or the narrating I might decide to leave out certain experiences whether intentionally or not. Smith and Watson also state that

> Any utterance in an autobiographical text, even if inaccurate or distorted, is a characterization of its writer. Thus, when one is both the narrator and the protagonist of the narrative, as in life writing, the truth of the narrative becomes undecidable; it can be neither fully verified nor fully discredited. We need, then, to adjust our expectations of the truth told in self-referential writing. . . . [A]utobiographical writing cannot be read solely as either factual truth or juridical model of truth and falsehood. (2010, pp. 15-17)

Considering Smith and Watson's discussion on the authenticity of life writing, Elizabeth Kim's early memories of her mother, their village and Korean culture should be discussed to better understand her reterritorialization attempt.

From the Prologue through Chapter 5, Kim delineates her experiences in Korea and recounts her life before and after her biological mother's death. Kim's detailed description of her Omma raises questions regarding the authenticity of her recollections since it might not be possible for a child of that age to remember her mother's personality or the details of their conversations. For instance, she describes her Omma as follows: "Omma was a problem from her childhood on. . . . [S]he really crossed the line of disobedience when she told her parents she wanted no part of an arranged marriage. . . . She was a free, creative spirit who struggled for expression" (2000, p. 12). When interpreting the past, Kim portrays the idealized version of Omma. She obviously shapes the way she remembers her biological mother and admires the image in her mind in order to cope with her loss. However far from the facts Kim's imagination wanders, the traumatic event she witnessed—the murder of her mother—remains an irrefutable part of her personal history. In this regard, by reimagining her mother, she attempts to reterritorialize on the memory of Omma, but fails.

Kim's later attempts to reterritorialize on her American family are also unsuccessful. Although she has been "willing to do anything to win their approval" (Kim, 2000, p. 69), everything she does to please them is misunderstood and perceived as an act of defiance against God and Christ. Therefore, she can never form a warm and healthy relationship with her fundamentalist American parents who have constantly reminded Elizabeth of her so-called flaws: "In Korea I was subhuman. Now I was sub-Christlike. I knew I wasn't good enough for anyone, and I felt complete despair. I couldn't measure up to anyone's standards" (Kim, 2000, p. 85).

Kim also attempts to fulfill her desire to love and be loved through animals. Feeling Kim's loneliness, their neighbor brings her kittens to play with. However, believing kittens are unsanitary, her insensitive and intolerant parents send them away. As a child, Kim understands that "[a]nything [she] loved was taken away without [her] consent or understanding, just like Omma, just like [her] little troupe of toy animals. There was no warning given before and no comfort after" (Kim, 2000, p. 65). A few years later, Kim forms a bond with a dog which loves her unconditionally, yet her

parents take him to a pound where he would probably be locked in a cage and die. Kim agonizes over its (and her own) fate and she is deterritorialized once again.

Because she was ostracized at school, Kim attempted to reterritorialize on the books of famous writers such as Shakespeare, Dickens or Austen. As she spent most of her time reading, entering into the worlds of fictional characters who suffer as much as she does made her feel less alone. She describes her devotion to the books as follows:

> I loved Dickens. When I read him I felt as if he were talking just to me, and that he understood exactly how sad and lonely I felt. I was searching for an emotional road map that I could follow to help get me through the years of alienation. No one in real life had taught me how to deal with loss and abandonment, but I discovered that literature could connect me with something larger than my own life, and I was transported. (2000, p. 83)

Nevertheless, the fictional worlds could not save her from misery. Whenever Elizabeth shared her favorite lines from the books, she was either ridiculed by her friends or demonized by her family. Despite her teacher's encouragements to go to college and pursue a literary career, Kim leaves school and marries as her parents wished.

When her marriage becomes a prison because of her husband's abusive and torturous acts, Kim decides to reterritorialize on a child whom she could love unconditionally; therefore, she stops taking birth control pills without her husband's consent. Kim explains how she decided to reterritorialize on a baby as follows: "But oh, God, I was so lonely. I yearned for somebody to love. I ached to hold another human being and look at a face that looked back at mine tenderly, without revulsion. And I wanted someone who looked like me. I wanted to give my love to a person who had the same blood, the same features, as I did" (2000, p. 149). Consequently, the baby gives her the courage to get a divorce and for the first time in her life Elizabeth feels free on the night she runs away with her baby, Leigh.

For some time, Kim devotes all her time, love and energy to her daughter, and they spend quality time despite financial problems. However, Kim continues to suffer from nightmares and feels she does not have the will to carry out her life. She finds

the solution by reterritorializing on death. Planning how to do it in detail, she continuously contemplates on suicide: "The fantasies about suicide, which had always been present, were becoming my only daydreams and my only comfort . . . . I knew exactly what I was going to wear, what I looked and smelled like, what the surroundings were" (2000, p. 180). She shares her desire to die with Leigh and even prepares her for it. Although she admits having overcome this desire to die, Kim is still unable to reterritorialize:

> Letting go of my love affair with suicide was very difficult. I still think about suicide, even today, but not with the longing and romanticism that I once did. In many ways, losing my lust for suicide was like losing a lifelong lover . . . . The thought of suicide reassured me that no one would ever leave me again—I'd be gone first and out of the reach of earthly pain, abandonment, and heartache. (2000, p. 215)

De- and reterritorializing throughout her life and the narrative, Kim becomes a nomad. The book ends as the author reterritorializes on hope, but it is not certain whether she will succeed or not considering her position as a nomad who is not yet settled.

As the discussion so far has demonstrated, having become a nomad after various deterritorializations, Kim turns to writing with the hope to heal her wounds by sharing them in the form of a memoir, which becomes a tool for scriptotherapy. The final product turns out to be an example of minor literature as Kim's traumas are closely related to being culturally, socially and linguistically dislocated.

Ten Thousand Sorrows and Minor Literature

In their book *Kafka: Toward a Minor Literature* (1986), Deleuze and Guattari discuss the term "minor literature" with respect to the works of Franz Kafka, a Czech Jew writing in German. Having scrutinized the form and content of Kafka's oeuvre, Deleuze and Guattari explain that minor literature dwells on the need to find resistance and it speaks for the crowd. In this respect, minor literature is characterized by three distinguishing features: First of all, "[a] minor literature doesn't come from a minor language; it is rather that which a minority constructs within a major language." Secondly, everything personal in minor literature is connected to the political whereas in major literatures "the individual

concern . . . joins with other no less individual concerns." Finally, everything in minor literature has a collective value (1986, pp. 16-17).

Within this context, Deleuze and Guattari do not use "minor" as a degrading term, but as a divergence from the standard definitions and the norm. Kafka, according to Deleuze and Guattari, rejects fixed definitions and he uses language as a tool both to embrace multiple possibilities and to talk about the process of becoming. As the scholars put forward, "Kafka marks the impasse that bars access to writing for the Jews of Prague and turns their literature into something impossible—the impossibility of not writing, the impossibility of writing in German, the impossibility of writing otherwise" (1986, p.16). Therefore, including impossibilities as well as difficulties, minor literature emerges out of necessity. Subversive by nature, it seeks a breakaway from oppressive norms. In this regard, not only does minor literature allow the writer to comment on the political, but it also provides a ground to discuss the consequences of oppression and marginalization—such as trauma.

Kim's narrative shows the devastating ramifications of the Korean war, which is the main reason for Kim's traumas. To compensate for the destruction it caused in Korea, the United States initiated the adoption program, yet it has brought more misery and trauma to Kim's life, a point which will be discussed later in the article. The book also comments on the ostracization of women and the racial body both in Korea and the United States. As a mixed-blood woman, Kim faces racism in both countries because she is neither Korean nor American enough. Miseli Jeon also asserts that Kim's traumas stem not only "from cultural displacement and racism, but also from the omnipresent misogynist ideology." The scholar further states that Kim draws attention to the "atrocities practiced worldwide in the name of cultural, religious, and racial purity" (2004, p. 147). Within this context, the memoir is a testimony to the traumas caused by political and cultural structures.

Taken through this framework, *Ten Thousand Sorrows* is political because Elizabeth Kim comments on the aftermath of the Korean War which affected the lives of children the most, details the hypocrisy in the practices of Christianity and criticizes rigid gender roles. As Tracy Dianna Wood states, a great number of children either died or were sent to orphanages in the first year of the war. More than 150.000 Korean children were adopted transnationally during or after the war. Among them, 100.000 have been adopted by white, middle-class, Christian American families (2008, p. 1). Wood

also points out the interest of media in these Korean adoptees. TV shows or films in Korea cover stories of successful and famous people who were once adopted by Americans and "[rationalize] their adoption as not only necessary but beneficial" (2008, p. 3).

In this regard, Elizabeth Kim refutes the idea that Korean orphans end up achieving success thanks to the opportunities provided by their *loving* American families. On the contrary, she felt neither successful nor worthy of a good life: "My grief was boundless, but my rage was directed at one person: me. There were two things I believed: My life was a terrible mistake, and I deserved nothing but suffering. My hatred of myself, born at my mother's death, nourished in the orphanage, grew with each passing year" (Kim, 2000, p. 39). Her American family has a pivotal role in Kim's low self-esteem and self-hatred. From the first moment she met her family to her adult years, both parents oppressed her continuously in the name of religious education. For instance, the family tape-recorded her childhood, many of which included scenes where Elizabeth is punished:

> The story would unfold—usually centered around my fear of something—and would progress through the reasoning, the pleading, the tears, and the denouement of my punishment and contrition. . . . Quite often [dad would] spank me while the machine was recording. Listening to tapes later, every slap would come through clearly, along with my sobs. In the background Mom could be heard saying something like "Now, aren't you sorry you were such a bad little girl? Don't you want to ask Jesus to forgive you?". . . . They got played over and over as I was growing up, and we sat in the living room and listened. . . . During the scenes where I was screaming or begging, my parents would chuckle and shake their heads at me. (Kim, 2000, pp. 78-79)

Her family was blinded by the teachings of Christianity and failed to see the needs of a child whose mother died in front of her eyes, nor could they understand the adaptation problems she was facing and the general anxiety that comes with being an adoptive child. Instead, they blamed Elizabeth for not being grateful to God for saving her from the terrible conditions in Korea. As the following quote demonstrates, rather than giving her love and affection, her parents instilled fear and guilt, which evoked a strong sense of self-loathing and resulted in a loss of self-respect:

I was told over and over how blessed I was to have been adopted by my parents and taken into a Christian family, out of Korea and the orphanage. "All those other children died, and God chose you to live," my parents told me. "Of all the orphans there, He led us to adopt you. God has a very special plan for your life, and you must always obey and honor Him." I trembled when I thought of how I was letting God down every minute. He should have chosen someone else. (Kim, 2000, p. 77)

Kim's descriptions of the double standards in the culture and religion are inextricably intertwined with gender oppression. In this sense, the criticism of gender inequality is another aspect that makes the work political. Commenting on her uncle and grandfather's cold-blooded murder, Kim states "[a] woman's life had little value anyway, so removing it for the greater good of expunging a family's shame was a long-accepted practice. Such deaths were not murder, they were honor killings, and therefore sanctified by tradition" (Kim, 2000, p. 31). Kim's grandfather and uncle could get away with their crime and they were not punished. She also states that the reports of honor killing are quite frequent in the newsroom she works at as they hear incidents from Korea, Israel, China, Iran, India, and many other countries. Kim comments on this as follows: "We cannot know the number of women who have been murdered for cultural transgressions, but we can imagine that there have been countless other children who watched their mothers die and blamed themselves; other people who grew up feeling faceless, soulless, less than human" (2000, p. 221).

Moreover, although Kim was beaten by her husband, she could not get a divorce because what matters for Christianity is being loyal to your spouse: "The Bible makes allowances for divorce if there's been adultery. . . .So my bruises meant nothing—I could chalk that up to the joy of being able to suffer with Christ—but adultery is a sin" (Kim 2000, p. 161). As Kim witnessed these double standards in religion, she lost her faith in God, Christ, or anything that promised salvation. Thus, along with Kim's personal experiences with gender, religion and adoption, their sociopolitical nature characterizes her narrative as minor literature.

The other characteristic of minor literature is its collective meaning. Kim's experiences as an orphan are not unique. Despite the Korean media's sugarcoated presentation of Korean adoptees, most of them are traumatized and they are subjected to racism: "I hated the way I looked. Whether in Korea or America, I thought my face was wrong. In

Korea my eyes were too American; in America they were too Asian" (Kim, 2000, p. 71). Since her childhood, Kim has continuously been reminded of the fact that she is different from her parents, friends, or the people in church,

> [M]y face was ridiculed all the time. And at home I was never allowed to forget how different I looked. ("Elizabeth, don't pull your hair back like that. You look much more American when it's fluffed around your face. Don't stay out in the sun. You look like a red Indian or something, not a pretty little American girl.") (Kim, 2000, p. 71)

As a result, Kim never felt she could fit in the family and the country although she was desperately in need of love. Thus, she identified herself with her grandmother's African American gardener who treated her like an equal unlike others in the community. The gardener enabled Kim "to see that even in America [she] was not the only one isolated and hated simply because [she] didn't look the same as people around [her]" (Kim, 2000, p. 97).

Kim's experiences as a woman are also shared by other women regardless of race. Like many other women both in the United States and around the world, she was forced to marry someone against her will. Despite the myth of marriage as a heavenly refuge, it becomes Kim's hell starting with the first day of her marriage:

> D. said that God expected a couple to "honor him in the marriage bed," even though there'd been no affection or caresses between us. But when D. couldn't consummate our marriage, I was punished. "This is your fault," he told me. "It's because of you." He slapped me as I lay, naked, on the bed, and while I looked at up him in shock he began punching me rhythmically. (Kim, 2000, p. 144)

Although Kim tried to keep docile as much as possible, everything she did was wrong for her husband who always ended up beating or insulting her. D. emotionally and physically tormented Kim as he forced her to sleep in the doghouse or used her like a slave to keep the house neat and clean. Furthermore, he jumped on her stomach when she was pregnant, and he had sex with another woman in the backseat of the car when she was driving. He made Kim feel worthless with his demeaning attitude and insulting remarks. D. repeatedly stated that she was ugly and told her that he

fantasized about other women when they had sex and that he was only aroused when Elizabeth was in pain (Kim, 2000, p. 154). The types of physical, psychological, and emotional torture may change, yet Kim's experiences resonate with many women who are subject to domestic violence.

Even though her life changed for the better after her divorce, Kim continued to suffer as she was haunted by the traumas of the past. Due to her intimacy problems stemming from her fear of rejection, Elizabeth preferred to have relationships with married men, which put her at a disadvantage in society. To add insult to injury, she was raped, got pregnant and had to undergo abortion. Despite the fact that none of these is her fault, the sense of guilt never left Elizabeth who, like many women, was silenced and abused by men. Kim shares her feelings about these insults openly to form a bond among those who were subjected to the same treatment. She explains why she did not report to the police when an intruder raped her as follows:

> Much of my fear about bringing the rape out in the open was that my private life would be exposed. If my life had been spotless by the standards of that society, perhaps I wouldn't have been so silent about rape. But it wasn't. I couldn't have taken the witness stand and presented a virginal persona to the jury. I was ashamed. (2000, p. 176)

By sharing what is once unspeakable for her, not only does Kim attempt to heal her spiritual wounds, but she also encourages other women to speak up. As mentioned before, she states that there are countless numbers of women who have been murdered because they did not conform to the mandates of the society and there are other children who watched their mothers die. The stories of these women will not be heard and "the whole world is poorer because of it" (Kim, 2000, p. 221). Arguing that racism and sexism intersect in the lives of minority women, Kimberlé Crenshaw states that women of minority groups hide incidents of violence because of the "fear of embarrassing other members of the community, which is already stereotyped as deviant, and fear of being ostracized" (2005, p. 533). In this sense, Elizabeth Kim's personal story presents a larger picture of the lives of women and children of minority groups. Her story serves not only as scriptotherapy, but also as a call for action. Kim hopes to reach out to women and children who have been silenced, abused, and traumatized so they would not feel alone.

Deleuze and Guattari also point to the linguistic aspect of minor literature and explain the necessity of deterritorializing the major language to challenge oppression. Therefore, the scholars call attention to the language problem experienced by minority groups by stressing that a great number of people today are forced to forget their native languages and use a language "that is not their own." As they state, "[t]his is the problem of immigrants, and especially of their children, the problem of minorities, the problem of a minor literature, but also a problem for all of us" (1986, p. 19). According to Deleuze and Guattari, then, language has a sociopolitical power and minor literature's function is to dismantle the ascribed function of language (1986, p. 24).

As Ronald Bogue also puts forward, writers of minor literature "makes a minor usage of language" to deterritorialize it by playing with the linguistic conventions (2012, p. 294). This requires either distorting syntactic, semantic, and phonetic rules, or subverting stylistic features of the narrative. Deleuze and Guattari posit that "[e]ven when it is unique, a language remains a mixture, a schizophrenic mélange, a Harlequin costume in which very different functions of language and distinct centers of power are played out, blurring what can be said and what can't be said; one function will be played off against the other" (1986, p. 26). In other words, the scholars ask the writers of minor literature to "[c]reate the opposite dream: know how to create a becoming-minor" (1986, p. 27).

English language is not a tool for the author to express her gratitude to the United States that has supposedly offered her various opportunities. On the contrary, she uses major language to voice the dysfunctional nature of politics that causes a lot of children to suffer. Kim was forced to abandon her native language and learn English when she was too young to understand cultural and linguistic differences. This left her deterritorialized as a child who was "bewildered" by people who were continuously scolding her in a language she was alien to: "What I had known was lost, and my life became something completely foreign. 'Mul' became 'water.' 'Pyonso' became 'bathroom.' I became 'Elizabeth,' a girl I did not yet know how to be" (Kim, 2000, p. 57). Only when she spoke and understood English, could her new parents seemingly accept her. However, learning the language does not mean learning how to communicate: "I looked at everything and said nothing. I had learned in the airport that these two people couldn't understand me, and I couldn't understand them, so there was no point in trying to communicate" (2000, p. 55). Even after she learns the language, Kim cannot please her parents. Her actions are not only misunderstood, but also punished.

Her attempts to form a family bond fail repeatedly and their rejection severely traumatizes Kim: "My adoptive parents gave me a clear message on the first day: We won't hear you unless you become like us; you have to talk our language if you want to communicate. So I tried to speak the other person's language. I picked up their mannerisms and jargon and agreed with just about anything they said" (2000, p. 216). However, Kim learns that she will not be heard even if she speaks the language, so she gives up trying to communicate with her parents and other people in her community. In other words, English represents oppression, trauma and miscommunication for Elizabeth. Therefore, she uses it to master the trauma by speaking the unspeakable. She demonstrates the suffering inflicted by her family and the country rather than glorifying the *opportunities* she has been given.

Distortion of linguistic rules is not observed in Elizabeth Kim's use of English. Unlike Kafka who could experiment with German since the German language in Czechoslovakia is intermixed with Czech and Yiddish, Kim was forced to forget her native language. As she has lost her ties with her motherland, Kim must write in English to speak what is unspeakable for the mainstream discourse in its own language. In other words, Kim's story can only be told by her and it can only be told in the language of the oppressive culture. Throughout her narration, in addition to the titles written in Hangul—the Korean alphabet, the only Korean word Kim uses is "Omma." Use of Korean not only gives the author a sense of belonging, but it also signifies a refusal of her identity as an "American" daughter, who is silenced and marginalized. That is, since Kim was initially traumatized by her mother's death, Korean language represents the author's devotion to her Korean mother and a desire to return to a healthy self.

Moreover, Kim disrupts the linear narration and complicates the reading process. The book is divided into four sections, all of which begin with a poem written by the author to set the tone of the following chapters. In addition, she employs idiosyncratic typography at the beginning of each chapter by using the visual layout of a poem. Kim also deploys other narrative strategies and finds new forms of expression. That is, she addresses her biological mother directly and she also allows her daughter to interfere with the narration. The daughter, Leigh, explains her mother's endless suffering from her own perspective: "I knew that my mother had frequent thoughts of suicide. . . . But then we made a pact that she would make it through my childhood, so that I would never be alone without a mother to care for me. . . . There is really no way to articulate what I felt" (2000, p. 203). As seen from the examples, techniques such as interweaving

poetry and prose or complicating the addressee and addresser enable the reader to witness the process of "becoming-minor" from multiple perspectives.

Conclusion

Loss of a mother, leaving Korea, rejection and oppression of her American family deterritorialize Kim and she loses a sense of belonging—to the United States, to Korea, to her American family and community, and to her body. As a deterritorialized subject, she becomes a nomad while looking for reterritorializations that would heal her, yet each of these attempts results in a new deterritorialization. Kim reterritorializes on her Omma, her American family, pets, literature, and her daughter, but neither of them gives her the comfort she looks for.

Kim eventually seeks reterritorialization and healing by writing her story because life writing allows the narrating "I" to observe and (re)evaluate the experiences of the narrated "I". Given the therapeutic effect of writing, the book serves a scriptotheraphy since Kim exposes her private life and traumas, demonstrating that sometimes it is not possible for individuals to make peace with their past, haunted by abandonment, loneliness, alienation, violence and oppression. Since Kim's story is closely intertwined with the issues of racism, sexism and gender oppression in the United States, this scriptotheraphy becomes an example of what Deleuze and Guattari call "minor literature."

Ten Thousand Sorrows exhibits the characteristics of minor literature because not only does the narrative comment on the politics of race and gender, but it also has a collective value since her individual story resonates with larger communities. Moreover, the narrative deterritorializes English language as it is the story of a minority constructed within the major English language. Kim uses the English language, which she forcefully learnt, to expose the hypocrisy in cultural, social and religious mandates as she discusses religion, honor killings, domestic violence, and rape. She also incorporates Korean into her narrative and makes use of different stylistic choices to deterritorialize the major language. In this regard, it is a becoming narrative through which Kim demonstrates that mastering trauma is possible when it is revisited, reinterpreted and shared. Thus, by vocalizing long-repressed traumas, Kim attempts to resist, challenge and overcome what has oppressed and traumatized her. Kim's hopeful tone at the end of the book shows she has resolved to reframe her past experiences and future aspirations. She ends the book with the following remarks: "Everything is possible, Omma told me. She

believed that someday I'd be a person, and people would smile at me and bow to me and look in my eyes. She believed that someday her child's life would be of value. Now her child believes it too" (2000, p. 228).

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Research Article

Symbols of a Perfect Chaos in Markus Zusak's *Bridge of Clay*: Through Traumatic Past to Better Future

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ABSTRACT
In literary texts, the representation of symbols as one of the most prevalent and essential components of the cultural continuum is not always explicit and therefore needs the development of approaches to the identification of implicit symbolic narratives in fictional discourse. One of the most representative contemporary novels in terms of 'symbolicalness' is considered the epic novel *Bridge of Clay* (2018) by Markus Zusak. This breath-taking story revolves around the 'ramshackle tragedy' of the Dunbar family and brims with energy and pathos. The tale of an existential riddle is told inside out and back to front, rendering confusion to the readers and encouraging them to decipher various symbols. That is why this article focuses on literal and metaphorical symbols to trace their meaning-making capabilities in creating a perfect chaos in the book. The novelty of the study lies in the explication of the symbol as a hermeneutic intratextual mechanism of meaning-making and identifying its artistic potential, as well as interpreting the symbol as a way of comprehending the semantic sphere of the text. Furthermore, *Bridge of Clay* is a profoundly heartfelt story of brotherhood that offers an alternative model of masculinity. It is Clay, the most determined of the Dunbar sons, who builds the bridge to transcend humanness. It is the bridge, the central symbol of the novel, which appears to be a link between the past and the future.

Keywords: Meaning-making, time, pathos, chaos, relationship

Introduction

The quality of a symbol to go beyond the empirically presented and express something hidden serves as the basis for the symbolisation of the author's ideas. The symbol is a universal aesthetic category that is revealed through comparison both with the adjacent categories of an artistic image, and with a sign and allegory. In a broad sense, any symbol is an image taken in terms of its significance, and it is a sign endowed with the harmony and ambiguity of an image (Watson, 2013; Hermans & Loon, 1991). The very structure of the symbol intends to represent a holistic image of the world through its phenomena.

The symbol in fiction is first and foremost a combination. It combines the physical picture of the world with its metaphysical meaning, which is manifested through the mundane, giving it the features of another, ideal life (Battistini, 2005). In other words, the symbol in literature replaces a sign or object, expressing its hidden essence and at the same time becoming the leader of the system of ideas about the world inherent in those who use this symbol. The symbol is a conditional expression of the essence of any phenomenon through the appearance, shape, or even internal qualities, of another object. In the most general terms, the symbol gains the characteristics of an essentially new object of knowledge.

The semantic structure of the symbol is multi-layered and is designed for the active internal work of the readers. The meaning of the symbol is explicated as a dynamic structure. This meaning cannot be explained by reducing it to an unambiguous logical formula, but can only be explained by correlating it with subsequent symbolic structures.

In regard to 'symbolicalness', of great interest are the works by Markus Zusak (born 1975), an Australian writer with Austrian and German roots, international bestselling author of six novels, including *The Book Thief* (2005), and most recently, *Bridge of Clay* (2018). While the former is considered Zusak's most famous book, the latter can be regarded as his magnum opus (Sebag-Montefiore, 2019). His novels have won the attention of critics as well as the affection of the readers all over the world. Zusak has the Margaret A. Edwards Award from the American Library Association, and his works have been translated into more than forty languages.

Zusak was at work upon his *Bridge of Clay* for thirteen years. This new and unexplored novel is a sprawling family saga, centring on five brothers abandoned after their mother's death and their father's disappearance thereafter. The boys are left on their own and have to live in a house with no rules, attracting the attention of people to their lifestyle. Five brothers take immature decisions and show their boyish behaviour throughout the book, since "gender is known to be socially constructed and is learned through social interactions and influences of people around us" (Nanda, 2019, p. 50).

The author creates a fascinating story of different generations, traced through the prism of one family, and invites the readers into a whirlpool of events to travel through space and time. From the beginning, the novel seems a confusing mystery, full of puzzles regarding the fate of the characters, their past, which had mostly been traumatic, their present, and their future; the readers do not have a clue what is going on, but gradually a profoundly heartfelt story of a perfect chaos manifests itself through various details. The phrase 'perfect chaos' aptly describes the central plotline of the novel and is even placed on the title page of the book.

When the father, Michael Dunbar, comes back into his sons' lives, he asks for their assistance with building the bridge – a literal and metaphorical way of making amends. Only one of the sons agrees. This is Clay. So, the title *Bridge of Clay* is a central metaphor of the novel, as it is both the clay with which to build the bridge and the name of the fourth of the five brothers to whom the book is dedicated. In the review from Hickling (2018), Clay is called a dark horse who emerges from the shadows to become the central character of the book, the quietest and most enigmatic of the clan. The title of the novel is completely ambivalent. This epic story is full of narratives: objects can be formed from cold, wet material, but to retain their shape, they need to be set alight.

The text of the book is changeable: the readers gradually learn why the father left his sons, how he suffered in the past and why he could not cope with the death of his wife. The novel alternates between two plotlines that develop in parallel with each other and are intertwined with seemingly less significant ones to be integrated into the epic narration (Coats, 2018, p. 147). *Bridge of Clay* embodies several themes. On the one hand, it is the book about a family, love, hate, and forgiveness, and on the other, it explores the challenges of growing up, fate, and the nature of human relationships.

To understand the author's intentions, it is necessary to pick up his emotional state (Knaller, 2017; Safdar et al., 2009), the hidden symbols, narratives, and metamessages. The book features objects that the readers learn about by delving into the text. They are more than just things, and they have to be recognised not rapidly but gradually. Intertwining events and images of the past and present to the sounds of piano music and the metronomic tone of Homer's *The Iliad* and *The Odyssey* push the readers to immerse themselves into the novel, to turn on the scope of imagination, to become spectators who watch the pictures of the main characters' lives. Like an artist, Zusak produces his pictures in short, accurate metaphors, creating symbols: from general and obvious to hidden and sometimes difficult to see, but subconsciously felt. This book is like vintage wine with a taste that can be sensed only in small sips.

Zusak surpassed himself by writing this novel which should be read both from the beginning and from the end at the same time. The author encourages us to *go back and forth across the bridge* to learn the future through the past when the future eventually turns out to be the past as well.

Bridge of Clay begins with a dedication on the title page: For Scout, Kid, and Little Small, for Cate, and in loving memory of K. E.: a great lover of *language* (Zusak, 2019)[1]. The dedication to the living and the dead is a link that connects times; to children, adolescents, and adults – the key to understanding that the author does not limit his readership, but connects people of different ages through the events of the story. Zusak writes *language* in italics, and it becomes clear that language is the principal tool that helps the author emphasise what is meaningful and involve the readers in understanding the story. The novel is loaded with literary devices, showing the author's style, since individualism is a cultural system that favours the self more highly than the collective (Twenge, 2014).

The purpose of this study is to identify and explicate literal and metaphorical symbols as a special category of meaning-making as well as the means of creating a space-time perspective and a perfect chaos in Markus Zusak's *Bridge of Clay*. To accomplish the above purpose, the following methodology must be addressed.

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1   Zusak, M. (2019). *Bridge of Clay*. London, UK: Black Swan; hereafter abbreviated as BC.

Methodology

The specificity of the study of symbols represented either implicitly or explicitly in a literary text is premised on the fact that the symbol as a meaning-making device exhibits the properties of retroactiveness in relation to the readers' cultural experience and proactiveness in relation to a text. These characteristics of the symbol ensure both the inclusion of a text in a particular context and the development of its narratives.

Despite the fact that the symbol is not identical to merely artistic imagery, authors often use artistic symbols in order to affect the reader (Watson, 2013; Impelluso, 2004). It should be noted that artistic imagery is not necessarily symbolisation although nothing prevents the writer from loading his artistic images with symbols. Since a symbolic image often arises as a result of using various literary devices, in the study of symbols in the novel the features of their implementation in the text should be taken into account. Unlike an allegory, a symbolic image has no mental expression. It always maintains vivid, emotional associations with a wide range of phenomena (Bertels et al., 2011).

Researchers distinguish two types of symbols. The first includes symbols that have a foothold in the cultural tradition. They are part of a culture, and for the construction of them writers use the language of a culture, and they are more or less common for the readers. Obviously, such symbols acquire individual semantic distinctions close to the writer. They are as if ready-made symbolic constructions that authors can extend and rethink, creating new variations of the symbolic images on their basis, as well as actualising implicit cultural codes, which are defined as "those symbols and systems of meaning that have a specific relevance to members of a particular group or society" (Hyatt & Simons, 1999, p. 24).

The second type includes symbols created without reliance on the cultural tradition. Such symbols arise on the basis of semantic relations within one literary work or a number of works. Zusak's *Bridge of Clay* abounds in such symbols. They require thorough rethinking since they not only express the author's individualised attitude to artistic images and ways of meaning-making in the text but also stimulate the readers to recognise these symbols in the context. The symbols of the novel can be explicated at different levels of the emotional perception of the text that serves as the matrix for creating a perfect chaos.

The methodology of this research is based primarily on the conceptual basis of a hermeneutic approach (Kwon, 2020; Longxi, 2018; Bernard, 1997) that involves revealing indirectly nominated meanings of a text and textual means. It is also based on an ontological approach that has no direct connection with the acquired epistemological experience. Interpreting symbols is regarded as expressed reflection which allows for actualising the perception that connects the readers' experience with the image. Research methods that reveal the nature of the symbol as a succinct element of a culture and identify the author's intentions to use an object as the symbol due to its meaning-making potential are presented by the methods of introspection, systematisation, and interpretation with the elements of semantic and stylistic analysis.

Symbolising the Story of a Perfect Chaos: Between Past and Future

Bridge of Clay or Clay's Bridge?

Clay's bridge/bridge of clay is the central metaphor of the novel. This bridge becomes an image of Zusak's tale wherein some bridges are burned and destroyed while others are built and connect people, the past, and the present. There are two main stories in the novel: the family's previous life and the father's return home after his wife's death. The events develop gradually, which allows the story to be enriched with various details from the lives of the characters.

The father and Clay try to build something grand, like the bridge Le Pont du Gard: "*Great* wasn't a great enough word to explain that bridge, which also served as an aqueduct. Built by the Romans. Or the devil, if you believed it" (BC, p. 193). Zusak repeats the word *great* with the determiner *enough* and highlights this adjective to draw the readers' attention to the main character the story is revolved around at the beginning of the novel. The sentence fragment disrupts the usual syntagmatic patterns in order to emotionally emphasise the situation and emphatically highlight *the Romans* and *the devil*. Clay sees the title in his father's project: "*THE NEW PLAN* was six sheets altogether – composed the night before. The first page of that small stack of paper said only one thing, several times. *PONT DU GARD*" (BC, p. 204). The capitalised representation of *THE NEW PLAN* and *PONT DU GARD* seems to mark the beginning and end of the thought which is concentrated on the phrases and which contributes to the emotional motivation of the message.

What drives the man and what makes the boy agree to the idea of building the bridge other than a love of art? Without realising it, Clay seeks a rapprochement with his father, and Michael Dunbar also builds the bridge as a tribute to his late wife who once said: "So just don't ever paint me… Do other things instead…" (BC, p. 224). So, the father and son, full of passion with art and the bridge, *build* their dream: "Just like Pont du Gard, there wouldn't be any mortar; it was fit to exactness and form. It glowed in the open like a church" (BC, p. 428). Zusak compares the bridge with the place used for Christian worship to emphasise the importance of the former.

With great effort, Clay builds the bridge: "That bridge was made of him" (BC, p. 428). The 16-year-old boy accomplishes a task which is beyond his strength: "Michael Dunbar counted a hundred and twenty consecutive days that Clay worked on the bridge, and very little sleep, very little eating – just a boy who could work the pulley, and heave stones he had no right to carry" (BC, p. 529). Clay himself becomes the bridge: "He thought of Carey and thought of arches, and again his voice surprised him: 'The bridge will be made of you'" (BC, p. 196). Later, seeing a photo of Clay building the bridge, his girlfriend, Carey, says: "'You,' she whispered, and 'the bridge'" (BC, p. 378).

The Old Remington, Dog Bones, and Snake: Flashbacks to a Previous Life

The novel can be divided into two frame stories of which the first begins with a flashback to the main one: "In the beginning there was one murderer, one mule and one boy, but this isn't the beginning, it's before it, it's me, and I'm Matthew…" (BC, p. 3). Recollections of the traumatic past make the man return to reality: "…and here I am, in the kitchen, in the night – the old river mouth of light – and I'm punching and punching away" (BC, p. 3). The author uses alliteration and assonance (*one murderer, one mule, one boy; in the kitchen, in the night, the old river mouth*), which serve to produce an internal rhyme of the text and, in combination with anaphora, highlight the key emotional and conceptual points and create the image-symbol of the *old TW*. In this example there is a hidden mystery, a growing premonition of the inevitable end of the stories still untold to the readers. The repetition of *I'm punching and punching* is to create a certain atmosphere to make the readers feel like a participant in events as if hearing the sound of a typewriter. One cannot ignore the writer's use of polysyndeton, which gives the whole passage a very pleasing rhythm and unconsciously causes the readers to pay particular attention to each individual item in the list.

Matthew, the oldest brother, is left alone with *the old TW*, and this draws him towards memories of the previous life, a long-lost father and a long-lost grandmother who called this machine the *ol' TW* (BC, p. 3). This was his father's mother's typewriter: "She'd worked for the town's one doctor and spent her days punching away in the surgery, on the old Remington, bullet-grey" (BC, p. 149). Matthew gets to learn the whereabouts of the old typewriter from one of the brothers whose name is not mentioned at first, but the author adds a transparent hint: "who took all of it on his shoulder" (BC, p. 3). Matthew writes the story to be written by Clay himself, but the latter refuses to dig up the typewriter because he knows the following: "For starters, this story wasn't over yet. And even then, it wouldn't be him. The story was his, but not the writing. It was hard enough living and being it" (BC, p. 531).

The story, written by Matthew, a reminiscent of the fragments of thoughts, is to show his first experience in the epistolary genre, and he quips: "If you're like most people, you'll wonder if I'd bother stringing a sentence together, let alone know anything about the epics, or the Greeks" (BC, p. 3).

The beginning of the story is again punctuated by a flashback. Matthew exhumes the typewriter since he decides to put on paper the story of his family, which he metaphorically calls "a family of ramshackle tragedy" (BC, p. 9). Pointing to the pages of its traumatic past, he writes: "I'd driven out the day after my wedding day. Out from the city. Right through the night. Out through the reams of empty space, and then some" (BC, p. 4). Zusak uses the sentence fragment to expand the information in the sentence and intensify the semantic meaning of the secondary components of the sentences.

Representing the city of the hero's childhood ("I'd never set foot in in all my thirty-one years…" (BC, p. 5)), Zusak uses his own epithets – *the straw-like landscape, marathons of sky* and personification – *world had worn them [people] down* (BC, p. 4). Matthew digs up the old Remington, the dog bones, the snake and takes all the things with him, leaving the readers guessing the significance for the narrator of animal skeletons. The writer uses a postmodern narrative device called flash-forward wherein the repetition of *before* indicates the importance of the remains found in the past which affect future developments:

> As I drifted off, I thought how before-the-beginnings are everywhere – because before and before so many things there was a boy in that old-backyard-of-a-town, and he'd kneeled on the ground when the snake had

killed that dog, and the dog had killed that snake… but that's all still to come. (BC, pp. 8–9)

Michael buries the old Remington after his mother's death and along with the machine he hides his childhood memories: "… and in the old backyard of an old-backyard-of-a-town, he took it there, he placed it there, and buried it in the ground: The TW, the snake, and Moon" (BC, p. 250). Zusak uses the simple constructions *he took it there, he placed it there, and buried it* to indicate the methodically performed actions of a person emotionally numb from grief and loss.

This story is a link that connects generations because it is the father who in his youth buries his "red cattle dog called Moon; named for the full moon camped above the house when his mother brought her home" (BC, p. 162), and the dog died bitten by a king brown snake. As a child, Michael "carried Moon past the clothesline and buried her next to a banksia" (BC, p. 163), and then "he dug a separate hole – a few feet to the right – and in it he placed the snake; friend and foe, side by side" (BC, p. 164). Many years later, little Clay asks his Dad: "Can you tell me all about Moon, Dad, and the snake?" (BC, p. 263), and each time he dives into his father's childhood.

Part One begins with another flashback of eleven years previous to the main events of the story . For the first time, the man the brothers call the Murderer (BC, p. 13) appears. The boys gave such a nickname to their father who is completely distraught by his wife's death. The author uses vivid and unusual epithets to describe an emotionally broken person: "But make no mistake – he was a wasteland in a suit; he was bent-postured, he was broken" (BC, p. 13). Love for the boys' mother becomes the essence of his life that costs more than art for him and makes him forget his feelings for his first wife: "He loved her [Penelope] more than Michelangelo and Abbey Hanley combined" (BC, p. 170). Love causes the *birth* of a new Michael Dunbar and *kills* him. Instead, the father *kills* his sons, as it seems to them, by his indifference: "We were boys but also miraculous: We lay there, living and breathing – For that was the night he'd killed us. He'd murdered us all in our beds" (BC, p. 349). But he also became the one "who got everything moving forward, and all of us looking back" (BC, p. 13).

In fact, the parents were like better halves of each other. What one lacked was easily found in another. This is how Zusak describes them, using parallel antonymous constructions:

> …he was almost the perfect other half of Penelope; they were identical and opposite, like designed or destined symmetry. Where she came from a far-off watery place, his was remote and dry. Where he was the single son of an only mother, she was the only daughter of a single man. And lastly, as we're about to see – and this was the greatest mirror, the surest parallel of fate – while she was practicing Bach, Mozart, and Chopin, he was obsessing on an art form of his own. (BC, p. 150)

They were the ones who found each other in the huge world by the will of fate: "Sure, they fought sometimes, they argued. There was the odd suburban thunderbolt, but they were mostly those people who'd found each other; they were golden and bright-lit and funny" (BC, p. 265). With the wife's death, Michael lost himself: "Our father became a half father. The other half dead with Penny" (BC, p. 345).

The readers gradually get to know the brothers Matthew, Rory, Henry, Clayton, Thomas (BC, p. 15). They grew up without parental care for eleven years and, as Matthew noted, many considered them "tearaways. Barbarians. Mostly they were right: Our mother was dead. Our father had fled" (BC, p. 15). Zusak uses the sentence fragment to emphasise the noun *Barbarians* and generalise the boys' characters. The sentences *Our mother was dead – Our father had fled* in the form of parallel constructions express the coordinate elements of the message and highlight the most important thing. It is to the grief-stricken brothers that the father returns and asks for help in building the bridge: "I live far from here now, in the country. It's a lot of land, and there's a river, and I'm building a bridge. …I'll need help to build it, and I'm asking if any of you might –" (BC, p. 85). Zusak uses aposiopesis as the particular rhetorical device to tell the readers that about which he could speak but would not. Alliteration and assonance, taken alternately, add rhythm and melody to the text. The bridge becomes what unites the father with the son: "The bridge was all they had" (BC, p. 398).

A Coming-of-Age Story With Music, Love, Art, and Greek Myths

Describing the furniture in the house, Matthew mentions one element that is the symbol of hopes and expectations for a better future for their late mother: "We had a piano no one played" (BC, p. 15) after their mother's death.

Michael who returns to his sons cannot look at this interior object with composure: "The only thing it didn't do was say *boo*: The piano. The piano. Christ, he thought, the piano. …His heart ached with such force that he could have burst back out the front door" (BC, p. 33). Zusak uses epizeuxis and personification to describe the piano. This instrument is the symbol of passing time and a link that connects the past and present. Repeating the piano three times attracts special attention and is reflected in the memory of the readers. The author uses *Christ* as an expletive that expresses personal emotions and that is not directed to other people.

As a child, Penelope, the boys' mother, also had an instrument: "The piano was won [by her father] in a card game" (BC, p. 69). The sons do not react so emotionally to the instrument since years pass, and they see it every day and it no longer creates a painful feeling but remains a bright memory of the mother. Instead, the father disappears after his wife's death. When he returns, he cannot distinguish his sons: "The great shame was that he couldn't tell who it was. Rory or me? Henry or Clay? It wasn't Tommy, surely. Too big" (BC, p. 34). Zusak leaves these questions unanswered. Again, the author uses personification when talking about the musical instrument: "And the piano watched him from behind" (BC, p. 36). It looks like a circle wherein the thoughts of the father return to the object, which is the bridge between the happy and the traumatic past and the present.

Finally, the father walks towards the piano: "Rather than open the lid to the keys (no way could he face doing *that*), he exposed the strings from above, and what he found was possibly worse… two charcoal-colored books, on an old blue woolen dress" (BC, p. 41). Zusak writes *that* in italics to stress that there is no such power to force the man to touch the keys which once helped him to propose to his wife-to-be: "She opened the lid and saw the words, on the keys, and they were lettered there simply, yet beautifully: P|E|N|E|L|O|P|E L|E|S|C|I|U|S|Z|K|O P|L|E|A|S|E M|A|R|R|Y M|E" (BC, p. 225). Zusak uses a graphic image in which the capital letters are separated by vertical bars resembling piano keys. The text is perceived as filmed prose wherein events run and dialogues sound. For Michael Dunbar, music becomes the embodiment of his fears. As Lindquist et al. (2015) believe, people who are exposed to labels for the category "fear" prior to listening to unpleasant music are subsequently more likely to engage in behaviour typical of fear.

The musical instrument has different symbolic meanings for the boys and their parents, as Matthew recalls, "Our symbol of boyhood misery. But their island of calm

in the maelstrom" (BC, p. 271). But it is also the symbol of the boys' coming-of-age because everyone thought that "it was Penny's death and our father leaving that made us what we were – and sure, it definitely made us rowdier and harder and hardier, and gave us a sense of fight – but it isn't what made us tough" (BC, p. 282). They were hardened in some way by their mother's death and their father's escape. Zusak exploits the degrees of comparisons to create an ascending gradation that along with polysyndeton "produces the feeling of a deliberately piling up, a one-added-to-another multiplicity" (Harris, 2017, p. 14). Matthew goes on: "No, in the beginning it was something more. It was the wooden, the upright. The piano" (BC, p. 282). It was not the musical instrument itself which hardened the boys but rather the time their mother taught them to play the piano when their friends bullied them, calling the brothers *homosexuals* (BC, p. 283). It made them fight with bully boys. The author metaphorically depicts the coming-of-age of the sons using comparisons: "What else was there, as we skip the years like stones?" (BC, p. 273).

Another symbol of growing up, but mostly of Clay, is the parent's bed which "was perfect, another strange but sacred site: it was a bed, in a field, with the ignition of dawn and distant rooftops; or, more accurately, it was an old mattress, lying faded in the earth" (BC, p. 75). For Clay, it "was keepsake, it was memory" (BC, p. 76). It was there, lying on an old mattress, he could dream and mentally talk to his parents, remembering himself as a child: "He lay down in the dark and he dreamed there, and cared nothing for winning or State. No, he spoke only to another boy, from a small country town, and a woman who'd crossed the oceans" (BC, p. 415). He apologises to his mother and himself for everything: "'I'm sorry,' he whispered to both of them, 'I'm so sorry, I'm sorry, I'm *sorry*!'" (BC, p. 415). The author uses epizeuxis highlighting the last word in italics. This bed in the middle of the field became the place of his revelations and the meeting place of Clay with his beloved girl: "She'd go there and she'd lie with him. She told him about the horses" (BC, p. 351). The use of simple sentences creates the effect of alternating actions, and the repetition of the personal pronoun *she* sounds like a refrain.

From their late mother, the sons learn about Greek myths and give the names of mythological figures to their pets. A "*stubborn* … but *frendly*" mule was named Achilles (BC, p. 383), the fish – Agamemnon: "Its scales were like plumage. Its tail a golden rake" (BC, p. 32), the cat Hector: "…a big grey brute of a cat: a tabby with giant black paws and a tail like an exclamation mark…" (BC, p. 32), the pigeon Telemachus: "…when he stood and walked, his purple head bobbed with great economy, he moved in perfect

rhythm. … These days we called him Telly. Or T. But never, no matter the occasion, his full, infuriating name: Telemachus" (BC, p. 33). Penelope was raised by her father because her mother had died during childbirth and the girl grew up on the *fast-running Achilles*, the *resourceful Odysseus*, Zeus the cloud-compeller, the laughter-loving Aphrodite, *Hector the panic maker*, the patient Penelope, the thoughtful Telemachus and Agamemnon, king of men (BC, p. 232). The author includes Penelope's perception of mythological heroes in the epithets with which he names each of them. Later, the boys had a dog named Rosy in honour of "*rosy-fingered dawn*" (BC, p. 68) – the epithet their mother used to name the spring of day.

Tommy gives nicknames to the pets. Matthew mentions it this way: "God, how we hated Tommy for those names. The single reason he got away with it was that we all understood: That kid knew what he was doing" (BC, p. 33). Tommy pays tribute to his late mother who left memories of herself to each of her sons: "She would do something once with each of us. Maybe it was to give us one memory that was ours, and ours alone, but I hope she did it for herself" (BC, p. 322). She takes her little son along to "the museum; and his favorite was the hall named Wild Planet" (BC, p. 324). This particular case gives rise to his "love for those animals…; to Rosy and Hector, Telemachus, Agamemnon, and of course, to the great but mulish one" (BC, p. 324).

To describe the love to his mother of the most disobedient of the sons named Rory, Zusak uses comparisons, immersing the readers in Greek mythology: "And looking back, I love the way he called that now – how he stood, and was ready to go to her, to carry her or die for her if he had to; like the Greeks when called to arms" (BC, p. 536). The love to his mother resounds in his desperate address to his brothers: "What'll we do without her, Matthew? What the hell are we s'posed to do?" (BC, p. 537). Not only is pain hidden in Rory's words but also anger towards something that cannot be averted. In particular, this is indicated by obscene language. Swear words allow the free expression of emotion, especially anger (Jay, 2009) and allow more expression of personal anger in particular (Safdar et al., 2009).

Each of the brothers experiences his mother's loss in his own way. Clay's longing for his mother is read in the following lines: "Clay – who was the quiet one, or the smiler – only turned, one last time, and stared across the sunlit district of statues, crosses, and gravestones" (BC, p. 25) – this is how the author depicts a quiet pity of the boy who misses his mother.

The lace of events begins to intertwine in an incredible pattern after the readers get to know the main character, Clay. He is incomprehensible even to his brothers:

> What was there to know when it came to Clayton, our brother? Questions had followed him for years now, like why did he smile but never laugh? Why did he fight but never to win? Why did he like it so much on our roof? Why did he run not for a satisfaction, but a discomfort – some sort of gate way to pain and suffering, and always putting up with it? Not one of those inquiries, however, was his favorite. (BC, p. 21)

The author uses anaphora in combination with gradation to build a chain of unanswered questions. The only thing that becomes clear to the readers is the boy's reluctance to reveal himself to his brothers and friends and the base of it is his introversion. He becomes an introvert after his mother's death and his father's escape: "At times he liked to talk to it [city] – to feel both less and more alone" (BC, p. 88).

Zusak does not unfold all the events but gives the readers a hint about the boy's inner strength:

> To him, there was no win at the end of this, or a loss, or a time, or the money. It didn't matter how much they hurt him, they couldn't hurt him. Or how much they held him, they couldn't hold him. Or at least, they couldn't quite hurt him *enough*. (BC, p. 51)

The author uses italics emphasising that Clay, after experiencing many tragic events that fell to his lot, becomes one whom the trials only strengthen. He is the one from whom bridges could be built. Zusak exploits polysyndeton to connect words and sentences. The conjunction *or* indicates an alternative, but it also takes that choice away altogether.

The entire life of the boy becomes a kind of preparation for the significant event, the main day in his life: "He only knew that he was working and waiting for the day he'd find out – and that day, as it was, was today. It was waiting at home in the kitchen" (BC, p. 57). The day when the father returns to the boys' lives becomes the beginning of a new life for all of them. Clay ponders over his father's returning that very day and finally guesses: "For a moment he wondered, why now? Why had he come home *now*?

But then he realized the date. It was February 17" (BC, p. 84). The adverb *now* in italics is used in the anteposition to mention the exact date and related event, and it is their parents' wedding date: "Then the wedding, which went ahead as planned, the following day. February 17" (BC, p. 232).

Art runs through the entire novel with the piano music that Penny Dunbar plays, with a love of architecture that is inherited from his father to Clay, and with Michael Dunbar's creation of paintings. Abbey is painted on Michael's canvases: "…for amongst the kernels of floating dust there were countless sheets of canvas, all stretched over wooden frames. … On each of them was Abbey, and sometimes she was a woman, sometimes a girl" (BC, p. 223). Love to the girl becomes even more than art: "He loved her with lines and color. He loved her more than Michelangelo. He loved her more than the David, and those struggling, statued slaves" (BC, p. 170). Zusak uses anaphora in combination with gradation to show the rising emotional significance of each subsequent statement.

As a real artist, Michael contributes more than the reproduction of the image on the canvas; he contributes his very soul: "Penelope realized that anyone who looked at these paintings would know that whoever painted them felt even more than the portraits could suggest. It was in every stroke before you, and everyone left out" (BC, p. 223). But there is one thing that distinguishes Michael Dunbar's paintings from the artists' canvases whose works inspire him: "Sure, he could paint well, often beautifully… And he was truly gifted in only one area, which was something he also clung to. He was good at painting Abbey" (BC, p. 178). Love gives birth to the artist Michael, and it kills him. Abbey leaves Michael, and he drops his drawing: "'You can paint?' 'I could. Not anymore'" (BC, p. 224).

No Penny – No Daisies

The whole novel is a story wherein the Dunbar boys' present life is skilfully described and in which past events are implicated.

In Part Two, the readers are finally introduced to the one that unites the memories of the brothers and their father. She is Penny Dunbar, a mother, wife, *many-named woman*: "First, the name she was born with: Penelope Lesciuszko. Then the one christened at her piano: the Mistake Maker. In transit they called her the Birthday Girl. Her self-

proclaimed nickname was the Broken-Nosed Bride. …she died with: Penny Dunbar" (BC, p. 65). Each stage of the woman's life corresponds to her nickname: she was born with a Polish surname; got her second name when her father taught her to play the piano, and she could not perform a piece of music perfectly; in the refugee camp she was given the next nickname when she sang congratulatory songs with other emigrants; on the eve of the wedding, she broke her nose and called herself the funny name; the latter was her married name.

The brothers come to their mother's grave and see Clay with a bouquet of tulips. One boy asks: "No daisies?" (BC, p. 136). After all, these are Penny's favourite flowers: "Get daisies if you can, they were her favorite, remember?" (BC, p. 22). The bouquet of daisies was first gifted to Penelope by Michael: "On the return visit, he'd shaved, and brought daisies" (BC, p. 215).

The choice of a flower has a symbolic meaning as the prototype of the boys' mother is hidden in this plant. In many cultures, the daisy is a symbol of family, love, and fidelity. This way the boys remember their mother, so they engrave the following epitaph on her gravestone: "**MUCH LOVED BY EVERYONE BUT ESPECIALLY THE DUNBAR BOYS**" (BC, p. 219). The author uses capital letters in bold emphasising the sons' incredible love for their mother. And this very flower is the symbol of innocence and the same is Penny Dunbar who appears in front of the readers' eyes when she flees Poland: "But now the woman who was nearly twenty-one but appeared sixteen gripped him firmly in the face" (BC, p. 66).

An Epic Poem of Life

Zusak would not be a true writer if he did not create a symbol from the book. So, the symbols that unite time and people are Homer's *The Iliad* and *The Odyssey*, the books that Penny's father quietly packed in her suitcase. Her father, Waldek Lesciuszko, gives instructions to young Penelope, and later as the mother of five sons, she follows them: "I ask you to read it to your own children" (BC, p. 81). The father, sending his beloved daughter into emigre, gives her what is the symbol of unity for them. They are books he wrapped in brown paper, and "on top, in weighty handwriting, it said, FOR THE MISTAKE MAKER, WHO PLAYS CHOPIN BEST OF ALL, THEN MOZART, AND BACH" (BC, p. 79). The author uses capital letters to attract the readers' attention and to evoke their emotions since "emotions and feelings determine the relationship between body,

mind and actions; they influence our modern self-understanding and our understanding of others" (Knaller, 2017, p. 19). This episode can be considered the most emotive in the novel. Modern novels as a rule attract the readers with such plot elements (Thomas, 2015).

Young Penelope reads the same books but in English following the will of the father ("…one day I hope we will see each other again, and you will read these books to me in English" (BC, p. 81)): "She continued mastering the English language as well, feeling it closer every night. Her ambition of reading both *The Iliad* and *The Odyssey* from cover to cover seemed an increasingly real possibility" (BC, p. 222). It seems that Homer's legendary works become a certain standard, a canvas wherein he writes his story about the Dunbars, turning it into an epic poem. All the epic components are mentioned here: a classic hero, a son who tries to find his father, coming back home. Each story in the novel looks like an epic song. The books remain a bright memory of the boys' mother: "We stamped out knickknacks and *other crap*, but preserved her books and bookshelves. The books, we knew, were sacred" (BC, p. 407). Zusak uses *other crap* in italics, implying that for all the brothers except Clay, books are the symbols of love for a dead mother but not a collection of age-old wisdom.

The main idea of the novel is written on the jacket of *The Quarryman*. This is a book about Michelangelo, and it is read by Clay and his beloved girl Carey: "EVERYTHING HE EVER DID WAS MADE NOT ONLY OF BRONZE OR MARBLE OR PAINT, BUT OF HIM… OF EVERYTHING INSIDE HIM" (BC, p. 126). The use of capital letters is a technique that the author repeatedly uses to draw the readers' attention to the main idea.

The Quarryman unites Clay with his father, Clay with Carey, Clay with Abbey, and Michael with his first love Abbey: "It was milestones, too, and birthdays, and one in particular, when she gave him a book – a beautiful hardcover with bronze lettering – called *The Quarryman*, and Michael staying up reading, while she slept against his legs" (BC, p. 174). Abbey is Michael's first wife who later left him. This is Abbey who, meeting Clay, hands him his father's book, given her at the moment of breaking up: "'I think I know why you came here, Clay.' She left and came back with The Quarryman" (BC, p. 493). Only after Clay's death does Abbey write him a letter: "*When I met you both, I should have told you – that you reminded me of Michael and me*" (BC, pp. 495–496). Zusak uses italics to highlight the letter to grasp the readers' attention. Thus, through time and space, the book connects two couples, becomes both men's passion, and determines

their future destiny. The book is very important in Clay and Carey's life, and it becomes clear from the following words: "…they could never know what it would mean" (BC, p. 498) and "In between, as you might guess, the one constant – the thing they loved most – was the book of Michelangelo, whom she lovingly called the sculptor, or the artist, or his favorite: the fourth Buonarroti" (BC, p. 498).

Clay is like an alter-ego of his father since their destinies are similar, their bond is strong, and the longing of the son for the father cancels out the betrayal of the latter: "Clay searched for him after a week" (BC, p. 357). Fear as the most intense negative emotion in its psychological impact is a universal experience (Sik, 2019; Tudor, 2003). Therefore, the choice of the means is necessary for its representation in a literary text and depends in no small way on the author's worldview and experiences: "As I said, he went Dad! DAD! WHERE ARE YOU, DAD?!" (BC, p. 358). Zusak uses capital letters in combination with exclamation and question marks to describe the boy's fears.

The boy tries to find support from his father because the memories of his mother are too painful: "Like all of us, Clay missed him in a strangely worn-out way. It was hard enough missing Penny" (BC, p. 357). The similarity of the son to the father is noticed by Michael's ex-wife Abbey. She is the one the young man comes to with his girlfriend Carey: "She shook her head and laughed, at herself: You remind me of me and him. She thought it – he could tell – but didn't say it" (BC, p. 493). And they are united by a love of art: "The *David* and the *Slaves*. He loved them like his father did" (BC, p. 352). The author makes it clear that the son and the father are mentally and outwardly so similar that only together they can build something significant.

The Amahnu: Where the Stories Come Together

Clay is the son who agrees to his father's adventure of building the bridge across the river. This river is the symbol of Michael's first love as this is the place where he and Abbey spent their honeymoon: "It was driving back, a few days later, and stopping halfway, where the river was awesome, something insane, raging downstream – a river with a strange name, but a name they loved – the Amahnu" (BC, p. 174). The author uses various adjectives – *awesome, insane, raging* – to show the changeability of the river at different seasons. And again, Clay's thoughts about the river sound like a refrain to his father's words: "It had a strange name, but he liked it" (BC, p. 145). Zusak notes the significant role of the river in the boy's life: "The Amahnu would be his [Clay's] future"

(BC, p. 237). At the bottom of the dried-up river he digs the ground, mourns his girlfriend's death, remembers the traumatic past, plays football with his father and brothers, and it becomes the challenge to test the strength of the bridge.

Life is like a fast river that carries people's fate on its waves and helps them to understand something important for themselves. So, it is in Clay's life: "He was caught somewhere, in the current – of destroying everything he had, to become all he needed to be – and the past, ever closer, upon him" (BC, p. 101).

The elements are able to harden materials and souls. The steel is quenched with water and the fire cements clay. Carey, trying to encourage the boy, gives him a lighter. In the letter to Clay, she explains her gift:

> As for the Zippo, they say you should never burn your bridges, but I offer it to you anyway, even if only for luck, and to remember me by. Also, a lighter sort of makes sense. You know what they say about clay, don't you? Of course you do. (BC, p. 127)

Between the Doors: Connecting Past and Future

The door appears in Zusak's novel as the symbol of the boundary between the past and the future. Michael Dunbar paints Abbey in his final assignment:

> He found an abandoned door and painted her, both sides of it. On one panel she was reaching for the handle, on the other she was leaving. She entered as a teenager; the girl in school uniform, that bony-yet-softness, and endless hair. Behind it, she left – high-heeled, in a bob, all business – looking over her shoulder, at everything in between. (BC, p. 179)

He receives his result and reads: "*Door idea fairly cliché. Technique proficient but no more, but I admit I want to know her. I want to know what happened in between*" (BC, p. 179). And between the doors, there is an entire life of people who later disperse and who each choose his or her own way: "To be fair, there was nothing malicious in Abbey Dunbar, but as time widened and the good moments shortened, it became clearer, each day, that their lives were going separate ways" (BC, p. 187).

Blaming himself for Carey's death, Clay finally dares to come to her coach Ennis McAndrew and her parents. The door in front of him may split up his life: "For this door, it did get glorious, and it was all in the showing up for it" (BC, p. 464). He blames himself but Carey's parents and her coach do not see him guilty of her death as "It was they who brought her to the city. It was they who knew the risk" (BC, p. 465). Zusak uses anaphora in parallel constructions to arrange the message and create the effect of frozen moments in time. The writer writes simple sentences with a single independent clause to express a complete thought. Ennis McAndrew tries to calm Clay down in his own way: "'You have no idea what I've seen jockeys get up to over the years, and they did it' – he was suddenly so empathetic – 'for things worth much less than you'" (BC, p. 466). The coach addresses the boy using the personal pronoun *you*, which is "a decisive step in the transition from the authorial to the figural domain". Using the personal pronoun rather than the character's name "facilities the transfer of the reader to the consciousness of the character of the reader's empathy with the character's situation" (Stanzel, 1986, p. 189).

Death Knows Everything

Death is an ontological characteristic of a person as a living being, therefore, limited by a chronological framework. The encounter with death, awareness, and experience of this event makes one a person of culture, and the inevitability of such a meeting is the most reliable and at the same time the most mysterious knowledge. Death is a symbol, the only content of which is death itself. Zusak skilfully and step by step introduces the image of death into the plot of the novel. Everything finds its end with the relentless passage of time. Content-enhancing and rhythmic-melodic functions are performed in the text by parcelled constructions: "And like that, the time flowed by: They planted things in the garden. Half of it lived. Half died" (BC, p. 249). Some researchers assert that Zusak uses metafictional strategies in depicting death to allow the readers to confront difficult topics (Steyn, 2018, p. 28).

From the very moment of birth, a person begins his or her preparation for death. The writer recalls how Penelope found out about her next pregnancy: "After four years of teaching, she came home one evening with a pregnancy kit…" (BC, p. 252). In a few lines, the author writes: "The metronome went click" (BC, p. 253), and a bit later: "And death came walking with us" (BC, p. 253). Zusak closes the life cycle from birth to death. It is inevitable. Michael Dunbar's mother meets her death: "She'd died at the dining

room table, most likely late at night, having just typed a letter to a friend" (BC, p. 249). Death came to the boys' mother invisibly and slowly: "So she dropped an egg between Rory's toes. So she lost control of a plate… She'd started leaving us that morning, and death was moving in: He was perched there on a curtain rod. Dangling in the sun" (BC, p. 298). The writer uses personification each time to describe the approaching of Penelope's death: "But of course, looking back, death was out there too that night, perched high up with the pigeons, hanging casually from the power lines. He was watching them, side to side" (BC, p. 333).

Realising one's uniqueness allows one to see human life in the life of the world, and the death of the world in human death. Penny accepts her death: "And Penny, so slim and stoic: She steadied toward matter-of-fact. Her own eyes green and wild. Her hair was out and open, and she repeated herself, she said it: "Boys, I'm going to die" (BC, p. 334), but her sons and husband experience grief differently: "He [Rory] roared into Clay's chest, straight through the buttons; he shouted right into his heart" (BC, p. 334); "I see Henry near the toaster, speechless when it counted. I see Tommy all numb beside him, looking down at the blurry crumbs. I see our father, Michael Dunbar, unfixable, at the sink" (BC, p. 334); "And me [Matthew], I'm in the middle, collecting a fire up all of my own; paralyzed, folded-armed" (BC, p. 334).

Another encounter with death awaits Clay. It is the tragic death of his beloved jockey girl: "Carey, of course, went to trackwork, where in the dawn, the old stager, War of the Roses, returned from the inside training track – but returned without his rider. She'd fallen on the back straight" (BC, p. 436). Zusak does not use a lot of words but describes nature to convey the suffering of the boy: "The sun was cold and pallid. The sky of the city was quiet" (BC, p. 436).

Death knows all the past and future events but is it possible to predict or feel death? Carey's mother, whom the writer calls Catherine the Great and Belligerent (BC, p. 443), foresees her daughter's tragic death: "That's our *daughter* in there, and I want her to live – not go through the hell that you did, or what the boys will…." (BC, p. 444). The author uses italics to distinguish the *son–daughter* opposition. She accepts that her husband and sons could be maimed in the race but not her only daughter. The mother's words are in Clay's mind after Carey's death: "I want her to live. I want her to live" (BC, p. 444). Contact repetition is felt like an echo that vanishes.

How do children guess their mother is going away? Zusak gives his answer: "You know your mother's dying when she takes you out individually" (BC, p. 320). Inevitability is clear to children but at the same time it is a stage of their maturing: "It was hard enough missing Penny. At least with her you knew what to do with it; the beauty of death – it's definite" (BC, p. 357). The author uses the oxymoron *the beauty of death* as a way to attract the readers' attention, embarrassing them and evoking unusual associations in their minds.

Clay is able to sacrifice himself for the sake of those he loves, even to descend into the realm of Hades to return his mother and beloved girl to life: "I'd go to hell just to make them live again – and we could both go, you could go with me – one of us for one of them. I know they're not in hell, I know, I know, but –" (BC, p. 523). The emotion of despair, insecurity, fear of being alienated by the father he has just found is heard in Clay's words, but love wins: "He stopped and bent, then called again. 'Dad, you have to help me'" (BC, p. 523).

The Metronome Clicks

The metronome goes click to the life of the novel's characters second by second, moment by moment, beginning with Penny's childhood when her father taught her to play the piano: "Her father cleared his throat. The metronome went click" (BC, p. 69).

Later, an adult Penelope uses this device to teach her students: "She brought a metronome in from home. The kid would stare, incredulous, saying, 'What the fuck is that?' To which Penny would answer flatly: 'Read in time with this'" (BC, p. 252). The writer uses obscene words to show more emotions and draw the readers' attention to represented narratives (Bertels et al., 2011).

Penelope teaches her students to read texts using the metronome and while visiting her in hospital, they offer to breathe, listening to its countdown: "They'd brought her in the metronome, and it was one of the boys who said it. I think his name was Carlos. "Breathe in time with this, Miss" (BC, p. 314). So, Penny's days drop one by one to the sounds of the metronome, counting down the ones left to live: "The metronome went click. … And death came walking with us" (BC, p. 253). The device appears again when death first casts a dark shadow over the woman's figure:

"That morning, they were reading with the metronome – the old familiar trick – when Penny got up for a thesaurus. Next, she was shaken awake" (BC, p. 301).

When the Sun Goes Down With a Flaming Ray

The sun in Zusak's novel is the symbol of life, or it is life itself that lights both happy and tragic days. Sometimes the writer uses his own epithets to describe the celestial body: "The woman came closer and I noted the teeth of her now, how they were white-and-gleaming-but-yellow; a lot like the swaggering sun" (BC, pp. 4–5). The use of personification is also striking as the sun seems to observe the events taking place in the characters' lives: "There was tea and Scotch Fingers, and sun clapped hard at the window" (BC, p. 6), "The sun was still all over it, but reclining, leaning west" (BC, p. 7), "… the sun still high, and aching" (BC, p. 13), "He watched the sun, grazing amongst the skyscrapers" (BC, p. 23).

Penelope realises that she is in a strange and distant place comparing the sun at home – "In her former country, in the Eastern Bloc, the sun had mostly been a toy, a gizmo" (BC, pp. 65–66), and abroad – "It was so hot and wide, and white. The sun was some sort of barbarian, a Viking in the sky. It plundered, it pillaged. It got its hands on everything…"(BC, p. 65). Once in another country, fleeing Poland, the country is described as "ice and snow, and all those years ago" (BC, p. 73), and she leaves the warmth that eventually, metaphorically, burned her.

Mentioning the sun, Zusak uses personification in combination with metaphor when describing the unconsciousness of Carey's father: "She went to his boots to loosen them, and now he screamed in pain. The sun flopped down and swallowed him" (BC, p. 427).

The heavenly body seems to be a doctor: "The sunshine bathed the animals, but beat Clay up in the face. Soon it would soothe the soreness" (BC, p. 291). At the same time, it is a witness of Penelope's slow dying ("A week later, she was in the hospital; the first of many visits. … The sun was setting behind her" (BC, p. 305)) and of happy moments in the characters' lives as on Michael and Penelope's wedding day ("They walked down the center of the church, where the doors were held open, to a white-hot sunlight in front of them" (BC, p. 233)). Nothing can interrupt the sun's rising and shining in the sky. It observes both births and deaths. The heavenly body sees Penny's funeral:

"The funeral was one of those bright-lit things. The sunny hilltop cemetery" (BC, p. 343), and later Carey's funeral: "And the funeral? It could only be one of those bright-lit things, even if they held it indoors" (BC, p. 448). In both examples, the author uses the same epithet *bright-lit thing* to describe the sun.

A Twirling Button: Hesitating to Come Back

The symbol of the inevitability of changes in the girl's life is the button that is waiting for its time in the pocket of "an old blue woolen dress" (BC, p. 41). Fleeing the totalitarian country, Penelope is wearing this dress: "She was in a blue woolen dress with fat, flat buttons" (BC, p. 79).

This button becomes the symbol of indecision and at the same time determination of the girl. When deciding to return to the father, Penelope is stricken "with indecision, twirling one of those buttons, center-chest" (BC, p. 91), and finally she had the button "in front of her, in the palm of her right hand" (BC, p. 91). The twirling button becomes the symbol of burned bridges and the impossibility of her returning back home. That is why "she'd never had the heart to mend it" (BC, p. 408), and after her death, the button kept in the pocket of the said dress along with Homer's *The Iliad* and *The Odyssey* and a pack of cigarettes, were *buried* in the piano.

Last but Not Least

What can a clothes peg mean? At first glance, this object is small and insignificant, but not on the pages of the novel. For the first time since the escape Clay met his father, and "reached inside his pocket again, and when he pulled it back up, there were pieces; he held them out in his hand. They were warm and red and plastic – the shards of a shattered clothes peg" (BC, p. 61). Later, the readers learn about the symbolic meaning of this peg and why the boy carries it in his pocket. Such a peg Clay suddenly finds in his hand on the day of his mother's funeral: "On the day of her death he'd found a peg in his hand, and he clenched it now till it hurt; then returned it soon to his pocket" (BC, p. 344). It is in Clay's pocket after his mother's death as a memory of the darkest day in his life: "Again, the peg was there. He slept with it, it never left him" (BC, p. 348). This peg is found in a gift box by her parents under Carey's bed. It is Clay's gift: "…it was something she'd actually stolen, and he would never know exactly when. It was pale but green and elongated. She'd been here, 18 Archer Street. She'd stolen a Goddamn

peg" (BC, p. 467). It is like a talisman for Clay: "'Why is it,' she [Carey] asked, 'that every time you're uneasy, you reach for whatever you've got there?'" (BC, p. 482).

The clothes peg means a lot to the son and his father as it is also the symbol of their secret. It does not leave his father even after many years of separation, and he paints "a sketch of a boy in a kitchen, who was holding toward us *something*. The palm was open but curling. If you looked hard you could tell what it was: The shards of a broken peg" (BC, p. 551). This object is the last thing the boy's mother sees before her death: "Clay could be totally certain; the last thing Penelope had seen in the world was a length of that wire and its color – the pegs on the clothesline, above them" (BC, p. 557). And later "When he came back out to the clothesline, he reached up for the first of his pegs" (BC, p. 558). Zusak skilfully combines small and seemingly insignificant details and significant symbols in his novel. They are intertwined to create the design of the novel.

The most significant symbol of the novel is Clay's bridge, the perfect clay bridge that could withstand the ferocity of a river and that is diligently being built by Clay and his father throughout Zusak's novel, uniting the brothers. All the time, both father and son realise that the flood is coming, and they should finish the construction on time. They live in Spartan amenities, come up with a plan, prepare the elements of the bridge, and work tirelessly. Eventually, Clay completes the construction, returns home, and the readers learn how his mother dies. She struggles against cancer and slowly dies. She is given six months after surgery and chemotherapy, but she lives for three more years until she feels death's coming and asks her husband to take her home. She dies in the arms of her beloved husband.

When a flood occurs, the brothers all watch the bridge together as it withstands the storm. After that, Clay leaves home as if leaving behind the pain of the past. And only a few years later, Matthew returns to the old house to dig up an old typewriter and to write Clay's story.

Conclusion

Symbolising ideas enables the author to express something beyond the empirically presented in the text since the symbol is one of the main constructive elements of a literary work, which combines imagery and its expressive means into a holistic system.

The ways of representing narratives in Zusak's *Bridge of Clay* via symbolic forms are expressed in the text by direct and indirect nomination. The semantic potential of the symbol, which is realised by the interaction of symbols with each other and other meaning-making elements and structures of the text, is clearly traced in the novel and is expressed in the author's intentions.

A hermeneutic interpretation of symbols as meaning-making textual components capable of realising the associative-semantic system of the author's and the reader's narratives objectifies the emotional dominance of the novel. Explicating the role of the symbol as one of the hermeneutic intratextual mechanisms of meaning-making determines its artistic potential. Applying the method of interpretation to the symbol to be a special element of the semantic sphere of the text demonstrates the flexible nature of symbols as indicators that are focused on the context, which should not only be indifferently perceived by the readers, but which also needs to be comprehended, evaluated, and interpreted.

The system of symbols in *Bridge of Clay* is designed to immerse the readers in the atmosphere of a perfect chaos, and it is a special kind of both noetic and noematic means with culturally determined interpretations implemented in the context. Clay, the most determined of the Dunbar sons, managed to build the bridge as the principal symbol of unity of his family, as the link to their traumatic past, and the hope for a better future. It is a miracle and nothing less. Symbolically, it is a bridge made of clay. At the beginning of the story, the clay is soft and fragile, but later on, it hardens and becomes a more stable structure. It is Clay, a boy tormented by a long-buried secret, who accepts a surprising request from his father.

A perfect chaos is built in the novel, in particular, through a space-time perspective, which creates the effect of a broken narration when the readers do not completely understand where and in what period of the characters' lives they will be in a moment. The symbols, invented by Zusak, are included in this story as unconditional elements of the realisation of an artistic idea and dynamic schemes for the interpretation of the text. This provides a systematic understanding of the implicit symbolic narratives of the text, expressed symbolically.

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Asta Nielsen Filmvorführungen in Istanbul

Screening of Asta Nielsen Films in Istanbul

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ABSTRACT (DEUTSCH)

Mit den ersten kommerziellen Filmvorführungen, die weltweit im Umlauf waren, bekam das Publikum die Gelegenheit ab 1896 im osmanischen Istanbul Filme zu sehen. Durch die Osmanisch-Deutsche Allianz und ihrer Reflexion auf das kulturelle Leben wurden während des Ersten Weltkrieges die im Deutschen Reich produzierten Dokumentarfilme und Spielfilme in den Istanbuler Kinos gezeigt, darunter auch Asta Nielsen-Filme. Es gibt Studien, die sich auf Filmvorführungen von Asta Nielsen-Filmen in einigen Teilen Europas oder Asiens konzentrieren, doch gibt es noch keine Untersuchungen zur Verbreitung und Anerkennung ihrer Filme im Osmanischen Reich. Dieser Artikel, der diesen Mangel abdecken möchte, betont auch die Rezeption von Asta Nielsens Frauencharaktere in zwei herausragenden Filmen. Das Interesse und die Kommentare zu den Filmen von Nielsen, einer der Repräsentinnen der neuen Frau in der Filmwelt und ihrer Zeit, werden bewertet. Die Frauenrollen und die historische Stellung der Istanbuler Zuschauerinnen dieser Frauenbilder gegenüber wird thematisiert und in Frage gestellt. In einer Zeit, in der man begann, die öffentliche Präsenz und Sichtbarkeit von Frauen im Osmanischen Reich zu diskutieren, geben die Auswirkungen, der von Asta Nielsen verkörperten Bilder der modernen Frau, auf das weibliche Publikum, und die Erfahrungen der Zuschauerinnen, die in Péra ins Kino gingen, wichtige Hinweise auf die Verortung des Kinos im Säkularisierungsprozess. Damit leistet der Text einen Beitrag zur Monographie von Asta Nielsen und zur osmanischen/deutschen Kino- und Kulturgeschichte, indem er die Vorführung und Rezeption von Asta Nielsen-Filmen in Péra in den Mittelpunkt stellt.
Schlüsselwörter: Asta Nielsen, frühes Kino, Filmstar, Istanbul, Zuschauerinnen

ABSTRACT (ENGLISH)

Audiences in Ottoman Istanbul first had the opportunity to watch films in 1896, after the first public film screenings circulated in the world. As a result of the implications of the Ottoman–German alliance on cultural life during World War I, documentary and feature-length films that were produced in and about the German Empire, including the films of Asta Nielsen, were screened at movie theaters in Istanbul. Although there are studies which deal with the screening of Asta Nielsen films in Europe and some parts of Asia, no study has been conducted yet on the prevalence and recognition of these films in the Ottoman Empire. This article, which aims to fill this gap, focuses on the reception of Asta Nielsen's female characters through her two prominent films. The article evaluates the interest shown in and the comments made about Nielsen's films, as she represented a new type of woman in the film community during her time. This article also discussed and problematizes female roles and the historical status of female spectators in Istanbul in relation to these

female images. The influence of the images of modern women portrayed by Asta Nielsen on female spectators at a time when the public presence and visibility of women began to be discussed in the Ottoman Empire and the experience of female spectators who went to the movies at Péra in relation to these images give important clues about the place of cinema in the process of secularization. Therefore, the article contributes to the monography of Asta Nielsen and Ottoman/German cinema and cultural history with a focus on the screening and reception of Asta Nielsen films at Péra.

Keywords: Asta Nielsen, early cinema, film star, Istanbul, female spectators

EXTENDED ABSTRACT

After the first public screenings in different countries around the world, audiences in Istanbul first had the opportunity to see films on the silver screen starting at the end of 1896. Improving Ottoman-German relations also showed themselves in cultural life. In particular, with the declaration of the Second Constitution, documentary and feature-length films produced in the German Empire began to be screened at movie theaters in Istanbul and the screening of German films increased as a result of the alliance formed during the war. The films of Asta Nielsen, one of the first stars of the cinema, were also seen by audiences in Istanbul as of 1913. The screening of her narrative films continued and information about these films circulated throughout the 1910s. Full-length films started to be screened at movie theaters starting in 1910, and it has been observed that viewing habits started to change gradually during this period. As cinema evolved into an industry, it experienced a transition from travelling shows to permanent establishments. In other words, the act and experience of watching became more standardized.

Although there are studies which focus on the screening of Asta Nielsen films in European or Asian countries, no study has been conducted yet on their course of screening and reception in the Ottoman Empire and the early Republican Era of Turkiye. This article focuses on the circulation of information about cinema in Istanbul, the status of the female audience in the cinema, and the Asta Nielsen films that were screened at Péra between 1913-1918. The research provides historical background information about the screening of films in Istanbul, during a period which also included World War I, by describing the screening conditions of films. This knowledge aims to contribute to the cultural and cinematic history of the time.

It is very difficult to access all of the early films. Some have disappeared and some are waiting to be discovered in unknown places far away. The absence of early films, which researchers sometimes experience, requires using different methods in studies.

Accordingly, discourse analysis is mainly used in this article. News and advertisements compiled from newspapers and magazines are primary sources. Other primary sources are the films themselves. For this study, the Asta Nielsen films that were shown at Péra were watched to the greatest extent possible. Secondary sources describe the period in socioeconomic terms or provide insight on the history of cinema and specifically Asta Nielsen cinema.

The article consists of three main sections: Introduction, main section, and conclusion. The main section includes three sub-headings: 1. Cinema Life in the Ottoman Empire, 2. The Screening of Asta Nielsen Films at Péra, 3. The Female Image and the Reception of Asta Nielsen. In the first section, cinema life in Ottoman Istanbul during the period of 1910-1918 is discussed, with reference points. The first section also discusses the structure of film production and viewing, those who were involved in filmmaking, and the political actors who formalized the mode of screening that was most commonly used. Accordingly, the cinema is evaluated within its economic, political, and historical context. The second section deals with Asta Nielsen's cinema career and her films. Also, this section discusses the screening conditions of Nielsen films and provides information on film screenings in Istanbul at the time. The conditions under which the films were screened are analyzed using data such as the date and place of screening, any significant features of the movie theater, for how long the films were screened, and the ticket prices. In the third section, the way the female characters played by Asta Nielsen were perceived in her time is discussed and the female roles portrayed by Asta Nielsen in her films *Die Suffragette* and *Engelein* are discussed in sub-headings. Reviews of Nielsen by Ottoman audiences also give clues to how the new woman of the period was perceived and evaluated. In this section, the article attempts to lay out the historical evidence for the presence of female audiences in movie theaters as public sphere based on the status of the female Ottoman audience in relation to the films, and the questions that the screenings bring to mind. Based on the data obtained, the screening of Asta Nielsen films at Istanbul Péra, their reception, and the status of female spectators at the movie theater in relation to these films are evaluated in the conclusion. Accordingly, the role that cinema played in the secularization of the Ottoman Empire and the definition of the status of women in the public sphere is read through Asta Nielsen's films.

Einleitung

Seit den 1910er Jahren entwickelte sich in der Kinoindustrie die Verbreitung von Kinematographentheatern und die Produktion von Spielfilmen in voller Länge (Müller, 1994, S. 103) auch im Osmanischen Reich. Die Brüder Manaki im Osmanischen Reich, ausländische Betreiber, Sigmund Weinbergs Filmaufnahmen (Rosenthal, 17. August 1910) und gelegentliche Kooperationen ausländischer Produktionsfirmen mit der osmanischen Marine und der Armee (Özçelik, 2000, S. 184; Gök, 2008, S. 88) sind einige Beispiele für die Produktion im osmanischen Land. Diese Experimente in der lokalen Filmproduktion waren jedoch relativ gering, was bedeutet, dass sich die Entwicklung eigentlich im Vorführungsmodus und in der Filmdistrubition als in der Produktion widerspiegelte. In den 1910er Jahren dominierten Filme mit einer durchschnittlichen Dauer von einer Stunde den Markt und machten sich durch. Es gab auch einige andere Faktoren, die 1910 für diese Studie interessant machen. Heide Schlüpmann erwähnt die Existenz des weiblichen Blicks im Kino um 1910. Der weibliche Blick zeigt sich in den Filmen und der Struktur des Publikums. In Deutschland schauten sich die sozialen Dramen meistens Frauen an (Schlüpmann, 1990). Asta Nielsen, die in diesen Dramen mitwirkte, repräsentierte in ihren Filmen die moderne Frau, die der Propaganda des westlichen Frauenlebensstils und – gefühls diente und eine neue Interpretation und Perspektive der Moderne schuf. Nielsens Filme popularisierten auch das Kino selbst.

Für Asta Nielsen war das Jahr 1910 auch der Beginn einer Veränderung in ihrer Karriere. Die Schauspielerin, die dieses Jahr ihr Debüt im deutschen Kino feierte, gilt mit ihren Spielfilmen und ihrem Image, als einer der ersten Stars in der Geschichte des Früh- und Stummfilms. Das Hauptthema dieser Studie ist die Vorführung und Rezeption von Asta Nielsen und ihren Filmen im Grande Rue de Pèra in Istanbul; wobei die politische Konstellation der Zeit für die Untersuchung entscheidend ist. Der Aufstieg des Stars im Kino, die in den meisten Ländern der Welt stattfindenden Veränderungen in der Kinobranche und das osmanisch-deutsche Bündnis bilden eine wichtige Grundlage für diese Forschung. Angesichts dieser Daten konzentriert sich dieser Artikel auf die Vorführungen und Rezeption von Asta Nielsen-Filmen im Istanbuler Péra-Bezirk.

Die Studie stützt sich stark auf die Diskursanalyse und konzentriert sich auf die Rezeption der Frauenbilder in den Filmen. Zeitungen und Zeitschriften der damaligen Zeit sowie die gegenwärtig vorhandenen Filme von Asta Nielsen sind die Hauptquellen.

Der Artikel besteht aus drei Teilen. Im ersten Teil wird eine Übersicht über das Kinoleben in Istanbul geschaffen. In diesem Teil wird das Kino als öffentlicher Raum betrachtet, in dem die gesellschaftlichen Normen nochmals reproduziert werden. Im nächsten Teil wird der Filmvorführungsmodus mit Hilfe vorhandenen Daten dargelegt. Im dritten Teil werden die Frauenbilder in Asta Nielsens Filmen anhand zweier Filme hervorgehoben und die Position der Frauen im Kinoraum gegenüber diesen Filmen in Frage gestellt. Durch dieses Textgewebe werden im Artikel Film, Kino als Erfahrungsraum und Filmrezeption verknüpft. Zum Schluss wird eine einheitliche Bewertung gemacht.

Das Kinoleben im osmanischen Istanbul

Vor der ersten kommerziellen Filmvorführung Ende Dezember 1896 in Péra[1] (Teksoy, 2009, S. 66) verbreitete sich das Wissen über die Kinematographentechnologie. Am 10. Dezember 1894 schrieb die Zeitung *Ikdam*[2] über Edisons Phonocinetoscope, dass, diejenigen, die sich die Laufenden-Bilder anschauten, Schwierigkeiten dabei hatten, Landschaften von ihrer Realität zu unterscheiden. Die Zeitung *Servet-i Fünun* konnte ihren Lesern am 21. November 1895, etwa einen Monat vor der Aufführung im Grand Café, den Kinematographen der Brüder Lumière vorstellen. Bis zum Ende des Ersten Weltkriegs hatte die Kinobranche in Istanbul eine multikulturelle Identität und wurde maßgeblich von Ausländern aus Europa betrieben und beeinflusst. Tatsache ist, dass es sich bei auf den Leinwänden gezeigten Filmen größtenteils um französische, italienische und deutsche Filme handelte. Dies zeigt, dass die Produktion, Vorführung und Rezeption der Filme im osmanischen Land einen starken westlichen Einfluss hatte. Die Lumière-Operateure wie Jean Alexandre Louis Promio nahmen Filme in osmanischen Städten wie Istanbul, Jerusalem, Jaffa und Beirut auf, und Pathé war eines der ersten Unternehmen, das in Istanbul ein Kinematographentheater eröffnete (Evren, 1995, S. 44). Die Daten weisen hin, dass Kinobesucher durch Begegnungen vieler französischen Filmen auf der Leinwand das Kino selbst und das westliche Leben aus diesen

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1   In der osmanischen Zeit wurde der Name „Péra" überwiegend von der fränkischen Bevölkerung Istanbuls verwendet und die Muslime nannten dieselbe Region „Cadde-i Kebir".

2   In dieser Studie wurden die Zeitungen *İkdam* und *Le Moniteur Oriental* anhand der Daten analysiert, die aus dem, das zwischen den Jahren 2006 und 2010 an der Bilgi Universität durchgeführten Dokumentarchivierungsprojekt stammen. Das von Prof. Dr. Nezih Erdoğan geleitete und Faik Gür koordinierte Projekt fand mit der Unterstützung des Ministeriums für Kultur und Tourismus statt. Im Rahmen dieses Projekts wurden die Zeitungen *İkdam*, *Tanin*, *Penbe Gazete*, *Le Cinema Turc* von Şule Tezcan, Özlem Çekmece, Dilek Özkan, Ayhan Han latinisiert und Ateş Uslu übersetzte *Le Moniteur Oriental* ins Türkische. Alle Übersetzungen in die deutsche Sprache wurden von der Autorin dieses Artikels durchgeführt.

kennenlernten. Diese Hegemonie der Franzosen nahm in den 1910er Jahren ab. Es gab zwei wichtige Faktoren, die diesen Rückgang auslösten. Der erste Faktor bestand darin, dass man die industrielle Struktur des Kinos zu verbreiten und zu stärken versuchte, indem ein Monopol für die Produktion, den Vertrieb und die Vorführung europäischer Filme wie in Deutschland, Italien und Norwegen geschaffen wurde. Ein weiterer Faktor war, dass sich in diesen Jahren die Balance zwischen dem deutschen und dem osmanischen Reich im militärischen, wirtschaftlichen und politischen Bereich zugunsten des Deutschen Reiches änderte. Durchgebaut, unter dem Einfluss des Bündnisses zwischen dem Osmanischen Reich und Deutschen Reich während des Ersten Weltkriegs, wehte vor allem zwischen 1914 und 1918 ein deutscher Wind auf den Leinwänden Istanbuls. Deutsche Filme, mit zunehmender Anzahl von Vorführungen, führten dazu, dass das osmanische Publikum häufiger deutschen Filmen begegnete und die Verbreitung von in Deutschland produzierten Filmen im Land somit zu einem politischen Schritt gegen die gegenwärtige und zusammenbrechende Souveränität der französischen Kultur wurde.

Zwischen 1910 und 1917 gab es in Istanbul auf asiatischer und europäischer Seite fast sechzig Kinos (Erdoğan, 2017, S. 274-275)[3]. Das erste Kinematographentheater in Istanbul, das in Tepebaşı eigentlich als ein Amphitheater diente, wurde 1908 von der Firma Pathé eröffnet (Evren, 1995, S. 44). Dieses Kino war einer der Säle in Istanbul, die in vielen Ländern von der französischen Firma Pathé eröffnet wurden[4]. Nach der Eröffnung des Pathé Cinema Theatre wurden neue Kinos in Péra eröffnet (Gökmen, 1989; Bozis und Bozis, 2014). Die meisten dieser Kinoräume, die eine große Anzahl ausländischer Namen hatten, wurden von den Namen der Kinomatographentheater im Ausland inspiriert oder erbten die Namen der Theater, in denen sie gebaut wurden. In Grand Rue de Péra wurde das Filmgeschäft hauptsächlich von Angehörigen ethnischer Minderheiten betrieben (Bozis und Bozis, 2014). Istanbul als eines der Zentren der Presse und des Kulturlebens im letzten Viertel des Osmanischen Reiches hatte 1914 eine Gesamtbevölkerung von 909.978 Einwohnern. In Péra, das eines der Kulturzentren in Istanbul mit der größten Anzahl an Kinos und durch seine multikulturelle Struktur und Identität gekennzeichnet war, war die Bevölkerungszahl 261.095. 117.267 der in dieser Region lebenden Bevölkerung setzen sich aus Muslimen, 75.971 Griechen, 22.160 Armeniern, 31.080 Juden und anderen ethnischen Identitäten zusammen

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3   Diese Zahl beinhaltet auch Theater, Schulen, Vereine und Museen, die nicht direkt als Kino dienten, aber Filme zeigten (Erdoğan 2017, S. 273-276).

4   Für Pathés Tätigkeiten im osmanischen Istanbul siehe Özen 2006, S. 49-57.

(Karpat, 1985, S. 162-171). Es gibt zwar keine Daten für das Jahr 1918, aber es ist absehbar, dass die Kriegsbedingungen zu Veränderungen in der Bevölkerungsstruktur führten, und es sollte betont werden, dass der Strukturwandel der Bevölkerung Anfang des 20. Jahrhunderts begann. Nach den Bestimmungen des Standesamtes von 1919 wurde die offizielle Gesamtbevölkerung Istanbuls mit 1.129.655 registriert, wobei Zafer Toprak diese Zahlen kritisch bewertet, die nicht genau mit den Einflüssen der Kriegsjahre auf die Bevölkerung übereinstimmen und diese widerspiegeln (1994, S. 110). Laut diesen Informationen sollte die Bevölkerung für die Kriegsjahre als indikativ angesehen werden.

Zwischen 1911 und 1918 befand sich das Osmanische Reich in einem langfristigen Kriegeszustand. Trotz der Auswirkungen der Kriege erfahren wir aus der Zeitschrift *Ap'ola* vom 30. März 1913, dass die Öffentlichkeit ein großes Interesse an Filmen hatte. Laut der Zeitung *Proodos* war in der Saison 1912-1913 in Istanbul die einzige Unterhaltung das Kino und eine halbe Stunde vor den Vorführungen waren die Kinos schon voll und es gab keine freien Sitzplätze (Bozis und Bozis, 2014, S. 101)[5]. Trotz der Kriegsbedingungen während des Ersten Weltkrieges bedeutet die Zunahme der Anzahl der Kinos in Istanbul auch, dass das Publikum die Filme und das Kino als einen Weg der „Zerstreuung" und „Ablenkung" (Altenloh, 1914, S. 56) sah. Die Zeitschrift *Servet-i Fünun* vom 4. Juli 1912 erwähnt, dass das Kino in die Zivilisation eindrung und das Publikum von den vielfältigen und verführerischen Filmen fasziniert war. Der Filmpionier Oskar Messter schrieb, dass während des Ersten Weltkrieges im Osmanischen Reich wöchentlich 1.750.000 Menschen die Messter-Woche sahen (Messter, 1994, S. 100). Wenn man bedenkt, dass mindestens so viele Menschen Filme im Osmanischen Reich sahen und Istanbul den höchsten Anteil an Kinos hatte, kann man davon ausgehen, dass es sich nicht um eine genaue, sondern um eine ungefähre Zuschauerzahl handelt, die Messter nannte, die sich die Asta Nielsen-Filme in Péra ansehen konnte.

Neben Asta Nielsen war es in Istanbul auch möglich, andere europäische Stars in den Kinos zu sehen. Die Anzeigen berichten über Filme italienischer Diven wie Pina Menichelli, Rita Sacheto, Francesca Bertini, Lyda Borelli, Leda Gys oder Maria Carmi. Die Tatsache, dass Filme mit hohen Dosen an Romantik, Erotik, Intrigen, Liebe und Drama

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5   Während der Balkankriege (1912-1913) und des Tripolitanienkrieges (1911-1912) hatte das politische Umfeld des Theaters eine statische Periode. Die Theater begannen sich auf Filmvorführungen zu konzentrieren, indem sie das Répertoire der Theater umgestalteten, weil die europäischen Theatergruppen, insbesondere die griechischen, nicht ins Land kamen (Bozis und Bozis 2014, S. 77). Diese Veränderung in der Theaterszene wirkte auch auf die Zunahme der Filmvorführungen aus.

oft in Péra zu sehen waren, gibt eine Vorstellung über den Geschmack des Publikums. Der Tripolitanienkrieg (1911-1912), der große Spannungen zwischen dem Osmanischen Reich und dem Königreich Italien verursachte und, dass Italien sich im Laufe des Ersten Weltkrieges auf die Seite der Alliierten stellte, waren für italienische Filmproduzenten und Verleiher keine Hindernisse, Filme nach Istanbul zu schicken. Tatsächlich repräsentierten die von den Diven gespielten Filme Italien in der Kultursphäre Istanbuls und erregten Aufmerksamkeit. Diese Situation legt auch den Gedanken nahe, dass im Osmanischen Reich während des Krieges keine systematische Filmkontrolle durchgeführt wurde. Der Wert der fiktionalen Filme und die Filmpropaganda wurden nicht wirklich anerkannt und ernst genommen oder die Kriegswirtschaft schuf Barrieren für den Kulturraum. Weitere bekannte Filmstars aus Deutschland in Péra neben Asta Nielsen waren Henny Porten und gegen Kriegsende Mia May[6].

Asta Nielsen-Filmvorführungen in Péra

Asta Nielsen trat zum ersten Mal im Jahr 1909 mit der Filmwelt in Kontakt. Laut der Schauspielerin war es in jenen Jahren nicht willkommen, ins Kino zu gehen und in Filmen zu spielen. Filme betrachtete man mehr als technische Entwicklung, denn als Kunst. Asta Nielsen erzählt, dass sie einen Dreijahresvertrag für die Jahre 1909-1911 am „Neuen Theater" in Kopenhagen unterschrieb und es wurde ihr offen verboten, in Filmen zu spielen. Das Theatergeschäft lief nicht gut und das Theater, in dem sie arbeitete, wechselte zu einer Oper um, so dass Asta Nielsen ihre Arbeit verlor. Danach, als das Theater schließ, schlägt Nielsen Urban Gad vor, gemeinsam einen Film zu drehen. So machten sie zusammen den Film *Afgrunden* (1910) mit einem Budget von etwa 8000 Chronen und Nielsen boomte in der Kinowelt. *Afgrunden* wurde drei Wochen nach der Produktion mit einer Länge von 900 Metern in Düsseldorf gezeigt. Nach der ersten Vorführung des Films in Kopenhagen wurde Nielsen beliebt. Sie bekam Briefe aus aller Welt. Trotz des Erfolges von *Afgrunden* konnten Nielsen und Gad zunächst keine finanzielle Unterstützung für einen neuen Film finden und traten mit Hilfe eines mit Gad befreundeten Geschäftsmannes mit der Deutschen Bioscop in Berlin in Kontakt (Seydel und Hagedorff, 1984, S. 36-37). Somit begannen Asta Nielsens Deutschlandjahre.

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6   Am 16. April 1918 kommentierte die Zeitung *Osmanischer Lloyd*, dass Asta Nielsen in Vergessenheit geraten zu sein scheint und im deutschen Film Schauspielerinnen wie Hella Moja, Mia May, Henny Porten oder Fern Andra auf dem Vormarsch waren.

Asta Nielsen und Urban Gad, die mit durchschnittlich acht Filmen pro Jahr in die Filmbranche eintraten,[7] konzentrierten sich in ihren Filmen auf neue Themen und Charaktere und legten die Messlatte in der Drama- und Komödieszene höher. Filme deutscher Produktion aus dieser Zeit wurden vorzugsweise zwischen 300 und 500 Metern gedreht. Der Erfolg von Asta Nielsens Filmen mit Ausnahme von 700 bis 1200 Metern, in denen Starkult und Spielfilm im Laufe der Zeit zusammen kamen, ist ein Beispiel für ein Filmkonzept, das Einkommen und Popularität in Deutschland kombinierte. Damit spielte Nielsen eine wichtige Rolle bei der Gestaltung und der Entwicklung des Stummfilms in Deutschland. Durch diese Popularität und den kommerziellen Erfolg hatte Nielsen die Möglichkeit ihre Rollen im Film selbst bestimmen zu können.

Die Filmindustrie verstärkte in der ersten Hälfte des zwanzigsten Jahrhunderts die geschlechtsspezifischen Unterschiede. Da Männer die meisten Positionen als Regisseure und Produzenten innehatten, wurden Schauspielerinnen häufig in Rollen besetzt und auf eine Weise bekannt gemacht, die sie auf Stereotypen reduzierte. Diese Filme, gingen schnell in den grenzüberschreitenden Verkehr (Förster, 2013, S. 303). So hatte das osmanische Publikum in den Kinos die Möglichkeit, verschiedene Genres von Filmen, darunter auch die Filme von Asta Nielsen, einer der Primadonnen des frühen und stummen Films, zu sehen.

Es wurde festgestellt, dass elf Asta Nielsen-Filme in den Kinos von Péra gezeigt wurden. Tabelle 1 soll einen Überblick über die Asta Nielsen-Filme, deren Namen in den Zeitungsanzeigen erschienen, verschaffen[8].

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7   Martin Loiperdinger (2018, S. 300) schreibt, dass Asta Nielsen und Urban Gad 1911 im Rahmen eines dreijährigen Exklusivvertrages für insgesamt 30 Spielfilme verpflichtet worden waren.

8   Die ursprünglichen Namen und Daten der Filme basieren auf die Informationen auf filmportal.de, das Teil des Deutschen Filminstituts - DIF eV ist (siehe https://www.filmportal.de/person/asta-nielsen_485e2acc873 649f68c623508ddecf5bb). Die Annoncen wurden aus den Zeitungen *Osmanischer Lloyd* und *Le Moniteur Oriental* (1913-1918) zusammengefasst. In Anlehnung an die Recherchen von Yorgo Bozis und Sula Bozis (2014) wurden auch Informationen aus der *Proodos* Zeitung hinzugefügt. Es sind Filme, die in den Nachrichten und Annoncen zu finden sind. Die Zeitung *Osmanischer Lloyd* kündigte jedoch die bis Ende 1914 in den Kinos gezeigten Filme unter dem allgemeinen Titel „Vergnügungs-Anzeiger" an und gab Auskunft darüber, in welchem Theater und zu welcher Zeit sie gezeigt wurden, aber gab keine Informationen zu Titel, Inhalt oder Genre.

Filmtitel (Erscheinungsjahr)	Start in den Kinos von Péra	Kino	Laufzeit	Tage
Tabelle 1: Asta Nielsen-Filme in Grand Rue de Péra.				
Das Geheimnis[9]	30.September 1913	Cinéma Théâtre Parlant	-	-
	6.Februar 1917	Cinéma Orientaux	6. bis 19. Februar 1917	14 Tage
Der Lebende Leichnam [10]	1913	Cinéma Luxembourg	-	-
Die Kinder des Generals (1912)	4. Oktober 1913	Cinéma Théâtre Parlant	-	-
Komödianten (1912/1913)	23. November 1913	Cinéma Modern	-	-
Die Suffragette (1913)	13. November 1913	Cinéma Théâtre Parlant Gaumont	-	-
Klein - Engel /Der kleine Engel (1914)	13.Dezember1915/ 14. Dezember 1915	Cinéma Royal	13. bis 16. Dezember 1915	3 Tage
Die Königin des Kinos (1913)	1. Mai 1916	Cinéma Royal	1. – 4. Mai 1916	4 Tage
Zigeunerblut (1911)	18. September 1916	Ciné Palace	18.-25. September 1916	8 Tage
Tod in Sevilla (1912/1913)	23. Oktober 1916	Orientaux-Kino	23. und 27. Oktober 1916	5 Tage
	23. Oktober 1916	Cinéma Royal	23. und 27. Oktober 1916	5 Tage
Der Ruf des Kindes / Das Kind ruft (1913/1914) [11]	7. November 1916	Apollo-Kino	7. bis 10. November 1916 / 11. bis 13. November 1916	4 Tage / 3 Tage
Asta Nielsen gegen Asta Nielsen (1914/1915)	1. Januar1917	Cinéma Luxembourg	1. bis 5. Januar 1917	4 Tage

Aus der Zeitung *Osmanischer Lloyd*, die Vertreter der deutschen Presse im Osmanischen Reich und eine wichtige Hauptquelle dieses Artikels ist, ist ersichtlich, dass die Filme von Asta Nielsen zwischen 1913 und 1918 in Péra nicht systematisch gezeigt wurden. Nur wenige der unter Kriegsbedingungen veröffentlichten Filme kamen kurz nach ihrer Uraufführung in Deutschland nach Istanbul. Die meisten Asta Nielsen-Filme konnte das Publikum von Péra zwei Jahre nach der Uraufführung sehen. Eine Ausnahme bildet der Film *Die Suffragette* (1913), der nach wenigen Monaten der Premiere in Deutschland

9 Der ursprüngliche Name des Films *Das Geheimnis*, in Französisch *Mystères* konnte nicht identifiziert werden. Der deutsche Name des Films wurde möglicherweise vollständig geändert. Da es 1913 gezeigt wurde, muss der Film vor oder in diesem Jahr hergestellt und in Umlauf gebracht worden sein.

10 *Le Moniteur Oriental* kündigte an, dass am 28. Juni 1913 im Cinéma Theatre Parlant Gaumont „Leo Tolstois Meisterwerk" [Le chef-d' œuvre de Leon Tolstoï] *Der lebende Leichnam* [Cadavre Vivant] vorgeführt wird, doch wird in dieser Anzeige Asta Nielsens Name nicht bekanntgegeben. Hingegen bemerken Yorgo Bozis und Sula Bozis laut ihren Recherchen den Film als einen Asta Nielsen-Film (Bozis und Bozis 2014, S. 95). Während der Studie wurde in keiner anderen Quelle einem Asta Nielsen-Film namens *Der lebende Leichnam* begegnet.

11 Der Film wurde in der gleichen Woche im gleichen Kino unter zwei unterschiedlichen Namen gezeigt. Es ist ersichtlich, dass die in den Anzeigen angekündigten Namen von Zeit zu Zeit geändert wurden und die Titel, die die Aufmerksamkeit der Öffentlichkeit erregen sollten, manchmal den ursprünglichen Namen des Films widerspiegelten, manchmal aber auch solche Namen verwendet wurden, die die Entzifferung der Filme erschweren.

das osmanische Publikum begrüßte. Obwohl die Filme in Europa bereits veraltet waren, geht aus den Zeitungen hervor, dass diese Verzögerung der Filme für das Péra Publikum kein Problem darstellte.

Die Filme wurden öfters nachmittags oder abends gezeigt (Osmanischer Lloyd, 11. November 1916). Die Preise variierten zwischen 3-10 Kuruş je nach Komfort und Austattung des Kinematographentheaters und des Sitzplatzes (Le Moniteur Oriental, 14. Oktober 1913). Der Name Asta Nielsen wurde in den meisten Anzeigen als Star-Marke bezeichnet oder Nielsens Filme gewannen zusammen mit verschiedenen Filmen an Bedeutung. Diese Betonung zeigt, dass der Name Asta Nielsen neben einer Marketingstrategie auch beim Péra -Publikum beliebt war.

Asta Nielsens Frauenbilder und ihre Rezeption

Aus den Zeitungen geht hervor, dass Asta Nielsens Schauspiel, ihre Frauenrollen und ihr öffentliches Vortreten eine starke Anziehungskraft auf das Publikum ausübten. Asta Nielsen wurde in einer Anzeige dem Istanbuler Zuschauer als die Sarah Bernhardt der Kinowelt vorgestellt[12]. Der Name Sarah Bernhardt war dem Kinopublikum von Péra vertraut, und es war ein Vergleich mit Asta Nielsens Schauspiel. Das europäische Theater war dem Péra Publikum bekannt und die meisten Zuschauer kannten Bernhardt. Mit der Hervorhebung von Sarah Bernhardt als Werbefigur und durch den Vergleich mit Asta Nielsen schaffte die Presse eine Analogie, die den Wert des Namens Asta Nielsen zeigen und den Anforderungen des Publikums gerecht werden sollte. In einem Interview mit dem Star im Oktober 1911 sagte Asta Nielsen, dass die im Jahr 1912 zu produzierenden Filme bereits auf der ganzen Welt verkauft worden seien. Sie fügte hinzu, dass die Unternehmen, die ihre Filme kauften, die Geschichten der Filme nicht kannten und die Filme nur kauften, weil Nielsen in diesen Filmen mitwirkte (Allen, 2013, S. 40).

Die Reaktionen der Zuschauer und besonders der Frauen auf die Filme von Asta Nielsen waren ausnehmend. Bei ihren Filmpremieren in Berlin standen zu hunderte auf den Straßen und auch in kleineren Städten wurde sie mit Begeisterung umarmt (Beuys, 17. November 2020). Béla Balázs' Bewunderung kommen in folgenden Worten in Sprache:

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12 Karagöz und Ortaoyunu waren im 19. Jahrhundert in Istanbul verbreitet. Nicht-Muslime interessierten sich besonders für die europäischen Theateraufführungen in Péra. In diesen Theatern waren zweitklassige Darstellungen sowie auch die Diva Sarah Bernhardt zu sehen (Faroqhi 1998, S. 279).

> Senkt die Fahnen vor ihr, denn sie ist unvergleichlich und unerreicht. Senkt die Fahnen vor ihr, denn durch ihre Kunst wird selbst der Absturz des alternden Weibes zum steilen Aufstieg der Schauspielerin. Asta Nielsen ist die erlöste Künstlerin, die ihr Leben so restlos in Kunst gestaltet, daß aus jedem Schmerz und jedem Verlust doch nur die Freude einer neuen Rolle wird. (2001, S. 109)

Asta Nielsen hatte auch in Istanbul Verehrer/innen. Nach einem Gerücht, dass der Regisseur Metin Erksan mit seiner Phantasie bereicherte, erlebte der bekannte osmanische Journalist Sedat Simavi einen leidenschaftlichen Moment mit Asta Nielsens Bild auf einem Filmplakat, bevor er den Film *Das Geheimnis* im Orientaux Kino sah. Diese Erinnerung deutet auf die Attraktivität Asta Nielsens und ihrer Bekanntschaft mit dem osmanischen Publikum (Scognamillo, 2008, S. 25).

Barbara Beuys (17. November 2020) betont, dass Asta Nielsen in ihren Frauenrollen ein weibliches Selbstbewusstsein darstellt, die ihr eigenes Leben in der Hand haben und sich nicht dem Patriarch ergeben. Als Vorbild demonstrierte sie für die Freiheit der Frauen. So sprach Asta Nielsen Frauen verschiedener Schichten an. Die Vitalität und der Mut ihrer Filmcharaktere erlaubten dies. Sie reflektierte die Träume des weiblichen Publikums sowie das alltägliche Leben auf der Leinwand. Während sie die Herzen und Gefühle ihrer Zuschauerinnen berührte, gab sie ihnen ein Vorbild vor, das alle Arten von Grenzen überschritt und Hoffnung weckte[13].

Im folgenden wird mit Hilfe der Filme *Die Suffragette* und *Engelein* die Rezeption der Asta Nielsen-Filme im Péra-Bezirk näher dargelegt.

Die Suffragette (1913)

Einer der Filme von Asta Nielsen, der in Istanbul gezeigt wurde, war *Die Suffragette* (1913). Der von Urban Gad inszenierte Film erzählt die Geschichte von Nelly (Asta Nielsen), der Tochter einer wohlhabenden Familie. Nach dem Besuch des Internats und der Rückkehr in das Familienhaus schließt sich Nelly der Suffragettenbewegung an, um das Frauenwahlrecht zu unterstützen.

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13 Malwine Rennert (1913/1914, S. 137) stellte fest, dass der Film *Die Suffragette* in der Provinz in Deutschland nicht viel Aufmerksamkeit weckte. Die Menschen waren nicht so sehr von der Suffragetten-Bewegung überzeugt und zeigten kein Interesse daran, so dass sie den Film mit bedeutungslosen Augen ansahen.

Der Film wurde erstmals am 12. September 1913 in Berlin gezeigt (Seydel und Hagedorff, 1984, S. 90). In Istanbul wurde der Film etwa zwei Monate später gezeigt (Le Moniteuer Oriental, 13. November 1913)[14]. Nach Angaben der Imdb-Datenbank scheint der Film in Istanbul vor Dänemark, Finnland und den USA gezeigt worden zu sein („Die Suffragette (1913)", Imdb). Die Tatsache, dass der Film in Istanbul zu einem nahen Zeitpunkt mit Deutschland gezeigt wurde, ist auch ein Zeichen, dass trotz des Krieges im Land aktuelle Filme in Istanbul gezeigt wurden konnten.

Le Moniteuer Oriental kommentierte den Film am 13. November 1913 wie folgt:

> Die Suffragette, interpretiert von der brillanten Künstlerin Asta Nielsen, behauptet sich als großer Erfolg. Das hübsche Luxemburger Kino ist nie leer. Der Autor des Dramas Urban Gad, hat das Thema mit einer Größe behandelt, die es zu einem universellen Thema machte. Auch durch das beeindruckende Spiel Asta Nielsens zeigt er auf eindrucksvoller Weise, wie das Verhältnis von Männern und Frauen in der Gesellschaft sein sollte und welche Rolle Frauen im Leben spielen sollten. Trotz der widerlichen Tat der Suffragetten bestreitet er nicht die Richtigkeit einiger ihrer Ansprüche und schließt [den Film] mit dieser prägnanten Formel: „Frauenrechte sollten nicht durch Kriminalität, sondern durch Gesetze erworben werden." Eine Formel eines Psychologen, über die sich alle Männer und Frauen in allen Regionen und unter allen Umständen Gedanken machen sollten. Zusammenfassend hat dieses Spektakel eine hohe philosophische Reichweite und einen hohen moralischen Charakter, während es den Zuschauer von Kopf bis Fuß atemberaubend [in Spannung] hält und ihm die Tränen entzieht[15].

Le Moniteur Oriental betont im gleichen Kommentar weiter, dass der Film die Öffentlichkeit einlädt, über die Rolle von Männern und Frauen in der Gesellschaft und dieser Rollen im öffentlichen und privaten Leben nachzudenken[16]. C. Z. Klötzel schreibt in der Zeitschrift *Der Kinematograph*, dass Filme über das Leben westlicher Frauen bei

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14 Die Wunden und Auswirkungen der Balkankriege wirkten weiter, obwohl der Krieg im Juli 1913 offiziell zu Ende war.

15 Übers. d. Verf.

16 Malwine Rennert gibt dem Film einen ähnlichen Wert. Laut Rennert ist der Film ein Spiegel seiner Zeit und ein echtes Kulturdokument für zukünftige Generationen, wenn er nach vielen Jahren wieder gezeigt wird (1913/1914, S. 137).

muslimischen Frauen zur Empathie für die Frauenbewegung führen könnten (1914, S. 3-4). Asta Nielsen hebt in ihren Filmen in hohem Maße die soziale Stellung der Frauen hervor und öffnet die Tür, um insbesondere die Mittelschicht und das Patriarchat in Frage zu stellen. *Die Sufragette* ist einer dieser Filme. Obwohl die Botschaft am Ende des Films die Fortsetzung des gegenwärtigen Systems unterstützt, ist es ein Film, die das mögliche Interesse des Publikums für die Frauenbewegung innerhalb ihrer eigenen Periode erweckt haben könnte.

Heide Schlüpmann bemerkt in ihrem Artikel „Asta Nielsen" in der Zeitschrift *Frau und Film*, dass im 19. Jahrhundert sich eine Emanzipation des Privaten vollzog. Das Kino wurde zwar als Geschäft anerkannt, doch war es mehr eine kulturelle Sphäre, wo sich das Private ausserhalb der Familie und des bürgerlichen Individuums abspielte. Im wilhelminischen Deutschland fanden um 1910 in Lichtspielhäusern die „Sprengkräfte des Privaten und Persönlichen ein Obdach" (2000, S. 37).

Im Alltag des osmanischen Zuschauers würde diese Bemerkung eher der nicht-muslimischen Gesellschaft zutreffen als dem muslimischen Publikum. Suraiya Faroqhi schreibt in ihrem Buch mit dem Titel *Osmanlı Kültürü ve Gündelik Yaşam* (1998) [Osmanische Kultur und das alltägliche Leben], dass visuelle Medien wie Bilder, Fotografien und Cartoons, die sich im späten 19. Jahrhundert im gesamten Osmanischen Reich verbreiteten, das tägliche kulturelle Leben und den Säkularisierungsprozess im Osmanischen Reich stark beeinflussten (Faroqhi, 1998, S. 277). Auch wenn die Autorin das Kino nicht erwähnt, konnte das Publikum im frühen 20. Jahrhundert den Lebens- und Denkweisen verschiedener Kulturen in den Filmen begegnen. Im Osmanischen Reich waren für Frauen insbesondere mangelnde Bildung und die Gleichgültigkeit der Gesellschaft gegenüber dem Leben von Frauen wichtige Gründe der Blockade ihrer sichtbaren öffentlichen Existenz. Sie begannen ihre Stimmen im Einklang mit den Erwartungen der konstitutionellen Monarchie an Rechte und Gesetze zu Gehör zu bringen (Toprak, 2014, S. xiii). Laut Serpil Sancar (2014, S. 104) brachten Frauen zwischen 1908 und 1922, ihre konkreten Anforderungen in der osmanischen Frauenbewegung zum Ausdruck. Die Ansprüche der Frauen nach Freiheit und Gleichberechtigung waren geprägt von wichtigen Themen wie Bildung, Sichtbarkeit im öffentlichen Leben, Teilnahme am Arbeitsleben, Aufhebung der Verbote bzgl. Kleidung, Stellung in der Familie, Recht auf Scheidung und Verbot der Polygamie. Zu dieser Zeit brachten sich Frauen überwiegend mit Hilfe der Frauen Zeitschriften und Frauen Vereine in Ausdruck. So ist es auch verständlich, dass für Frauen die Medien wichtige Vermittler neuer Ideen und Lebensstilen waren.

Die Stellung der Frauen und ihre Ansprüche nach Freiheit im Osmanischen Reich reflektierten sich auch im Kinoraum. Die Vorführungspraktiken im Kino konnten je nach Glauben und ethnischer Identität variieren. Während die muslimische Öffentlichkeit die Filme Frauen und Männer getrennt ansah, gab es unter Nicht-Muslimen keine derartigen Praktiken. Manchmal wurden getrennte Vorführungen für muslimische Frauen organisiert, manchmal wurde das Kino durch eine Leinwand getrennt oder Männer und Frauen wurden als „haremlik" und „selamlık" getrennt und konnten Filme aus verschiedenen Teilen des Kinos ansehen (Özuyar, 2004, S. 21). Für muslimische Frauen gab es in der Regel mittwochs spezielle Filmvorführungen. Geschlechtsspezifische Rollenzuweisungen im öffentlichen Raum wurden häufig kritisiert. Die Trennung von Sitzplätzen in Theatern und Kinos oder die Verbote, dass muslimische Frauen mit ihren Ehemännern ins Theater oder Kino nicht zusammen gehen oder mit ihren Männern, da es „unislamisch" galt, nicht zusammensitzen durften, aber dies Ausländern und Osmanen aus anderer religiöser Herkunft erlaubt war, wurde in der Zeitschrift *Kadın Dünyası* ins Rampenlicht gestellt (Çakır, 2016, S. 240). Die muslimischen Frauen mussten anders als die Nicht-Musliminen ihre Existenz im Kinoraum erkämpfen. Klötzel (1914, S. 3-4) schreibt im Jahr 1914, dass die gezeigten Filme den muslimischen Frauen aus dem Orient die Möglichkeit bat, westliche Lebensweisen kennenzulernen:

> Am Mittwoch, wenn in allen Lichtbildtheatern Vorstellungen für muselmanischen Damen stattfinden, wimmelt es an den Kassen von schleierverhüllten Gestalten, und wenn in den Herzen dieser Frauen die Sehnsucht nach mehr persönlicher Freiheit immer stärker wächst, so liegt das vielleicht nicht zum wenigsten an dem Schattenbeispiel, das auf der Leinwand ihnen Szenen aus dem Leben der europäischen Frau zeigt. Eine Propaganda wirksamster Art für die mohamedanische Frauenbewegung, an die vielleicht die Frauen am wenigsten gedacht haben, die vor dem Apparat all die kleinen Komödien und Tragödien gemimt haben, in denen ihre Schwestern im Orient das Leben erblicken, das sie für sich selbst ersehnen. (ebd. S. 3-4)

Sowie die geschlechtsspezifischen Normen ihre Auswirkungen auf den Alltag hatten, spiegelten sie sich im Kinoraum wider. Es ist offensichtlich, dass der konservative Rahmen von Zeit zu Zeit versuchte, die Teilnahme von Frauen und Kindern an den Filmvorführungen zu verhindern. Aus konservativer Sicht sollte dieser Angriff die Moral von Frauen und Kindern schützen, von denen angenommen wird, dass sie von diesen

westlichen Leben, denen sie auf der Leinwand begegneten, „leichter betroffen" waren (Beyru, 1996, S. 44). Miriam Hansen deutete in ihrem Artikel „Early Cinema – Whose Public Sphäre ?" an, dass diese Zensur von Reformern in Deutschland eine Kontrollstrategie des Patriarchats und des Bürgertums war (1983, S. 147-184). Für das Osmanische Reich könnte man die gleiche Frage stellen: Wer profitierte von diesen Massnahmen, dieser Regulierung der Kinoerfahrung? Für diese Zeit sind nicht viele Daten über die sensorischen und affektiven Auswirkungen von Filmen auf das Publikum in der letzten Periode des Osmanischen Reiches verfügbar. Jedoch die Vorführungspraktiken und die Filmprogrammierung enthalten wichtige Informationen über die mediale Vielfältigkeit der Vorführungen, die sozioökonomischen Hintergründe der Zeit und die kulturellen Transformationsprozesse in der Kinobranche.

Engelein (1914)

Ein weiterer Asta Nielsen-Film, der in Péra gezeigt wurde, war *Engelein* (1913/14) (Osmanischer Lloyd, 16. Dezember 1915). Der ursprüngliche Name des Films war *Engelein*, doch wurde der Film in der Zeitung *Osmanischer Lloyd* am 10. Dezember 1915 als „Klein- Engel" und vier Tage später, am 14. Dezember 1915, als „Der kleine Engel" angekündigt. In dem Film spielt Asta Nielsen ein siebzehnjähriges junges Mädchen namens Jesta, dessen Familie möchte, dass sie sich wie eine Zwölfjährige benimmt, um das Erbe ihres in Amerika lebenden Onkels bekommen zu können. Asta Nielsen, die während der Dreharbeiten zweiunddreißig Jahre alt war, übernahm im Film die Rolle der siebzehnjährigen Jesta, die ihrem Onkel gegenüber als ein zwölfähriges Mädchen auftreten sollte. Der *Osmanische Lloyd* nennt die Schauspielerin die „gefeierte, unerreichte Asta Nielsen" in einer Anzeige für den Film (16. Dezember 1915) und *Le Moniteur Oriental* schreibt am 11. Dezember 1915 über den Film, dass Asta Nielsen eine der vom Péra -Publikum favorisierten Künstlerinnen war und dass sie vom Péra Publikum geliebt wurde. Die Zeitung lobt Asta Nielsens Schauspiel, das Ungezogenheit, Lebendigkeit und Anmut in einer Person verkörperte. Fortsetzend steht in der Zeitung:

> Auch wenn kinematographische Filme auf die Moral ihrer Motiven achten, gibt es in Engelein Szenen, in denen Asta Nielsen sich nicht scheut, ihre Beine allen bis zu einer ungewöhnlichen [Rock]Höhe nackt zu zeigen... sogar fürs Kabarett ungewöhnlich. Aber genug! ... Obwohl ihr Kleid tief ausgeschnitten ist können auch 12-jährige Mädchen Asta Nielsen ohne Angst aus dem Augenwinkel sehen, die in diesem Fall von Engelein, die

notwendigerweise auch fünf Jahre jünger sein muss als sie eigentlich ist, nachgeahmt wurden![17] (11. Dezember 1915)

Die Szene, in der die Beine Nielsens in „ ungewöhnlicher" Rockhöhe ersichtlich sind, wird zwar angesprochen und hervorgehoben, doch stellt der Respekt für Nielsens erfolgreiches Drama und Schauspiel diese Kritik in den Schatten. In Deutschland wurde der Film stärker kritisiert. In der Zeitschrift *Bild & Film* applaudierte Alexander Elster dem Schauspiel von Asta Nielsen, während er Jestas Verhalten und weibliche Manifestationen im Internat als „ sittlich erzieherisch ganz negativ" empfand (1913/14, S. 205-207).

Hingegen schrieb Béla Balázs 1924:

> Das besondere Verdienst von Asta Nielsens erotischer Kunst liegt in ihrer spirituellen Qualität. Hier zählen vor allem die Augen, nicht das Fleisch. Ihre abstrakte Schlankheit ist ein einzelner zuckender Nerv mit einem verdrehten Mund und zwei leuchtenden Augen. […] Asta Nielsens kindliche Natur ist der Schlüssel zum Geheimnis ihrer Bildschirmpräsenz, ihrer nachgeahmten Dialoge, die ohne Worte einen lebendigen Kontakt zu ihrem Partner herstellen. (2001, S. 87-88)

Unter Bezugnahme auf Suraiya Faroqhi kann festgestellt werden, dass das Kino im osmanischen Land mit der Zeit als ein Emanzipationsinstrument für Frauen diente. Die Stellung der Frau im Kinoraum und die auf der Leinwand erzählten Geschichten zeigten, dass für Frauen ein anderes Leben möglich war. Andererseits ist es fragwürdig, wie sehr eine osmanische Person in Istanbul, die durch einen Asta Nielsen oder anderem europäischen oder amerikanischen Film mit dem westlichen Leben im Kino konfrontiert wurde, die Filme wahrnahm. Emilie Altenloh (1914, S. 58) beobachtete in Deutschland, dass diejenigen Filme, zu denen die Kinobesucher Anknüpfungspunkte zum „eigenen Milieu" herausfinden konnten, besser gefielen und stärker mitempfunden wurden. Ausländische Filme würden dieses „Empfinden" und „Interesse" nicht genug erwecken können, da sie „von einem fremden Geiste getragen, nur selten verwandte Saiten anschlagen." Im Bezug auf Altenloh ist es berechtigt zu fragen, ob die Frauenbewegung in dem Film *Die Suffragette* oder der Mut Asta Nielsens in *Engelein* verstanden wurde? In einigen Fällen wissen wir, dass die Filme manchmal nicht genug verständlich waren

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17 Übers. d. Verf.

und auf das Publikum seltsam wirkten (*İkdam*, 19 Temmuz 1333 [19. Juli 1917]; Odabaşı, 2017, S. 102). Und nicht nur die westlich orientierten Lebensformen auf der Leinwand, sondern auch dass man die Zwischentitel nicht lesen konnte, beeinflusste das Verständnis der Filme. Die Zwischentitel waren größtenteils in französischer Sprache, was für Französisch-Könner kein Problem, doch für diejenigen, die die französische Sprache nicht beherrschten, umständlich war. Andererseits gab es auch Analphabeter unter den Zuschauern. Doch wie oben schon erwähnt, ist auch zu beachten, dass es bzgl. Erfahrung Unterschiede unter den muslimischen und nicht-muslimischen Frauen gab. Obwohl Anzahlen der Kinobesucher dieser Zeit gegenwärtig nich vorhanden sind, wäre es nicht falsch zu behaupten, dass Zuschauerinnen in der Péra-Region meistens Nicht-Muslimen waren, da Péras Bewohner großenteils aus der nicht-muslimischen Bevölkerung entstand.[18] Dies kann man auch aus manchen Anzeigen feststellen. Ab und zu wurden in den Berichten über die Filme auch die Namen der bemerkenswerten Zuschauer genannt. Zum Beispiel besuchten am 24. November 1913 den Film *Quo Vadis ?* (1913) die Elite-Familien L. Zarifi, Eugenidi, Dr. Alfred Rizzo, Dr. L. Mizzi und Dr. Arie und seine Frau; alle Namen, die für die damalige Péra-Gesellschaft von Bedeutung waren (Le Moniteur Oriental, 24. November 1913). Für Muslime wurde ein Péra Besuch manchmal als auch „unpassend" bezeichnet (Karay, 1939, S. 84).

Asta Nielsen setzte ihre Kino- und Theaterkarriere zusammen fort (Förster, 2013, S. 303-317), was auch bedeutet, dass Asta Nielsens Leidenschaft für die Schauspielerei sowie die Fortsetzung ihres Theaterinteresses zusammen mit dem Kino die bürgerliche Klasse ins Kinematographentheater anzog, die in Istanbul die Theater besuchten. Besonders faszinierend ist das Publikumsprofil, die soziale Referenzen enthalten, und dessen Interaktion mit den Filmen. In der Anzeige zu dem Film *Das Geheimnis* wurde angekündigt, dass der Film die Elite von Péra beherbergte und dem Publikum einen erstklassigen Service mit den neuesten Nachrichten über den Veranstaltungsort bot. Es ist denkbar, dass ein Kinobesuch für das Publikum über die Qualitäten des Films hinaus in Mode gekommen war oder, dass ein Besuch eines Asta Nielsen-Films für Prestige sorgte. Heide Schlüpmann (2000, S. 34) schreibt, dass die Kunst Nielsens auch auf Künstler und Intellektuelle jener Zeit eine Anziehungskraft ausübte. Ein Asta Nielsen-Film war ein Grund ins Kino zu gehen und dies öffentlich zu gestehen. Altenloh (1914, S. 91) berichtet 1914, dass die Frauen der oberen Schichten wegen Asta Nielsen-Dramen und den historischen Stücken die Filme besuchten, doch hebt sie auch die Beliebtheit

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18 Was nicht heißt, dass in Péra nur die Nicht-Muslimen die Kinos besuchten, siehe *Le Moniteur Oriental*, 8. Dezember 1911.

Nielsens Filmen in allen Schichten hervor und bemerkt dazu, dass die Filme besonders unter den Frauen in Deutschland „fast selbstverständlich" waren:

> Das leidenschaftliche Temperament der Heldin und Schuld und Schicksal, in die sie dadurch verstrickt wird, entsprechen dem Bild, das sie [die Frauen] sich vom Leben machen, und sie vermögen sich deshalb voll und ganz hineinzuversetzen. (ebd. S. 89)

Die Beziehung zwischen weiblicher Affinität und Erzählfilmen (Schlüpmann, 1990) lässt die Frage stellen, ob an diesen Filmen auch im osmanischen Istanbul eher Frauen interessiert waren. Mustafa Temel (1998, S. 114-116) schreibt, dass die Bevölkerung am Ende des Ersten Weltkriegs aufgrund der Kriegsbedingungen hauptsächlich aus Frauen und älteren Leuten bestand. Es gibt Quellen, die belegen, dass die meisten Menschen, die kurz vor und während des Krieges im Deutschen Reich ins Kino gingen, Frauen waren (Altenloh, 1914; Rennert, 1914/1915; Schlüpmann, 1990; Hansen, 1983). Angesichts der Tatsache, dass eine Großzahl der Männer im Krieg waren, kann man davon ausgehen, dass in dieser Zeit in Péra vorwiegend Frauen die Kinematographentheater besuchten und von den Asta Nielsen Filmen auch inspiriert wurden.

Dieser Artikel konzentrierte sich auf die Verbreitung von Asta Nielsen-Filmen im Istanbuler Péra-Bezirk. Studien zur Vorführungen von Asta Nielsens Filmen außerhalb von Péra und in den osmanischen Provinzkinos würde das vorhandene Wissen erweitern. Dies gilt auch für die Studien der Vorführungen von Asta Nielsen-Filmen in der Türkei in den frühen Jahren der Republik. Diese Themen überschreiten die Grenzen dieses Artikels, doch können sie als Vorschlag für andere Artikel angeboten werden.

Fazit

Zwischen 1913-1918 wurden im Istanbuler Péra-Bezirk elf Asta Nielsen Filme gezeigt. Die Filme wurden nicht systematisch gezeigt, manchmal mit ein paar jährigen Abständen zur Uraufführung, was aber auch stark mit den Kriegsbedingungen zu tun hatte. Doch steht es fest, dass der Name Asta Nielsen ein Markenzeichen war, dass den Wert eines Kinobesuches und auch die Rezeption der Filme beeinflusste.

Der Kinoraum widerspiegelt die Normen der patriarchalen Gesellschaft. Der Péra-Bezirk war eine stark von Nicht-Muslimen besiedelte Region. Es gab Unterschiede

bezüglich des Filmbesuches im Kino. Während nicht-muslimische Frauen und Männer in den Kinomatographentheatern zusammen Filme schauen konnten, war dies für muslimische Frauen nicht gestattet. Obwohl die Rechte der Frauen im öffentlichen Raum von Zeit zu Zeit angesprochen wurden, mussten Musliminnen erstmals um ihre Existenz im öffentlichen Raum und im Kinoraum kämpfen. Ein Kinobesuch wurde öfters auch von konservativen Seiten aus verhindert.

Während der Kriegszeit waren es vorwiegend Frauen, die ins Kino gingen. Asta Nielsens Filme und ihre emanzipierten Frauenrollen sprachen hauptsächlich Frauen an. Die Geschichten und Charaktere ermutigten die Frauen, um ihre Freiheit und ihr Leben zu kämpfen. Asta Nielsens selbstbewusster Auftritt in der Öffentlichkeit unterstützte dieses Image. Die Filme wurden in Zeitungen, die im Osmanischen Reich veröffentlicht wurden, anders als in manchen Zeitschriften in Deutschland, bezüglich ihrer Moral, nicht scharf kritisiert, und Nielsens erfolgreiches Spiel verhinderte soziale Sanktionen. Doch reflektieren diese Zeitungen mehr eine westlichorientierte Perspektive in Istanbul. Aus unterschiedlichen Gründen ist auch feststellbar, dass die Filme manchmal auch nicht verstanden wurden. Auch wenn die Filme Asta Nielsens sich an alle Schichten wendeten, war sie in Péra hauptsächlich unter denjenigen Zuschauern beliebter, die Französisch konnten und denen das westliche Theater bekannt war.

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Möglichkeiten der phraseologischen Betrachtung der Einwortidiome aus der Sicht der phraseologischen Kriterien auf der Basis von slowakischen und deutschen Beispielen

Possibilities of the Phraseological Consideration of One-Word Idioms from the Perspective of Phraseological Criteria on the Basis of Slovak and German Examples

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ABSTRACT (DEUTSCH)

Der Artikel widmet sich der Frage, inwieweit Einwortidiome die Kriterien der Phraseologie erfüllen. Dabei orientieren wir uns an deutschen und slowakischen idiomatischen Komposita, die ein bestimmtes Merkmal einer Person auf expressive Weise ausdrücken. Ein Problem sehen wir in der Tatsache, dass die Klasse von Wörtern, die als Einwortidiome bezeichnet werden, aus heterogenen Gruppen besteht, die bei bestimmten Aspekten voneinander abweichen. Wir unterscheiden aufgrund der Anzahl ihrer Komponenten zwischen zwei großen Gruppen, zwischen Einwortidiomen mit einer und jenen mit mindestens zwei Komponenten. Im ersten Fall handelt es sich um autosemantische Wörter mit übertragener Bedeutung, im zweiten dagegen um Komposita. Im Deutschen und im Slowakischen geht es hauptsächlich um Substantive, im Ungarischen auch um Adjektive und um Zweikomponentenverben, die auch separat geschrieben werden können. In diesem Fall handelt es sich jedoch um eine literare Bedeutung. Es ist ein Paradoxon, da dieselbe Zweikomponentenphrase im übertragenen Sinne zusammengeschrieben wird, daher nicht alle Kriterien der Phraseologie erfüllen und gerade aufgrund der Monolexikalität aus der Phraseologie ausgeschlossen wird. Der Artikel widmet sich der Reflexion über die Meinungen von Linguisten, die sich mit dem Vergleich von konvergenten und divergenten Beziehungen zwischen den Merkmalen von Einwortidiomen und den allgemein anerkannten phraseologischen Kriterien befassen. Wir beschäftigen uns mit der Diskussion über die Idiomatizität, da sie allgemein als das wichtigste Kriterium in Bezug auf die Phraseologizität angesehen wird. Polylexikalität, Stabilität, Lexikalisierung und Reproduzierbarkeit werden hauptsächlich in Bezug auf die Unregelmäßigkeiten dargestellt. Da wir die Anomalität von Einwortidiomen hauptsächlich in ihrer Monolexikalität sehen, konzentriert sich die folgende Analyse auf diese Eigenschaft.

Schlüsselwörter: Phraseologismen, Einwortidiome, phraseologische Kriterien, Wortbildung, idiomatische Komposita

ABSTRACT (ENGLISH)

The article is devoted to the extent to which one-word idioms meet the criteria of phraseology. We focus on German and Slovak expressive idiomatic compounds expressing personal characteristics. We see a problem in the fact that the class of words called one-word idioms consists of heterogeneous groups that differ from one another in certain aspects. On the basis of the number of their components, we distinguish between one-word idioms with one and those with at least two components. In the first case, these are auto-semantic words with a figurative meaning, while in the second case it is a matter of compound words. In German and in Slovak, these are mainly nouns; in Hungarian, in addition to nouns, there are also adjectives and two-component verbs, which can also be written separately. In this case, however, the words have a literal meaning. It is a paradox because the same two-component phrase is written together in the figurative sense, therefore does not meet all the criteria of phraseology and is excluded from phraseology because of its monolexicality. The article is devoted to reflecting on the opinions of linguists concerned with comparing convergent and divergent relationships between the features of one-word idioms and the generally accepted phraseological criteria.

We are concerned with the discussion of idiomaticity, as it is generally considered to be the most important criterion in relation to phraseologicity. Since we see the anomaly of one-word idioms mainly in their monolexicality, the following analysis will focus on this property.

Keywords: Phraseologisms, one-word idioms, criteria of phraseological units, word-formation, idiomatic compounds

EXTENDED ABSTRACT

The article addresses the question of the extent to which one-word idioms meet the criteria of phraseology. It specifically focuses on idiomatic compound words, especially in the German and Slovak languages. It finds problematic the fact that the class of words that are referred to as one-word idioms forms a heterogeneous group of terms that differ fundamentally in certain aspects. The text distinguishes between two large groups of one-word idioms based on the number of their components, namely one-word idioms with one or at least two components. In the first case, these are autosemantic words with a transferred meaning, especially verbs, nouns and adjectives that have undergone metaphorisation. In the second case, these are compound words, mainly nouns in German and Slovak. (The study draws attention to the fact that in Hungarian this group includes, in addition to nouns and adjectives, two-component verbs whose spelling, i.e. their being written together, signals figurativeness of meaning. On the contrary, the separation of equivalent verb-noun phrases speaks of their literal meaning. It can be perceived as a paradox that writing a two-component verb (together) in a figurative sense leads to the loss of the definitional criterion of phraseology and, due to monolexicality, excludes it from the phraseological fund.) In German there are one-word idioms, according to stylistic parameters, which are especially common in the sphere of communications, including professional jargon from the fields of economics, journalism and administration, and from the language of belles-lettres to the expressive and vulgar lexicon.

From the point of view of word formation, subgroups are distinguished, a part of which can be perceived as a class of fully idiomatic, e.g. dephraseological derivatives formed by the conglomeration of a phraseological phrase. In this case, all components of the compound word are idiomatic, similar to the components of exocentric compounds, the denotate of which does not fall within the extension of the term expressed by the basic word when used directly. This feature is also characteristic of possessive composites, which can be perceived as a subclass of exocentric composites, but which, in their literal interpretation, would express an ownership relationship tied to the respective components (e.g. *Wendehals*). For these types of one-word idioms, the meaning is not compositional, as in determinative or coordinate composites; their significance cannot be determined directly from the significance of their components.

The article reflects the opinions of linguists who deal with the comparison of convergent and divergent relationships between the characteristics of one-word idioms and generally accepted phraseological criteria. Although there is controversy in scientific sources about the hierarchy of major phraseological features (compare Vajičková, 2002; Ďurčo, 1994; Mlacek, 1984; Palm, 1997), the determination of affiliation to the phraseological fund is based on the phraseological criteria of idiomaticity, polylexicality, irregularity, stability, lexicalization and reproducibility (compare Burger & Jaschke, 1973; Fleischer, 1982; Vajičková, 2002; Ďurčo, 1994). The study deals most extensively with the discussion of idiomatics, which is understood in terms of phraseology as the most important criterion (Vajičková, 2002; Ďurčo, 1994). The criteria of stability, lexicalisation and reproducibility are presented mainly in regard to irregularity due to their apparent presence. The semantic stability of compound nominal one-word idioms results from their established, transferred meaning.

As for their formal side and meaning, they are stable and have a specific meaning (Duhme, 1995). Correct interpretation of meaning is performed automatically (Duhme, 1995) by the recipient, as these terms are "ready-made, reproducible language units" (Duhme, 1995, p. 84), thus meeting the criteria of lexicalisation and reproducibility and are closely related to "phraseolexicon" (Földes, 1987) of the language in question. These are idioms in a broad sense, which are not only codified in lexicons and dictionaries, but are also "stored" in the "memory" of the language user as "mnestic property of the speaker" (Vajičková, 2002).

Since the anomaly of one-word idioms lies mainly in their monolexicality, which violates the criterion of polylexicality, the analysis focuses primarily on this feature. The text notes the compound nominal one-word idioms in the German language, which are in terms of word formation mostly dephraseological derivatives or exocentric and possessive compounds.

From a semantic point of view, it specifically deals with a class of one-word idioms that express a certain characteristic of a person in an expressive way, either familiarly, ironically or vulgarly.

The work offers suggestions for further research into the issue from several perspectives. The possibility of deeper morphological research of idiomatic compounds in the mentioned languages according to the word type affiliation of their components and according to the applied word-formation procedures seems to be promising.

Einleitung: Phraseologische Kriterien versus Einwortidiome

Der vorliegende Artikel widmet sich der Reflexion und Ergänzung der Beobachtungen und Meinungen von SprachwissenschaftlerInnen, die sich mit dem Vergleich von ko- und divergenten Beziehungen zwischen den Einwortidiomen und der allgemein anerkannten phraseologischen Kriterien beschäftigen. Die Triebfeder dazu war die Debatte in der europäischen Linguistik über ihre phraseologische Reflexion, die sich mithilfe der Neuauffassung von Kollokationen aufs Neue öffnen lässt, da in der aktuell zunehmenden modernen Kollokationserforschung auch solche Ansätze (Häcki Buhofer, Dräger, Meier & Roth, 2014) expandieren, die Zusammensetzungen trotz ihres Einwortcharakters auch als Kollokationen betrachten.

Obwohl es sich in der Fachliteratur über die Wichtigkeit und Hierarchie der phraseologischen Hauptmerkmale streiten lässt (vgl. Vajičková, 2002; Ďurčo, 1994; Mlacek, 1984; Palm, 1997), geht man im Folgenden von den grundlegenden phraseologischen Kriterien (vgl. Vajičková, 2002; Ďurčo, 1994) der Idiomatizität, Polylexikalität, Irregularität, Stabilität, Lexikalisierung und Reproduzierbarkeit aus. Am ausführlichsten befassen wir uns mit der Erörterung der Idiomatizität, da dieses das wichtigste (vgl. Vajičková, 2002; Ďurčo, 1994) von allen phraseologischen Merkmalen ist. Die Mehrgliedrigkeit, Stabilität, Lexikalisierung und Reproduzierbarkeit brauchen keine eingehende Analyse, sie werden vor allem aus der Sicht der Irregularität dargestellt. Da unserer Meinung nach die Anomalität der Einwortidiome in erster Linie in ihrer Monolexikalität zu suchen ist, wird die folgende Analyse hauptsächlich auf dieses Merkmal fokussiert.

Die Theorien werden vor allem auf die zusammengesetzten nominalen Einwortidiome hauptsächlich der slowakischen und der deutschen Sprache bezogen. In manchen Fällen können aber die Besonderheiten der verbalen Einwortidiome nicht außer Acht gelassen werden, hauptsächlich was die semantische Anomalität betrifft, denn genau dabei lässt sich ihr idiomatischer Wert am stärksten anfühlen. Das bedeutet aber nicht, dass wir beabsichtigen, die phraseologische Anerkennung dieser Verben in Gang zu bringen. Unser Ziel ist, die zusammengesetzten nominalen Einwortidiome aus dieser Sicht in den Vordergrund zu stellen. Weiter erzielt die Studie, die Stellung der Einwortidiome in der slowakischen Phraseologie zu untersuchen. Sie ist auf die theoretische Annäherung an das umstrittene Problem der potentiellen Einordnung von Einwortidiomen ins Gebiet der Phraseologie, sowie auf ihre Bildungsmöglichkeiten in der slowakischen Sprache ausgerichtet.

Idiomatizität

Die Idiomatizität wird von Mlacek „als semantische Unzerlegbarkeit der festen Wendung, als Ganzheit der Benennung" definiert (Mlacek, 1984, p. 38 zitiert nach Vajičková, 2002, p. 12).

Fleischer (1982) konstatiert im Zusammenhang mit der Idiomatizität, dass die Bedeutung der einzelnen Komponenten eines Phraseologimus im Unterschied zu dem regulären Verhältnis zwischen den Lexemen eines nichtidiomatischen Satzes, zu der Gesamtbedeutung des Phraseologimus in irregulärem Verhältnis steht. Die Tatsache, dass sich die satzexterne Bedeutung einiger Komponenten des Phraseologismus nicht an der Gesamtbedeutung des Satzes beteiligt, sondern in übertragenem Sinne verstanden wird, bedeutet, dass man bei den Phraseologismen auf „das Fehlen eines derivationell- semantischen Zusammenhangs zwischen dem semantischen Äquivalent eines Gliedes des Verbandes und den anderen Bedeutungen desselben Wortes" (Telija, 1975, p. 417, *Die Phraseologie*. In *Allgemeine Sprachwisschenschaft*. Berlin. zitiert nach Fleischer, 1982, p. 35) trifft. Mit anderen Worten, aus der Bedeutung der einzelnen Elemente lässt sich keine 1:1 Gesamtbedeutung erschließen.

Um eine effektivere Darstellung der Idiomatizität von nominalen Einwortidiomen zu verwirklichen, werden einige Verfahrensmöglichkeiten bei der Beurteilung des idiomatischen Grades von Phraseologismen kurz aufgeführt.

Beurteilung der Idiomatizität nach unterschiedlichen Gesichtspunkten

Fleischer (1982) bringt die Tatsache, dass die Idiomatizität bei einigen Phraseologismen ziemlich hoch, bei anderen aber wesentlich geringer ist, mit der Theorie der *wechsel- und einseitigen Determination der Semantik der Komponenten* in Zusammenhang (Dobrovolskij, 1978, p. 29, *Phraseologisch gebundene lexikalische Elemente der deutschen Gegenwartssprache*. Diss. Leipzig. zitiert nach Fleischer, 1982, p. 36). Im Fall von Phraseologismen mit hohem Grad der Idiomatizität kann man zwischen den Hauptkomponenten keine wendungsinterne semantische Beziehung nachweisen. Falls diese Komponenten nur gemeinsam vorkommen, spricht man von einer wechselseitigen Determination (Terminus nach Archangeľskij, 1964, p.112 Ustojčivye frazy v sovremennom russkom jazyke. Rostov. In Fleischer, 1982, p. 49). Im Gegenteil handelt es sich um eine einseitige Determination. Die *determinierende*

Komponente (vgl. Černyševa, 1975, p. 218 *Phraseologie*. In Stepanova & Černyševa: Lexikologie der deutschen Gegenwartssprache. Moskau. zitiert nach Fleischer, 1982, p. 48) auch als Grundkomponente genannt, ist von den Elementen des Phraseologismus diejenige, die die Anwesenheit der anderen Komponente bedingt. Diese Komponente wird in wendungsexterner Bedeutung (Drahota-Szabó, 2015, p. 108) verwendet, deswegen werden Phraseologismen mit derartigem Charakter von Fleischer als teilidiomatisch angesehen. Die Gruppierung von Fleischer ist eine durchsichtige und komplexe Theorie, die zwischen nichtidiomatischen und idiomatischen Zusammensetzungen unterscheidet, gehe es um Voll- oder um Teilidiomatizität. Der Vorteil dieser Einteilung ist, dass sie auch für Laien, für nicht Sprachwissenschaftler ein eindeutiges Kriterium darstellt, mit dessen Hilfe man über die Idiomatizität und so auch über die Phraseologizität der zusammengesetzten Substantive leicht entscheiden kann.

Vajičková (2002, p. 12–13) geht im Fall von mehrgliedrigen Phraseologismen von Telijas (1975) Theorie aus. Zu vollidiomatischen Wendungen zählt sie solche Phraseologismen, die eine synthetische Bedeutung haben, d.h. die sich semantisch nicht aufgliedern lassen, da ihre Elemente phraseologisch gebunden sind:

> „*Kohldampf schieben* = 'Hunger haben'
> *jemandem einen Bären aufbinden* = 'jemandem etwas Unwahres sagen'
> *etwas übers Knie brechen* ='voreilig handeln'„

Teilidiomatische Wendungen haben dementgegen analytische Bedeutung. Sie haben nur eine Komponente phraseologisch gebunden, daher sind sie semantisch gesehen aufgliedbar:

> „*eine Schraube ohne Ende* = 'eine Angelegenheit ohne Ende'
> *faule Ausrede* = 'wenig überzeugende Ausrede'„

In diesen Fällen bilden die Komponenten *Schraube* und *faul* den idiomatischen Teil der Wendung, sie sind also phraseologisch gebunden. Die Elemente *ohne Ende* und *Ausrede* werden in den jeweiligen Phraseologismen in ihrer ursprünglichen, freien lexikalischen Bedeutung verwendet (Vajičková, 2002, p. 12).

Palm (1997, p. 12) bezeichnet vollidiomatisch solche Wortverbindungen, bei denen die Bedeutungsübertragung alle Komponenten betrifft. Bei teilidiomatischen Phrasemen

sind aber nicht alle Komponenten des Phrasems semantisch transformiert, einige haben nämlich ihre ursprüngliche, „freie, phrasemexterne Bedeutung beibehalten" (Palm, 1997, p. 12).

Idiomatizität der Einwortidiome

Es ist augenfällig, dass die Autoren von den aufgeführten Auffassungen zu derselben Schlussfolgerung kamen, obwohl sie die Grade der Idiomatizität aus unterschiedlichen Aspekten untersucht hatten. Fleischer (1982) geht von Dobrovolskijs (1978) Konzeption aus, die die wendungsinternen und wendungsexternen semantischen Beziehungen betrifft, die er auf die gegenseitige Bedingtheit der Komponenten eines Phraseologismus bezieht. Vajičková (2002) untersuchte die Möglichkeiten der semantischen Aufgliederung von Phraseologismen von Telijas (1975) Theorie ausgehend, wobei Palms (1997) Theorie auf dem Maße der Bedeutungsverschiebung basiert. Die Grundzüge dieser Theorien, wie die semantische Bedeutung der Komponenten, und ihre Bedeutungsverschiebung, lassen sich auch bei den Einwortidiomen aus dem Korpus als Grundprinzip in Hinsicht auf die Bestimmung ihres Grades der Idiomatizität anwenden. Man kann voraussetzen, dass es auch voll- und teilidiomatische Einwortidiome gibt, aber keine nichtidiomatischen. Die Gründe dafür werden in Folgenden aufgezählt.

Nichtidiomatische Wendungen und Zusammensetzungen

Duhme (1995, p. 86–87) teilt die Einwortidiome ähnlich wie Vajičková (2002, p. 136) nach drei Graden der Idiomatizität von Fleischer (1982) in voll-, teil- und nicht-idiomatische Komposita ein, aber gleichzeitig stellt er den phraseologischen Wert der nicht-idiomatischen Wendungen ganz gerecht in Frage. Da sie „in ihrer wörtlichen Bedeutung zu verstehen sind und nicht in übertragenem Sinne benutzt werden" (1995, p. 87), gehören sie nicht in den Kreis der Phraseologismen. Sie sind meistens gewöhnliche zusammengesetzte Ausdrücke ev. okkasionelle Komposita, bei denen „das Kriterium der Idiomatizität entfällt" (Duhme, 1995, p. 87).

Demgegenüber staffelt Vajičková (2002, p. 28) nichtidiomatische Wendungen zu dem Bestand der Phraseologismen in weitestem Sinne. Sie reiht da Nominationsstereotypen, d.h. solche stabile, usualisierte und reproduzierbare Ausdrücke ein, wie: *hin und her*, *Hohe Tatra*, *Freud und Leid*, *Tag und Nacht* usw.

Ihre Stabilität schreibt die Autorin den „lexikalisch-semantischen Austausch- und syntaktisch-strukturellen Abwandlungsbeschränkungen" (Vajičková, 2002, p. 13) zu. Bei der Eingliederung derartiger nichtidiomatischer Wendungen argumentiert sie mit der festen Reihenfolge der Komponenten, die aber auch bei nichtidiomatischen zusammengesetzten Nomen der Fall ist.

Die Frage ist, ob man okkasionelle Zusammensetzungen und/oder Zusammensetzungen im Allgemeinen ohne Bedeutungsverschiebung zu den Phraseologismen zählen darf. Ist das Merkmal der Figuriertheit nicht wichtiger als die Irregularität und die formale Stabilität? Kann man eine allgemeingültige Hierarchie der phraseologischen Merkmale aufstellen?

Einige Linguisten, wie z.B. Filipec & Čermák (1985), Ďurčo (1994), Palm (1997) drücken ihre Meinungen in Hinsicht auf die Nichtidiomatizität indirekt aus, indem sie bei der Aufteilung von Phraseologismen nach der Idiomatizität nur zwei Kategorien unterscheiden, und zwar die voll- und teilidiomatischen Phraseologismen. Sie lehnen die Einordnung der nichtidiomatischen Wendungen und Wortgruppenlexeme zu den Phraseologismen ab und teilen die Meinung, dass jeder einzelne Phraseologismus mit dem Merkmal der Figuriertheit versehen werden soll. Diese Position schließt Einwortidiome aus dem phraseologischen Bestand einer Sprache nicht aus, da jedes Einwortidiom diesem Kriterium entspricht.

Idiomatizität der nominalen Einwortidiome

Bei den Sprachwissenschaftlern Burger & Jaschke (1973, p. 52–53), Vajičková (2002, p. 136) und Duhme (1995, p. 86–87) findet man hinsichtlich der Idiomatizität von Einwortidiomen eine ähnliche Theorie. Nach dem Grad der Idiomatizität kann man diese Wörter ähnlich wie die Phraseologismen als vollidiomatisch oder teilidiomatisch betiteln.

Vollidiomatische nominale Einwortidiome

Vollidiomatische zusammengesetzte Substantive werden von Burger & Jaschke (1973, p. 53) als solche Ausdrücke definiert, „bei denen die Gesamtbedeutung in keiner unmittelbaren Beziehung zu einem der Glieder steht: Blaustrumpf".

Mit Duhmes Worten (Duhme, 1995, p. 86) heißt es, dass als vollidiomatisch solche Komposita angesehen werden, deren Komponenten durch Bedeutungsübertragung modifiziert wurden. „Aus der übertragenen Bedeutung der Einzelkomponenten ergibt sich eine neue Gesamtbedeutung der Wortkonstruktion, die sich nicht aus den Bedeutungen der Einzelkomponenten ableiten" lässt. Unter den vom Autor dargestellten Beispielen findet man auch solche Einwortidiome, die auch den Korpus dieser Arbeit bereichern: z.B. *Dreikäsehoch, Drahtzieher* usw.

Teilidiomatische nominale Einwortidiome

Als teilidiomatisch bezeichnen Burger & Jaschke (1973) solche Komposita, „deren Gesamtbedeutung nicht innerhalb des durch das Grundwort umrissenen Bereichs liegt – auch wenn das erste Glied (Bestimmungswort) seine Normalbedeutung beibehält" (Burger & Jaschke, 1973, p. 52). Die Autoren führen folgende Beispiele für die Teilidiomatizität auf:

> Blond*kopf* – bedeutet keinen blonden Kopf, sondern eine blonde Person
> Kahl*kopf* – ist ein kahlköpfiger Mensch
> Dick*kopf* – dickköpfiger Mensch.

Die erwähnten Beispiele sollen einwortidiomatische Possesivkomposita mit einer ähnlichen formal-semantischen Struktur aus unserem Korpus repräsentieren, die sich durch das metonymische Verhältnis „pars pro toto" zwischen den Lexemen *Kopf* (Teil des Kompositums) und *Mensch* (generelle übertragene Bedeutung des Kompositums) auszeichnen lassen. Diese Zusammensetzungen werden auch als demotivierte (Vuzňáková, 2006, p. 25) und exozentrische Komposita (Fleischer, 1974; Drahota-Szabó, 2015, 2020, 2021; Vuzňáková, 2006) genannt, weil das bezeichnete Subjekt der Zusammensetzung nicht mit dem Grundwort entspricht, das Denotat referiert nämlich auf ein Subjekt außerhalb des Kompositums (Drahota-Szabó, 2015, p. 108). Diese Besonderheit ist typisch für die Einwortidiome, von denen ein Glied semantisch gesehen zu den Körperteilbenennungen gehört, und in Pars-pro-toto-Relation zu dem Referierten steht (Eisenberg, 2006; Fleischer, 1974), eben deshalb werden sie auch Possessivkomposita genannt.

Als Beispiel für ein typisches teilidiomatisches Einwortidiom nennt Vajičková (2002, p. 136) die Zusammensetzung *Angsthase*. Das Wort ist teilidiomatisch anzusehen, da seine erste Komponente in ihrer ursprünglichen Bedeutung zu verstehen ist,

dementgegen weist seine zweite Komponente Bedeutungsübertragung auf. So versteht man unter dem personifizierten Wort *Angsthase* keinen konkreten Hasen, der Angst hat, sondern es ist ein „ängstlicher Mensch, Feigling" (Duden Deutsches Universalwörterbuch 2003, p. 136).

Nichtidiomatische nominale Einwortidiome

Im Fall der nichtidiomatischen Einwortlexeme führen Burger & Jaschke den Begriff „Pseudoidiome" (Burger & Jaschke, 1973, p. 53) im Bezug auf die Idiomatizität von zusammengesetzten Substantiven ein. Es geht um Komposita mit einem unikalen Morphem als Glied, das außer der konkreten Wortkombination gar nicht vorkommen kann, wie z.B. *Him*beere, Bräut*igam* (Fleischer, 1982, p. 42). Die werden wegen des Umfangs in dieser Arbeit nicht ausführlicher erörtert.

„Die Idiomatizität der Einwortphraseologismen führt zu einer bildhaften Sprache" (Duhme, 1995, p. 85). Mit Hilfe von Einwortidiomen kann man „komplizierte Sachverhalte illustrativ und plakativ beschreiben" (Duhme, 1995, p. 85) und damit lange Erklärungen vermeiden (ebenda: 85). Die Vorteile der Zusammensetzungen liegen in ihrem ökonomischen, rationellen Charakter und in ihrer einfachen und bequemen Verwendbarkeit (Fleischer, 1974, p. 17–18). Außer der gesprochenen Sprache werden Einwortidiome eben wegen der Kombination dieser Eigenschaften sowohl in der Journalistik als auch in der Belletristik benutzt (Fleischer, 1974, p. 17–18).

Mehrgliedrigkeit, Stabilität, Lexikalisierung und Reproduzierbarkeit in Hinsicht auf das Merkmal der Irregularität

Die Mehrgliedrigkeit betrifft die formale Seite der Phraseologismen (Ďurčo, 1994, p. 32), durch sie werden die phraseologisch anerkannten Wortgruppen von den idiomatischen Ausdrücken unterschieden (Ďurčo, 1994, p. 32), die keine Gruppenstruktur (Palm, 1997, p. 111; Vajičková, 2002, p. 11) erweisen. Dieses ist das einzige phraseologische Kriterium, dem die Einwortidiome nicht direkt entsprechen. Anders ist es bei den verbalen, bei denen sich dieses Kriterium in ihren anomalen oder paradigmatischen Rektionen realisiert.

Vajičkova (2002, p. 135) geht bei der Einreihung von nominalen Einwortidiomen in die Phraseologie in erster Reihe von der Theorie aus, dass „Träger lexikalischer Bedeutung

nicht nur Wörter, sondern auch Wortteile (Stammmorpheme und Derivationsmorpheme) sind" (Vajičková, 2002, p. 135). Sie lenkt die Aufmerksamkeit auf die Tatsache, dass Einwortidiome dem Kriterium der Polylexikalität nicht direkt entsprechen, sie weisen aber auf der Oberflächenebe, in der inneren Struktur des Wortes Mehrgliedrigkeit auf (Szczęk, 2007, p. 59). Dieses Merkmal könnte man aber auch als eine von den Anomalien verstehen, die sich aus ihrem Charakter ergeben, z.B.: *Grünschnabel, Jammerlappen, Salonlöwe, Siebenschläfer.*

Die semantische und syntaktische Stabilität von Phraseologismen (Vajičková, 2002, p. 14) können auch auf die Einwortidiome bezogen werden. Die syntaktische Stabilität zeigt sich zwar sowohl bei den nominalen als auch bei den verbalen Einwortidiomen der untersuchten Sprachen, aber in unterschiedlichem Maße (Kumorová, 2016, p. 52). Während die syntaktische Fixiertheit der verbalen Einwortidiome hauptsächlich in ihrer anomalen Rektion besteht, durch die ihre semantische Umdeutung vollbracht wird, bezieht sich die Stabilität bei den Komposita auf die, mit ihnen in prädikativen Syntagmen vorkommenden Hilfsverben: *haben* und *sein*, z.B.: *ein Haarspalter/ Wendehals/Schreihals/ Nörgelfritze/Partylöwe/Glückspilz/eine Naschkatze/eine Intelligenzbestie sein; einen Dickkopf haben.*

Mit diesen Hilfsverben Syntagmen bildend können sie schon als mehrgliedrige, stabile, idiomatische Wortgruppenlexeme aufgefasst werden (Vgl. Vajičková, 2002; Braxatorisová, 2021). In der Phraseolexikogragie werden sie oft genau mit diesen Verben (Röhrich, 1991; Röhrich, 1992a; Röhrich, 1992b; Müller, 2005; Sehnal & Sehnalová, 2005; Di Natale & Zacchei, 1996; usw.) als Phraseologismen erfasst und lexikalisiert. Bei diesem Punkt können wir also auch die Lexikalisiertheit unterzeichnen.

Die semantische Stabilität der zusammengesetzten nominalen Einwortidiome ergibt sich aus ihrer festgelegten, übertragenen Bedeutung. Sie werden „in ihrer Form und Bedeutung stabil und mit einer spezifischen Bedeutung behaftet..." (Duhme, 1995, p. 84). Die korrekte Interpretation wird vom Rezipienten quasi „automatisch" vollzogen (Duhme, 1995, p. 84), da sie „als „fertige", reproduzierbare sprachliche Einheiten" (Duhme, 1995, p. 84) den Beteiligten der Kommunikation vorhanden sind. Aus dieser Tatsache ergeben sich die Kriterien der Lexikalisierung und Reproduzierbarkeit, indem sie mit dem Phraseolexikon (Földes, 1987) einer Sprache und eines Sprechers in engem Zusammenhang stehen. Phraseologismen sind bekanntlich nicht nur in Lexiken und Wörterbüchern kodifiziert, sondern sind als „mnestischer Besitz des Sprechers" (Vajičková,

2002, p. 15) auch „im Gedächtnis gespeichert" (Vajičková, 2002, p. 15). Das gilt, wie schon gesagt, auch für Einwortidiome – sowohl für dephraseologischen Derivata, idiomatische exozentrische Zusammensetzungen als auch für die idiomatischen Possessivkomposita – die als eine Personenbezeichnung eine Charaktereigenschaft ausdrücken.

Einwortidiome in der slowakischen Sprachwissenschaft

Die Ansichten der slowakischen SprachwissenschaftlerInnen über das Problem der Einwortidiome sind auch nicht einstimmig. Obwohl in der Mehrheit der slowakischen linguistischen Fachliteratur (Mlacek, 1984, p. 20f.; Ondrus, Horecký & Furdík, 1980, p. 12; Mistrík, 1985. p. 92f.) und phraseologischen Wörterbücher die Phraseologismen u. A. dem Kriterium der Mehrgliedrigkeit gemäß aufgefasst und erarbeitet werden, sind einige SprachwissenschaftlerInnen anderer Meinung und betonen den phraseologischen Wert dieser Wortgruppe.

Um die Unstimmigkeiten zu vermeiden, muss man bei den slowakischen Einwortidiomen zwei Hauptgruppen unterscheiden und zwar die nominalen und die verbalen Einwortidiome. Diese Klassifizierung ist von großer Bedeutung, weil den verbalen Einwortidiomen von den slowakischen Theoretikern eine größere theoretische Aufmerksamkeit gewidmet wird.

Slowakische Einwortidiome an der unteren Grenze der Phraseologie

Obwohl Mlacek (1984, p. 30) die Einwortidiome in seiner wichtigsten phraseologischen Bibliographie aus den 80er Jahren nicht erörtert, beschäftigt er sich mit ihnen in einer seiner späteren Studien (Mlacek, 2001, p. 20f., 65f.). Der Autor befasst sich kurz mit ihrer phraseologischen Qualität sowie mit ihren Integrierungsmöglichkeiten (Mlacek, 2001) und reiht sie zu der unteren Grenze (Mlacek, 2001, p. 64) der slowakischen Phraseologie. Der Termin Einwortidiom, auf Slowakisch „jednoslovný idióm", „jednoslovná frazéma" bekommt auch im Erläuterungswörterbuch der phraseologischen Termini des slowakischen linguistischen Instituts von Ľudovít Štúr, Jazykovedný ústav Ľudovíta Štúra (Mlacek & Ďurčo, 1995: https://www.juls.savba.sk/ediela/frazeologicka_terminologia/) eine theoretische Beachtung, wo der Unterschied zwischen dem okkasionellen Charakter der Metapher und der usualisierten Einwortidiome erläutert wird.

Nominale idiomatische Komposita im Slowakischen

Mlacek (2001, p. 23, p. 65) erkennt zwar den idiomatischen Wert u.a. der anomal gebildeten und zusammengesetzten Substantive, wie *tlčhuba* (wortwörtlich: Haumaul) 'Plappermaul' an, indem er sie idiomatische Derivate und idiomatische Komposita (Mlacek, 2001, p. 23) bezeichnet, trotzdem betont er nachdrücklich, dass sie wegen ihrer eingliedrigen Form nicht als Phraseme betrachtet werden sollen (Mlacek, 2001, p. 23, p. 65).

In Anbetracht des Umfangs dieser Arbeit beschäftigen wir uns mit den slowakischen idiomatischen Derivaten nicht. Von umso größerer Bedeutung sind die idiomatischen Komposita (Krajčovič, 2009, S. 158, wie (3) *vrtichvost* (wortwörtlich: Wedleschwanz) auf Deutsch 'Speichellecker', *vetroplach* (wortwörtlich: Windverscheucher) 'Strudelkopf', *valibuk* (wortwörtlich: Wälzerbuche) 'Kraftmensch', die nach Krajčovič (2009, p. 158) zu einem von den produktiven urslawischen Wortbildungstypen gehören, die in der slowakischen Sprache erhalten geblieben sind. Es geht um Zusammensetzungen von den vorhandenen lexikalischen Mitteln, z. B. *medveď* (Bär) stammt aus der Konstruktion *medu-jědb,* was auf Deutsch ungefähr 'von dem Honig essen' bedeutet (Králik, 2015, p. 352). Diese Art von Wortbildung lässt sich auch an slowakischen zusammengesetzten Personennamen schon aus dem 9. Jh. erkennen. Als die aktivste Periode dieses Wortbildungstyps in der Entwicklung des slowakischen Wortschatzes behauptet Krajčovič (2009, p. 158) die Zeitspanne zwischen dem 12. und 14. Jh., das präsentiert sich nach dem Autor hauptsächlich in der Bildung von Ortsnamen und den Namen ihrer Einwohner. Krajčovič (2009, p. 158) hebt hervor, diese Wortbildungsart verliert allmählich mit der Zeit im Slowakischen ihre Produktivität, aber nicht völlig. Als Beweis bedient er sich einiger Komposita aus der Volksdichtung (Krajčovič, 2009, p. 158), wie *horenos* (wortwörtlich: Aufwärtsnase) 'hochnäsig' und die schon erwähnten Beispiele *vrtichvost* (wortwörtlich: Wedleschwanz) 'Speichellecker', *vetroplach* (wortwörtlich: Windverscheucher) 'Strudelkopf', *valibuk* (wortwörtlich: Wälzerbuche) 'Kraftmensch' usw.

Lexikalische Betrachtung der idiomatischen Komposita

Lexikalisch gesehen gehören diese Wörter zu den „rektionalen Komposita" (Horecký & Rácová, 1979, p. 179), da sich ihre Basis aus der zwischen den Gliedern existierenden syntaktischen Verbindung ergibt (Vajičková, 2005, p. 73). Horák (1999, p. 31f., 35f.) unterscheidet „rektionale zusammengesetzte Wörter" mit zwei substantivischen

Komponenten wie *rušňo/vodič* (Lokomotive/Führer, Leiter)*, stroj/vodič* (Maschine/Führer, Leiter)*, stroj/vodca* (Maschine/Führer, Leiter) und „rektionale verbale Ausdrücke" wie *mútivodník* (wortwörtlich: Aufwühlerwasser) mit der Bedeutung 'jmd., der absichtlich Verwirrung schafft', *vrtichvost* (wortwörtlich: Wedelschwanz) 'Speichellecker', *prepiduša* (wortwörtlich: Vertrinkseele) 'Trunkenbold' usw.

Der größte Unterschied zwischen ihnen liegt in der idiomatischen Bedeutung. Solange die letzterwähnten Beispiele berufliche Benennungen ohne jeglichen idiomatischen Wert ausdrücken 'Lokomotivführer, Maschinenführer', haben die anderen Beispiele übertragene Bedeutung und sind Träger von negativen menschlichen Eigenschaften. Der Autor (Horák, 1999, p. 36) bezeichnet die zweitgenannten mit dem Attribut schändlich und stellt weitere ähnliche milde „Schimpfwörter" wie *potrimiskár* (wortwörtlich Beschmierschüsselchener) 'Wendehals', *obráťkabátnik* (wortwörtlich: Wendemantel) mit der Bedeutung 'Wendehals' dar. Um die Ungleichartigkeit dieser Wendungen zu schildern, führt er auch solche idiomatischen Komposita auf, die im mentalen Lexikon von den Mitgliedern der slowakischen Kultur als Benennung von verschiedenen sagenhaften Helden mit der deutschen Bedeutung 'Kraftmensch' in den slowakischen Volksmärchen (Majtán, 1980; Majtán, 1998; Ondrejovič et al., 2000) auftreten: *Lomidrevo* (wortwörtlich: Brichholz), *Valibuk* (wortwörtlich: Wälzerbuche), *Miesiželezo* (wortwörtlich: Kneteeisen) (Horák, 1999, p. 36), die aber auch als positive Eigenschaften anerkennende Spitznamen für Personen dienen.

Der zweite auffallende Unterschied liegt in der Wortart der Glieder und in der damit zusammenhängenden syntaktischen Beziehung zwischen ihnen. Wahrscheinlich erfolgt gerade daraus das unterschiedliche Suffigieren. Die nominalen Komposita *rušňovodič, strojvodič, strojvodca* haben eine Genitivobjekt-Subjekt-Verbindung, während in den Zusammensetzungen mit einer verbalen Komponente – wie *mútivodník, vrtichvost, prepiduša* – die Glieder eine Prädikat-Objekt-Relation haben. Im ersten Fall werden zwar die Subjekte durch Derivation von Verben gebildet, es geht aber immer um Zusammensetzung von zwei Substantiven. Im zweiten Fall geht es um zusammengerückte prädikative Syntagmen, in denen eins von den Gliedern ein Verb in der veralteten slowakischen Form des Imperativs ist (Krajčovič, 1988, p. 143), das Objekt aber dem Paradigma entgegen ohne sein Akkusativsuffix vorkommt, es bleibt also im Nominativ unverändert. Das kann man ausschließlich an den weiblichen Substantiven: *noha, duša* (N) und nicht *nohu, dušu* (A) beobachten, da die nicht lebendigen männlichen Substantive wie *chvost* und Substantive im Neutrum wie *železo* im Akkusativ keine extra Endung

bekommen (Ružička et al., 1966, p. 112–120, p. 138). Das Suffix -*ník* bei der Wendung *mútiť vodu → múti/vodník* stammt aus der Volksdichtung, in der Wendung dient es zur Augmentation, zur expressiven Darstellung der Tücke (Horák, 1999, p. 36).

Tabelle Nr. 1. Slowakische nominale Einwortidiome und ihre deutsche Darstellung

Nominale Einwortidiome	Wörtliche Übersetzung	Deutsches Äquivalent oder Umschreibung
hore/nos	aufwärts + Nase	- Hochnäsig
lomi/drevo	brich + Holz	- ein sehr kräftiger Mensch, Kraftmensch
miesi/železo	knete + Eisen	- ein sehr kräftiger Mensch aus Volksmärchen, Kraftmensch
múti/vodník	trüb(e) + mytol. Wassermann	- jmd., der absichtlich Verwirrung schafft
obráť/kabátnik	wende, dreh(e) + Mantel	- *er dreht den Mantel nach dem Winde,* Wendehals
potri/miskár	beschmier(e) + Schüsselchen+-er	- ein unaufrichtiger Mensch, Schmeichler, Schmarotzer, Wendehals
prepi/duša	vertrink(e) + Seele	- *er jagt alles durch die Kehle*, Trunkenbold
tlč/huba	schlag(e), hau(e) + Mund (od. Schwamm, Pilz)	- Plappermaul, Mauldrescher, Zungendrescher
vali/buk	wälze + Buche	- ein sehr kräftiger Mensch, Kraftmensch, Kraftmeier
vetro/plach	Wind + beunruhige, vertreibe	- eine unzuverlässige, leichtsinnige Person
vrti/chvost	wedle + Schwanz	- ein charakterloser, schmeichlerischer Mensch, Speichellecker, Fuchsschwätzer

Verbale Einwortidiome

Miko (1989, p. 25f.) bearbeitet die fragliche Wortgruppe mit dem Ziel, die Aufmerksamkeit auf diese ungelöste Frage zu leiten.

Die Einwortidiome werden von dem slowakischen Autor als „*jednoslovné ustálené metafóry*" (Miko, 1989, p. 25f.), d. h. eingliedrige feste Metaphern bezeichnet. Sie zeichnen sich durch solche Merkmale (Miko, 1989, p. 25) aus, die den Phraseologismen entsprechen, so sind z.B. ihre Funktion oder ihr phraseologischer Charakter, aber wegen ihrer Monolexikalität werden sie einfach als stabile Metaphern aufgefasst. Miko (1989, p. 25f.) bemängelt diese phraseologische Auffassung, da es nicht nur um eine vernachlässigbare Anzahl von „Metaphern" geht. Es wird von ihm hervorgehoben, dass die Einwortidiome mit den Phraseologismen zusammen den „idiomatischen Reichtum der nationalen Sprache" (Miko, 1989, p. 26: „…idiomatické bohatstvo národného jazyka" eigene Übersetzung von A. B.) bilden.

Mikos (1989, p. 29) Beitrag in Bezug auf die Problematik der Phraseologizität von Einwortidiomen liegt in seinem Versuch, den Entstehungsprozess von mehrgliedrigen Phraseologismen und von den verbalen Einwortidiomen zu vergleichen. Er stellt fest, dass der Benennungswert auf den Aussagewert sowohl bei den Phraseologismen als auch bei den Einwortidiomen aufschichtet. Der Unterschied liegt in ihrer Konstruktion, die aber nach Mikos Meinung (Miko, 1989, p. 29) nicht unbedingt als Grund für den Ausschluss aus dem phraseologischen Fond einer Sprache zu behaupten ist. Es wird von ihm die Möglichkeit der Zuschreibung von Einwortidiomen zu den Phraseologismen hervorgehoben und beantragt. Der slowakische Sprachwissenschaftler sagt eindeutig aus, dass die eingliedrigen Metaphern den wahren Phraseologismen funktional in solchem Maß ähnlich sind, dass es an der Praxis nichts ändern würde, wenn sie unter dem Terminus Phraseologie erörtert würden (Miko, 1989).

Die Beispiele, mit denen er in seiner Studie für die phraseologische Anerkennung argumentiert, sind in der folgenden Tabelle zusammengefasst.

Tabelle Nr. 2. Zusammenfassung von verbalen Einwortidiomen nach Miko (1989, p. 25) (mit kursiv sind die idiomatische Ausdrücke markiert)		
Verbale Einwortidiome mit ihrer primären Bedeutung	**Wörtliche Übersetzung**	**Übertragene Bedeutung**
popáliť sa – sich verbrennen	sich verbrennen	in Unannehmlichkeiten geraten
vyhorieť - ausbrennen/ niederbrennen, abbrennen	ausbrennen	eine lange Zeit Misserfolg erleben
strečkovať – scheu werden, hin und her laufen/dahinjagen, galoppieren	hummern	1. Unfug, Streiche treiben, Witze machen 2. scheu werden/ verrückt werden 3. sich gegen etw. sträuben, sich sperren, sich auflehnen, sich aufbäumen, sich weigern 4. Alkohol trinken
prikvitnúť	zublühen	nicht erwartet ankommen
zhasnúť – erlöschen, verlöschen, auslöschen	erlöschen	1. verstummen, still werden 2. ausklingen, zu Ende gehen 3. erschlaffen, ermatten, erlahmen, nachlassen
vypadnúť – ausfallen, herausfallen	hinausfallen	verschwinden, weggehen
zabrať – besetzen/ einnehmen/ sich aneignen	einnehmen	sich in etw. (die Arbeit) vertiefen
vyfarbiť sa – sich aufschließen	sich ausfärben	sich aufschließen die Maske fallen lassen jdm. das wahre Gesicht zeigen
vypnúť – ausschalten	ausschalten	mit der Arbeit aufhören, eine Pause machen, ausspannen
vyzrieť na niekoho – herausschauen an jdn.	ausreifen	die Absichten von jdm. durchschauen, aufpassen

dobehnúť niekoho – jdn. erreichen, einholen	einlaufen jdn.	die Absichten von jdm. durchschauen
prezrieť niekoho – durchsehen jdn.	durchreifen jdn.	die Absichten von jdm. durchschauen
odtrúbiť niečomu, niekomu – abblasen	abtrompeten jdm.	mit etw. ist Ende
zavariť niekomu – einmachen, einkochen	einkochen jdm.	*jdm. einheizen* *urobit niekmu neprijemnosť*
podkúriť niekomu	jdm. unterheizen	*jdm. einheizen*
pridať – zugeben, hinzufügen	zugeben	Ranklotzen
začínať si s niekým	sich mit jdm. anfangen	*mit jdm. Kontakt schließen/einlassen*
prebrať – sortieren, klassieren/ durchnehmen/übernehmen	übernehmen	sich ertrinken, mehr trinken als man ertragen kann
zdupkať – stampfen, zertreten, niedertreten	stampfen	entfliehen, davonlaufen
odskočiť od niečoho – wegspringen, beiseite-springen von etw.	von etw. abspringen	unkorrekt von der Zusammenarbeit zurücktreten
rozpáliť sa – erglühen, glühend werden	sich ausbrennen	in Harnisch geraten sich für etw. begeistern, entflammern für etw. Feuer und Flamme sein

Wie es auch aus den dargestellten Beispielen und aus den Untersuchungen von Vajičková (2002, p. 138) deutlich wird, gehören die meisten verbalen Einwortidiome zu den *präfigierten idiomatisierten Verben* (Vajičková, 2002, p. 138), die in der slowakischen Sprache sehr produktiv sind (Vajičková, 2002, p. 138), z.B.: *niekoho prekabátiť* (wortwörtlich: jdn. übermanteln) = *jdn. betrügen, jdn. übers Ohr hauen presmrádzať sa (expr.)* (wortwörtlich: sich überstinken) = *sich herumtreiben* (Vajičková, ebenda).

Diese Art von präfigierten Verben wird von der Autorin (Vajičková, 2002, p. 138) in zwei Gruppen aufgeteilt. In die erste Gruppe gehören Einwortidiome, die nur in übertragener Bedeutung verwendet werden und keine Homonyme oder Poliseme bilden, wie die letzterwähnten Beispiele.

Die zweite Gruppe bilden polyseme Einwortidiome, deren Sememe u. A. durch Bedeutungsverschiebung entstanden sind. *„Im System stehen die freie und die übertragene Bedeutung nebeneinander"* (Vajičková, 2002, p. 138), die erst im Kontext konkretisiert werden (Vajičková, 2002), z.B. *pretrhnúť sa = 1. durchreißen; 2. aufhören, sich unterbrechen; 3. sich überarbeiten.* Dieses Verb kommt auch in der idiomatischen Wortgruppe *on sa v práci nepretrhne* (wortwörtlich: er durchreißt sich in der Arbeit nicht) = *er wird sich kein Bein aufreißen* vor (Vajičková, 2002, p. 138).

Der slowakische Phraseologe, Mlacek (2001, p. 65f.) geht bei seiner Theorie angesichts der Problematik der slowakischen Einwortidiome von Mikos Feststellungen (1989, p. 25f., p. 29) aus und grenzt eine Sondergruppe von verbalen „Einwortidiomen" ab, bei denen auch das Kriterium der Mehrgliedrigkeit aktuell ist, wobei sie ihren Einwortcharakter behalten. Dieser scheinbare Gegensatz erfolgt aus der semantisch limitierten, syntaktisch meistens anomalischen Rektion gewisser Verben, die durch diese konkrete Rektion eine übertragene Bedeutung bekommen. Diese Rektion bezieht sich vor allem auf lebendige Substantive, der idiomatische Wert der Verben fühlt sich nämlich an Personen bezogen an. Da sich die genannten Verben durch die Rektion zu Wortverbindungen auswachsen, entsprechen sie in gewissem Maße dem Kriterium der Mehrgliedrigkeit. Der Unterschied zwischen ihnen und den Phraseologismen im engeren Sinne liegt darin, dass das zweite Glied bei den erwähnten verbalen Einwortidiomen kontextgebunden austauschbar ist (Mlacek, 2001, p. 67). Aus dieser Besonderheit erfolgt ihre verdiente Benennung „Einwortidiome" und ihre spezifische Art von den slowakischen phraseologischen Einheiten (Mlacek, 2001, p. 67). Mlacek (2001, p. 68) deutet diese Gruppe von Verben als „indirekte Bestätigung der Zugehörigkeit von Einwortidiomen zum Sondertyp der Phraseologie" (Mlacek, 2001, p. 67: „nepriame potvrdenie príslušnosti jednoslovných frazém k osobotným typom frazeológie"eigene Übersetzung von A. B.).

Tabelle Nr. 3. Zusammenfassung von den verbalen Einwortidiomen nach Mlacek (2001, p. 66f.)

Bedeutung des Verbs ohne die anomale Rektion (+ dt. Übersetzung)	Verbales Einwortidiom	Wortwörtliche Übersetzung des Einwortidioms	Bedeutung des Einwortidioms
zotrieť – abwischen	*zotrieť niekoho*	[jdn. abwischen]	jdn. besiegen, überwältigen
mať – haben	*mať s niekým niečo*	[haben etwas mit jdm.]	ein Verhältnis, eine Beziehung mit jdm. haben
začať – beginnen	*začať si s niekým*	[beginnen etwas mit jdm.]	*sich mit jdm. einlassen* (Siarsky, 1990)
chodiť – gehen	*chodiť s niekým*	[gehen mit jdm.]	mit jdm. gehen
vystreliť – schießen, abfeuern	*vystreliť si z niekoho*	[sich schießen, abfeuern aus jdm.]	*jdn. zum Narren halten*
zavariť – einkochen	*zavariť niekomu*	[einkochen jdm.]	*jdm. einheizen*
vykývať – auswackeln	*vykývať s niekým*	[auswackeln mit jdm.]	*jdm. tüchtig übers Ohr hauen*
znosiť - zusammentragen, häufeln/abtragen	*znosiť niekoho*	zusammentragen, häufeln/abtragen jdn.	*jdn. rügen, jdn. ausschelten, jdm. den Kopf waschen*
podkúriť - anheizen, einheizen	*podkúriť niekomu*	[unterheizen jdm.]	*jdm. einheizen*
prihrať – zuspielen (im Sport)	*prihrať niekomu niečo*	[zuspielen jdm. etwas]	*jdm. etwas in die Hände spielen*

Schlussfolgerungen

Mit der vorliegenden Arbeit treten wir gegen die strikte Auffassung der Mehrgliedrigkeit von Phraseologismen auf. All die aufgeführten slowakischen Theorien und ein Teil der deutschen Autoren erkennen den phraseologischen Wert der Einwortidiome und treten für ihre endgültige Anerkennung ein, möge es um verbale oder nominale Art gehen. Von denen greifen wir die idiomatischen, auf Personen oder Charakterzüge bezogenen Komposita heraus und plädieren hiermit für die Möglichkeit, ihre theoretisch-phraseologische Betrachtung in Erwägung zu ziehen.

Fleischers (1997, p. 249) Auffassung, laut der es keinen Grund gibt, idiomatische Komposita als Phraseologismen zu bezeichnen, die in einer anderen Sprache als Äquivalente für einen Phraseologismus stehen, macht die phraseologische Theorie um solche Ausdrücke – u. A. um idiomatische Komposita – ärmer, die laut O. Nagy (2005, p. 376) als kulturelles Erbe Sitten und Bräuche der Vergangenheit, Verhältnisse und Gegenstände des ehemaligen Lebens implizit in sich tragen. Warum also den phraseologischen Wert von Einwortidiomen wegen des Kriteriums der Polylexikalität leugnen? Außer den typologischen Merkmalen von Sprachen dürfen wir die Phraseologismen nicht vergessen, die der Orthographie der jeweiligen Sprache entsprechend zusammengeschrieben werden. In einigen Sprachen tendiert man zur Zusammenschreibung (im Ungarischen idiomatisches Kompositum *balfácán* 'Tollpatsch' versus lose Wortverbindung *bal fácán* 'linker Fasan') oder zur Setzung von Bindestrichen (im Englischen up-front versus up front, up-to-date versus up to date). Die Frage, ob Einwortidiome als Phraseologismen gelten, hat auch in der kontrastiven Phraseologie Relevanz. Um dies zu verdeutlichen, nehmen wir zwei Beispiele aus der Relation Deutsch-Ungarisch. Die deutschen festen Wortvervindungen *(klar) auf der Hand liegen* 'offenkundig sein' und *unter vier Augen* (in Bezug auf ein Gespräch zu zweit, im Vertrauen, ohne weitere Zeugen) sind eindeutig Phraseologismen, da sie alle phraseologischen Kriterien erfüllen. Die ungarischen Äquivalente stimmen im Bindspenderbereich mit den deutschen Phraseologismen völlig überein, das sind allerdings Komposita: *kézenfekvő* 'offenkundig sein' und *négyszemközt* 'unter vier Augen'. Halten wir davon fest, dass Phraseologismen Wortverbindungen sein müssten, so handelt es sich hier um lexikalische Äquivalenz. Ordnen wir jedoch die Einwortidiome zu den Phraseologismen, so geht es hier um phraseologische Äquivalente. Diesen Standpunkt vertritt z. B. Drahota-Szabó, die auch die Komposita, wie *Schneckentempo, Angsthase, bienenfleißig* und *Krähenfüße* 'unleserliche, krakelige Schrift' als spezielle Art der Phraseme, sog. Monophraseme (Somhegyi, 1988; 1992) betrachtet (Drahota-Szabó, 2021, 91f.).

Wir haben festgestellt, dass die phraseologische Qualität der slowakischen Ausdrücke wie *tlčhuba, vetroplach, obráťkabátnik, horenos tlčhuba* wegen ihrer formalen Seite nicht anerkannt wird. Es sollte aber in Erwägung gezogen werden, dass die Mehrheit dieser Ausdrücke volkstümlicher Herkunft ist. Eine große Menge von ihnen stammt aus den Zeiten der Entstehung von Volksmärchen und der Volksdichtung. Dabei haben die orthographischen Änderungen – denen sich die Sprache während ihrer Entwickung unterwirft – den Charakter von sekundären Eingriffen (Mészáros, 2019), die den phraseologischen Bestand teilweise auf kontigenter Basis benachteiligen können.

Die Arbeit bietet Anregung zur Weiterführung der Thematik in mehreren Hinsichten. Morphologisch gesehen könnte man die idiomatischen Komposita der jeweiligen Sprachen nach der Wortart der Glieder und nach Wortbildungstypen untersuchen, um die aus den unterschiedlichen Wortbildungsvorgängen quellenden typischen Interferenzfehler zu enthüllen. Mit korpuslinguistischen Untersuchungen können die typischen Kollokationen der Einwortidiome und ihre stilistischen Markierungen im Text erfasst werden.

Aus semantischer Hinsicht haben wir festgestellt, dass die meisten Einwortidiome zu einer von den folgenden semantischen Gruppen zugeordnet werden können: Idiome, mit Körperteilen, Tierbenennungen und mit Eigennamen. In den deutschen Einwortidiomen erscheinen die Namen Peter, Fritz, Suse und Liese, z.B. *Nölpeter, Nörgelfritze, Heulsuse, Quatschelliese* am häufigsten. Was ihre Äquivalente in den untersuchten Sprachen betrifft, sind die mit Eigennamen gebildeten Einwortidiome sehr selten. Die Symbolik wäre auch in den zwei weiteren semantischen Gruppen interessant. Durch die semantische Analyse und durch die Erforschung der Ethymologie würden wir in den Movierungsprozess der idiomatischen Komposita, sowie in die Unterschiede in der Sprachkultur, in die Symbolik der Nationen einen tieferen Einblick gewinnen.

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Intermodal and Intermedial Translation of Songs in Stage and Film Musicals: Application of an Integrated Approach in Turkish Context

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ABSTRACT

Engaging with a spectrum of intermodal and intermedial translation, the primary aim of this study is to present and apply a holistic multimodal approach to song translation through which the interaction of the potential meaning of semiotic resources can be considered as a composite and indivisible whole. The focus of this study is *Fiddler on the Roof*, chosen because it has been translated for both stage and film musicals in Turkiye. With this purpose, we adopted a triple model which operationalized Halliday's Systemic Functional Grammar (SFG), Kress and van Leeuwen's integrated approach by combining textual and visual grammar, and Leeuwen's (1999) framework of musical analysis. Our historical approach to the Turkish musical landscape proposes that translation strategies for songs in film musicals reflect a consistent pattern of choice (mainly mixed translation) arising from state-monopolized TV impositions; while in contrast, for stage musicals, the wider range of translation strategies shed light on fluctuations in multi-semiotic popular arts entertainment, caused by ideologically- and economically-driven practices. Our in-depth multimodal analysis revealed that an integrated approach can bring to the surface the potential density of interacting semiosis in the performative and narrative dimensions of musicals. These new dimensions, enabled through a multimodal analysis, require new skills, knowledge and literacies, thus, expanding the boundaries of translation studies.

Keywords: Song translation, musicals, multimodality, intermodal translation, intermedial translation

1. Introduction

In recent years, powerful visual performances involving a high degree of visualization have led to an "iconic turn" encouraged by the multimedia era, which has had a considerable impact on the humanities and social sciences, including Translation Studies. This new trend has given rise to a shift from a linguistic-based monomodal translational approach to a multimodal one, which emphasizes the "semiotic resources which allow the simultaneous realization of discourses and types of (inter)action" (Kress & van Leeuwen, 2001, p. 21). Plurisemiotic representations have further become intertwined with the field of Translation Studies in recent decades with an increasing number of motion picture adaptations of books and plays. The act of translation in transferring linguistic as well as cultural value of works in different media (i.e., on stage, on screen or on paper) provides a plurisemiotic perspective on communication in which the pooled interaction of different semiotic modes creates a final coherent meaning. In a similar vein, Baldry and Thibault (2006) propose, "multimodality refers to the diverse ways in which a number of distinct semiotic resources systems are both codeveloped and co-contextualized in the making of a text-specific meaning" (p. 21).

The coexistence of semiotic modes as the "carriers of meaning" (Kress, 2010, p. 60) urges scholars to regard translation, not as a pure linguistic delivery, but as modal and medial transfer, and thus to make conjoint interpretations. Dramas and musicals, for instance, are usually predestined for medial transfer as they are translated into (musical) films. However, semantic strata of musical theatres and musical films represent different levels of abstraction, which entail verbal, visual and audio components. Thus, the multimodal resources produced in these musical texts, which are interpreted and consumed by audiences, can display different dynamics. Such "music-linked" (Golomb, 2005) intermodal and intermedial translations are intermingled, but rarely studied, natural artifacts of the multimodal approach (Mateo, 2012). In recent years, there has been an increasing interest in a multimodal approach to song translation, and several attempts have been made to introduce new approaches applicable to lyrics (Low, 2003; Franzon, 2008). As "verbal-musical hybrids" (Low, 2003, p. 229), songs require a comprehensive approach which concurrently considers multiple semiotic and medial modes. However, only a limited number of studies have acknowledged the growing role of plurisemiotic translation in connection with operas and film musicals in the Turkish context, and very few have put an emphasis upon the need for greater awareness and understanding of how that role contributes to multimodal theory and practice (Şahin-Soy & Şenol, 2020; Okyayuz & Dalbudak, 2018; Şahin-Soy & Şenol, 2015).

Taking these facts and limits as a point of departure, the aim of this study is to put forward and apply a holistic model of analysis juxtaposing cross-cultural intermodal and intermedial translation. Such a model would enable analysing the three socio-semantic modes invoked in song translation, (verbal, audio and visual modes), under the common denominator of Halliday's systemic functional grammar, with special emphasis upon his three language metafunctions. This integrated model will be used in the multimodal analysis of the stage and film versions of the musical *Fiddler on the Roof* composed by Jerry Bock, focusing on the song *If I were a rich man*.

The research questions at the basis of this study are as follows:

1) How can we analyse songs in stage musicals and film musicals from a multimodal perspective?
2) Taking cross-cultural perspectives into account what are the intermedial differences of the song *If I were a rich man*?

In the following sections, we will present a brief overview of research on song translation, and then shift our focus to musicals in particular, both in the global and Turkish contexts. The contextualization of our case – *Fiddler on the Roof* - will be followed by our methodological approach and multimodal analysis of the song *If I were a rich man*.

2. Translating Songs

Musicals can be considered "to be half-way between operas and plays, both as a genre and in terms of the translation strategies involved. The choice of translation in performance (rather than surtitles) brings the musicals closer to drama texts, but the prominence of music marks a real difference between them and plays during the translation process itself" (Mateo, 2008, p. 321). Musicals have rarely been studied from a multimodal perspective because, from intercultural perspectives, texts, performance and artifacts constitute complex and inseparable ensembles of resources. From a plurisemiotic standpoint, "musical performance is understood as a communication model in which a series of coded messages are sent or enacted as their meanings received or decoded" (Martinelli, 2015, p. 741). Thus, both stage and film musicals can be considered as multimodal products which require analysis with multimodal tools for three main semiotic systems, namely verbal language, music and visual (mise-en-scène). While verbal language stands for both verse (lyrics and poems) and prose parts

(stage directions and scenario) in the musical texts, music encompasses vocal and instrumental music. In addition to these, visual component (mise-en-scène) is the arrangement of actors and scenery, including kinesics, on a stage or scene for a performance production (see Rossi & Sindoni, 2017). Despite these plurisemiotic common grounds, a stage musical is primarily a performative event, clearly differentiated from a film musical regarding audience types, textual dominance, immediate vs. delayed interaction with the audience, availability of editing and (re)framing devices, and live vs. recorded performances. Songs in musicals are intrinsically multimodal, and can be considered as music-linked texts, being composed of many semiotic sources, ranging from lyrics, music, sound effects, mimics, gestures, dancing and props.

Categorial differences between modes and media play a part in mapping the meaning-making process in the translation of music-linked texts, since medium determines forms of modes both in performances and communication channels. One of the consequences of multimodal conception of a text is that hybrid forms get structured between the different rendition forms on the levels of mode and medium. Intermodal translation is defined as mode change in an intracultural and cross-cultural transfer, for instance, switching from a verbal to a visual mode in the form of converting a novel into a comic. An example of intermodal translation in musicals would be switching from musical notes to music or composition of lyrics. According to Kaindl (2013) "intermedial translation refers to translation across media barriers, which can be realized interculturally and transculturally. This comprises – among another things – the translation of a novel into a film, the transformation of a play into a musical, etc." (p. 262). These intermodal and intermedial variations require multiple channels of perception and holistic approaches which demonstrate how their collaboration brings forth new meanings in performing arts.

Hence, to draw upon a multimodal analysis of music-linked texts in stage and film musicals which harbour semiotic resources in relation to specific, situated socio-cultural practices, it is necessary to review theories relevant to the integration of music and translation in film and stage musicals. Michael Chanan, in his preface to the book entitled Music, Text, and Translation, states that "Language has crucial implications for music's political economy", because in opera, for example, "works in unusual languages might fail to enter the repertoire unless translated" (2013, p. xiii). Listening to foreign music in its original language is becoming a more common practice due to wider access to world music through the Internet and digital music stores. Yet, this rarely applies to

songs in movies, musical theatres or operas, due to their role as a major element in the meaning-making process in cross-cultural encounters. Therefore, translation of songs, as an example of multimodal texts, has become an important research topic in the field of translation studies, especially in the last decade, as exemplified by the special issues of journals such as *The Translator* in 2008 and *JoSTrans* in 2013.

Peter Low's (2005) 'Pentathlon Principle' has been widely used for the study of song translation. As Mateo (2012) states, in the study of song translation, we need to "adopt a multidisciplinary approach – drawing on disciplines such as musicology, theatre studies, semiotics, sociology, literary history and translation studies" (p. 121). This is particularly important because existing studies on music translation, which is highly relevant to the translation of stage musicals, are generally descriptive and based on classifications. For example, Franzon lists five strategies in song translation:

1. Leaving the song untranslated
2. Translating the lyrics but not taking the music into account
3. Writing new lyrics to the original music with no overt relation to the original lyrics
4. Translating the lyrics and adapting the music accordingly – sometimes to the extent that a brand-new composition is deemed necessary
5. Adapting the translation to the original music (2008, p. 376)

Similarly, Di Giovanni (2008) identified several different translation strategies employed when translating songs into Italian after analysing fifteen American musical films. These include (1) "partial translation" where dialogues are dubbed but songs are left untranslated, (2) "mixed translation" where dialogues are dubbed and songs are subtitled, and (3) "full translation". Full translation strategy is also divided into two types. In the first, dialogues are again dubbed but songs are performed with translated lyrics, whereas in the second, both dialogues and songs are subtitled. The option of non-translation is finally reported as a fourth strategy in the research (pp. 300-308). The researcher concluded that "these film musicals have reached the Italian audience through different translation strategies, which have very often failed to convey their narrative structure, their meaning and also their full entertainment potential." (p. 314). All these methods include single semiotic analyses which consider musical and verbal signs in isolation, and thus signal the emerging need for a broader viewpoint, a study of performance which covers the intricate interplay of semiotic resources. Kress and

van Leeuwen's ground-breaking contribution to the development of multi-modal communication as an interdisciplinary field of research in two seminal publications, Reading Images: The Grammar of Visual Design (2006/1996) and Multimodal Discourse: The Modes and Media of Contemporary Communication (2001), underline "multimodality as the use of several semiotic modes in the design of a semiotic product or event, together with the particular way in which these modes are combined" (2001, p. 20). They underscore an analytical framework based upon Halliday's Systemic Functional Grammar (Halliday & Matthiessen, 2004) "as model, as a source for thinking about general social and semiotic processes" (2006, p. 20) in their semiotic landscape. They adopted the three Hallidayan metafunctions which apply to all semiotic modes:

Ideational/representational Metafunction: representing experiential meanings as configurations of processes, participants and circumstances, and meaning about the world and about how we perceive and experience it.

Interpersonal/Interactional Metafunction: enacting social interactions between the producer, the viewer and the object.

Textual/Compositional Metafunction: incorporating ideational and interpersonal meanings to establish coherence of the text.

The potential of semiotic modes for making meaning, modelled through the above-mentioned tripartite framework, provides more than mere description of the semiotic landscape, as each component has a peculiar structural realization in its lexico-grammatical field. Hence, by integrating Kress and van Leeuwen's multimodal discourse framework with Leeuwen's (1999) framework of musical analysis, this study is able to provide insights into an understanding of the interaction between the three dimensions of semiotic resources (verbal, audial and visual) in the translation of musical songs.

3. Musicals in the World and in Turkish Context

Originating from a fusion of different forms of eighteenth and nineteenth century entertainment such as operetta and vaudeville, the musical was primarily shaped by American culture and became a ground-breaking genre. The development of American musicals was sparked by *The Black Crook* (1860) a notorious stage show. American musicals produced between the 1920s and 30s were promoted as escapism from the economic and socio-political realities of the Great Depression. The era of sound conversion brought musicals into the film industry beginning with the first commercially successful full-length

musical film, *The Jazz Singer* (1927), a hallmark in the rise of the genre. According to Parkinson (2007), musicals in the early period can be divided into three main categories: "the backstage, the fairytale or the folk musical – and their primary concern was not the chronological progression of the narrative from A to B, but how the oppositional aspects of the pivotal lovers' relationship could be resolved by the musical numbers that established the structure and meaning of the film" (p. vi). The success of *The Jazz Singer* triggered many further productions in the 1930s and 1940s from major companies, such as Warner, Paramount, RKO, and most importantly MGM. These included *Top Hat* (1935), *Show Boat* (1936), *The Wizard of Oz* (1939) and *Meet Me in St. Louis* (1944). Hard times in the early period paved the way for the production of satiric musicals. The 1940s and 1950s witnessed increasing social sensitivity in the storylines in the aftermath of World War II. This period was marked by the musical films of stars such as Fred Astaire, Ginger Rogers, Gene Kelly and Judy Garland. The multiple award-winning *Singin' in the Rain*, a 1952 musical romantic comedy, strengthened the place of the musical in Hollywood. Bush Jones (2003) underlines black and Jewish "issue-driven" musicals of the 1960s and 1970s emerging after the Vietnam war. Other successful productions during this period were *West Side Story* (1961), *My Fair Lady* (1964), *Fiddler on the Roof* (1964), *The Sound of Music* and *Oliver* (1968), followed in the 1970s by *Cabaret* (1972), *New York, New York* (1977) and *Grease* (1978) (Altman, 1987). In the 1980s, long-running "British hits" with shallow intellectual content such as *Cats*, *Les Miserables*, *Phantom of the Opera* and *Miss Saigon* found success on Broadway. By the 1990s, however, when new mega-musicals were no longer attracting the public, and even long-running hits (e.g., *Crazy for You*, *Sunset Boulevard*) were unable to provide sufficient turnover in Broadway, the genre looked to be in decline until briefly revived by Disney's musical cartoons. In the 2000s, a number of factors furthered the genre's decline, including technological progress, individualization of mass communication, and changing musical taste and its incompatibility with popular music such as rock'n'roll, pop, disco and hip-hop.

Musical life in the Tanzimat period in Ottoman Empire is portrayed by Duygulu and Ünlü as follows:

> Under the effect of the Italian operettas which appeared on Istanbul stages in the mid-19th century, the Turkish operetta tradition began to spread and become popular by means of the many musical theatre companies, composed chiefly of Armenian musicians. Begun in 1875 by Dikran Çuhaciyan, the Turkish operetta tradition is best represented by plays

such as *Arif'in Hilesi*, *Köse Kâhya*, *Pembe Kız* and *Zeybekler*, and rose to its zenith with Çuhaciyan's famous play *Leblebici Horhor.* (n.d.).

Moreover, kanto, an independent song embedded in improvisational comedy, was another musical genre prevalent in the mid-19th century.

At the beginning of 20th century, which was the early republican era in Turkiye, the concept of contemporization, referring to a direct transition from Eastern to Western civilization, marked several turning points in Turkish cultural life. While theatre was openly supported by Turkiye's founding leader Atatürk, who considered it to be a means of education (de Bruijn, 1993), a musical revolution occurred in the 1930s, in which the musical ideal of the Republic as a synthesis of Western classical music and Turkish folk music triggered the composition of Western style music, including operettas (Öztürk, 2015). The 1950s marked the start of American-oriented liberal transformation, which resulted in US-sourced cultural material (music and cinema). During the 1960s, the dominant cultural map articulated through state monopolized radio broadcasting put emphasis upon domestically produced artistic products (see Gedik, 2018; Kuyucu, 2014). In contrast, the 1960s are remembered as the "golden age of Turkish theatre", in which state theatres, along with many private theatre companies, produced translations of foreign plays, comedies and musicals (see de Bruijn, 1993). Television dethroned the radio and drama in the late 1970s in which Turkish people were subjected to many dubbed American films. In the post-1980 military coup liberalization period, many private theatres enabled audiences to see well-known examples of Western plays and musicals, mostly produced by private companies. In the last twenty years, changes in technological development and the establishment of a more conservative regime marked the end of the golden age of performing arts in Turkiye. Theatre, cinema and musicals have generally been replaced by Turkish TV dramas, which emerged as a highly profitable sector, and Turkiye is now the world's biggest exporter of TV dramas after the US.

The musical landscape in Turkiye reveals that, in addition to a limited number of homegrown musicals such as *Lüküs Hayat* (1939), *Kanlı Nigar* (1968), *Yedi Kocalı Hürmüz* and *Hisseli Harikalar Kumpanyası* (1980), domestically-staged imported Broadway musicals were broadcast on televisions in Turkiye. As can be seen in Table 1 focusing on intermedial translation, movies were generally mixed translation, that is, with dubbed dialogues and subtitled songs. This consistent pattern over time can be considered as a natural artefact of state monopolized TV broadcasting. In stage musicals, however,

in transferring the songs to a Turkish audience, we observed diverse translation strategies ranging from non-translation and adaptation of translated lyrics to music to replacement by a new song, which marked a rather liberal dynamic in the performing arts.

Table 1. Overview of the Works Investigated

Title	Media	Year	First Turkish versions	Work investigated	Song	Strategy (Franzon, 2018 / Di Giovanni, 2008)
Pygmalion	Play	1913	*Bir Kadın Yarattım* (Canset Unan - 1965) Pygmalion - *Bir Kadın Yarattım* (Sevgi Sanlı 1982)			
	Musical	1956 (Broadway)		Performance by Akdeniz University State Conservatory in 2018	Wouldn't It Be Loverly?	Replaced with a new song
	Movie	1938 (Pygmalion) 1964 (My Fair Lady)	*Benim Güzel Meleğim* 1968			Partial translation (Di Giovanni, 2008)
West Side Story	Musical	1957	*Batı Yakasının Hikayesi* (Can Yücel - 1988)	Recording posted by Coşkun Nehir on YouTube in 2014	Maria	Non-translation
	Movie	1961	Version 1 Dubbed dialogues & subtitled songs Version2 Dubbed dialogues & Untranslated songs	Version 1	Maria	Mixed translation Partial translation (Di Giovanni, 2008)
Evita	Musical	1978 - 23 numbers	1989 - only one number in Turkish available?	Performance by Zuhal Olcay (Translation by Gencay Gürün)	Don't cry for me, Argentina	4 (Franzon, 2018)
	Movie	1996	1997 - Dubbed / Subtitled			Mixed translation (Di Giovanni, 2008)

In light of the foregoing considerations and background, the rest of our manuscript, aims to analyse *Fiddler on the Roof* as a case study. This represents both a stage musical adapted from the American version and domestically staged in Turkiye and a Hollywood film subtitled for a Turkish audience. To achieve this, we juxtapose a cross-cultural intermodal and intermedial translation of the song *If I were a rich man* on a comparative perspective.

4. Contextualization of the Case: On *Fiddler on the Roof* and *If I were a rich man*

The book *Teyve and His Daughters*, also known as *Tevye the Dairyman*, was written in Yiddish by Sholem Aleichem in 1894. It was transformed on Broadway into a musical play by Joseph Stein Jerry Bock and, Sheldon Harnick (1964). The musical, whose universal themes employed Jewish motifs, became a worldwide success and one of the longest-running Broadway musicals. The original musical has 13 songs. It was adapted into a movie in 1971. *If I were a rich man* is based on Aleichem's book, with lyrics by Sheldon Harnick and music by Jerry Bock (Hischak, 2007)

The story centres on dairyman Tevye and his family living in the Russian village of Anatevka. While attempting to maintain his Jewish religious and cultural traditions, Tevye must protect his family from his three daughters' unorthodox choices, of which he disapproves. The adaptation of this stage musical into cinema in the form of an epic musical comedy drama, produced and directed by Norman Jewison with music composed by Jerry Bock, brought three Academy Awards.

The book was translated into Turkish in 1970 by Hayrullah Örs. The musical was first staged by the Ankara State Opera and Ballet in Ankara, Turkiye, in October 1969. It was choreographed by Todd Bolender and translated by Nevit Kodallı and Fatoş Sevengil. It was performed as *Anatevka Damdaki Kemancı* in Istanbul in December 1969. In 2018, it was staged again in Turkiye with a new translation, however this retranslation is no longer accessible for comparison. There are a number of performances of *Fiddler on the Roof* in Turkiye available on the Internet. The performance we included in our study is the one by the City Theatre of Bornova Municipality (district of İzmir, Turkiye) in June 2013. The movie was first released in the USA in 1971, and in Turkiye, a year later.

Table 2. Versions of *Fiddler of the Roof* used in the Analysis		
Title	**Media**	**Turkish**
Fiddler on the Roof	Musical	City Theatre of Bornova Municipality, staged and directed by Azat Serhat Koca in 2013
	Hollywood Movie directed and produced by Norman Jewison	1972 version - dubbed, songs with subtitles only

5. An Integrated Approach to Multimodal Analysis

There are readily available means for considering the "communicational forms people use – image, gesture, gaze, posture, and so on – and the relationships between them" (Jewitt, 2009, p. 14). Some studies, for example those by Alvstad (2008), Kaindl (2004), and Snell-Hornby (2009), have explored such means successfully. However, this study, in an attempt to expand and enrich multimodal analysis within Translation Studies, adopted a triple model and operationalized Halliday's Systemic Functional Grammar (SFG), Krees and van Leeuwen's integrated approach combining textual and visual grammar, and Leeuwen's (1999) framework of musical analysis with ad hoc analytical tools, as illustrated in Table 3. The complementarities between Systemic Functional Linguistics and Krees and van Leeuwen's multimodal framework provide a comprehensive modelling of the plurisemiotic realization of song translation, the components of which will be explained in the analysis.

Table 3. An Integrated Approach to Multimodal Analysis				
VERBAL MODE			**VISUAL MODE**	**AUDIO MODE**
Halliday's SFG (Halliday's metafunctions)			Kress and van Leeuwen (2006)	Van Leeuwen (1999)
CONTEXT OF SITUATION	SEMANTICS	LEXICO GRAMMAR		
FIELD (What is going on?/ Who did what to whom?	Ideational Metafunction (Context of culture)	Transitivity structures	Narrative processes	-
TENOR Who are the participants?	Interpersonal Metafunction (Context of situation)	Mood and pronoun usage	Contact, distance and modality	Pitch changes, arrangements
MODE How are the meanings being exchanged?	Textual Metafunction (Verbal context)	Non-structural cohesive devices	Information values	Musical coherence through rhythm and melody

5.1. Multimodal Analysis of the Song *If I were a rich man*

5.1.1. Verbal Analysis

Drawing upon Halliday's Systemic Functional Grammar, which defines a text as a "[…] sociological event, a semiotic encounter through which the meanings that constitute the social system are exchanged" (1978, p. 139), our verbal mode analysis rises above the notion of language stratification which encapsulates context, semantics, lexico-grammar and phonology-graphology.

The semiotic structure of the situation is formed out of the three sociosemiotic variables: "the Field refers to what is happening, to the nature of the social action that is taking place, Tenor refers to who is taking part, to the nature of the participants, their statuses and roles, and the Mode refers to what part the language is playing […] including the channel and also the rhetorical mode." (Halliday & Hasan, 1989, p. 14)

Semantics concerns three metafunctions organized to produce meaning: the ideational, the interpersonal, and the textual. Through ideational metafunction, language users present their world experience through their lexico-grammatical choices. This provides grammatical resources, such as transitivity, to be used as a rich analytic tool revealing who did what to whom. Interpersonal metafunction focuses on interpersonal relations and social roles devised through mood, pronoun usage and degree of formality. Textual metafunction is concerned with old and new information structure (theme / rheme), and cohesion, which represents "non-structural text-forming relations" (Halliday & Hasan, 1976, p.7). For this study, we will concentrate on cohesive devices of referencing, substitution, ellipsis/conjunction and lexical cohesion (Halliday & Hasan, 1976; Bloor & Bloor, 1995).

5.1.1.1. Ideational metafunction

Transitivity is an essential part of representation and an important tool for analysing the data propositions in terms of Participant, Process and Goal types, which are respectively concerned with the doers, the actions done, and the recipients of the action; namely, who is doing what to whom? Halliday (1994) defines three components of a "transitivity process", which are the process itself; Participants in the process; and Circumstances associated with the process-specifying when, how, where and why of the process. Six processes are identified: Material, Mental, Relational, Verbal, Behavioural

and Existential. Material processes represent physical and concrete actions, while Mental processes relate to perception, cognition, and affection. Relational processes "serve to characterize and to identify" (Halliday, 2004, p. 210). Behavioural processes reflect physiological and psychological behaviours. Verbal processes denote the act of saying. Existential processes refer to states of being, existing, and happening.

According to Halliday (1994), "reality is made up of processes of going on, happening, doing, sensing, meaning, being and becoming." (p. 106). Fowler (1986), in referring to Halliday, argues that transitivity patterns can reflect the worldview framed by the authorial ideology in a literary text. In a similar vein, analysing the lyrics in terms of transitivity patterns highlights the ways in which characters, concepts, and messages are represented to the audience. Hence, in this section, we attempt to demonstrate how transformation in the process types in the act of translation can function as a means to (re)organize discourse.

For this study, we analysed the original lyrics of the song *If I were a rich man* in English, its two Turkish versions, translated to be performed in a stage musical, and the subtitled musical film version. A broader picture of the text displays the following major processes.
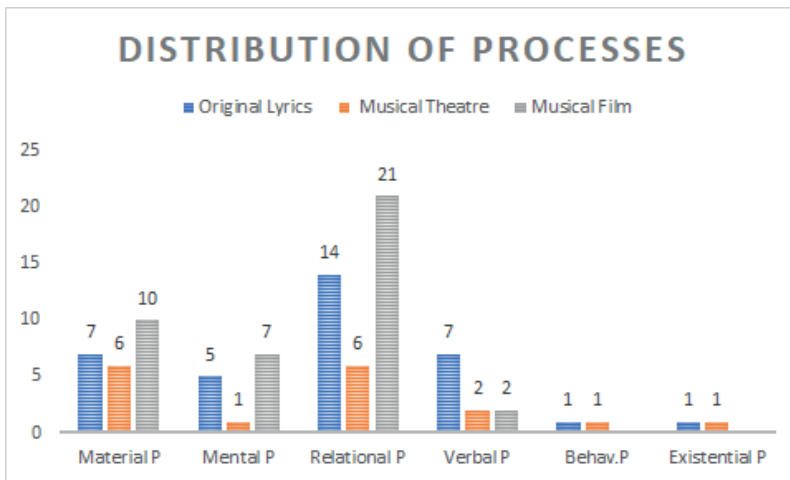
Chart 1. Distribution of processes in *If I were a rich man*

Hodge and Kress (1979) employ the concept of transformation (of process types) to describe the process of reclassification. In other words, any shifts between the process types during the act of translation can change or reorganize the discourse. When we

highlight the scope of transitivity analysis in providing a critical understanding of the English lyrics, it can be observed that the original text is dominantly relational, as the basic theme is woven around Tevye's dream of wealth. As a result of Tevye's mental activity, lyrics represents images, commenting and musing, which entail relational, material, and verbal processes in line with the conditional utterance expressing his desire to be rich:

> "If I **were** a rich man, I would **build** a big, tall house…" (Relational/ Material)
> "If I **were** a rich man, I would **discuss** the holy book with the learned men." (Relational/ Verbal)
> "If I **were** a rich man, I would **have** time that I lack to sit …" (Relational/ Relational)

In the Turkish stage musical version, some parts, including refrains, were omitted. This gave rise to an equal distribution of mental and relational processes, which entails the loss of descriptive and attributive dominance of the original lyrics. Expression is thus simplified, and materialized, and in this way it becomes less sophisticated.

As in the example below, in the film musical, the lyrics become further simplified through demetaphorizations, resulting in an accumulation of material processes, as in the following example:

> "**There would be** a long staircase just going up and one even longer coming down
> And one more leading nowhere just for show" (Existential Process)

> "Sadece yukarı çıkan uzun bir merdiven **olurdu (Existential Process)**
> Ve ondan daha uzun sadece aşağı inen başka bir merdiven
> Bir tanesi de hiçbir yere **çıkmazdı (Material process)**

### 5.1.1.2. Interpersonal Metafunction

Strongly correlated with interpersonal metafunction, the system of mood denotes the choices underlying the exchange of information and the establishment of the social roles of the interactants through language use. According to Halliday and Matthiesen (2004), there are three basic mood types: declarative, interrogative, and imperative. Declarative mood is used to provide information, interrogatives are produced to attract

the audience's concentration on certain issues, to manipulate the impression of the discourse, as well as to ask questions and seek answers. The function of imperative mood is to convince the readers/hearers to take positive or negative actions.

The original text has a number of declaratives embedded in conditional sentences starting with "If were a rich man, I would…". The theme of the lyrics, which can be conceptualized as Tevye's conversation with the Lord, starts and ends with prose encapsulating two interrogatives in the form of reproach:

> "So what would have been so terrible if I had a small fortune?
> Would it spoil some vast, eternal plan, if I were a wealthy man?"

At the beginning of this one-sided conversation, Tevye asks a question, even though he does not believe the Lord will answer. Hence, he deals with the answers himself, stating all the possible consequences of being rich through declaratives. After listing the benefits he would gain if he were a rich man, in his imagination he asks a question similar to the previous one to end this odd conversation. This pattern is preserved in both translations, except for the number of declaratives retained. In the stage performance, the two interrogatives function as prologue and epilogue through which the character aims to draw the audience's attention and arouse their interest. The questions posed at the beginning and at the end of the song display sincerity and cordiality, creating a close tie between the audience and the main character.
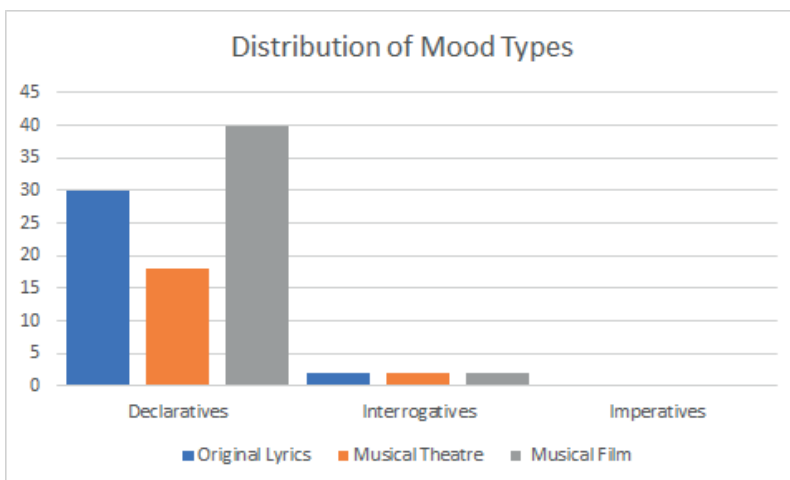
Chart 2. Distribution of mood types

As Chart 2 illustrates, in comparison with the original lyrics, the Turkish audience is exposed to a more informative text in the subtitled musical film lyrics. In contrast, a less informative text is presented in the lyrics of the musical for theatre, which is a natural consequence of omissions in Turkish translation. Interrogatives keep their place in both translated texts.

Personal pronoun usage signals different interpersonal relations. The most densely used personal pronoun in the first four parts is "I". Then, "her", "she" (when he dreams about his wife being a rich man's wife), "they", "them" (when he considers the men in the town from the point of view of a rich man). At some point, Tevye addresses the audience using "you" ("When **you** are rich, they think **you** really know"), which is utilized both as a generic pronoun as well as a way for Tevye to speak to the audience. In the last part, Tevye uses "you" to refer to God in his conversation with Him.

Through the sequences of thematic progression, we observe similar pronoun usage in both stage and film musicals, but they are in the form of non-overt pronouns, since null subject usage is prevalent in Turkish. While Tevye addresses the audience or the assumed listener ("When **you** are rich, they think **you** really know"), 'you' is translated using the plural you form (Siz) (zengin olduğu**nuz**da gerçekten bildiğ**inizi** sanırlar), which denotes formality and sets a social distance between the Actor and the audience, but this part is omitted in the stage musical.

5.1.1.3. Textual Metafunction

Textual metafunction is related to the flow of information in a text. The lyrics are based on a thematic passage, stylized in form, constructed through utilizing a progressing theme in which different approaches to thematic development are combined. In parallel with this structure, the text in question here is divided into eight main parts, constituting the idea of being rich (first four parts), and musings about others and the consequences that would come as a result.

In the lyrics, the coordinating conjunction "and" is used to join or coordinate two or more items (such as words, main clauses, or sentences) of equal syntactic importance. In the original lyrics, there are 7 uses of "and" to join clauses together (and one more leading nowhere, just for show) or to coordinate sentences (and I'd discuss the holy

book…). In the Turkish stage and film musicals, this conjunction use is reduced to one and two, respectively.

Lexical cohesive effect is accomplished by the selection of lexical items which share the same semantic field. A well-established co-referentiality is created through the use of synonymous adjectives or other direct references to being wealthy, such as "rich", "wealthy", "rich man's wife", "a proper double chin", "servants", and religious words and references such as "Solomon the Wise", "synagogue", "Eastern Wall", prayers, and holy books.

Both the stage and film musicals in Turkish display a marked under-lexicalization regarding religious references. Moreover, the last part of the lyrics, referring to sitting by the Eastern wall, is entirely omitted in the stage musical. The name Solomon the Wise is converted into a 'reverend' using the overgeneralization technique, and the word synagogue is untranslated. The refrain created through the repetition of Tevye's wish to be rich ("If I were a rich man, Yubby dibby dibby dibby dibby dibby dibby dum") is preserved as the leading theme and leitmotif in all versions.

In the translation of the stage musical lyrics, the translator has resorted to semantic reproduction to attain a theatrically effective text, adapting the target lyrics to the Turkish dramatic co-text by choosing culturally equivalent expressions. Hence, "the Lord who made the lion and the lamb" is translated into Turkish as "Kurdu kuşu yaratan Tanrım" (The Lord who made wolf and bird).

5.1.2. Visual Analysis

In the analysis of visual mode, Kress and van Leeuwen (2006) designated three meaning units (representational meaning, interactive meaning and compositional meaning) which are openly correlated with Halliday's ideational, interpersonal and textual metafunctions, respectively.
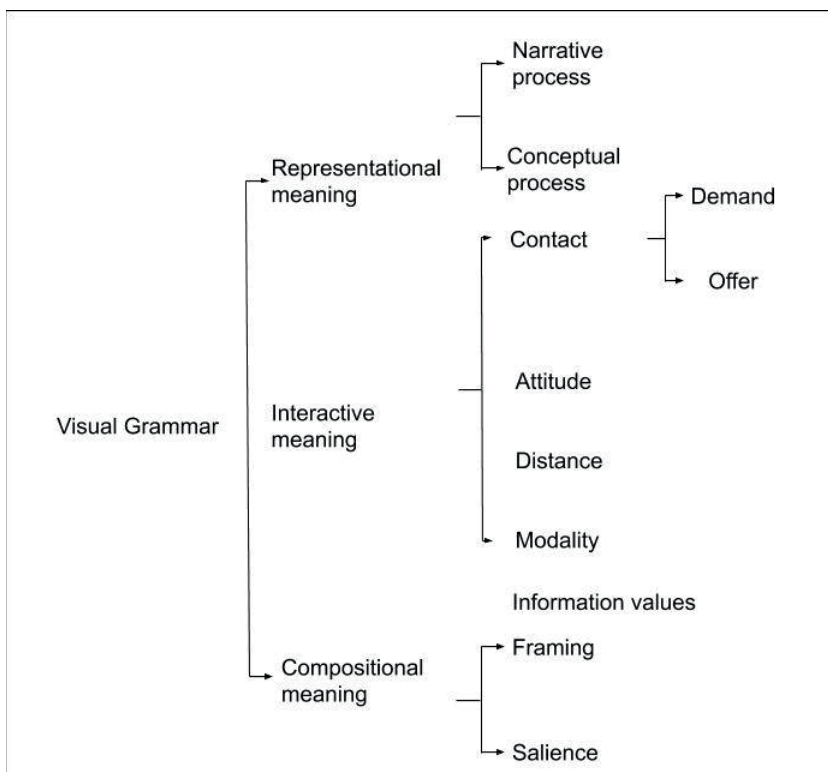
Figure 2. Visual Grammar (Ping, 2018, p. 39)

In the second part of our analysis, the visual grammar framed by Kress and van Leeuwen's (2006) seminal work *Reading Images: The Grammar of Visual Design* lays a solid foundation for expanding our framework into multidimensional interactive semiotic systems, again articulated within Halliday's three metafunctions. In a nutshell, Kress and van Leeuwen's (2006) proposed framework can be considered as an attempt at systematic analysis of the regularities through which visual elements are used to mediate meaning. These researchers underline that all images fulfil the above mentioned three Hallidayan metafunctions through three corresponding meaning making patterns:

1. Patterns of representation which correspond to ideational metafunction refer to visual resources, representing conceptual and interactional relations between the participants, settings and items in the visual elements.

2. Patterns of interaction which are correlated with interpersonal metafunction refer to the resources of relationships in the production and the consumption of visual elements.

3. Patterns of composition which correspond to textual metafunction refer to the patterns of representation and interaction to form a coherent whole.

Representation refers to both represented participants in visual elements, and to their relations to each other. The presence of a vector which connects participants and denotes unfolding actions or events reveals the relationship of an Actor (agent-the source of the vector)-and a Goal (the participant at whom the vector is directed) in a narrative pattern of representation. *If I were a rich man* is sung by Tevye dreaming about being rich while working in a stable. The song starts and ends with a direct appeal to God. In this sense, both in the stage and the film version, a transactional process is used in the representation of the relationship between Tevye, foregrounded as the Major Actor, and God, as the Goal.

The focal image, or the position of actors or objects, carries major information load of the image (Kress, 2010), and their placement, whether on the stage or in a film scene, in our case, is crucial as the central means of conveying information. In the musical for theatre while Tevye is singing, he is centred at the stage and highlighted through lights in contrast to a dark background. In the film musical, however, a more faithful reproduction of the objective world is depicted, namely, Tevye's stable and modest circumstances and rural scenes including calves, horses, poultry, hay bales, swaths, and harnesses.

Patterns of interaction put emphasis upon the relationship of image producers, image representation and the audience, through four aspects: contact, attitude, distance and modality. In the two different genres in which the song is performed, the gaze of the performer suggests different relations between the viewer and participants. Direct eye contact with the viewer in the stage musical constitutes a demand image through which Tevye, as the represented participant, symbolically demands cooperation and empathy. In contrast, when he does not engage with the camera, and therefore with the viewer, as in the case of the film musical, he becomes the object of the viewers' gaze (Kress & van Leeuwen 2006).

According to Kress and van Leeuwen (2006), "[i]n everyday interaction, social relations determine the distance (literally and figuratively) we keep from one another" (p. 14). The social distances are reflected through images by choices in the field of vision and in size of frame.

Table 4. Social Distance represented through Visual Image in Stage and Film Musicals		
Figure		**Social Distance**
Tevye in stage musical 1		Far Social Distance
Tevye in stage musical 2(a) & (b)		Public Distance
Tevye in film 3(a), 3(b) & 3(c)		Close Social Distance Close Personal Distance Intimate Distance

What is striking in Table 4 is that the position of Tevye as the focal image in the stage musical represents a type of detachment from the viewers in the course of general performance. In other words, he is foregrounded as the Actor in his one-sided conversation with God. However, public distance is also depicted in different scenes in which Tevye gathers with other characters, playing the role of poultry and town people, which portray a casual social gathering.

In the film version of the musical, short, medium and long shots enable viewers to see him at different social distances and in different relations. Long shots make the figure visible and result in close social distance and an impersonal relation. Medium shots with head and shoulders generate close personal distance and an intimate relationship. Short shots depict Tevye's head, bringing an intimate distance and relationship.

Horizontal or vertical angles are other means for the depiction of symbolic social relations between the audience and other characters in an image. Regarding the viewer's degree of involvement or detachment towards the character(s) in the image, Kress and van Leeuwen (2006) point out the difference between the frontal angle ("what you see here is part of our world, something we are involved with") and oblique angle ("What you see here is *not* part of our world; it is *their* world, something *we* are not involved with") (p. 136).

Frontal angle displayed between Tevye and audience at the live performance of the stage musical represents a high degree of involvement, in which the audience is directly confronted with Tevye's mood.
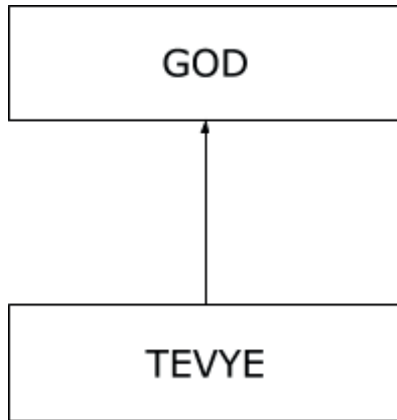
Figure 3. Tevye in front of the audience in the musical on stage

In the film musical, however, underscoring an oblique angle, the audience is kept on the sidelines, and Tevye is detached from the audience by an objective camera shot, though which Tevye's singing is presented from an observer's point of view.

Figure 4. Tevye interacting with God

Addressing a participant (God) figuratively located at a high (vertical) angle yields symbolic power over the represented participant and creates an asymmetric relationship. In a similar vein, during his interaction with God, Tevye is looking above, reducing him to ground level, and naturally presenting God's superiority as a divine, external locus of control (See Figures 4 & 5).

Figure 5. Tevye's interaction with God

Kress and Leeuwen (2006) underscore that vectors formed by the participants' eye line also create a bond between the participants and the audience. In the theatre performance of the musical, keeping in contact with the audience at eye level, Tevye sometimes looks directly at the audience, which suggests that the represented participant demands something from the viewer and displays the idea of equality, where no power distance is involved. Conversely, in the film, Tevye's avoidance of direct gaze at the camera "offers the represented participants to the viewer as items of information, objects of contemplation" (Kress & van Leeuwen, 2006, pp. 118-119).

Additionally, Kress and Leeuwen (2006) underline the close correlation between colour and effect and juxtapose this potential with both ideational and interpersonal metafunctions. Brown, as a natural and neutral colour of earth, wood, and stone and commonly associated with the great outdoors, growth, fertility, agriculture and farming, is prevalent in both intermedial interpretations of the song. It serves to reinforce the pastoral setting and emphasizes the harmony between nature and Tevye as a countryman. In the stable scene of the film version, a verbal irony is clearly brought to the fore via the high visibility of brown, as Tevye ponders aloud the consequences of being rich

through his song while concurrently feeding the animals in his modest circumstances, as illustrated in Figure 6.

Figure 6. Tevye doing the chores while dreaming of becoming a rich man

In contrast to the dark and gloomy atmosphere designating Tevye's deprivations and rigorous conditions, daylight through the holes in the walls and roof signals the existence of God, though he never answers Tevye's rhetorical questions. Hence, in the film, the dominance of brown with all its shades and its combination with daylight is used to promote multimodal cohesion.

The song has an important dramatic function of introducing the main character, Tevye, and as it continues, his dreams extend from his modest life to the outer world (house, yard, his wife, the men of the town, and the Eastern wall) which depict an ever-enlarging mental image, building up a cohesive multimodal representation (see Figure 7 below).
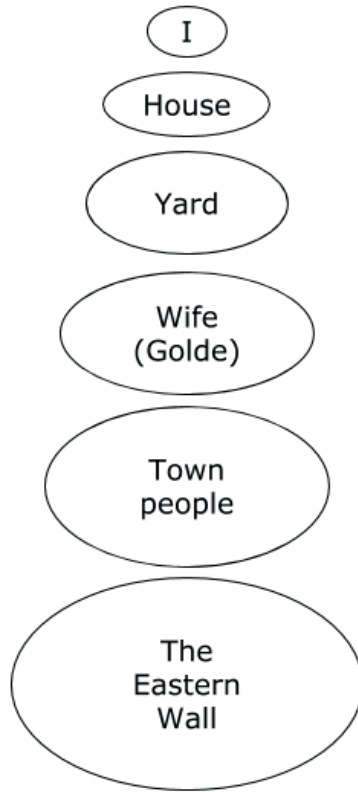
Figure 7. Tevye's mental image

5.1.3. Audio Analysis

In his seminal work *Speech, Music and Sound*, van Leeuwen (1999) underlines the immediate need to breakdown audio mode into perceptible components as in the case of visual and linguistic analysis. Following the footsteps of Halliday, van Leeuwen rightfully assumes that a Hallidayan framework can also be used to unveil forms and structures embedded in audio mode. By designating rhythm, melody and social interactions as the musical signifiers for analysis, van Leeuwen (1999; 2012) underlines that sound is more properly devised for creating interpersonal and textual rather than ideational meaning, stating that "sounds are not things nor can they represent things" (1999, p. 93). In this section, we will focus on how sounds convey specific ideas, values and attitudes integrated into two different genres of the musicals in Turkish.

If I were a rich man has a Broadway sound, in which Jewish themes resurface in music and lyrics. Heavily inspired by Shalom Alicheim's Yiddish monologue "Ven ik bin Rothschild" (see Frühauf, 2018), this song functions as Tevye's inner voice reflecting his dreams about a luxurious life, and the luxury it would bring.

The rhythm of *If I were a rich man* is light, humorous and reproachful to God. At first sight, the sense of lightness is observed through strings without heavily accented notes. Being highly influenced by Hasidic songs, Jerry Bock (composer) and Sheldon Harnick (lyricist) laboured to create a Broadway masterpiece in its harmonic and melodic construction. A slight local effect is brought into fore through nonsense syllables (yubby dibby dibby dibby dibby dibby dibby dum) and rustic dance rhythm in moderate tempo. Moreover, chords and intervals with a smooth melody in free-flowing rhythm, are effortlessly integrated into the Broadway genre, which Bock uses to create a cohesive play familiar to Western taste. According to Swain (2002), the success of the song results not from the integration of Jewish motifs, but from Bock's manipulation of the song, in which the chant session regularly interrupts Tevye's dreaming. Hence, the consistency of this interruptive pattern creates an expectation of a return to the major form after each interruption, causing humorous undertones for the viewers.

The nonsense syllables form an interesting juncture between language and music, where phonetic rather than lexical meaning is foregrounded. However, an implied tacit lexical meaning is also attached to these syllables, which requires audience guesswork based on the position of the syllables in the syntactic structure, as in the case of "All day long I'd biddy-biddy-bum" or "If I were a biddy-biddy rich".

Shifting from one dream to another, Tevye produces a combination of lingering statements showing his internal emotion, and shorter phrasing, usually in the refrained chant session. This musical motif is so strongly associated with the musical itself that this discreet sign of audio mode can be considered as a "multimodal synecdoche" (McKerrel & Way, 2017), reminiscent of one of Broadway's most dearly beloved musicals.

In both versions, Tevye's tone suggests his relaxed and intimate manner and sincerity, conveyed by a moderate shift in pitch when, in the course of dreaming, his energy and excitement reach its peak, and a moderately measured or gentle articulation. In all performances, the highest pitch, the expression of the most intense feelings, occurs during outpouring emotions signalled by biblical reference:

>   "They would ask me to advise them
>   Like a Solomon the Wise".

Here, the melody rises in pitch in the fashion of a chant entailing an increase in energy and spirit, which concurs with van Leeuwen's (1999) remark that "the more the pitch range increases, the more there is room for the expression of feelings and attitudes, the more it decreases, the more the expression of feelings and attitudes will be confined" (p. 111).

Yet, musicality matched with different visual background across two genres paves the way for divergent impressions. Namely, in the film, Tevye, singing sincerely, and rural life realistically represented in a stable, with sunshine seeping through the cracks, and animal sounds all around, all bring intimacy, geniality and positive energy. On the stage, however, we see a more dramatic effect with the lights framed around Tevye against a dark background. Highlighting limited visuals brings about full concentration on the musical performance, which openly denotes an act.

Different scholars have underlined the fact that arrangement in music can indicate different organizational and relational meanings (Eriksson & Machin, 2017; Schafer, 1977). In a similar vein, van Leeuwen (1999) puts emphasis upon the potential meaning of unison created through the arrangement of instrumentalization. According to Frühauf (2018), in the stage musical, the song's modest beginning with quiet strings and without rich instrumental accompaniment clearly connotes the simplicity and poverty of Tevye's life. In the film version of the musical, in contrast, a robust musical backing is provided by the instrumentalization of melodies for a full symphony orchestra. Hence, in contrast to the informality of performance in the film musical, Tevye's song in the musical for theatre setting resonates a well-established stage performance, supported just by piano and strings. In other words, the missing effects generated by weak orchestration on the stage are compensated through visual support enabled by artistic production.

6. Conclusion

Holding a multimodal perspective requires the translator to see a text as a set of interdependent semiotic resources encapsulated in various subsystems to construct a complex whole and brings about an engagement with wider patterns of social and semiotic relations with nonverbal dimensions. In our analyses, Halliday's metafunctional

principle, which provides an integrating platform for examining how semiotic resources provide tools for constructing multimodal discourses, brought forth intermedial and intermodal differences embedded in verbal, visual and audial modes.

The multidimensional quality of our integrated framework presented in this study demonstrates the intricate complexities of song translation in musicals. For instance, our intermodal and intermedial analyses reveal that film and stage musicals foster common modes as they interact with the meaning potential of semiotic sources. However, prioritizing some semiotic resources over others results in complex ensembles of resources, producing new conglomerations of meaning. Moreover, our findings suggest that audio and visual semiotic resources, generally marginalized in linguistic text analysis, can enhance and modify the themes, enrich the linguistic resources via mutual interaction and provide semiotic instruments for the translator's analytical toolbox. In addition, a brief outline of translation strategies employed in film and stage musicals reveals variations in norms and multimodal treatments in Turkiye.

In this post-typographic era, the integration of verbal, visual and audial modes as a concomitant of multimodal texts would pose a challenge to today's translators and require them to enlarge their perspective. Without doubt, as the multimodal approach expands the boundaries of translation studies, translator's decisions will be more impacted by non-linguistic semiotic cues, making multimodality an indispensable feature of further studies.

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Appendix A

Translation of the lyrics of *If I were a rich man* in stage musical

Bir zengin olsam ben
Ya-ha-di-bi-di-bi-da-di-di-di-da-di-di-di-dum
Her Allahın günü bidi-bum
Bir de varlıklı olsam
Çalışmazdım böyle
Ya-ha-di-bi-di-bi-da-di-di-di-da-di-di-di-dum
Eğer olsaydım bir de bir zengin, didle-didle-didle bir adam

Koca saray gibi bir ev yaptırırdım şehrin tam orta yerinde
Çinko damlı, yerler halis tahtadan
Uzun bir merdiven yukarı giden
Bir başkası da aşağı inen
Bir de hiçbir yere gitmeyen, sırf göstermelik
Şan olsun şehre diye doldurdum avlumu tavuk, ördek, hindi, kazla
Çıkarırlardı korkunç şamata.
Bütün bu gıt-gıdak, gulu-gulu, vak-vakla sanki ederdi aleme ilan
Burada yaşıyor bir varlıklı adam

Bir zengin olsam ben
Ya-ha-di-bi-di-bi-da-di-di-di-da-di-di-di-dum
Her Allahın günü bidi-bum
Bir de varlıklı olsam
Çalışmazdım böyle
Ya-ha-di-bi-di-bi-da-di-di-di-da-di-di-di-dum
Eğer olsaydım bir de bir zengin, didle-didle-didle bir adam

Görüyorum Golde'mi, zengin adam karısı
Gerdan gerdan üstüne
Nefis yemekler seçerken gönlünce
Kibrinden kabarırken bir tavus kuşu gibi öyle mutlu görünüyor
Bağırırken hizmetçilere

Kasabanın esnafı yaltaklanırlar bana
Süleyman peygamber gibi

Bana akıl danışırlar

"Ah, lütfen Rebi Tevye!"

"Ah, pardon Rebi Tevye!"

Dertleriyle beni şaşı yaparlar

Doğru, yanlış, ne cevap versem yine de kabullenirler

Çünkü zengin her şeyi bilir

Zengin olsam bol bol vaktim olurdu dua etmeye sinagogda

Ağlama Duvarında yerim olurdu

Orada ulemayla tartışırdım din üzerine

Her gün tam yedi saat

Ne keyifli olurdu, aman!

Bir zengin olsam ben

Ya-ha-di-bi-di-bi-da-di-di-di-da-di-di-di-dum

Her Allahın günü bidi-bum

Bir de varlıklı olsam

Çalışmazdım böyle

Ya-ha-di-bi-di-bi-da-di-di-di-da-di-di-di-dum

Ey, kuşu kurdu yaratan Tanrı, sensin beni böyle fakir kılan

Sanki dünya alt üst mü olurdu ben de varlıklı olsam!

Appendix B

Translation of the lyrics of *If I were a rich man* in the movie

… Ama büyük bir onur da değil! Yani, küçük bir servetim olsaydı çok mu kötü olurdu?

Bir zengin olsaydım

Bütün gün, bidi bidi bam

Bir zengin olsam ben

Çok çalışmak zorunda kalmazdım

Ah bir bidi bidi zengin olsam, aylak didil daydıl daydıl ben

Büyük, yüksek bir ev yapardım

Düzineyle odalı, kasabanın tam ortasında

İyi bir kiremit çatı altında ahşap döşemesiyle

Uzun bir merdivenle yukarı çıkılan

Ve daha da uzunla aşağıya inilen

Ve bir de sadece gösteriş için, hiçbir yere gitmeyen

Avlumu civciv, hindi ve kazla doldururdum

Ve kasabadakilerin görüp işitmesi için ördekler

Gürültüyle bağırabildikleri kadar bağırmaları için

Ve her gak ve guk ve aga ve kak

Kulakta borazan gibi yankılanacak

Burada zengin bir adam yaşıyor der gibi

[The second recurring part of the refrain is not given in the subtitles]

Karımı, Golde'mi görürdüm

Kat kat gıdığıyla zengin bir adamın karısı gibi görünürdü

Kalbine giden yoldan yemekleri seçerdi

Hem hava atardı hem de tavus kuşu gibi süzülürdü

Ah, ne kadar mutlu görünüyor

Hizmetçilerine gece gündüz bağırıyor

Kasabanın en önemli adamı bana yaltaklık edecek

Bilge Süleyman gibi öğüt isteyecekler

Lütfen, Tevye Hanım

Pardon, Tevye Hanım

Bir hahamın gözünü şaşı edecek problemlerle çıkacaklar

Ve doğru da yanlış da cevap versem fark etmeyecek
Zenginsen, gerçekten her şeyi bildiğini sanırlar

Zengin olsaydım bol zamanım olurdu
Sinagogda oturur ve dua ederdim
Belki de doğu duvarının kenarında otururdum
Ve bilgili adamlarla, her gün yedi saat kutsal kitaplardan konuşurdum
Ve bu en hoş şey olurdu

[The recurring refrain is not included in the subtitles]

Tanrım, aslan ve kuzuyu yarattın
Ne olmam gerektiğini buyurdun
Büyük ve sonsuz bir planı bozar mıydı
Zengin bir adam olsaydım

Appendix C

The lyrics of *If I were a rich man* in the original movie

…But it's not great honor either. So what would have been so terrible if I had a small fortune?

[SONG]

If I were a rich man
Yabba dibby dibby dibby dibby dibby dibby dum
All day long, I'd biddy biddy dum.
If I were a wealthy man, I wouldn't have to work hard.
Yubby dibby dibby dibby dibby dibby dibby dum
If I were a biddy biddy rich, idle didle daidle daidle man.

I'd build a big, tall house with rooms by the dozen right in the middle of the town.
A fine tin roof with real wooden floors below
There would be a long staircase just going up and one even longer coming down
And one more leading nowhere just for show

I'd fill my yard with chicks, and Turkiyes, and geese, and ducks for the town to see and hear
Squawking just as noisily as they can
And each loud "pa-pa-gee, pa-pa-gack, pa-pa-gee, pa-pa-gack" would land like a trumpet on the ear
As if to say, "Here lives a wealthy man!"

If I were a rich man,
Yubby dibby dibby dibby dibby dibby dibby dum
All day long, I'd biddy biddy dum.
If I were a wealthy man, I wouldn't have to work hard,
Yubby dibby dibby dibby dibby dibby dibby dum
If I were a biddy biddy rich, idle didle daidle daidle man.

I'd see my wife, my Golde, looking like a rich man's wife with a proper double chin,
Supervising meals to her heart's delight.
I see her putting on airs and strutting like a peacock,
Oh, what a happy mood she's in!
Screaming at the servants day and night.

The most important men in town will come to fawn on me

They will ask me to advise them, like Solomon the Wise.

"If you please, Reb Tevye?"

"Pardon me, Reb Tevye?"

Posing problems that would cross a rabbi's eyes

Yada dee duh-duh, yada dee duh-duh, yada duh-duh, yada duh-duh-duh

And it won't make one bit of difference if I answer right or wrong.

When you're rich they think you really know.

If I were rich, I'd have the time that I lack to sit in the synagogue and pray.

And maybe have a seat by the Eastern wall.

And I'd discuss the holy books with the learned men seven hours every day,

And that would be the sweetest thing of all.

If I were a rich man,

Yubby dibby dibby dibby dibby dibby dibby dum

All day long, I'd biddy biddy dum.

If I were a wealthy man, I wouldn't have to work hard,

Yubby dibby dibby dibby dibby dibby dibby dum

Lord, who made the lion and the lamb, you decreed I should be what I am

Would it spoil some vast, eternal plan, if I were a wealthy man?

Poesía española del exilio: crónica sentimental de un destierro*

Poetry of Exile of Spain: Sentimental Chronicle of an Exile

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RESUMEN

1939 es una fecha fundamental en la historia de España: es el comienzo de un régimen totalitario. Al final de la guerra civil española, cientos de miles de españoles se vieron obligados a abandonar sus tierras. Escritores, filósofos, artistas, científicos y españoles de distintos ámbitos culturales se dispersaron por el mundo. Los escritores que se vieron obligados a dejar atrás sus tierras formaban parte de tres generaciones de intelectuales que habían dirigido la vida literaria y cultural del país desde finales del siglo XIX hasta 1936, el año del inicio de la guerra civil. Al inicio del destierro la mayoría de los intelectuales soñaba con volver a las tierras abandonadas por obligación, pero al pasar los años se perdieron las esperanzas y los refugiados llegaron a comprender que el exilio podría ser permanente. Este exilio, sin embargo, no afectó a todos de la misma forma. Para algunos significaba comenzar una nueva vida, para otros significaba resistencia. Aunque al principio se veía en la producción de los exiliados republicanos una inevitable nostalgia, melancolía y la pena del desarraigo, con el transcurrir del tiempo se fueron manifestando ciertas divergencias entre ellos. Como consecuencia, la escritura de los exiliados reflejó temas comunes como la memoria de la tierra abandonada, el anhelo del regreso, y la resistencia, pero también las experiencias personales de cada uno de ellos. Este trabajo se centra en poner de relieve la vivencia de esta migración forzosa a través de los poemas escritos durante los años del exilio.
Palabras clave: La guerra civil española, poesía española del exilio, la nostalgia, la melancolía, la resistencia

ABSTRACT

1939 is a fundamental date in the history of Spain: it is the beginning of a totalitarian regime. At the end of the Spanish Civil War, hundreds of thousands of Spanish people were forced to leave their homeland. Writers, philosophers, artists, scientists, and people from different cultural fields scattered around the world. The writers who were forced to leave their lands behind were members of three generations of intellectuals who led the literary and cultural life of the country since the end of the 19th century until 1936, the year the civil war commenced. In the beginning of the exile, the majority of the intellectuals dreamed of returning to their homeland they had left by obligation, but as time passed, their hopes were lost and the refuges recognized that the exile could be everlasting. However, the exile did not affect all in the same way. For some of them, it was the beginning of a new life, and for others, it meant putting up resistance. In the beginning, there was an inevitable nostalgia, melancholy, and the sorrow of uprooting in the works of republican exiles; however,

as time passed, certain divergences were revealed between them. Consequently, the literature of the exile reflected common themes such as the memories of the abandoned lands, the desire for return, and the resistance but as well as the personal experiences of each one of them. This work aims to highlight the experience of the exiles through the poems composed during the exile.

Keywords: Spanish Civil War, poetry of exile of Spain, nostalgia, melancholy, resistance

EXTENDED ABSTRACT

From 1936 to 1939, Spain witnessed the most cruel and crucial time of its history: The Spanish Civil War. At the end of the Civil War, writers and artists, philosophers and scientists, professors and historians, that is to say, the intellectuals of major name and the remarkable minds of the country, were forced to abandon their homeland and search for a new life in remote lands all over the world. During the period between the end of the 19th century and the beginning of the Spanish Civil War, the members of three generations of writers and philosophers – the Generation of '98, the Generation of '14, and the Generation of '27 – pioneered the literary and cultural life of Spain. This period that lasted from 1898 to 1936 has been called *The Silver Age* of Spanish literature. The intellectuals of *The Silver Age* were exiled, accompanied by nearly half a million of Spanish people; they fought together in a relentless war, lost together, and left together.

Considering the exile from a cultural perspective, two fields seem to stand out: poetry and science. Almost all members of the latest generation – the Generation of '27 – went into exile. Some of them initially settled in European countries, a few went to the United States, but the majority headed for Latin American countries, where they all found protection and a chance for a new life, far from the native land. A small group returned to Spain shortly after the civil war had finished; some of the refugees returned after a while; the rest of them lived in their respective countries of asylum until they passed away. In the beginning, they all thought that the exile would be temporary and they would eventually return to the homeland, but as time passed, they all became aware of the fact that the exile would be long-lasting.

The Spanish intellectuals had an intense political, literary, and academic life at the beginning of the exile. The experience of the exile had been different for each of them, but the grief was a common sentiment for all. The exiles anguished over the loss of their country and of their loved ones; they felt the uncertainty of beginning a new life in a foreign land. The poetry written in the first years of exile reflected generally the

pain for their lost country and for all that had been left behind. A violent anger and resistance directed towards the new owners of Spain and a deep melancholy and nostalgia were observed in the poems in the first half of the 1940s. Alongside the common themes developed in the poems, as painful as they were, there was always hope of returning home. However, hope was working against the possibility of a complete integration at all levels.

As of the second half of the decade of the forties, when the migrant intellectuals of the Spain realized that return was no longer possible, they decided that it was time to reorganize their lives. As time passed, the topics diversified; each and every one of them took a different path regarding poetic tendency. Facts of everyday life were still there in the works of the poets as testimony of their lives, but as time went by, they felt more peaceful and this growing state of serenity was reflected as well in their works.

As a result, the history has been recorded and saved in the literary works of all the Spanish writers who had to leave their country at a critical moment of their history to settle in another. There is a lot of pain- a great sorrow- in the lives of the Spanish people of that time. The lives in those remote lands and all their experiences are present in their literary production.

Introducción

Al finalizar la Guerra Civil Española (1936-1939), los escritores, pensadores y artistas de la *Edad de Plata* de la literatura española se vieron obligados a ponerse en camino para ir a vivir en tierras extranjeras. Algunos se ubicaron en países europeos; unos pocos fueron a Estados Unidos; la mayoría se dirigió a los países latinoamericanos, donde encontraron asilo durante el resto de su vida. Una minoría regresó a España poco después de terminar la guerra civil; algunos pudieron regresar al país natal algún tiempo después; el resto se quedó en su respectivo país de asilo hasta la muerte. Todos pensaban que esto sería una estancia provisional; sin embargo, el tiempo pasó y el exilio se hizo permanente.

La estancia de los intelectuales españoles en las nuevas tierras de residencia mantuvo una intensa actividad política, literaria y académica. Para dar algunos ejemplos, al terminar la guerra civil, en abril de 1939, Rafael Alberti marchó a París, junto con su esposa María Teresa León, y trabajó allí, durante casi un año, como traductor. En febrero de 1940 la pareja se trasladó a Buenos Aires, donde Alberti, además de dar conferencias y formar parte de proyectos editoriales, creó una fecunda producción literaria durante los veintitrés años de su vida en Argentina. Juan Ramón Jiménez partió de España en agosto de 1936, con rumbo a Estados Unidos, y de allí pasó a La Habana, donde vivió dos años (de 1936 a 1938) antes de volver a Estados Unidos, esta vez para una estancia más larga. En La Habana dio conferencias, escribió artículos, hizo declaraciones políticas y fomentó la producción literaria de los jóvenes poetas cubanos. En los años siguientes realizó una intensa labor literaria durante su estancia, primero en Estados Unidos, y más tarde en Puerto Rico. Manuel Altolaguirre y Concha Méndez vivieron varios años (entre 1939 y 1943) en Cuba. Altolaguirre desarrolló en La Habana una intensa labor editorial; tuvo varias imprentas donde publicó las obras de colegas y colaboró en la publicación de muchas revistas. Juan José Domenchina pasó el exilio en México hasta su muerte y allí escribió, además de producir una gran poesía, crítica literaria; preparó una antología de la poesía española de posguerra e hizo traducciones. Al terminar la guerra civil, Pedro Salinas se exilió en Estados Unidos y trabajó en las universidades norteamericanas. Entre los años 1943 y 1946 vivió en Puerto Rico y trabajó en la Universidad de Puerto Rico. Jorge Guillén también se marchó a Estados Unidos en julio de 1938, donde, con ayuda de Pedro Salinas, obtuvo un puesto de profesor de literatura española en una universidad norteamericana, y posteriormente trabajó en otras universidades del país. José Luis Abellán (1983) sostiene que "en pocas emigraciones

[…] se ha dado un nivel cultural tan elevado como en el exilio de 1939. La aportación de los exiliados alcanza algunas de las cotas más altas que se han dado en la cultura española de todos los tiempos" (p. 64).

Como se sabe, el número de escritores que emigraron fue elevado, y cada uno optó por un camino propio. Por lo tanto, no vamos a mencionar aquí la actividad de todos los poetas de la España peregrina, ya que han sido estudiados en los trabajos de numerosos investigadores de la materia. Sin embargo, siguiendo el paso de esos valiosos estudiosos, deseamos rastrear las huellas de los poetas de España que en un momento determinado de su vida tuvieron que salir de su país para dispersarse por la vasta geografía del mundo. Aurora de Albornoz, que aún tenía 18 años de edad cuando su familia se exilió a Puerto Rico en 1944, cuenta que Pedro Salinas dictaba en la Universidad excelentes lecciones sobre el Siglo de Oro, y para una joven estudiante que acaso llegaba de un país en posguerra, la presencia del maestro y del poeta era el principio de una serie de revelaciones. A continuación, la poeta evoca a su gran maestro, Juan Ramón Jiménez, y habla de la profunda e inolvidable impresión que la gran figura de España dejó en las vidas de los jóvenes estudiantes: "Si no su cuerpo, dejó una parte de su vida: discípulos, admiradores, una magnífica biblioteca" (1977, pp. 23-24). Como decimos, el número de grandes figuras literarias de España que se vieron obligadas a dejar atrás sus vidas y a ponerse en camino no fue pequeño, todos ellos conforman la poesía española del exilio. Si en este trabajo no mencionamos algunos de esos nombres, es por no exceder los límites de un artículo de esta categoría. Nuestro deseo es entender, y manifestar con este trabajo, desde una perspectiva panorámica, la experiencia del exilio en un primer momento, y en una etapa posterior. Todo lo que vivieron y sintieron tienen su reflejo en la poesía. Algunos de los poetas exiliados necesitaron más tiempo que otros en hallar su mejor voz poética; y hubo algunos que muy pronto se adaptaron a la nueva situación en la que se encontraron y que manifestaron sus sentimientos y vivencias con gran perfección, en tiempos de máxima angustia. Con el objetivo de exponer la dura experiencia del exilio a través del arte poético de los escritores de la España Republicana, hemos elegido para este trabajo a algunos de los poetas desterrados - situados por los investigadores entre los máximos exponentes de la poesía española - y los poemas que creemos que mejor representan la perspectiva de sus creadores a la hora de manifestar la amarga experiencia de la guerra, el dolor de los perdedores, el temor frente a la vida ajena que les esperaba, el penoso sentimiento del desarraigo, la memoria de la tierra abandonada, los recuerdos del pasado y, finalmente, el anhelo del regreso.

En suma, los poetas españoles del exilio pasaron por muchos lugares: algunos fueron a Francia en un primer momento, antes de pasar a otras tierras; muchos fueron a México; algunos fueron a la República Argentina, a Chile, a Venezuela, a Cuba, a Colombia, a Puerto Rico, a Santo Domingo, a Estados Unidos, a URSS, a Inglaterra. En esos países escribieron, sin poder transmitir su voz a los escritores que quedaron en España y sin saber, por mucho tiempo, nada de lo producido allí.

Poesía del exilio – La tragedia de España

La experiencia de vivir el exilio fue diferente para cada uno de los que lo vivieron, pero la amargura de esta experiencia fue un sentimiento común a todos. En casi todos se observaba, en un primer momento, una angustia e incertidumbre ante el futuro. En la poesía de los primeros años del exilio se observaba, en general, la presencia de España, el dolor de la derrota en la guerra y de los seres queridos perdidos.

Uno de los temas más tratados en la producción literaria de los primeros años en el exilio fue el sentimiento de la nostalgia hacia los paisajes, las tierras, los pueblos de la patria. Emilio Prados recordaba, al pisar la tierra mexicana en 1939, una flor de su tierra: "Me agacho a coger la flor / casi tomillo, / casi tomillo… / Y no es flor: / es un olvido / casi tomillo, / casi tomillo" (1976, p. 758). Una flor de México le recordaba el tomillo de su tierra, pero llegaba a ser "casi" como la flor de Andalucía. En los versos de Pedro Garfias, se veía la nostalgia de manera clara: "Se fue la luz porque esta luz no canta / con igual voz ni crece al mismo cielo" (1993, p. 228). Luis Cernuda recordaba, al pisar por primera vez en 1949 tierra mexicana, a su tierra natal: "Apenas pasada la frontera, en el primer pueblo desastrado y polvoriento, donde viste aquellos niños pidiendo limosnas, aquellas mozas con trajes y velos negros, comenzaron a despertar en ti, penosos, los recuerdos. Recuerdos de tu tierra, también pobre y también grave" (2002, p. 25). Aparte de la nostalgia se veía el anhelo de regresar a la tierra natal. En un poema escrito por Manuel Altolaguirre quedaba patente la nostalgia y también un fuerte deseo de retorno: "Día llegará en que Dios, para su gloria, / me hará volver - ¡qué breve es el camino! - / y entonces sí será verdad mi canto" (Díez de Revenga, 2009, p. 258).

Las composiciones de los primeros momentos naturalmente estaban bañadas de nostalgia y de la esperanza del regreso. Pero la realidad más dolorosa para los escritores de la España Republicana, una realidad más dolorosa que la obligación de ser desterrado,

era la muerte de su país, de su literatura, de los hombres de España. La muerte aparecía, como un motivo reiterado, en los escritos de muchos autores. José Ricardo Morales, dramaturgo y ensayista español exiliado en Chile en 1939, describía con estas palabras, en la antología (1943) dedicada a los poetas del exilio, la situación de la poesía española podada por la violencia de la Guerra Civil:

> El árbol poético español actual, de abrileña hermosura, el más lozano que desde los siglos de oro haya existido, sintió, con la guerra, desmochados y hendidos a sangre y fuego sus más espléndidos y verdecientes ramos. Su poesía, que era, como la eterna, de sangre y de fuego, ardorosa corriente, "llama de amor viva", letra que nos salía de la sangre, conoció la sangría y la mala muerte que sus enemigos le procuraron. Mucha sangre y mucha vida corrieron por nuestra tierra, y por muchas terribles y malas muertes pasaron nuestras letras y quienes las creaban. (pp. 9-10)

Luis Cernuda, quien marchó a Inglaterra en febrero de 1938 donde pasó largos años, hasta 1947, como profesor, es, quizá, uno de los poetas que mejor reflejó la agonía de la muerte en sus versos. En *Las nubes*, colección que reunía sus "elegías españolas" que databan de 1937, y los primeros poemas escritos en el comienzo del destierro, al exiliarse en Inglaterra en 1938, el poeta exponía, en el poema titulado "Impresión de destierro", la desolación y el gran pesar de la realidad española:

> Fue la pasada primavera,
> Hace ahora casi un año,
> En un salón del viejo Temple, en Londres,
> [...]
> Todo era gris y estaba fatigado
> Igual que el iris de una perla enferma.
>
> [...]
>
> Un hombre silencioso estaba
> Cerca de mí. Veía
> La sombra de su largo perfil algunas veces
> Asomarse abstraído al borde de la taza,
> Con la misma fatiga

Del muerto que volviera
Desde la tumba a una fiesta mundana.

En los labios de alguno,
Allá por los rincones
Donde los viejos susurraban,
Densa como una lágrima cayendo,
Brotó de pronto una palabra: España.
[…]

Tras largas escaleras casi a oscuras
Me hallé luego en la calle,
Y a mi lado, al volverme,
Vi otra vez a aquel hombre silencioso,
[…]

Andando me seguía
Como si fuera solo bajo un peso invisible,
Arrastrando la losa de su tumba;
Mas luego se detuvo.
"¿España?" dijo. "Un nombre.
España ha muerto". Había
Una súbita esquina en la calleja.
Le vi borrarse entre la sombra húmeda. (Cernuda, 1974, pp. 250-251)

En este hermoso poema de Cernuda, la voz lírica, como el espectador distanciado de un mundo ajeno, ese otro al que no pertenece, se encuentra a sí mismo en un espacio, un umbral, entre la vida y la muerte: Un vivo en el mundo de los muertos. En un lugar histórico de Londres, famoso por sus tumbas con efigies, donde pululan los fantasmas susurrando en rincones, la voz lírica nota la presencia de un hombre mudo que sugiere la existencia de un muerto levantado de su tumba. En este ambiente lánguido, donde todo es gris y viejo, el ser silencioso despierta la compasión de los antiguos dueños del lugar, otros muertos perdidos hace mucho tiempo. Seguido por el muerto hasta la calle, la voz del poeta se encara con la realidad definitiva: la muerte de España. Con respecto al tono distanciado de Cernuda, Aurora de Albornoz (1977) opina que en gran parte de la poesía de este primer período en el exilio había una

búsqueda de distanciamiento. (p. 42). En otro poema de *Las nubes,* se observa, de manera clara, la amargura y la desesperación del poeta: "Ellos, los vencedores / Caínes sempiternos, / De todo me arrancaron. / Me dejan el destierro. / […] / Amargos son los días / De la vida, viviendo / Sólo una larga espera / A fuerza de recuerdos" (Cernuda, 1974, p. 269). La voz poética deja claro que su estancia en este mundo no es más que una espera, antes de que llegue la muerte; el débil lazo que lo vincula a la vida es la existencia de los recuerdos. No se observa en estos versos la mínima oposición hacia los nuevos dueños de España; la condición de perenne de los vencedores se acepta sin resistencia alguna. Sin embargo, la intensidad de la pena que se siente ante la realidad de ser desterrado es bien clara. Ya no queda donde echar raíces para él, ni la tierra ni los seres queridos. A continuación del mismo poema, el autor subraya su condición de semivivo y recalca, otra vez, la palabra muerto, como clave de su poesía de los primeros momentos: "Un día, tú ya libre / De la mentira de ellos, / Me buscarás. Entonces / ¿Qué ha de decir un muerto?" (Cernuda, 1974, p. 269). El poeta emplea aquí el "tú" en lugar del "yo", otra vez como un recurso de distanciamiento. Valender y Rojo Leyva (2006) señalan la marginación espiritual de Cernuda del mundo desde el comienzo de su carrera, mucho antes de exiliarse geográficamente de su país, y sostienen que, tal vez por esta razón, estaba mejor preparado no sólo para aguantar la soledad y la enajenación del destierro, sino también para convertirlas en la ocasión misma de su canto (p. 222). En la poesía de un poeta de la magnitud de Cernuda el dolor se convertía en un elemento que le impulsaría a hallar su voz desde el comienzo del destierro. Luis Cernuda era, "con Emilio Prados y Juan José Domenchina, uno de los poetas cuya obra mejor respondió al reto que el exilio mismo supuso para los exiliados españoles" (Valender y Rojo Leyva, 2006, p. 222).

Rafael Alberti es otro de los poetas que introdujo el tema de la muerte y el gran pesar por todo lo perdido como un motivo reiterado en sus poemas escritos en los primeros momentos del exilio. El poeta gaditano, que se exilió en París al final de la guerra, escribió, en su *Vida bilingüe de un refugiado español en Francia (1939-1940)*[1] , como reflejo de la angustia y la inquietud frente a una nueva vida que comenzaba, los siguientes versos: "Me despierto. / París. / ¿Es que vivo, / es que he muerto? / ¿Es que definitivamente he muerto? / Mais non… / C'est la pólice" (Alberti, 1990, p. 35). En el instante brevísimo que necesita uno, al despertarse de un mal sueño, para percatarse

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1   Los poemas que componían su *Vida bilingüe de un refugiado español en Francia (1939-1940)* fueron escritos durante su estancia en París, pero se publicaron en libro en Buenos Aires en 1942 (Ed. Bajel), después de su traslado, en febrero de 1940, a la capital argentina, lugar donde el poeta y su esposa María Teresa León vivieron durante los siguientes veintitrés años.

de la realidad que lo rodea, la voz creadora se da cuenta de que ya está en tierras extranjeras. La condición de estar alejado de su país se percibe como estar muerto. Este alejamiento obligatorio se reconoce como algo definitivo; algo de lo que ya no existe retorno posible. Despertar es encontrarse ante una nueva existencia. Estos versos son la manifestación de un profundo dolor ante la terrible e irrevocable verdad de estar desposeído de su tierra, y de un sentimiento de malestar al encontrarse frente a otro poder ajeno, esta vez la autoridad de tierras forasteras. A continuación del mismo poema, la voz poética se siente hondamente amargada por la dolorosa situación de su país ensangrentado y también por su condición de exiliado en tierras lejanas:

> ¡Qué terror, qué terror allá lejos!
> La sangre quita el sueño,
> hasta a la mar la sangre quita el sueño.
> Nada puede dormir.
> Nadie puede dormir.
>   … Y el miércoles del Havre sale un barco,
> y este triste *allá lejos* se quedará más lejos.
> […]
> ¿Es que llegamos al final del fin
> o que algo nuevo comienza?. (Alberti, 1990, p. 37)

La repetición de la imposibilidad de "dormir" se utiliza como un recurso que enfatiza la pérdida de la tranquilidad. Partir de estas tierras, en las que se despierta a una existencia ajena, no se reconoce como algo que pueda ayudar a recuperar la tranquilidad perdida o avivar una esperanza, sino que se concibe como una nueva realidad que lleva a un espacio aún más lejano. En este caso, la voz lírica se encuentra en una situación aún más desesperanzada que la anterior, ignorando si es el comienzo de una nueva vida o si es la última parada de la existencia. Alberti exponía, a través de estos versos, su temor frente a un destino desconocido. En 1941, se publicó en Buenos Aires *Entre el clavel y la espada*. El libro contenía algunos poemas escritos en París, algunos escritos en el barco rumbo a América y algunos en Argentina. La obra era una elegía por todo lo perdido: la tierra, los prisioneros, los seres queridos muertos: "Ven y que te amortaje entre violetas / en esta planetaria noche triste, / final de tantas cosas, para siempre / bajo escombros un número sangriento" (Valender y Rojo Leyva, 2006, p. 248). La muerte se reitera, otra vez, como un leitmotiv. La pena del poeta es tan profunda que expresa, repetidamente, la condición de hallarse en un fin y que todo se ha perdido hasta

siempre. En 1944 apareció *Pleamar;* se reflejaba en sus versos mucho dolor por lo perdido. En un momento la voz lírica derramaba su dolor al mar, pero un mar distante: "No me dijiste, mar, mar gaditana, / […] / que en otras playas tuyas, tan distantes, / iba a llorar, vedada mar, por ti" (Valender y Rojo Leyva, 2006, p. 248). Aparte del gran pesar por estar alejado de su tierra, se recordaba, con nostalgia y melancolía, el mar del país. En otro momento medita Alberti sobre un yo interior, que adquiría la forma de un árbol arrancado de su suelo: "Pensaba el árbol pleno, / viéndose las raíces / de fuera, doloridas, / pensaba en lo imposible / de enterrarlas de nuevo / en nueva tierra …" (Valender y Rojo Leyva, 2006, pp. 248-249). Se nota, en estos versos, la pena del desarraigo y la repetida desesperanza de estar en un lugar desconocido.

Los poemas de Rafael Alberti que pertenecían a la primera etapa del exilio estaban llenos de temas como la muerte, el temor y la desesperanza sentidos ante una nueva vida, el dolor del desarraigo, el dolor de lo perdido. Se reflejaba en estos versos una profunda amargura y no más. Al contrario de Alberti, los poemas del exilio de otro destacado poeta de España, León Felipe Camino Galicia, mejor conocido como León Felipe, reflejaban la ira, la resistencia, el desafío, la esperanza y la eternidad de España.

León Felipe se exilió a México en 1938 y allí publicó dos obras en 1939: *El hacha* y *Español del éxodo y del llanto*. La tragedia de España era el tema esencial de ambos libros. En *El hacha* se dirigía a los hombres de España, hechos de odio, y el hacha era una metáfora de ellos: "En España no hay bandos, / en esta tierra no hay bandos, / en esta tierra maldita no hay bandos. / No hay más que un hacha amarilla / que ha afilado el rencor" (De Albornoz, 1977, p. 39). En estos versos se nota, claramente, la furia hacia los nuevos dueños de España. El poema se puede leer como el anhelo de demostrar la horrible realidad y así despertar la conciencia de la humanidad frente a este acto inhumano. La voz creadora dirige su palabra tanto a los vencedores como al receptor de estos versos, como si quisiera que oyeran su voz, llena de ira, gritando al mundo la realidad de España. En *Español del éxodo y del llanto,* el poeta miraba, con dolor, a sus tierras y se dirigía, otra vez, a los nuevos dueños de España:

> Tuya es la hacienda,
> la casa,
> el caballo
> y la pistola.
> Mía es la voz antigua de la tierra.

> Tú te quedas con todo
> y me dejas desnudo y errante por el mundo…
> mas yo te dejo mudo … ¡Mudo!
> ¿Y cómo vas a recoger el trigo
> y a alimentar el fuego
> si yo me llevo la canción? (Felipe, 1939, pp. 25-26)

Para León Felipe, el poeta era la esencia de la tierra. Sin ellos, la tierra se quedaba muda. Más, el que se quedaba con todo, pero sin la canción del poeta, se quedaba incapacitado. Se nota aquí un fuerte desafío: la voz poética, después de hacer patente la función del poeta, expone su voluntad de dejar invalidada a la nueva autoridad reinante en sus tierras. A continuación, la voz del poeta se dirige a su pueblo, inspirando esperanza; hay esperanza siempre y cuando exista un hombre que tenga voz para cantar:

> Españoles:
> el llanto es nuestro
> y la tragedia también,
> como el agua y el trueno de las nubes.
> Se ha muerto un pueblo
> pero no se ha muerto el hombre.
> […]
> Españoles,
> españoles del éxodo y del llanto:
> levantad la cabeza
> y no me miréis con ceño,
> porque yo no soy el que canta la destrucción
> sino la esperanza. (Felipe, 1939, pp. 36-37)

En relación con la parte del poema citado arriba, en el cual la voz poética habla a los nuevos dueños de España, dejándoles todo, se dirige esta vez a su pueblo para sugerirles que abracen esta tragedia y la acepten como algo verosímil para dar paso después a la esperanza. En 1943, León Felipe publicó un nuevo libro, *Ganarás la luz,* donde, además del tema de "España", aparecía, una vez más, la función y la importancia del poeta: "El poeta le cuenta su vida primero a los hombres; / después, cuando los hombres se duermen, a los pájaros; / más tarde, cuando los pájaros se van, se la cuenta

a los árboles…" (Felipe, 1943, p. 27). Los poemas de esta obra tenían una expresión más luminosa en comparación a la expresión afligida de los primeros libros:

> Hispanidad… ¡tendrás tu reino!
> Pero tu reino no será de este mundo.
> Será un reino sin espadas ni banderas…
> ¡Será un reino sin cetro!
> No se erguirá en la tierra nunca.
> Será un anhelo sin raíces ni piedras,
> un anhelo que vivirá en la Historia sin historia…
> ¡Sólo como un ejemplo! (Felipe, 1943, p. 132)

León Felipe fue un poeta fuertemente identificado con la causa republicana, pero fue también, según Valender y Rojo Leyva (2006), "uno de los primeros poetas exiliados en insistir en la importancia de situar el problema de España dentro de una meditación más amplia sobre la condición humana en general" (p. 59). *Ganarás la luz* aparecía como el producto de esta reflexión. Le prometía, en el poema de arriba, al pueblo español su reino, pero este reino existiría en la Historia. No tendría una historia, no tendría nada material, ni tampoco raíces para echar en la tierra, sino sería un ejemplo en la eternidad del tiempo. España subsistiría para siempre como un anhelo.

Pedro Garfias es otro poeta español que fue a Inglaterra al terminar la guerra. El poeta se refugió por un breve tiempo en Inglaterra y después pasó a México. Durante su estancia de unos meses, en 1939, en un pueblecito de Inglaterra llamado Eaton Hastings, Garfias escribió los poemas que compondrían su primer libro de exilio, *Primavera en Eaton Hastings: poema bucólico con intermedios de llanto*. El libro se publicó en México en 1941. Los versos iniciales del poema titulado "Intermedio: Llanto sobre una isla" reflejan el gran pesar de un hombre español en tierras extranjeras: "Ahora / ahora sí que voy a llorar sobre esta gran roca sentado / la cabeza en la bruma y los pies en el agua" (Garfias, 1996, p. 337). En un espacio de tiempo durante el cual se interrumpe el curso normal de la vida del poeta, que se encuentra lanzado violentamente del cielo soleado de su país al clima brumoso de otro, no le queda otro remedio sino sentarse en una roca y llorar por su destino. En la parte central del poema el llanto de la voz lírica se dirige a los muertos y las madres: "Ahora voy a llorar por los que han muerto sin saber por qué / cuyos porqués resuenan todavía / en la tirante bóveda impasible…/ Y también por vosotras, lívidas, turbias, desinfladas madres, / vientres

de larga voz que araña los caminos" (p. 337). La parte más conmovedora del poema es aquella en la que la voz poética remite al receptor de su mensaje la arbitrariedad de esta violencia: el porqué de la violencia, no se conoce. Los hombres mueren sin saber por qué se matan y las madres se quedan vacías por un inmenso dolor y lloran por los hijos de España, con gritos doloroso que rasgan los caminos. Quizá sea la parte más oscura del poema cuando habla del fúnebre y espeluznante cambio ocurrido en las tierras soleadas y alegres de antaño: "Un llanto espeso por los pueblecitos / que ayer triscaban a un sol cándido y jovial / y hoy mugen a las sombras tras las empalizadas" (p. 337). Y al final del poema el poeta se ve entregado a la aterradora verdad que lo rodea: "y los llantos caudales acudan a mis ojos / y fluyan en corrientes sosegadas / a incorporarse al llanto universal. / Sobre esta roca verdinegra / agua y agua a mi alrededor / ahora sí que voy a llorar a gusto" (p. 337). La voz del poeta nos lleva, por unos instantes, a los pueblos de España, para que seamos testigos de la ferocidad y el dolor que prevalecían allí, donde morían los hijos y las madres lloraban bajo un cielo oscuro. Al final del poema nos encontramos dirigidos al principio, donde estaba sentado el poeta en una roca bajo el cielo sombrío de una tierra extraña, como el resultado de un destino irremediable.

En junio de 1939 Garfias escribió, a bordo del "Sinaia" rumbo a México, su célebre poema "Entre España y México": "Qué hilo tan fino, qué delgado junco / -de acero fiel- nos une y nos separa / con España presente en el recuerdo, / con México presente en la esperanza" (Garfias, 1996, p. 297). Estos versos son como el reflejo de una herida recién abierta en la carne, aún viva y doliente, y revelan el estado confuso del poeta que se encontraba en un espacio entre los recuerdos de su país y una nueva vida con esperanzas; este espacio es el frágil vínculo entre el pasado y el presente del poeta. A continuación el poeta dirige la palabra a su país, a modo de plegaria: "España que perdimos, no nos pierdas" (Garfias, 1996, p. 297). Como muchos otros, Garfias también tenía esperanzas de volver: "que un día volveremos, más veloces, / sobre la densa y poderosa espalda / de esta mar, con los brazos ondeantes / y el latido del mar en la garganta" (p. 297). Sin embargo, el poeta vivió en el exilio, en México, hasta su muerte. Al final del poema Garfias tiende un puente entre su país y México, haciendo alusión a un determinado momento en la historia: "Y tú, México libre, pueblo abierto / […] / pueblo libre de México: / como otro tiempo por la mar salada / te va un río español de sangre roja, / […] / Pero eres tú esta vez quien nos conquistas, / y para siempre, ¡oh vieja y nueva España!" (p. 298). La libertad se reitera, como una condición de vivir, haciendo referencia dos veces al pueblo mexicano. La historia se repite, España camina

otra vez hacia México, pero esta vez no son los conquistadores que van sino el pueblo de la España republicana que va como un río y son los españoles los que serán conquistados, pero no por las armas sino por la amistad y generosidad del pueblo mexicano. Por último, la voz del poeta expresa que esa amistad y generosidad de México al pueblo español no va a olvidarse.

Enrique Díez-Canedo, uno de los poetas más admirados tanto por los escritores españoles como por los mexicanos, partió para México en el otoño de 1938, invitado por el gobierno del país. La poesía de Díez-Canedo que pertenece al exilio comprendía tonos variados de diversos colores. En su arte poético es posible observar la existencia de la muerte, como un tema dominante, expresado con un tono melancólico y desesperado, y también los colores más luminosos, como la inmortalidad del hombre y del pasado en un universo donde nada dejaba de existir. En 1940 el poeta publicó un libro de poemas titulado *El desterrado,* un breve volumen que contenía cinco poemas. En el poema inicial, "Capacidad de olvido"*,* el poeta busca las voces y los recuerdos del pasado, en una ausencia absoluta, pero ya no es posible recuperarlos. Estos versos son reflejo de una profunda desesperación: "mi dolor va perdido / y en la nada bracea / buscando el eco imperceptible, / la inexistente huella / de lo que fue y murió del todo" (Valender y Rojo Leyva, 2006, p. 40). En una lucha desesperada por rescatar las pistas de ayer, en una sacudida nerviosa por conseguir algo del pasado, ni se puede encontrar una base donde verter el dolor, ni se pueden recobrar las resonancias o las huellas del pasado, ya que todo murió y "murió del todo". En el último poema, que lleva el mismo título que el libro, "El desterrado"*,* el poeta ya no muestra la desesperación del primero; desde la intimidad de quien habla consigo mismo, remite su reflexión sobre la inmortalidad de lo que ya se tiene: "Todo lo llevas contigo, / tú, que nada tienes. / Lo que no te han de quitar, / los reveses, / porque es tuyo y sólo tuyo, / porque es íntimo y perenne, / y es raíz, es tallo, es hoja / […] / todo a la vez, para siempre" (Díez-Canedo, 1979, p. 139). Esta vez se subraya la cualidad de lo perenne frente a lo mortal. En una reflexión parecida a la de León Felipe, cuando se dirigía a su pueblo hablando de la eternidad de su reino, Díez-Canedo deja bien claro que nada se ha perdido y todo va junto con el poeta. Esta meditación de la voz poética es completamente opuesta a la suya cuando, en "Capacidad de olvido", hablaba de la muerte del todo. El poeta, que no tiene nada, se lleva todo. En la contraposición de estos dos conceptos, se nos remite la realidad de que no le queda nada material al poeta; sin embargo, hay cosas que ni tampoco los del lado opuesto pueden quitarle, porque le pertenecen únicamente al poeta y son permanentes, y

porque no son cosas materiales sino cosas que tienen un origen y una vida, es decir un principio y una posterioridad en una existencia duradera. A continuación del mismo poema, la voz poética fortalece su previo pensamiento acerca de la perennidad de lo que se tiene; nada se borra, nada desaparece, todo lo anterior, todo lo pasado se guarda hasta la eternidad: "No es recuerdo que subsiste / ni anhelo que permanece; / no es imagen que perdura, / ni ficción, ni sombra. En este / sentir tuyo y sólo tuyo, / nada se pierde: / lo pasado y lo abolido, / se halla, vivo y presente, / se hace materia en tu cuerpo" (Díez-Canedo, 1979, p. 139). En concordancia con lo que se sustenta al principio del poema, cuando se dice que todo es del poeta y únicamente del poeta, aquí se señala, una vez más, que el sentir es del poeta y únicamente suyo y esto es el lugar exacto donde se guarda todo. A lo mejor el recuerdo se ha borrado; ni queda el anhelo del primer momento; la imagen ya no se conserva, pero el nido de sentimientos mantiene vivo todo lo del pasado y lo convierte en la esencia de la voz del poeta. Los últimos versos subrayan la eternidad de la voz creadora y el principio de otra existencia que inicia: "Nadie podrá desterrarte / de estos continentes / […] / tierra fuiste, tierra fértil, / y serás tierra, y más tierra / cuando te entierren. / No desterrado, enterrado / serás tierra, polvo y germen (Díez-Canedo, 1979, p. 140). El tono dolorido y la voz individual del primer poema se convierten en éste en un tono esperanzado y una voz colectiva; el poeta habla por sí y por otros desterrados. Transmite su mensaje sobre la creencia de que no desaparecerá la voz del poeta, la voz del humano.

Uno de los problemas que conllevaba el exilio era la pérdida del contacto del literato con su tierra, lo que a veces provocaba la enajenación del escritor con respecto a su propia identidad. El poeta, cuyo vínculo con su tierra se había cortado abruptamente, se sentía hondamente ajeno a la nueva tierra en la que le había tocado vivir. Francisco Ayala hablaba, en su artículo titulado "Para quién escribimos nosotros" (1949), de la pérdida de la base concreta del escritor quien la necesitaba para poder dialogar con la comunidad de la que formaba parte. En el caso del escritor exiliado, eso a veces llegaba a ser una tarea difícil, puesto que la tierra y el pueblo que necesitaba el escritor, aquellos con los que podía relacionarse, se habían perdido. Ayala sustentaba (1949), muy acertadamente, que el poeta producía a partir de su personal genio, pero para la creación literaria requería una base con la que poder relacionarse. Considerando las condiciones del escritor emigrado, el insigne escritor decía que el creador literario se quedaba desconectado y privado de la comunidad donde se había formado (pp. 49-50). En el caso de José Moreno Villa, quien salió de España a principios de 1937,

con rumbo a Estados Unidos en misión diplomática y pasó a la Ciudad de México poco tiempo después, esta desvinculación se acababa en la enajenación del poeta de su propio ser. En el poema titulado "Tu tierra", que formaba parte del breve poemario, *Puerta severa*, publicado en México en 1941, Villa, hablando consigo mismo, primero expresaba la amargura por la patria perdida, donde el mar aparecía como un obstáculo que separaba dos tierras: "Yace tu tierra más allá del agua. / Nunca tus ojos volverán a verla" (Valender y Rojo Leyva, 2006, p. 86). Los versos siguientes reflejan el anhelo de regresar a la tierra natal, para reiniciar allí la vida, esta vez con un aspecto nuevo, o para morir allí, pero siendo en él mismo y no en otro, ajeno a la tierra propia y a su propio ser: "¿Por qué no vuelves a tu tierra, a ti? / Remozarías tu edad, tu luna. / O morirías dentro de ti mismo, / en tu tierra, en tu yo, no sobre alguien / ajeno a tu paisaje y tu conciencia" (Valender y Rojo Leyva, 2006, p. 86). A continuación, la voz poética expone la razón de no querer morir en tierras extranjeras; morir fuera de la tierra natal significa morir fuera de sí, es decir, morir como un ajeno, y no solo la vida que se lleva allí, incluso la muerte será algo prestado: "Lo grave de morir en tierra extraña / es que mueres en otro, no en ti mismo. / Te morirás prestado" (Valender y Rojo Leyva, 2006, p. 86).

Otro poema de Moreno Villa creado en los primeros años del exilio y que se prolonga a lo largo de seis cantos, "Nos trajeron las ondas", recogido en *La música que llevaba* (1949), refleja temas variados. La voz del poeta a veces subraya la impotencia del pueblo español frente a la violencia del enemigo, empleando el mar agitado como un símbolo del destino inevitable: "No vinimos acá, nos trajeron las ondas. / Confusa marejada, con un sentido arcano, / impuso el derrotero a nuestros pies sumisos" (Moreno Villa, 1949, p. 39). Y a veces recuerda las memorias, tema repetido en la poesía del exilio, y el poder de los recuerdos de la tierra perdida animan al poeta para seguir viviendo: "El corazón estaba aferrado a lo suyo, / alimentándose de sus memorias dormidas, / emborrachándose de sus eternos latidos" (p. 39). Y después, de repente, se observa un cambio en el tono triste del poema y la voz poética pregunta, esta vez con más energía y quizá con rebeldía, la razón de este cambio: "Era normal la vida: el panadero, al horno; / el guardián, en su puesto; en su hato el pastor; / […] / ¿Por qué fue roto aquello? ¿Quién hizo capitán / al mozo tabernero y juez al hortelano?" (p. 40).

Uno de los poetas que se sintió ajeno a su ambiente en el exilio por todo el resto de su vida fue Juan José Domenchina. El poeta abandonó España, junto con su esposa, Ernestina de Champourcin, en febrero de 1939. Se instaló en México y allí pasó los

veinte años restantes de su vida. Tuvo dificultad en adaptarse a la nueva realidad que lo circundaba, pero de esta dificultad nació una poesía de alta calidad. En 1942 se publicó el primer libro de exilio del poeta bajo el título *Destierro: sonetos, décimas concéntricas y excéntricas, burlas y veras castellanas.* Se observa en este libro un tono de angustia y desesperación: "Ahora sí que estás cerrada / para siempre, voluntad. / Tu pacto con la verdad / te induce a no querer nada. / Viéndote tan desganada, / tus plurales apetencias / de antaño, con reticencias / sutiles, te hacen sentir / lo engañoso que es vivir / sólo de reminiscencias" (Domenchina, 1995, p. 35). El sentimiento de "desterrado" se hace patente a través de la manifestación de la amargura, que es consecuencia de la pérdida del libre albedrío y la falta de entusiasmo. La voz del poeta sabe que no existe una salida de la realidad que lo rodea. Por otro lado, el poeta, separado de su tierra con violencia, se liga débilmente a ella, evocando el pasado. Pero una vida que se vive a través de los recuerdos es una vida falaz. La poesía de exilio de Domenchina se centra "en lamentar el carácter fantasmal de su existencia en México y en invocar aquel otro mundo perdido, el de Madrid y de Castilla, que el poeta tan bien conocía y que tanto amaba" (Valender y Rojo Leyva, 2006, p. 143). El poeta se ve, desde los primeros poemas del exilio, como una figura fantasmal que seguía viviendo, no en la nueva tierra que lo había recibido, sino en su tierra natal: "¡El aire azul de Madrid! / Transido y alicortado / voy por un aire abrasado, / sordo y sin un eco. Oíd / mis pasos allá, en Madrid" (Valender y Rojo Leyva, 2006, p. 151). En *Pasión de Sombra (Itinerario),* publicado en 1944, se nota la inmensa soledad, la honda amargura, la falta de adaptación al ambiente y, como consecuencia, la alienación:

31 DE DICIEMBRE
1 DE ENERO DE 1944

Una vez más tu piel, tu desprendida
piel de reptil, se pudre en el sendero,
junto al descamisado pordiosero
que nos viene a vender la nueva vida.

Con planta sin raíces, mal prendida
a la derrota de su derrotero,
va el paso peregrino del romero
extático en su punto de partida.

> El curso – intemporal, intempestivo –
> de este tiempo que pierde su andadura
> queda absorto en instantes sin motivo.
>
> …Tu amanecer difuso nos augura
> otro permanecer, otro cautivo
> tiempo en espera, por la noche oscura. (Domenchina, 1944, p. 36)

En el amanecer de un año nuevo, la voz poética se siente como un reptil en cautiverio que ha cambiado su piel, otra vez, para que vaya a corromperse en una senda, donde el mendigo vende sueños. Se siente nada más como una planta que no arraiga en la tierra, un peregrino en estas tierras extranjeras en las que se siente ajeno. Está retenido en un tiempo que no avanza, casi fuera de tiempo, y en un espacio donde se queda sin movimiento alguno y sin razón alguna para seguir viviendo. Este amanecer anuncia solo el inicio de otro cautiverio en el curso de un tiempo dilatado, impreciso y desconocido; un tiempo que pasa en espera de algo.

Francisco Ayala explicaba, en su artículo (1949), qué era lo que esperaban los españoles en el exilio:

> Nuestra existencia durante el pasado decenio ha sido pura expectativa, un absurdo vivir entre paréntesis, con el alma en un hilo, haciendo cábalas sobre la conflagración mundial, escrutando el destino que para los españoles prometía su deseado desenlace, y esperando de la gran catástrofe aquella restitución que España merecía. (p. 52)

Tras la victoria de los Aliados en 1945, los españoles desterrados empezaron a pensar en la posibilidad del regreso a España. En 1946 las Naciones Unidas negaron el ingreso del Gobierno de la España franquista en dicha organización y, para algunos, esto fue motivo de esperanza. En los años que siguieron, los españoles del exilio esperaron con inquietud. En 1950, Estados Unidos dio un préstamo monetario a España; esto significaba la aceptación de la España franquista por las democracias occidentales. Esto supuso el fin de todas las esperanzas. Moreno Villa expresaba así la pérdida de la esperanza: "Ya no podré salir jamás. / Ya no veré mi viejo mundo, / Me diré que lo tragó la tierra" (1998, p. 689). Y su predicción era bien cierta. Muchos de los que fueron no pudieron volver.

La aceptación del destino

A partir de la segunda mitad de la década de los cuarenta, aunque los escritores siguieron estando afectados por las circunstancias, con el paso del tiempo se sintieron más serenos y empezaron a pensar en la reorganización de sus vidas en estas nuevas tierras de asilo. Carlos Blanco Aguinaga (2006) señala que cuando los mayores se asentaron, con el tiempo, en la vida cotidiana y puesto que los niños habían ido creciendo, "hora era ya de que el *refugio* se convirtiera en *morada*" (p. 35). Así los temas fueron variando, pero la historia todavía estaba allí, en la obra de los poetas, y los hechos entraban en los libros, como un testimonio de la época.

Jorge Guillén era uno de tantos poetas exiliados cuya obra reflejaba los hechos del día porque el poeta creía en la función social de la poesía: "La poesía tiene siempre, siempre, una función social. […] Toda mi poesía arranca más o menos directamente de mi experiencia" (Díez de Revenga, 1993, p. 11). Francisco Javier Díez de Revenga (1993) afirma que en toda la obra de Guillén se puede observar la evolución del poeta como un ser sensible a las realidades del mundo, y expone su perspectiva de poeta con respecto a la Historia: "En su condición de poeta, juzga nuestro mundo presente contemporáneo que es incorporado a la Historia, de la que es sujeto y objeto pasivo, en la que va integrando las nuevas realidades […]" (pp. 13-14). El poema titulado "Tarde mayor", que apareció en la tercera edición de *Cántico. Fe de vida,* publicado en 1945, tenía evidentes referencias a la guerra civil, pero también hablaba de la libertad. Los versos iniciales, en los que destaca la luz como un signo dominante, reflejan la serenidad del poeta en la cumbre de su madurez: "Tostada cima de una madurez, / Esplendiendo la tarde con su espíritu / Visible nos envuelve en mocedad. / Así te yergues tú para mis ojos / Forma en sosiego de ese resplandor, / Trasluz seguro de la luz versátil" (Díez de Revenga, 1993, p. 35). Es posible ver la tranquilidad del alma en el resplandor de la tarde, en la juventud que se siente, en la quietud y la variabilidad de la luz. Valender y Rojo Leyva (2006) sostienen que frente a los que criticaban *Cántico* por su optimismo, el poeta explicaba que existían también "el azar y el desorden, el mal y el dolor, el tiempo y la muerte" en sus páginas (p. 111). En las tercera y cuarta ediciones de *Cántico*, publicadas en 1945 y 1950, "empezaron a asomarse los horrores de la historia: los de aquel momento y los de siempre" (p. 111). A continuación de "Tarde Mayor", viene el horror de la guerra: "Si aquellas nubes tiemblan a merced, / Un día, de un estrépito enemigo, / Mescolanza de súbito voraz, / Oscurecidos y desordenados / Penaremos también. […]" (Díez de Revenga, 1993, p. 36). Después de un momento sereno del

espíritu, la voz poética empieza a sentirse agitada, bajo la voluntad del enemigo, una mezcla de violencia y destrucción; y a continuación, llega la hora de penar, con el alma triste y turbada. Pero en los versos finales aparece, de nuevo, la esperanza: "Fugaz la Historia, vano el destructor. / Resplandece la tarde. Yo contigo. / Eterna al sol la brisa juvenil" (p. 36). El poeta cree que la "Historia" con mayúscula, la de los sucesos, de los tiranos, es fugaz; la soleada brisa juvenil es eterna. En *Maremágnum* (1957), una de las tres partes que compone la colección titulada *Clamor. Tiempo de historia*, el poeta hace desfilar a los muertos, los semivivos y los aprisionados, en el poema titulado "Potencia de Pérez. I", asomando uno por uno como aparecieran en la escena en un espectáculo teatral espeluznante: "Hay ya tantos cadáveres / Sepultos o insepultos, / Casi vivientes en concentraciones / Mortales, / Hay tanto encarcelado y humillado / Bajo amontonamientos de injusticia" (Valender y Rojo Leyva, 2006, p. 117). Después de pasar casi dos décadas, el horror de la guerra todavía está presente en los versos del poeta. En …*Que van a dar en la mar* (1960), otra de las tres partes de *Clamor. Tiempo de historia*, el poeta recuerda los días de niñez, en el poema titulado "Aquellos veranos": "Lentos veranos de niñez / Con monte y mar, con horas tersas, / Horas tendidas sobre playas / Entre los juegos de la arena, / Cuando el aire más ancho y libre / […] / El porvenir no tiene término, / La vida es lujo y va muy lenta" (p. 73). Esta vez la historia personal de la voz poética se ve grabada en los versos, en una mirada retrospectiva a los dulces tiempos de la infancia. Es patente, una vez más, la existencia de los días resplandecientes, pasados en la tranquilidad y sin preocupación alguna, en un ambiente de libertad. Y al final, se nota el cansancio de una vida que no acaba y que fluye en una interminable pesadez. En *A la altura de las circunstancias* (1963), que compone la parte final de la colección *Clamor. Tiempo de historia*, el poeta expone, en el poema titulado "Clamor Estrellado", con una expresión más narrativa que lírica, el espanto producido por las explosiones repentinas: "Ruido, una red de ruido, va envolviendo el planeta en que las explosiones y los disparos y los murmullos se funden a quejidos, gritos, alaridos bajo una luz que calla" (Díez de Revenga, 1993, p. 119). Todo empieza con ruido y concluye en silencio; la luz se extingue. Sin embargo, el poeta no está del todo desesperado; el hombre siempre encuentra la fuerza para vivir, durante un intervalo de descanso, cuando callan los ruidos: "Continúa siempre el esfuerzo, sin interrumpirse dolor ni amor, durante la tregua cotidiana entre el sueño y la sombra, cuando casi no existe para el insomne el signo sonoro" (p. 120).

A lo largo del exilio que empezó para Pedro Salinas en 1936, el poeta recorrió varios países de Latinoamérica. Vivió tres años del exilio, de 1943 a 1946, en Puerto Rico, y el

fruto del tiempo feliz que pasó en ese país fue un libro de poemas titulado *El contemplado*, publicado en 1946. El libro contenía los poemas escritos frente al mar de Puerto Rico. *El contemplado* es, según Martínez Blasco (1994), "una contemplación mística del mar azul de Puerto Rico" (p. 151). Martínez Blasco sostiene que en este libro se advierte, con relación a su obra anterior, un diálogo con el mundo exterior. Este mar embelesa al poeta durante su estancia en la isla y produce una intensa vibración en su alma (p. 151). En el poema inicial que lleva por título "Tema", – el libro, en su conjunto, es una composición que consta de un *Tema* y catorce variaciones – el poeta mira, lentamente, al mar y viene el hallazgo del nombre / de la palabra – *contemplado* – por la pura contemplación: "De mirarte tanto y tanto, / del horizonte a la arena, / despacio, / del caracol al celaje, / brillo a brillo, pasmo a pasmo, / te he dado nombre" (Salinas, 1989, p. 151). En Variación IV, el mar aparece como un espacio mágico donde bailan las hadas: "¡Cuántas, cuántas tiene el mar, / cuántas alegrías! / Seres de luz, sobre el agua, / bailan, en puntillas" (Valender y Rojo Leyva, 2006, p. 106). La contemplación del mar produce la alegría que la voz lírica necesita: "Alegrías que me falten, / él me las fabrica. / Desde sus lejos profundos / a mí se me encaminan, / Y aquí en los ojos, las suyas / se vuelven las mías" (p. 107). El mar es un elemento que funciona para fabricar la alegría en el ánimo del poeta.

En 1949 se publicó *Todo más claro,* libro que reúne la poesía de Salinas escrita entre 1937 y 1947. Con este libro la poesía de Salinas tomaba un rumbo hacia la manifestación de una intranquilidad producida en el alma del poeta por la deshumanización que el progreso tecnológico creaba. En el libro, el poeta casi siempre dirige su vista, como afirma Aurora de Albornoz (1977), "a la civilización destructora, creada por el hombre. […] Hay casi siempre un rechazo a la civilización con la que su sensibilidad choca" (p. 74). En los versos iniciales del poema titulado "Cero", poema extenso que cuenta la historia de una destrucción, se puede observar el dolor del poeta ante las ruinas producidas por el hombre: "Invitación al llanto. Esto es un llanto, / ojos, sin fin, llorando, / escombrera adelante, por las ruinas / de innumerables días. / Ruinas que esparce un cero autor de nadas, / obra del hombre, un cero, cuando estalla" (Salinas, 1971, p. 93). La voz del poeta invita a todos a sentir profundamente los desperfectos creados por la mano del hombre. Este es un daño que se hace ininterrumpidamente. El que hace ese daño al medio ambiente no está creando nada sino un cero. La voz poética reduce al hombre que destruye su mundo a un ser que no tiene valor alguno.

Emilio Prados tenía una percepción muy peculiar que, según Blanco Aguinaga (1960), "nos lleva, con intuición y lenguaje certeros, hacia su visión única del mundo,

hacia los temas y preocupaciones que van a ser los de toda su vida" (p. 44). Prados vivió en la Ciudad de México desde 1939 hasta su muerte en 1962. *Mínima muerte* (1944) fue el primer libro suyo escrito en el exilio. Dos años después apareció *Jardín cerrado* (1946). El libro tenía, como subtítulo, "Nostalgias, Sueños y Presencias" y este subtítulo indicaba que, según Blanco Aguinaga (2006), "quien escribía en México tenía – inevitablemente – los fundamentos de su vida en otra parte" (p. 166). En el libro se veía una mezcla de las nostalgias y los sueños con las esperanzas del presente. En el último poema del libro se puede observar la mezcla del pasado con el presente; tras las remembranzas del pasado pasa el poeta a manifestar las fuerzas sacadas para seguir viviendo y, por último, llega a una *Unidad*, integrándose a un *Todo* y rompiendo los límites del cuerpo, para fundirse con *Dios* en una eternidad.

> Ahora sí que ya os miro
> cielo, tierra, sol, piedra,
> como si al contemplaros
> viera mi propia carne.
> […]
> Sólo el cumplir mi paso
> aunque por suelo tan arisco,
> me daba luz y fuerza en el vivir.
> […]
> Ya soy, Todo: Unidad
> de un cuerpo verdadero.
> De este cuerpo que Dios llamó su cuerpo
> y hoy empieza a sentirse
> ya, sin muerte ni vida,
> como rosa en presencia constante… (Prados, 1976, pp. 351-353)

La unificación de la voz poética con el universo se hace patente en los versos iniciales. Mientras que la única fuerza que lo mantenía vivo en el pasado era la misión, la casi obligación, de llevar a cabo lo que debía hacer en esta vida, hoy llega a ser completo, unido a un Todo, al Creador; este sentimiento de unificación le confiere el don de existir en una eternidad como la rosa, donde ya no existe ni muerte ni vida.

Los poemas en *Río natural,* publicado en 1957, son meditaciones poéticas y reflejan el estado del poeta que se vincula a otros hombres y a la divinidad suprema: "Fuera y

dentro de mí / oigo decir: / "¡Emilio!" / Miro a Dios… / Sobre el cielo / alguien me llama: / "¡Emilio!" … / Vuelvo hacia mí los ojos: / ¡mi piel no tiene párpados!" (Blanco Aguinaga, 1960, p. 195) Alguien llama al poeta, alguien con existencia real o alguien en sus sueños, y el poeta dirige su mirada al cielo, y oye que lo llaman del cielo, quizá alguien que sigue viviendo en su memoria. La voz del poeta se ve situada en un umbral entre la realidad de esta vida y la de otra existencia y se vuelve hacia sí, alcanzando la unión y la armonía entre dos mundos. Sin embargo, este sentido de unificación se rompe en su último libro, *Últimos poemas*[2]*,* y el poeta pierde la relación entre el pasado y el presente y también entre su propio ser en esta tierra y el ser unido al universo:

> ¿Regresar? ¿Cuándo? Este lugar
> es todo el tiempo. Lo sabes,
> lo sentiste, comenzaste a vivir en él,
> al observar tu cuerpo involuntario
> buscar por ti – sin ser – tu cuerpo.
> Te abriste en zanja la existencia
> hacia dentro de ti – pensaste –,
> y en ella estás: no interno,
> no externo, no en mitad y mitad
> – momento equilibrado,
> perfección inocente de ti mismo –.
> No hay redención de lo que fuiste,
> ni de lo que serás. No estás pasando.
> Este lugar es todo el tiempo. (Prados, 1965, pp. 46)

En estos versos se nota la pérdida de la esperanza acerca del tema de volver a España. Este tema se ha visto como una preocupación constante en la poesía del exilio de muchos poetas desde el principio. En este poema de Prados se rompe la conexión con el pasado; regresar se percibe como algo imposible cuando la voz poética se da cuenta de que no hay otro tiempo sino este tiempo y este tiempo se extiende al pasado y al porvenir, cubriendo el espacio geográfico bajo su capa hermética. Este tiempo es el tiempo del exilio y no hay otro tiempo que este. La voz del poeta se encuentra detenida en el espacio y el tiempo. Después se dirige a sí mismo y confiesa que esta realidad ya la conocía desde el principio; sabía que no habría vuelta posible de este lugar, lo había sentido y había comenzado a vivir dentro de esta realidad en el instante que intentó

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2   Una edición póstuma, en 1965, con prólogo de Carlos Blanco Aguinaga.

encontrar su alma dentro de su cuerpo involuntario. Así que viaja hacia las profundidades de la esencia, de su propio ser, y se queda allí, dentro del cuerpo que lo envuelve como un espacio geográfico. En ese lugar del alma se adquiere, una vez más, un estado mental y de ánimo pacífico y equilibrado, donde ya no existen perturbaciones y así se llega a una perfección pura. Al final, la voz lírica conoce y acepta la realidad de que no hay rescate posible de esta situación dolorosa; ni del ser que fue en el pasado ni de lo que será en el futuro. Esta vez está capturado dentro de su propio ser. No está pasando por este lugar; aquí es un cautivo porque este lugar es el pasado, el presente y el porvenir. No hay otro pasado para ir ni otro porvenir.

Conclusión

Intentamos, en este trabajo, mostrar lo que vivieron los escritores de la España República durante los años del exilio, dando ejemplos de los poemas escritos en esas tierras extranjeras. No fue posible incorporar aquí todos los poetas de la España exiliada, ya que eran muchos, e incluimos los poetas mejor conocidos de la literatura española y algunos de sus poemas que pensamos que con más acierto reflejaron las vivencias del exilio.

Los primeros años del exilio pasaron con incertidumbre ante la nueva vida que esperaba a todos los españoles desterrados y con esperanzas de volver a las tierras abandonadas. Sin embargo, estas esperanzas obraban en contra de la posibilidad de una integración total en su nueva vida. A partir de la segunda mitad de los cuarenta los escritores vieron la imposibilidad de volver y, por consiguiente, llegaron a comprender que ya era el tiempo de reorganizar su vida en sus tierras de acogida. Así que el *destierro* se transformó en *trans-tierro,* término puesto en circulación en México por José Gaos.

En los primeros años del exilio la poesía tenía, en general, un tono de inmensa tristeza o una furia incontenible y la mayor parte de las veces, una gran nostalgia. Los poetas del exilio han sabido transmitir, con gran destreza, el dolor, las desesperanzas o las esperanzas del pueblo español. Con el paso del tiempo, y especialmente a partir de la segunda mitad de la década de los cuarenta, los temas divergieron y se diversificaron; cada uno optó por un camino distinto con respecto a su arte poético.

Durante la primera etapa del exilio, es decir, hasta finalizar la Segunda Guerra Mundial, los temas comunes empleados en la poesía fueron el profundo dolor sentido

por las muertes – muerte de la patria, del propio ser, de los seres queridos –; los recuerdos del país pensados con melancolía y nostalgia; la esperanza de volver a la tierra natal; el temor y la preocupación sentido ante un futuro desconocido. Los temas eran comunes pero la manera de exponerlos era distinta: algunos poetas como Luis Cernuda y Rafael Alberti tenían una voz más desesperanzada, y algunos como León Felipe tenían más esperanza acerca del porvenir. Para algunos la vida en las tierras extranjeras no sería más que una espera en el tiempo. Los recuerdos constituían el frágil vínculo entre el pasado y el presente. Así era el caso de Luis Cernuda, Pedro Garfías y Juan José Domenchina. Algunos poetas como León Felipe y Enrique Díez-Canedo hablaban de la función del poeta y creían en la eternidad de la voz creadora, y también de la eternidad de España. Otros, como José Moreno Villa y Juan José Domenchina se sintieron alienados al perder el contacto con la tierra natal. En algunos como León Felipe y José Moreno Villa se notaba una cierta rebeldía hacia los nuevos dueños de España. A partir de 1945, cuando los escritores se dieron cuenta de que el regreso no sería posible, los temas se diversificaron. Así que intentaron encontrar los medios para adaptarse a su ambiente. Las referencias a la guerra civil, los muertos, las remembranzas del pasado todavía estaban allí, como se veía en los poemas de Jorge Guillén y Emilio Prados, pero después había otros temas como la libertad, la existencia de la luz, el mar del país del exilio, la protesta por la deshumanización, la unificación con la eternidad y la consecuente tranquilidad espiritual.

Como resultado, la historia se ha grabado, de manera notable, en la producción literaria de los escritores. Hay, en esta época de la historia del pueblo español, mucha tristeza, mucho dolor. Las vidas en tierras lejanas están ahí, vivas y presentes en sus obras.

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Research Article

Edebiyatta Mimarlık ve Anıtsallık: İvo Andriç'in *Drina Köprüsü* Örneği

Architecture and Monumentality in Literature: The Example of *Bridge on the Drina* by Ivo Andriç

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ÖZ
Uzun ve yoğun bir toplumsal deneyim süreciyle şekillenen kolektif hafıza, toplumların geçmiş bilgilerini, onları diğerlerinden ayıran 'öz'lerini, diğer bir ifadeyle yüzyıllar süren kültürel birikimlerini sürdürebilir kılmalarının yegâne yoludur. Bunun için, gelenekler ve kültürel nitelikler şiirlerle, efsanelerle, kitaplarla, giysilerle ve çeşitli kültürel üretimlerle geleceğe aktarılmaya, bu şekilde depolanan bilgiler yeni nesillere miras bırakılmaya çalışılır. Bu noktada en önemli kültürel üretimlerden birisi de mimari ürünler ve dolayısıyla fiziksel çevre olarak kentlerdir. Bu nedenledir ki, edebi çalışmalarda bir topluluk ya da yaşantı tasvir edilirken, onların yaşadıkları yerler, yapılar, mekanlar çoğunlukla ön plana çıkmaktadır. Edebiyat yapıtlarında olaylar, yaşantı ve hikâye sürekli mekân üzerinden ele alınır ve adeta mekâna bağımlıdır. Edebiyat mimarlıktan yararlanır, mimarlığın ürünlerini bir arka plan olarak kullanır, başka bir söylemle mimari, anlatımların okuyucudaki tezahürünü belirleyen ve yönlendiren yegâne araç halini alır. Öteden beri, yüzyıllardır süregelen bu geleneğe verilebilecek en iyi örneklerden birisi de İvo Andriç'in *Drina Köprüsü* adlı eseridir. Andriç, küçük bir köyün yüzyıllar içerisinde gelişimini, kasabaya ve sonrasında önemli bir kent parçasına dönüşümünü, bu arada bölgedeki toplumsal yapının evrimini ve küresel ölçekte yaşanan büyük tarihi eşikleri, günümüzde Bosna Hersek sınırları içerisinde yer alan ve Vişegrad kentinde konumlanan Drina Köprüsü üzerinden okumaya, anlamlandırmaya ve okuyucuya aktarmaya çalışır.Bu doğrultuda, makalede edebiyat ve mimarlık arasındaki ilişki, Drina Köprüsü örneği kullanılarak, anıt ve hafıza kavramları çerçevesinde değerlendirilmeye çalışılacaktır. Kitapta köprünün anıtsallaştırılması, toplumsal hafızadaki yeri, hafızayı temsil etme gücü, tarihsel süreçte üstlendiği roller ve ona biçilen değer üzerinden bir sorgulamaya gidilecek, edebiyat ve mimarlık disiplinleri arasındaki ilişki, mimari yapıların edebi anlatımlardaki rolü ve gücü bağlamında tartışılacaktır.
Anahtar Kelimeler: Kolektif hafıza, *Drina Köprüsü*, Ivo Andriç, edebiyat, mekân

ABSTRACT
The collective memory, shaped by a long and intense process of social experiences, is the only way that societies sustain their past knowledge, their essence, which distinguishes them from others, in other words, their cultural accumulation for centuries. Therefore, poems, legends, books, clothes and various cultural products are the main media that have the ability to transfer cultural characteristics and

traditions to the future in order to legate the stored information from the past. At this point, one of the most important cultural productions is architectural spaces, therefore cities as physical environment. For this reason, literary works, events, lives and stories are constantly addressed through architectural spaces. In other words, architecture becomes the only tool that determines and directs the expression of the story. One of the best examples that can be given to this centuries-old tradition is the work of Ivo Andriç called *Bridge of Drina*. While focusing on the Drina Bridge located in the city of Visegrad, Andriç tries to investigate and explicate the evolution of the social structure in the region and the great historical thresholds experienced on a global scale, through the bridge. In this direction, the main goal is to examine and evaluate the relationship between literature and architecture in the context of monument and memory, through the example of the Drina Bridge. The monumentalization of the Drina bridge and its place in collective memory will be investigated and discussed in the frame of the role and power of architectural structures in literary expressions.

Keywords: Collective memory, *Drina Bridge*, Ivo Andriç, literature, space

EXTENDED ABSTRACT

The collective memory, shaped by a long and intense process of social experiences, is the only way that societies sustain their past knowledge, their essence, which distinguishes them from others, in other words, their cultural accumulation across the centuries. Therefore, poems, legends, books, clothes and various cultural products are the main media that have the ability to transfer cultural characteristics and traditions to the future in order to legate the stored information from the past. At this point, one of the most important cultural productions is architectural spaces or even cities as physical environments. Cities and their constituent places are concrete representatives of the past and accumulated social knowledge. For this reason, literary works, events, lives and stories are constantly addressed through architectural spaces. In other words, architecture becomes the only tool that determines and directs the expression of the story.

This is also the case with literary works; independent from the genre, the plot always is accompanied by depictions of physical spaces. Thus, even if indirectly so, architecture becomes the only tool that determines and directs the expression of narratives in the reader.

One of the best examples that can be given to this centuries-old tradition is the work of Ivo Andriç called *Bridge on the Drina*. While focusing on the Drina Bridge located in the city of Visegrad, Andriç tries to investigate and explicate the evolution of the social structure in the region and the great historical thresholds experienced on a global scale, through the bridge.

In this direction, the main goal is to examine and evaluate the relationship between literature and architecture in the context of monument and memory, through the example of the Drina Bridge. In short, the study aims to investigate the relationship between the architecture and literature and the role of the architecture in literarty works by investigating Andric's *The Bridge on the Drina*. In other words, the study focuses primarily on the storytelling power of the architectural space, the place the architectural structures acquires in collective memory and their ability to transfer past knowledge to the future.

The Drina Bridge not only places an architectural product in the center, but also constantly associates a story (that spans centuries) with the bridge and tells all the important events on the bridge. Therefore, in this study, an inquiry has been made on the monumentalization of the bridge, its place in social memory, its power to represent memory, the roles it assumes in the historical process and its value. With this questioning, an attempt is made to discuss the relationship between literature and architecture disciplines in the context of the role and power of architectural structures in literary expressions. In this direction, in order to examine in more detail what role the bridge plays in the story and how the story is shaped within the framework of the bridge, the study is divided into the subheadings: "memory, monumentality and the Drina Bridge", "the spatial characteristics of the bridge and how the bridge shapes its environment?", "the place of the bridge in social life", symbolic value and politicization" and "Bridge of Drina as a storyteller".

Based on the example of Drina Bridge, it can be argued that apart from defining a physical environment in the story as in other literary works, the architectural product is in fact the main elements that can sit in the center of the story, tell the story, identify with the characters in the story, and give direction to the story. With the depictions of the physical environment, architecture actually gives the reader clues about the period, experiences, social classes, and memory, and provides a better understanding of the story. This is also the case with the Drina Bridge. By constructing metaphors on a bridge, Andriç discusses the formation of a nation and its subsequent dissolution, the sense of nationality and the social consequences it brings, the brutality of war, and the phenomenon of living together in peacetime regardless of language, religion or race. Although the Drina bridge, which is the subject of the story, has undergone little physical transformation over the centuries, it has undergone great semantic transformations and takes on different meanings according to time and point of view.

In this context, the Drina Bridge emerges as a very powerful example of an architectural product in terms of its story-telling power. The bridge, as an architectural product, is the element that conveys the story, directs it and prepares a background for it. In other words, The Bridge on the Drina contains important data at the point of examining and questioning the mutual interaction established between architecture and literature. As a result, the study reveals that The Bridge on the Drina has strong potential in terms of 'the relationship between architecture and literature'.

1. Hikâye Anlatıcısı Olarak Mimari Ürün ve Mekân

> Tarih, kitaplardan nasıl öğrenilemiyorsa, mimariden de öğrenilemiyordu. Heykeller, kitabeler, anıt taşları, cadde isimleri –geçmişe ışık serpecek her şey, usulüne göre tahrif olmuştu. (Orwell, 2015, s. 106)

Orwell, 1984 eserinde (2015) bir toplumun geçmişinin yıkımını, insanların bireysel ve toplumsal kimliklerinin yok edilmesini konu edinirken kültürel ürünler olarak kitapların ve mimarinin dönüşümüne odaklanır. Çünkü kültürel değerleri yansıtan bu ürünlerin ve aslında insanların geçmiş ile bağ kurmasını mümkün kılan kentsel unsurların –anıt, kitabe, cadde ismi- yok edilmesi, toplumun özgün özelliklerinin yitirilmesine karşılık gelmektedir. Bu anlamda, mimari ürünler, mekanlar, anıtlar; temel fonksiyonlarının yanı sıra, içlerinde ya da çevrelerinde yaşantının sürdüğü yerlerdir. Dolayısıyla, mimari ürünlerin kompozisyonu olarak kentler başta olmak üzere bütün mekanlar, aslında yaşantıya bir altyapı oluşturan fiziksel çevreler olarak tanımlanabilirler. Böylelikle, mimari ürün veya mimari mekân, görece uzun yaşantıları boyunca toplumsal yaşamın en önemli tanıkları konumuna gelirler. Bir yandan geçmiş bilgileri bünyelerinde barındırıp etraflarına yansıtırken, bir yandan da yeni bir tarih oluşturma rolünü de üstlenirler. Diğer bir söylemle, mimari ürün, bünyesinde kodladığı bilgilerle geçmişe ayna tutmaktadır. Toplumsal hafızada yer etmiş olan bu ürünler, edebi eserlerde de önemli rollere bürünür; edebiyatçılar bu mimari örnekleri konu edinerek hikayelere derinlik katarlar.

Kenti hafıza tiyatrosu olarak niteleyen Boyer'den (Boyer, 1994), kentin belirgin yapılarını güçlü bir toplumsal sembol olarak tanımlayan Kevin Lynch'e kadar pek çok yazar ve düşünür mimari eserlerin kolektif hafıza boyutunu dile getirmiştir. Her biri kendi hikayesini tanımlayan bu ön plana çıkan sayısız mekanlar topluluğu nesilden nesile aynı değerleri yansıtırken toplumsal anlamlarını kaybedecek derecede yıkıma maruz kalmadıkları müddetçe sürdülebilirliğin baş aktörleridir ya da Pierre Nora'nın tanımıyla hikâye anlatıcısıdırlar (Nora, 1989).

Lefebvre'ye göre "anıtlar, bulundukları araziye bir dünya anlayışını yansıtırken, şehir de bu araziye toplumsal hayatı (genellik) yansıtmaya devam eder" (Lefebvre, 2017, s. 25) ve böylelikle anıtlar kolektif hafızanın vücut bulmuş hali olarak tanımlanabilirler. Başka bir söylemle, kolektif hafızanın temsilcisi haline gelen anıtlar ve kentler, karşılıklı bir ilişki içerisinde birbirlerini etkilerler ve dönüştürürler. Bunun sonucunda, anıtlar kente yeni düşünceler empoze ederken, kentler de anıtların çevresini şekillendirir ve

onlara anlamlar yükler. Bu bağlamda, mimari ürün veya mekân olarak anıtların, anıtsal yapıların belirli bir düşünceyi simgeledikleri, çevrelerinde olup bitenlerin yegâne tanıkları oldukları ve bu nedenle tarihin, kültürün, yaşantıların ve hikayelerin en güçlü anlatıcıları olduklarını söylemek mümkündür. Mimari ürünlerin –anıt, hafıza mekânı, kent- anlatıcı rolüne bürünmelerini ele alan Wallace'a göre ise "mimarlık, her zaman var olmuş olan bir görsel hikâye anlatma biçimidir. Yapılı çevrenin, bir mekânın tarihini yakalama ve bu hikâyeyi mekân üzerinden anlatma yeteneği vardır. Mimarlık, geçmiş, şimdiki zaman ve gelecek arasında görsel, mekansal bir bağ kurarak mekân ve kültür zaman çizgisinde bir nokta haline gelir" (Wallace, 2007). Başka bir ifadeyle, mimarlık ya da mimari ürün ve mekân, sürekli akan zaman içerisinde biriktirdikleri bilgileri durağan bir obje olarak saklar ve onu okuyabilenlere aktarmaya çalışırlar.

Bu yönüyle, mimari ürün ve mekanlar, kentsel hafızanın ve kolektif hafızanın sürdürülebilir kılınmasında değerli bir yere sahip olurken, edebiyatta da önemli görevler üstlenirler (Şekil 1). Özellikle ütopyalar gibi mekansal özelliklerin merkezi işgal ettiği anlatımlarda, mimari mekân ve dolayısıyla mimarlık edebiyatla karşılıklı bir ilişki içerisine girer. Bu nedenle temelde hayatı ve farklı yaşantıları konu edinen edebi eserlerde, sosyal ve fiziksel çevreye bağımlı olan hayatı (Alver, 2009), mimari betimlemeler üzerinden aktarmaya çalışırlar. Diğer bir deyişle, edebiyat mimarlıktan faydalanır ve okuyucuda daha güçlü bir imge bırakma amacıyla hikayelerinde mimari mekanları tasvir eder, mimari mekanları konu edinir ve hatta onları merkeze koyar. Öte yandan, kullandıkları dil ile kentlerin ruhunu, estetiğini çok güçlü bir şekilde aktaran çalışmalar ile, "temelde mimarlık konularıyla ilgisizmiş gibi gözüken büyük edebiyat, sanat ve düşünce yapıtları" da, mimarlığı besleme potansiyeli barındırmaktadırlar (Akarsu & Erdoğan, 2016, ss.13-14).

Bu bağlamda, her iki disiplinin ve her iki disipline ait üretimlerin birbirlerinden yararlanabilecekleri, birbirlerine bir şeyler katabilecekleri ve birbirlerini etkileyebilecekleri açıktır. Ancak, birbirleriyle çok farklı şekillerde ilişki kurabilecek bu iki disiplin arasındaki ilişki, bu çalışmada mimari yönlü okunmaya çalışacak, yalnızca mimari ürünlerin, mekanların edebiyattaki yerleri, kullanılış biçimleri, oynadıkları rollere yoğunlaşılacaktır. Diğer bir söylemle, edebi ürünlerde mimari mekanların, mimari ürünlerin ve kentlerin araçsallaştırılması, hikâye anlatıcısı olarak kullanılması bağlamında bir inceleme yürütülecektir.

Bu doğrultuda, mimarlığın ve mimari ürünlerin geçmişi ve günümüzü yansıtma, hikâye anlatma güçleri bağlamında önce edebiyatta ve edebi eserlerde üstlendikleri

rol üzerinden genel bağlamda bir tartışma yürütülecektir. Sonrasında, yapılacak olan çıkarımlar ve ileri sürülecek olan tartışma başlıkları, Ivo Andriç'in Drina Köprüsü örneği üzerinden ele alınacak ve değerlendirilecektir.

2. Mimarlık ve Edebiyat İlişkisi

Mimari yapılar ve kentsel mekanlar, doğaları gereği her zaman bir hikâye anlatırlar; bu nedenle çevrelerinde olup bitenleri, yıkımları, yapımları, ölümleri, yaşamları onlar üzerinden okumak mümkündür. Barthes (1997), kentleri dile benzetir ve ona göre "şehir bir söylemdir ve bu söylem gerçekten bir dildir: şehir sakinleriyle konuşur; biz bulunduğumuz şehri konuşuruz; içinde yaşayarak, içinde dolaşarak, bakarak" (s.158). Böylelikle, kentin bünyesinde barındırdığı parçalar olarak mimari ürünler ve mekanlar da genel söylemi oluşturan özenle seçilmiş kelimeler halini alırlar. Burckhardt ise hafıza mekanları olarak nitelendirilebilecek olan anıtları kitaplara benzetmektedir; ona göre "Mısır anıtları, dev harflerle yazılmış tarih kitaplarıdır" (Assmann, 2015'te alıntılandığı gibi, s. 201). Diğer bir söylemle, edebi eserler de en az mimari ürünler kadar hafızayı koruma ve geleceğe aktarma konusunda işlev görürler. Bu işlev, iki disiplin arasındaki karşılıklı ilişkiyi de güçlendirmektedir.

Edebiyatta, daha doğru bir ifadeyle edebi eserlerde mimari ürünlerin ve mekanların oynadıkları role, hikâye anlatımında üstlendikleri görevlere odaklanıldığında, bunun tarih öncesinden bu yana süregelen bir yöntem olduğunu söylemek mümkündür. En eski destanlardan, şiirlerden güncel edebi eserlere kadar yaşamın konu edindiği her anlatımda olduğu gibi, yaşamın aktığı fiziksel çevre, kendisine sürekli yer bulmaktadır. İster konunun geçtiği yerin betimlenmesinde olsun, isterse de konunun merkezinde, fiziksel çevre ve dolayısıyla mimari ürün/mekân tasvirleri, edebi eserlerin okuyucuda daha güçlü bir imge oluşturma doğrultusunda kullanılmaktadır.

Bu doğrultuda, mimari eserlerin ya da yapılı çevre olarak kentlerin edebi eserlerde hangi amaçla ve ne şekilde kullanıldıklarını inceleme noktasında bazı çıkarımlar yapmak için -kesin bir ayrımın yapılması mümkün olmasa da- belirli bir sınıflandırma yapmak önemlidir. Yapılan incelemeler doğrultusunda mimarlık ve edebiyat ilişkisinin 'mimari betimlemelerin hikayede bir altlık ve fon oluşturma doğrultusunda kullanılması', 'mimarlığın ve kentsel yapının toplumsal ve sosyo-ekonomik yaşantıya dair bilgiler vermesi', 'mimarlığın sembolleşmesi belirli bir düşüncenin metaforu olarak kullanılması', 'mimari eserlerin hikayede baş rol olması' ve 'kolektif hafızada yer etmiş yapı veya

yapı tiplerinin kullanılması' başlıkları altında tartışılabilir olduğunu ileri sürmek mümkündür.

Mimarlığın bir altlık ve fon olarak kullanıldığı hikayelerde, fiziksel betimlemeler, okuyucunun gerçekleşen olayları ve çevreyi daha iyi hayal edebilmesine olanak sağlama noktasında kullanılır. Mimari anlatımlar, detaylı tasvirler, hikâyeyi derinleştirir ve güçlendirirken, aynı zamanda hikâyeye yön vermeye de başlar. Genellikle macera, polisiye, dedektiflik ve korku romanlarında kullanılan bu yöntemin en iyi şekilde takip edilebileceği örneklerden en popülerleri Sherlock Holmes hikayeleri ve Dan Brown'ın Robert Langdon karakterinin başından geçen maceralardır. Suçları çözerken bütün ip uçlarını kimsenin bakmadığı açıdan bakan, çevreyi çok iyi şekilde süzen Sherlock Holmes hikayeleri ve simgebilimci profesör Robert Langdon'un gizemli olayları çözerken dünyanın ve özellikle Avrupa'nın çeşitli tarihi kentlerinde gezinmesini, tarihi eserleri ve onlarla ilgili bilgileri kullanarak maceradan maceraya atlamasını konu edinen hikayeler, bolca çevresel betimleme, mimari anlatımlar içermekte, mimarlık sürekli olarak hikayenin arka planında kendisine yer bulmaktadır. Diğer yandan, Türkiye'den örneklere bakıldığında, Orhan Pamuk'un 'Benim Adım Kırmızı' romanı da, hikayeyi Osmanlı dönemi İstanbul'u üzerinden ilerletmesi, konusunun kasvetli havasını kentin yoksul ve fakir mahalleleri üzerinden vermeye çalışması ve bu mekanları bir polisiye tadında hikaye anlatmak için özenle betimlemesi ve aslında kenti öznel bir bakış açısıyla aktarması bakımından, yapılan sınıflandırmaya dahil edilebilir tutuma sahiptir.

Edebi eserlerde mimarlık ve kentsel yapının tasviri ile toplumsal ve sosyo-ekonomik yaşantıya dair bilgiler verme penceresinden bakıldığında, çok sayıda eserin aslında dönemin şartlarını, farklı toplumsal yapıları, devrimleri ve halkın sosyo-ekonomik durumunu fiziksel çevre betimlemeleri üzerinden aktarmaya çalıştığı gözlemlenebilir durumdadır. Bu konuda verilebilecek en eski örneklerden biri M.Ö. VIII. y.y.'da Homeros tarafından aktarılmış olan İlyada ve Odysseia (Odesa) destanıdır. Bu destanda bir yandan dönemin yaşantısıyla ilgili bilgilere ulaşılabilirken, aynı zamanda kentlerin konumları, coğrafi veriler, kalelerin ve surların durumu, yaşam alanlarının ve hatta tanrılar diyarının mekansal organizasyonuna dair bilgilere sahip olmak da mümkündür (Akarsu & Erdoğan, 2016). Ortaçağ edebiyatı ağırlıklı olarak destanlar ve bu destanların kahramanı olan kişilerle fantastik varlıklar üzerine yoğunlaşırken kentsel estetiğin ve klasik mimarlığın tekrar gündeme geldiği Rönesans Avrupası'nda Boccacio'nun merkezinde bir villa olan Decameron'u, Tasso'nun Homeros'a öykünerek yazdığı Kurtarılmış Kudüs'ü gibi örneklerle mimarlık edebiyata tekrar girmiştir. Aydınlanma Dönemi sonrası gelişen sanayi devrimi

ve sömürgecilik özellikle kentlerde yaşanan sorunları mimari betimlerlemerle dile getiren romanlar yazılmasını tetiklemiştir. Bu dönemde gücüne güç katan İngiltere'nin başkentinde hem zengin mahallelerini hem arka sokaklarda yaşanan sefalet ve yoksulluğu kentsel anlatımlarla aktaran Charles Dickens'in Oliver Twist'i bu yaklaşıma güzel bir örnektir. Daha sonra F. Scott Fitzgerald'in mimariyi hikâyede bahsi geçen üst ve alt sınıf vatandaşların yaşantılarına tasvir için kullanan ve toplumsal bir inceleme yapan Muhteşem Gatsby'si, hem iç hem de dış mekan tasvirleriyle karakterlerin toplumsal statülerine dair bilgi veren ve 19. Y.y. Rusya'sının toplumsal yapısını gözler önüne seren Tolstoy'un Anna Karenina'sı gibi eserlerle bu yaklaşım sürmüştür. 20. Yy.'de ise daha çok hafıza mekanları ön plana çıkmaya başlamıştır, bunda kentlerin aşırı tahrip olduğu iki büyük dünya savaşının ve onları izleyen ulusal savaşların rolü olabilir. Dünyada bu tür eserlerin sayısı o kadar çoktur ki bu ayrı bir makale konusudur. Yurtdışında Erich Maria Remarque'nin Kara Anıt'ı, yurtiçinde ise Mithat Cemal Kuntay'ın Üç İstanbul'u gibi pek çok örnek vardır.

Mimarlığın sembolleşmesi ve hikâyede belirli bir düşüncenin metaforu olarak kullanılması ise, özellikle efsane-fantezi eserlerinde ve ütopyalarda-distopyalarda sıkça kullanılan bir yöntemdir. Bu eserlerde yapılar ve kentsel mekân bir düşünceyi, ideolojiyi simgeler, güç kazanır ve sosyal yaşantının metaforu olarak kullanılırlar. Daha doğru bir ifadeyle, fiziksel çevre, gündelik yaşantının aktığı mekanlar olmanın yanı sıra, insanlara belirli bir yaşam tarzını dikte eden, ya da en azından belirli bir düşünce ya da hissi simgeleyen bir auraya sahip olurlar. Bu noktada, efsanevi ya da fantastik öğeleri barındıran ve belki de en önemli örneklerden birisi J. R. R. Tolkien'in Yüzüklerin Efendisi örneğidir. Yüzüklerin Efendisi serisinde, sahne anlatımları duygu ve mutlak iyi- mutlak kötü karakterlere göre ilerler; Hobbit köyü sakin, dingin ve neşeli bir dille aktarılırken, kötülüğü simgeleyen Sauron'un bulunduğu Mordor betimlemeleri, korku hissi veren bir anlatıma sahiptir. Başka bir söylemle, belirli yapılar -Hobbit Evi ya da Kuleler- tasvir edilirken, aslında iyilik ve kötülük, savaş ve barış, kardeşlik ve düşmanlık da okuyucuya aktarılmaktadır.

Bunun yanı sıra, yaşam alanlarını, kentsel mekanları ve mimari ürünleri konu edinen, onların betimlemeleri üzerinden ilerleyen ve hikâyenin merkezini onlara bırakan edebiyat eserlerinin başında ise ütopya çalışmaları gelmektedir. Ütopyalar doğaları gereği, yeni bir yaşam alanı, bir kent, bir mekanlar birliğinden bahsederler. Mekansal olguları kullanarak, anlatımlarını güçlendirir ve canlandırılması kolay, daha inandırıcı ve çekici bir anlatıma sahip olurlar (Yüksel, 2012). Öte yandan, ele alınan yeni yaşam biçimi, ister

istemez bir mekânı zorunlu kılar; "ütopya ancak mekân bağlamında anlaşılabilir" ve anlatılabilir haldedir (Alver, 2009, s. 141). Bu bağlamda verilebilecek en önemli örneklerden birisi, beş bin yıllık ütopya geleneğinde, tam olarak ütopya sayılmasa da, özellikle model olarak öne sürdüğü Atlantis örneği ve betimlemeleriyle, Platon'un Devleti'dir (Yüksel'in aktarımıyla, Usta'ya Göre, 2012). Bu gibi çalışmalarda ideal devlet ve yaşam sistemi tasvir edilirken, ideal kent tanımlaması da kaçınılmaz olmaktadır. Çünkü toplumların organizasyonu, kentin yapısı ile doğrudan ilişkilidir. Ütopyaların tam karşısında duran distopyalar ise, ütopyaların aksine, korkutucu, baskıcı ve genellikle insanlığın kötüye doğru gittiği düşüncesi temel alınarak yakın gelecekte insanlığı bekleyen korkunç dünya tasvirleriyle doludurlar. Bu noktada da, devreye yine mimari betimlemeler girer. Daha önceki dönemlerde genellikle mağaralar ve karanlık üzerinden tasvir edilirken, endüstrileşme ile birlikte genellikle romantik kır hayatından endüstrileşmiş mega kentlere geçişi simgeleyen hızlı ve yüksek yapılaşma ve dolayısıyla gökdelenleri konu edinirler. George Orwell'in (2015) 1984'ünde merkezi otoritenin gücü, anlatılan baskıcı idarenin yanı sıra, yüksek ve beton yapılardan da okunurken, Yevgeni Zamyatin'ın Biz (2019) adlı eserinde, mahremiyetin kalmadığı, bireyselliğin yok edildiği dünya tasviri yine kentsel yapı üzerinden ve mimari betimlemeler çerçevesinde ele alınmaktadır (Şekil 2).

Mimari yapıların edebi eserlerde kendilerine yer bulmalarının bir diğer yolu, aslında hikâyenin merkezinde olmaları ve mimari eserlerin hikâyede baş rol olmasıdır. Bu eserlerde, mimarlık yalnızca bir fon oluşturmakla kalmaz, hikâyenin merkezine oturur, onu yönlendirir, aktarılmak istenen düşünceler onun üzerinden aktarılır, hikâyeye değer katar ve hikâyenin en önemli unsuru haline gelmektedir. Kendilerini dış dünyadan kopararak bir gökdelende yeni bir dünya sistemi kuran insanlar arasında ortaya çıkan sınıfsal bölünmeleri, yozlaşmayı, yapılı çevrenin insan ruhuna etkisini sorgulayan ve dolayısıyla yeni bir mikrokozmos haline gelen gökdelen çerçevesinde şekillenen J. G. Ballard'ın Gökdelen (High-Rise, 1975) eseri, gizemli, manasız ve tehditkar bir atmosfere sahip belli belirsiz bir şatoyu konu edinen ve bütün hikayelerin, aslında gücün, otoritenin ve merkezin sembolü haline gelen bu şato çevresinde şekillendiği Franz Kafka'nın Şato adlı eseri ve Peru'da bir askeri okul üzerinden iç-dış, hapis hayatı-özgürlük gibi konulara değinen ve aslında bir yapı üzerinden ilerlerken ülkenin yönetim tarzını metaforlar üzerinden eleştiren Mario Vargas Llosa'nın Kent ve Köpekler eseri, bu bağlamda verilebilecek örneklerden bazılarını teşkil etmektedirler.

Diğer yandan, bazı edebi eserler hem hikâyeyi güçlendirmek hem de okuyucu ve hikâye arasında daha gerçekçi bir bağ kurabilme maksadıyla kolektif hafızada yer etmiş

yapı ya da yapı tiplerini hikâyenin merkezine yerleştirmeye çalışmaktadırlar. Böylelikle, tasvir edilen yapı ile hikâyeye derinlik katılırken, yapının kolektif hafızadaki yeri dolayısıyla edindiği anlamsal birikimi de hikâyeyi zenginleştirmektedir. Bu yapılar hafızaya kazındıkları için, okuyucuda güçlü bir imge oluşturmakta, istenen etkiyi bırakma konusunda üstlerine düşen rolü en iyi şekilde oynamaktadırlar. Bu doğrultuda verilebilecek en önemli örneklerin başında Victor Hugo'nun Notre-Dame'ın Kamburu adlı eseri gelmektedir. Roman, Quasimodo ve Esmeralda'nın imkânsız aşkını konu edinirken, aslında bütün hikâye katedral üzeriden aktarılır. Notre-Dame katedrali okuyucunun karşısına hikayedeki en güçlü karakterlerden biri olarak çıkar ve aynı zamanda anlatımlarda katedral ve Quasimodo bütünleşir; aralarında görsel ve ruhsal bir uyum ortaya çıkmaya başlar. Daha doğru bir söylemle, bu anıtsal yapı, fiziksel varlığının ötesinde bir canlılığa ve değere sahip olmaya başlar. Diğer yandan, Amor Wowels'in 'Moskova'da Bir Centilmen (A Gentleman in Moscow) eseri de, kolektif hafızada yer etmiş yapıların edebi ürünlerde baş rol oynamaları noktasında verilebilecek güncel örneklerden birisidir. Hikâye bir Rus aristokrat olan Kont Rostov'un, hayatının geri kalanını Moskova'nın anıtsal yapılarından biri haline gelmiş Hotel Metropol'de geçirmesi çerçevesinde ilerler.

Bu bağlamda, mimarinin ve yapılı çevrenin, hikayelerde kendilerine farklı roller buldukları, yazarın tavrına göre kimi zaman baş rol oldukları, kimi zaman bir fon olarak kullanıldıkları, ancak en önemlisi, yalnızca fiziksel varlıklarına değil, onların temsil ettikleri değerlere, bünyelerinde kodladıkları bilgilere de odaklanıldığı çıkarımını yapmak mümkündür. Bu noktada, çalışmanın ileriki bölümlerinde de odaklanıldığı gibi (Drina Köprüsü), köprülerin de hikayelerde önemli bir anlatım ve aktarma güçleri olduğunu görürüz. Fiziksel olarak temelde iki farklı noktayı birleştiren köprüler, aynı zamanda metaforik olarak iki farklı zamanı, kültürü, aşkı, ulaşılamaz dünyaları da birbirlerine bağlayan bir unsur olarak temsil edilmektedirler. Köprülerin bu simgesel güçleri, onların edebi eserlerde neden önemli rollere sahip olduklarını kanıtlar niteliktedir. Bu bağlamda Ernest Hemingway'in Çanlar Kimin İçin Çalıyor adlı eserinin merkezindeki köprü, Thomas Hardy'nin Mayor of Casterbridge romanındaki kasabanın tüm olaylarının vücut buluğu Casterbridge Köprüsü ve Ian Banks'in Köprü romanı edebi eserlerde köprülerin merkezde olması noktasında verilebielcek örneklerden bazılarıdır.

Köprüler, bu çalışmada konu edinen Ivo Andriç'in düşünce ve yazım dünyasında da önemli bir yere sahiptir. Ivo Andriç, yalnızca odaklanılacak olan Drina Köprüsü örneğinde değil, diğer çalışmalarında hem genel olarak mimari mekanlara hem de

özellikle köprülere eğilir ve onların önemine vurgu yapar. Drina Köprüsü hikayesine benzer bir kurguda ilerleyen Zepa Köprüsü çalışması ve köprüler üzerine yazdığı makaleler, Andriç'in köprüleri önemli bir hikâye anlatıcısı olarak gördüğünü ortaya koymaktadır. Mirocha'ya (2019) göre özellikle Slav Edebiyatı'nda yeni bir odak noktası oluşturan ve köprülere dikkat çeken kişi olan Ivo Andriç, köprülerle ilgili düşüncelerini şu şekilde aktarmaktadır:

> [Köprüler] evlerden daha önemlidir, daha kutsaldırlar ve tapınaklardan daha evrenseldirler. Herkese aittirler ve herkese aynı şekilde davranırlar; faydalıdırlar, çoğu insan ihtiyacının iç içe geçtiği bir noktada; her zaman bir amaç uğruna inşa edilmiş, diğer binalardan daha dayanıklıdırlar ve hiçbir sır ya da kötü amaca hizmet etmezler. (İvo Andriç, Mirocha'nın (2019) aktarımıyla)

Bu noktada, çalışmanın amacı, edebiyatta mimarlık ve mimarlık ürünlerinin nasıl kullanıldığını ve mimari ürünlerin hikâye anlatımında üstlendikleri role odaklanmaktır. Bu doğrultuda, örnek eser olarak İvo Andriç'inDrina Köprüsü eseri incelenecek, edebiyat ve mimarlık arasındaki ilişkiler sistemi, bu çalışma üzerinden sorgulanmaya çalışılacaktır.

3. Hafıza, Anıtsallık ve Drina Köprüsü

Edebi eserlerde mekanlar, mimari ürünler ve dolayısıyla kentler önemli bir yere sahiptirler. Çünkü, bu unsurlar hikâyeye altyapı oluştururken, aynı zamanda toplumsal değerleri de yansıtırlar ve hikâyeyi zenginleştirirler. Edebiyat tarihinde, mimari ürünün/ mekânın merkezde yer aldığı ve hikâyeye yön verdiği örneklerin sayısı çoktur ve bunlardan biri de, İvo Andriç'e 1961 yılında Nobel Edebiyat Ödülü'nü kazandıran ve 1945 yılında yayınlanan Drina Köprüsü eseridir. Drina Köprüsü, yerel bir hikâye anlatırken, değindiği konular, tartışmaya çalıştığı olgular, yaşama dair paylaştığı düşünceler ve toplumsal olaylar üzerine eğilmesi ile, dünyanın genelinde yaşanan olaylara gönderme yapmaktadır ve yüzyılları konu edinen yapısı ile çok farklı kültürlere dair bilgiler içermektedir. Bunun yanı sıra, merkeze bir köprü yapısını koyan eser, aynı zamanda mimari yapıların ve kentsel mekanların toplumsal yaşamda ne gibi rollere büründüklerini, nelere tanık olduklarını, kolektif ve kentsel hafızada nasıl yer edindiklerini, yapılarınanıtsallaşma evresini ve mimari ürünlerin araçsallaşma bağlamında edebiyatta nasıl yer aldığını anlama ve sorgulama bağlamında önemli veriler barındırmaktadır.

Drina köprüsü eseri, günümüzde Bosna Hersek'te konumlanan Vişegrad ve çevresi üzerine eğilen yapısı ile, bir yandan yerel bir hikâyeyi, tarihi konu edinirken, bir yandan da Osmanlı ve Avusturya "mparatorluklarına dair toplumsal bilgiler içerir ve yaklaşık olarak 350 yıllık bir zaman dilimini konu edinir. Eser, Osmanlı egemenliği altındaki Vişegrad kasabasında XVI. y.y.'in ikinci yarısından yapımına başlanan Drina Köprüsü'nün 1914 yılına kadar şahit olduğu olaylara ve köprünün bu toplumsal olaylarda üstlendiği rollere odaklanır. Her zaman köprünün merkezde olduğu hikayelerle ilerleyen eserde, farklı dönemlerde yaşanan farklı hikayeler anlatılır, çok sayıda karakter hikâyeye girip çıkar ve zamanın ilerleyişi kronolojik bir şekilde ele alınır. Hikâye önce Drina Köprüsü'nün anıtsal duruşunun, güzelliğinin, toplum özelinde değerinin anlatımı ile başlar ve sonrasında köprünün yapımındaki temel motivasyonları incelemek üzere, Sokollu Mehmet Paşa'nın çocukluk dönemine gidilir. Devamında, köprü yapılmadan önceki Vişegrad'ın mekansal ve toplumsal özellikleri tanımlanır ve asıl hikâye köprünün yapım aşamasının aktarılmasıyla başlar. Beş yıl süren inşaat çalışmaları, ilerde köprü ile ilgili oluşturulacak olan mitlere, efsanelere, hikayelere zemin hazırlamıştır. Başta zalim Abid Ağa tarafından sürdürülen çalışmalar, herkesin sevdiği ve insaflı olan Arif Bey ile sonlandırılmış, böylelikle Vişegrad'ın dönüşümünü tetikleyen köprü inşaatı, yüzyıllara yayılacak olan hikayelerin temelini oluşturmuştur. Hikâyenin devamında, köprünün hem topluma hemde kasabanın mekansal organizasyonuna etkisi aktarılmakta, Osmanlı'nın en güçlü dönemlerinden başlayarak topraklarını kaybetmesi, Vişegrad'ın Avusturya İmparatorluğu'nun egemenliği altına girmesi, bölgede yaşanan sel felaketleri, salgınlar, göçler, tarihi olaylar eşliğinde köprü bağlamında anlatılmaktadır.

Öte yandan, eserde, Andriç'in deyimiyle "köprüye yaslanmış olan bu kasabanın" (2019, s.140) tarihinde yaşanan savaşlar, felaketler, kuraklıklar, ölümler, önemli yapıların yapımı ve yıkımı, kasabanın farklı yönetimler altına girmesi gibi olaylar da yine bir şekilde köprüyle bağlantı kurularak ele alınır. Büyük sel felaketi, köprünün ilk kez su altından kalması ile hatırlanır, tarihsel olayları bildiren ilanlar köprü üzerindeki duvara asılır, cezaların infazı köprü üzerinde gerçekleşir, işgalin başladığı tarihe "sarı boyalı Avusturya arabalarının köprünün üstünden ilk geçtiği günden bu yana 20 yıl kadar olmuştu" (Andriç, 2019, s.228) gibi ifadelerle referans verilir, I. Dünya Savaşı ve yaşattığı vahşet, "köprü de orada bir mahkuma benziyordu (…) çarpışan iki dünya arasında hala bütün ve hala dokunulmamış olarak uzanıyordu (Andriç, 2019, s.357) gibi tanımlamalarla köprü üzerinden aktarılmaktadır. Diğer bir söylemle, köprü hem yerel ölçekteki toplumsal yaşamın, hem de tarihi olayların anlatıcısı konumundadır. Tıpkı Viollet-Le-Duc'un anıtları tarif ederken tanımladığı gibi, Drina Köprüsü de, tarihte yaşanmış hadiselerin en canlı

tanığıdır ve bu nedenle tarihin konuşma aracı ve bir milletin karakterinin, kültürünün mimari temsili olarak tanımlanabilir (Rossi, 1982'de atıfta bulunduğu gibi) durumdadır. Bu noktada, bu denli önemli niteliklere sahip ve anıtsal bir yapı olan Drina Köprüsü, çalışmada, mekansal özellikleri, çevresini etkilemesi ve şekillendirmesi, toplumsal yaşamda edindiği yer, zaman içerisinde anıtsallaştırılması ve politikleştirilmesi başlıkları altında değerlendirilecek ve mimari ürünün hikâye anlatma gücü bağlamında sorgulanacaktır.

3.1. Köprünün Mekansal Özellikleri ve Çevresini Şekillendirmesi

Andriç'in anlatımı ile, Drina Köprüsü, taştan yapılmış, birbirini takip eden on bir kemerden oluşan bir yapıya sahiptir; uzunluğu iki yüz elli, genişliği ise yaklaşık on adımdır ve merkezinde konumlanan iki terasla genişlemektedir. Yardımcı sütunlarla desteklenmiş ve parmaklıklarla çevrelenmiş bu teraslara 'Kapiya' adı verilir (Şekil 3.1, Şekil 3.2). Teraslardan birisinde oturma yerleri bulunur ve 'Sofa' olarak bilinirken, diğeri boştur. Aynı zamanda insan boyunda bir taş duvara sahip olan mekânda köprüyü kimin yaptığını anlatan bir yazıt bulunmaktadır. Kapiya ismiyle anılan bu mekân, köprüye, karşıdan karşıya geçirme ve bağlayıcılık işlevleri dışında, bir de kamusal mekân işlevini tanımlamaktadır.

Öte yandan, hikayelerin odak noktasında yer alan köprünün, zaman içerisindeki fiziksel dönüşümü hakkında da bilgilere rastlamak mümkündür. Öncelikle, sel felaketleri, çatışmalar, salgınlara sahne olan köprüde yıllar boyunca görülebilecek en büyük değişimler, üzerinde kurulan denetleme amaçlı nöbetçi kulübeleridir. Böylelikle, "köprüye ne yıllar, ne yüzyıllar, ne de insanlarla olan ilişkilerindeki hazin değişiklikler bir şey yapabilir. Bütün bunların üstünden, tıpkı parlak ve cilalı kemerleri altından akan azgın sular gibi gelip geçer" (Andriç, 2019, s. 111). Ancak, Vişegrad Avusturya İmparatorluğu hakimiyetine girdikten sonra, çevrede olduğu gibi, köprüde de değişimler yaşanmaya başlamıştır. Köprüde, ilk restorasyon ve bakım çalışmaları bu dönemde yapılmış, çürüyen taşlar değiştirilmiş, küçük dolgular yapılmış, bitkiler temizlenmiştir. Sonrasında ise, önce kasabaya su getirmek için köprüde kazı çalışmaları yapılmış, ardından, gerektiği taktirde köprüyü patlatmak için ortadaki sütunlardan birisine çukur açılarak içerisi patlayıcı ile doldurulmuştur. Bu müdahaleler, köprüde küçük değişimlere neden olsa da, sonrasında ayaklanma döneminde bazı top atışları ve mermiler köprüye isabet etmiş, küçük yıkımlar yaratmıştır. Ancak, köprüyü etkileyen en büyük olay, patlayıcılar sonucunda köprünün ortasında büyük bir yıkımın yaşanması olarak kayıtlara geçmiştir (Şekil 4.1, Şekil 4.2).

> Gözü köprüye ilişti. Kapıya yerinde duruyordu. Ama hemen sonra köprü ikiye ayrılıyordu. Yedinci sütun ortada yoktu. Altıncı sütunla sekizinci sütun arasında bir boşluk sırıtıyor ve böyle yandan bakınca ırmağın yeşil suları görünüyordu. (Andriç, 2019, s. 362)

Diğer yandan, köprünün yapımı, Vişegrad'ın dönüşümünü de tetiklemiş, köprü çevresinin şekillenmesinde de baş rolü üstlenmiştir. Doğu ile Batıyı bağlayan bu köprü, Vişegrad'ın ticari ve siyasi anlamda stratejik önem kazanmasına sebep olmuştur (Hasdedeoğlu, 2016). Andriç'in anlatımı ile "kasaba köprü sayesinde yaşadı ve sağlam bir kökten güç alır gibi büyüdü" (Andriç, 2019, s.11). Köprünün inşa edilmesi, ırmağa yakın yeni yolların kurulmasına, çevresinde yeni yapılaşmaların doğmasına, kasabanın dağlardan ırmağın kenarlarına inmesine neden olmuştur. Yanı başında yapılan Taş Han ise, ticaretin gelişmesine, dışarıdan yolcuların gelip kalmasına vesile olmuş, böylelikle kasaba köprü ve hanın etrafında şekillenmeye, gün geçtikçe büyümeye başlamıştır. Avusturyalılar'ın gelişiyle ise, yapılan önemli sistematik çalışmalarla birlikte –ölçümler, altyapı çalışmalarrı, belediye binaları- Vişegrad kasabası hızla kente dönüşme doğrultusunda adımlar atmış, eski dokusu değişmeye başlamıştır. Çarşıdaki düzensiz yapılaşma yıkılmış, yerine daha düzenli ve yeni yapılar yapılmış, meydan genişletilmiş, yollar onarılmış, ağaçlar dikilmiş, yıllardır bakımsızlıktan yıkılan ve harabeye dönen Taş Han'dan kalan bütün izler temizlenerek yeni bir ordu evi yapılmıştır. Sonrasında yaşanan göçler ve değişen toplumsal yapı ile bölgede yeni ticaret yapıları, atölyeler, oteller (Lotika Oteli) kurulmuş, nehrin kıyısında da yeni bir ordu evi inşa edilmiştir. Visegrad'ta yaşanan tüm bu gelişmeler, köprüyü de etkilemiş, köprü her gün temizlenmeye başlanmış, önce fener sonrasında da elektrik ile aydınlatılmıştır. Bu noktada köprüyü etkileyen en önemli gelişme ise, dünya genelinde stratejik ve politik bir öneme sahip olan Doğu Demiryollları çalışması ile kasabaya tren istasyonunun yapılmasıdır. Tren yolu ve istasyonun yapılmasıyla birlikte, köprü eski önemini yitirmeye başlamıştır.

3.2. Köprünün Toplumsal Yaşamdaki Yeri

> Büyük, güzel ve yararlı olan her yapının başlangıcı, yaşantısı ve içinde yükseldiği toplumla olan ilişkisi birtakım esrarlı, acıklı ve karmaşık hikâyelerin doğmasına sebep olur. Her ne hal ise... Her halde, bu kasaba halkının yaşantısı ile köprünün arasında yüzlerce yıllık sıkı bir bağ var. Alınyazıları birbirine öylesine kenetlenmiş ki, onları birbirinden ayrı olarak düşünüp anlatmak elde değildir. Onun için köprünün yapılışı ve alınyazısı

anlatılan hikâyeler, aynı zamanda kasabanın ve kasabalıların hayat hikâyesidir. Kuşaktan kuşağa ve ağızdan ağıza anlatılan kasaba ile ilgili bütün hikâyelerde, orta yerinde bir taç gibi taşıdığı Kapiya'sı ve on bir kemeriyle, her halde taş köprünün de adı geçer. (Andriç, 2019, s. 19-20)

Yüzyıllar boyunca Vişegrad kasabasında yaşantının merkezinde yer alan Drina Köprüsü, bu özelliği ile hafızanın önemli bir bileşeni haline gelmiştir. Köprü, ölümsüz yapısı ile, zamana meydan okumuş, kasabadaki toplumsal yapı değişirken, o hep aynı kalmış ve yaşananların en önemli temsilcisi olmayı başarmıştır. Bu noktada, Drina Köprüsü, Şenyiğit & Tefek'in (2019) mimarlık ve mimari ürünlerin bilgi aktarma yetenekleri ile ilgili yaptıkları tanımlamaya uymaktadır: mimarlık, zamanının en güvenilir tanığı iken, aynı zamanda bir tarihi belge gibi kendi zamanındaki toplumsal yapıya dair en önemli bilgi kaynağı konumundadır (Şenyiğit & Tefek, 2019). Bu anlamda, Drina Köprüsü de, Vişegrad kasabasında yaşanmış olan olayların, hikayelerin ve orada yaşamış olan toplumun en güçlü tanığıdır denilebilir.

Köprünün yapılışından itibaren, özellikle Kapiya bölgesi, toplumsal yaşamın en önemli mekânı halinini almıştır. Kapiya, eser boyunca anlatılan hikayelerin, tarihi olayların en önemli şahididir (Hasdedeoğlu, 2016). Halk, çocukluktan itibaren köprünün çevresinde büyür, oynar, zaman geçirir, manzarayı seyreder; yaşamın farklı evrelerinde köprünün farklı yerlerinde bulunmaktadır. Büyüyen çocuklar, kapiyaya geçerek sohbetlere dalar, kendisini göstermek isteyen ya da birisini görmek isteyen herkes burada buluşur, en önemli günler burada yaşanır, mutlu ve huzurlu günler köprüde ve kapıyada geçer. Diğer bir söylemle, dilenciler, sakatlar, cüzzamlılar, din adamları, tüccarlar, çocuklar, genç delikanlılar ve yaşlılar hep buradadır, düğün ya da cenaze alayı köprüden geçerken kapıyada durur, çünkü kapıya "kasabanın can damarı, köprünün kalbidir"(Andriç, 2019, s. 17). Kahveciler kahvelerini burada demler, tüccarlar mallarını burada satar, Museviler cumartesi günleri köprüde kutsal günlerini kutlar, Kilise'ye vaftiz edilmeye götürülen çocuklar buradan geçer, kumar burada oynanır, aşklar burada başlar ve burada sonlanır. Köprü, ancak kışın soğuk havalarda ve savaş zamanlarında boşalır.

Öte yandan, yönetim ve denetim de köprü üzerinde gerçekleşir; en önemli bildiriler, haberler kapiya'daki duvara asılmış, en önemli cezalar ve infazlar köprü üzerinde gerçekleşmiş ve sergilenmiştir. Göç eden insanlar köprüde durup soluklanmış, askere giden gençler köprüden geçmiş, ticaret yapanlar mallarını köprü üzerinden taşımıştır.

Köprü, aynı zamanda farklı grupların bir araya geldiği ve bağ kurduğu bir mekân halini almıştır. Hem en güzel, hem en kötü hem de en korkutucu olaylar köprüde meydana gelmiştir. Böylelikle, köprü en önemli toplumsal olayların gerçekleştiği mekân haline gelirken, farklı anlamlara bürünmüş, farklı çağrışımlar yapmış ve kolektif hafızadaki yerini güçlendirmiştir. Değişen zamanda, geçmişin, geçmiş yaşantının belki de tek hatırlatıcısı, nostaljik bir unsur olarak köprü kalmıştır.

Ancak, yaşanan savaşlar, işgaller, ayaklanmalar, toplumsal yapıda dönüşümler yaşatırken, bu dönemlerde toplumsal yaşamdan izole olan köprünün anlamını da değiştirmeye başlamıştır. Özellikle yanındaki Taş Han'ın yıkımı ile, "artık, köprü dokunulmamış olarak bir başına kalmıştı. Doğruyu söylemek gerekirse, yabancıların getirdikleri yeniliklerle, halkın değişmeyen geleneklerinin çarpışması asıl köprüde başladı" (Andriç, 2019, s. 156). Köprüde yaşanan ilk yenilik, Avusturyalı askerlerin gelmesiyle olmuş; köprüde artık subaylar ve eşleri zaman geçirirken, kadınlar da ilk kez köprüye gelmeye başlamıştır. Sonrasında, üniversiteye giden ve okuyarak dünyayı gören gençler, köprüde oturmaya başlamış, böylelikle değişen toplumsal yapı neticesinde köprüde yapılan aktiviteler de değişmiştir. Eskiden boş zaman geçirilen, dedikodu yapılan, dini tartışmaların sürdürüldüğü, işsiz gençlerin oturduğu kapıyada, şimdi de yeni düşünceler, bilimsel, kültürel ve siyasi tartışmalar ve liberal, özgürlükçü, devrimci konuşmalar yapılmaya başlanmıştır.

Köprünün anlamını ve toplumsal yaşamdaki rolünü dönüştüren bir diğer kırılma anı ise, tren yolunun yapılmasıdır. "Artık yolculuklarda köprü kullanılmıyor, kimse oradan uğurlanmıyor, orada vedalaşılmıyor, (…) yolcuların arkasından su dökülmüyordu" (Andriç, 2019, s.241-242). Böylelikle, köprü artık doğu ve batıyı birleştiren yol olmakta çıkmış, önemini yitirmeye başlamıştır. Sonrasında yaşanan I. Dünya Savaşı da köprüdeki hayatı etkilemiş, köprü yeniden korkunun, vahşetin ve üzüntünün merkezi haline gelmiştir. Yüzyıllar boyunca çok önemli olaylar yaşanmış, kuşaklar yer değiştirmiş, toplumsal yapı katmanlaşmış, Vişegrad kasabadan kente dönüşmüş ancak Drina Köprüsü yine ihtişamlı duruşuyla kararlı bir şekilde yaşantının merkezinde durarak geçip giden zamanın en canlı tanığı ve en önemli hikâye anlatıcısı olmayı sürdürmüştür. Tıpkı Benjamin'in tanımladığı gibi, mimarlık, toplumların gizli kalmış mitolojilerinin en önemli tanığıdır (Spurr'un aktarımı ile, 2012). Bu bağlamda, Drina Köprüsü de, Vişegrad'da yaşamış olan toplumların en güçlü tanığı olmayı sürdürmüştür.

3.3. Anıtsallık, Sembolik Değer ve Politikleştirme

Toplumsal yaşamda ve kolektif hafızada bu denli önemli bir yere sahip olan Drina Köprüsü, gün geçtikçe çeşitli efsanelere konu olmaya başlamış, üzerinden masallar uydurulmuş ve aynı zamanda taşıdığı anlam ve sembolik değerler nedeniyle anıtlaşmış/anıtsallaşmıştır. Crinson'a göre, anıtların en önemli işlevi, kentli ile geçmişte yaşanmış olaylar arasında ilişki kurmaktır (Crinson, 2005). Bu bağlamda, Drina Köprüsü de, bir anıt yapı olarak, toplumun geçmiş ile bağ kurabildiği ve yeni hikayelerin yazıldığı bir mekan haline gelmiştir.

Drina Köprüsü, Andriç'in eserinde sembolik değeri olan bir yapıdır. Köprünün neleri sembolize ettiği ise bir tartışma konusudur. Mirocha, köprünün, feminen olarak tanımlanabilecek nehrin üzerinden geçen maskülen bir eleman metaforu olarak kullanılabileceğini, aynı zamanda köprünün 'anne karnından dünyaya, yaşamdan ölüme, eskiden yeniye, bir noktadan başka bir noktaya 'geçiş'in sembolü olarak kullanılmış olabileceğini ileri sürer (Mirocha, 2019). Bu noktada, özellikle 'geçiş' kavramı önemlidir. Çünkü, köprünün temel fonksiyonu olan bir yerden bir yere geçirme ve belirli engelleri –yükseklik, uçurum, su- aşmanın dışında, köprü aynı zamanda doğu ile batı arasında bir geçişi ve farklı kültürler arasında da bir geçiş görevini görmektedir. Bunun yanı sıra, bir vezirin vakfiyesi olarak köprü, aynı zamanda Sokullu Mehmet Paşa'yı ölümsüzleştiren ve Osmanlı İmparatorluğu'nun gücünü gösteren bir yapıya sahiptir. Köprü, halkın gözünde, yapıldığı tarihten itibaren ayrı bir öneme sahiptir ve diğer hiçbir yapıya benzemez ve köprünün anlamı ve değeri şu ifadelerle anlatılır:

> Sanki hayatın bilinen elemanlarına: Gökyüzü, toprak ve suya, birdenbire bir eleman daha katılmıştı. Hayırsever birinin çabasıyla, insanların en eski rüyalarından, en büyük isteklerinden biri gerçekleşivermişti: Suyun üstünde yürümek ve mesafeleri yenmek! Orada sanki yeryüzünde yürümüyor, havada uçuyor gibiydiler. (Andriç, 2019, ss. 71-72)

Bu bağlamda, köprünün doğaüstü bir obje olarak görüldüğü ve aslında yapılırken de, kullanılan malzeme, teknoloji, ayrılan bütçe ile anıtsal bir köprü yapılmaya çalışıldığı söylenebilir. Lefebvre, anıtları "tasarlamanın ve tahayyül etmenin mümkün olduğu tek kolektif yaşam yeri" (2017) olarak tanımlamaktadır. Drina Köprüsü de, mekansallığı, amacı ve simgelediği anlamlarla tasarlanmış bir anıt olarak tanımlanabilir özelliklere sahiptir.

Andriç, köprüyü ve köprüye gösterilen önemi, anıtsallaştırılmasını tariflemeye çalışırken, köprünün doğaya karşı gelmesini, köprünün insan hayatından uzun ömrü ile ölümsüz görülmesini, köprünün yapımına karşı gelen ve ona zarar vermeye çalışan insanların öldürülmesini, köprü çalışmasında ölen Arap'ın mezarına köprünün taşlarından birisinin hatıra olarak yerleştirilmesini, yakındaki dağlara çıkılıp köprünün manzarasının seyredilmesini ve aynı zamanda o dönemde kasaba dışındaki insanların ilgisini çekerek turistik bir yer haline gelmesini başlıca örnekler olarak aktarmaktadır. Aynı zamanda, Osmanlılara ve Müslümanlar'ın bazılarına göre köprü bütün insanlardan daha önemli bir yere sahiptir ve o 'Allah tarafından korunan' bir yapıdır. Bu bağlamda, köprünün, temel fonksiyonu dışında, çok büyük anlamlar yüklenen bir yapıya sahip olduğunu ve anıtsal özelliğiyle, kolektif hafızanın ve kentsel hafızanın önemli bir bölümünü oluşturduğunu söylemek mümkündür.

Öte yandan Andriç, böylesine önemli değerler ve anlamlar yüklenen köprüyü, tarihi olayları anlatmak için bir araç olarak da kullanır. Kujundziç'e göre de, tarih Andriç'in eserlerinde önemli bir yere sahiptir ve Andriç tarihi genellikle, onu inşa eden kişinin hatırasını yansıtan ve aynı zamanda kalıcı tarihi anıtlar olan köprüler üzerinden ele almaktadır (Kujundziç, 1995). Bunun yanı sıra, Andriç'in eserlerinde konu edindiği kentler ve yapılar, genellikle doğup büyüdüğü, özümsediği, değerlerini benimsediği yerlerdir ve bu sebeple onun gözünde ayrı bir öneme sahiptirler.

Köprünün anlatıcı olarak seçilmesinin nedenlerinden birisi de, herkesin köprüyü farklı bağlamlar özelinde ele alması, değerlendirmesi ve anlamlandırmasıdır. Köprü, tarihi olayların ve kolektif hafızanın merkezinde yer alırken, aynı zamanda Vişegrad halkının yarattığı çok sayıda efsanenin de ana kahramanı olmuş ve zamanla politikleştirilmeye başlanmıştır. Öncelikle, yaratılan mitlerde ve uydurulan masallarda köprü, farklı dine mensup kişilerce farklı anlamlara bürünmüş, her dine uygun şekilde efsanelere konu olmuştur. Böylelikle, köprü bazıları tarafından içselleştirilirken, bazıları tarafından ötekileştirilmiş ya da farklı topluluklara mal edilmeye çalışılmıştır. Başka bir söylemle, tıpkı Andriç'in kendisi gibi, Drina Köprüsü de politikleştirilmiştir (Mirocha, 2019). Oysa, Bevan'ın da dediği gibi 'binalar politik değildir, yapılma, saygı görme ve tahrip olma nedenleri ile politikleştirilirler (Bevan, 2016, s. 23). Andriç'in anlatımında da, Drina Köprüsü, ideolojik ya da politik olarak ele alınması gereken bir objeden çok, Vişegrad halkının kolektif hafızasında yer etmiş ve hatta toplumun yüzyıllara dayanan tarihini yansıtan, toplumun bir parçası haline gelen, onu seven insanlarla bütünleşen bir mimari ürün olarak ele alınmıştır. Öyle ki, hikâyenin sonunda patlama sonucu

köprünün bir bölümünün yıkılması ile, Ali Hoca da yıkılır, yere düşer ve son nefesini verir. Diğer bir ifadeyle, köprünün yıkımı, onu çok seven ve değer veren Ali hocanın ölümü olmuştur.

3.4. Hikâye Anlatıcısı Olarak Drina Köprüsü

Andriç'in hikayelerinin çoğunda, kentlerin önemi büyüktür. Drina Köprüsü örneğinde de görüldüğü gibi kentler ve yapılar, hikâyeye derinlik katan, onları aktaran objeler olarak kullanılırlar. Bunun başlıca nedeni, Andriç'in yaşamı boyunca dünyayı gezerken çok sayıda kenti görmüş olması, farklı kültürleri tanıması ve yaşadığı farklı kentlerin yapısı, sosyolojisi, mimari özellikleri ve tarihi hakkında sürekli yazılar yazarak (Solak, 2010) onları tasvir etmeye çalışmasıdır. Böylelikle, Andriç eserlerinde, Drina Köprüsü'nde olduğu gibi, kentleri, köprüleri ve dolayısıyla mimari mekanları bir hikâye anlatıcısı olarak kullanmayı seçmiştir. Akarsu & Erdoğan'a (2016) göre, "kuşkusuz her yaşamsal an bir mimari mekânda geçer ve biraz zorlamayla bütün edebi yapıtları mimarlık kültürüne dahil etmek mümkündür" (Akarsu & Erdoğan, 2016, s. 14). Ancak, Drina Köprüsü örneğinde zorlamaya gerek yoktur; hikâyenin baş kahramanı mimari ürün olarak Drina Köprüsü'dür. Aslında, kitabın özgün adı bu durumu tanımlar niteliktedir. Özgün adı "Na Drini Cuprija" olarak geçen ve Türkçe'ye tam olarak "Drina Köprüsü'nde" olarak tercüme edilebilecek olan başlık, bütün hikâyenin 'köprü üzerinde' geçtiğini müjdeler niteliktedir.

Köprünün kuruluş tarihinden konu edinen I. Dünya Savaşı'na kadar, bütün toplumsal olaylar, eğlenceler, üzüntüler, doğumlar, ölümler, yıkımlar köprü ile ilişkisi bağlamında ele alınmış, tarihi olaylar da köprü üzerinden aktarılmıştır. Çünkü, halihazırda kasaba halkının en çok zaman geçirdiği yer olmanın dışında, köprü, stratejik konumu ve Drina'yı geçen tek köprü olma özelliğiyle de ayrı bir öneme sahiptir. Bu nedenledir ki, doğu ve batı arasında yapılan denetimler, baskınlar, isyanlar sürekli köprü ile ilintili ilerlemektedir.

Bu bağlamda, köprü aslında Vişegrad halkı ile aynı kaderi paylaşan, aynı olaylara karışan, toplumun yaşantısındaki dönüşümleri kendi üzerinde hisseden, değişik dönemlerde olagelen farklılıkları kendi vücudunda bir şekilde yansıtan, şekil değiştiren, üzerine birşeyler eklenen, birşeyler çıkartılan, üzerinde birşeyler yaşanan bir kentsel mekandır. Köprü Vişegradlıların hafızası, bütün yaşanmışlıkların en güçlü tanığı ve aynı zamanda ayrılmaz bir parçasıdır. O, her çağa ayak uyduran, kendisine rol bulan, yaşantıya bir şekilde kendisini dahil eden, yeni kentsel efsanelerin oluşmasına sebep olan, tarihin yazılmasında baş rolü oynayan bir yapıdır. Başka bir deyişle, her ne yaşanırsa yaşansın,

köprü hikâyenin ana kahramanı ve anlatıcısı olmayı sürdürmüş, köprünün yapımı ile başlayan hikâye, köprünün I. Dünya Savaşı sırasında darbe alması ve Ali hocanın ölmesiyle sonuçlanmıştır.

4. Sonuç ve Tartışma

Fiziksel çevre, tarih boyunca anlatılan hikayelerin merkezinde yer almış, hikayelere yön vermiş, derinlik katmış, inandırıcılık getirmiş ve bazı durumlarda hikayelerin ana karakteri olarak kullanılmıştır. Tarih öncesinden bu yana, kentler ve mimari ürünler, edebi eserlerin vazgeçilmez hikâye anlatıcıları olarak kullanılmış, özellikle ütopya kurgularında ayrı bir önemle ele alınmışlardır. Bu durum, Shoemaker'in da değindiği gibi, mimarlık ve edebiyatın kültürün sembolü olarak anlaşılmasından (Shoemaker, 1950) ileri gelmektedir. Her ikisi de, kültürel bilgileri aktarma kabiliyetine sahiptir ve bu nedenle karşılıklı bir ilişkiden söz etmek mümkündür. Bu bağlamda, barındırdığı değerler, içerisinde ve çevresinde akan yaşam ve benliğine kodlanan bilgilerle mimari ürün ve mekanlar, hikâye anlatma gücüne ve yeteneğine sahip objeler olarak tanımlanabilirler ve tam da bu sebeple hikâye anlatımında önemli bir konuma sahiptirler.

Bir örnek vermek gerekirse, Kurt Vonnegut, Mezbaha No: 5 kitabında, II. Dünya savaşında yaşanan trajik yıkımları ve vahşeti, Dresden kenti üzerinden ele alır ve şöyle aktarır:

> Dresden kocaman bir aleve dönüşmüştü (...) mineralden başka bir şeyi bulunmayan Ay'ı andırıyordu (...) Dresden 13 Şubat 1945 gecesi yerle yeksan edildi. BillyMontana'ya mezbahanın çevresinde tepeler, sıradağlar yaratan binaların başına gelenleri anlattı. Çökmüştü hepsi. Ahşapları kule, taşları toza dönüşmüş, birbirleri üzerine yığılan duvarlar alçaçık kalmış pek zarif kavişler doğurmuştu. (Vonnegut, 2016, ss. 150-151)

Kitapta yıkımın şiddeti, ölen insanlar yerine, yıkılan kent ve yapılar üzerinden tariflenir. Bu noktada, Andriç'in de benzer yaklaşımı benimsediğini ileri sürmek yanlış olmaz. Andriç de benzer şekilde Vişegrad kasabasında süregelmiş olan toplumsal olayları, yaşantıyı ve tarihi, bir mimari ürün olan Drina Köprüsü üzerinden aktarmaya çalışılır.

Hikâyede, herşeyin üstünde, zamandan bağımsız var olan, ölümsüz olarak tanımlanan Drina Köprüsü, yarattığı mekansallık ile –özellikle kapiya bölgesi- gündelik ve toplumsal

yaşamda önemli bir yere sahip iken, Notre Dame'ın katedrali gibi aynı zamanda çevresini de şekillendiren bir unsur olarak dikkat çekmektedir. Böylelikle, hikâyede, yalnızca Drina Köprüsü üzerinde yaşananlar değil, dolaylı olarak köprüyle ilişki kuran diğer olaylara da değinilmiş, ancak sonuç olarak her zaman köprü merkezli bir anlatım seçilmiştir. Köprü, yalnızca canlıları ve araçları karşıdan karşıya geçiren bir obje olarak değil, önemli kültürel değerlere ve dolayısıyla anlamlar dünyasına sahip bir mimari ürün olarak ele alınmış, köprünün sembolü olduğu düşünceler, ideolojiler, yaşantılar, hikayeler ve efsaneler, hikâyenin bütününü oluşturmuştur. Başka bir söylemle, köprü bir anıt yapı olarak fizikselliğinin ötesinde bir değere ve statüye sahiptir; o herşeyin üstündedir, ölümsüzdür, hep diri, canlı ve gençtir; yüzyıllar geçmesine rağmen o hala sapa sağlam ayaktadır ve hikayeler biriktirmeye, onları anlatmaya, aktarmaya devam etmektedir.

> Bu eski köprünün üstünde her şey insana yeni ve heyecanlı bir oyungibi geliyordu. O köprü ki, haziran ayının mehtaplı gecelerinde tertemizçizgileriyle, ebediyen genç, ebediyen aynı... kemâle ermiş bir güzellik vesağlık içinde zamanının getirebileceği her şeyden sağlam ve insanlarındüşünüp yapabileceği her şeyden de güçlü, bembeyaz uzanıyordu. (Andriç, 2019, s. 268)

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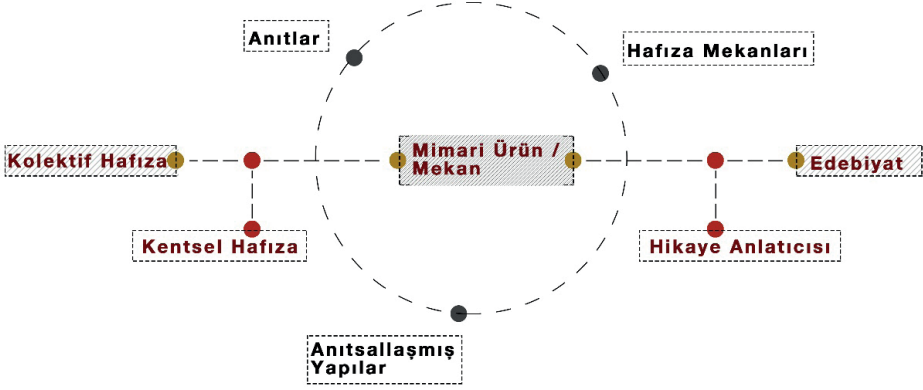
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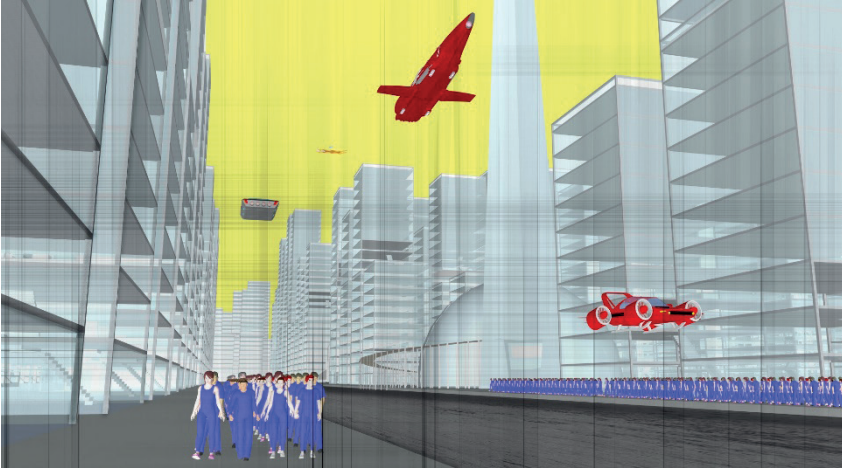
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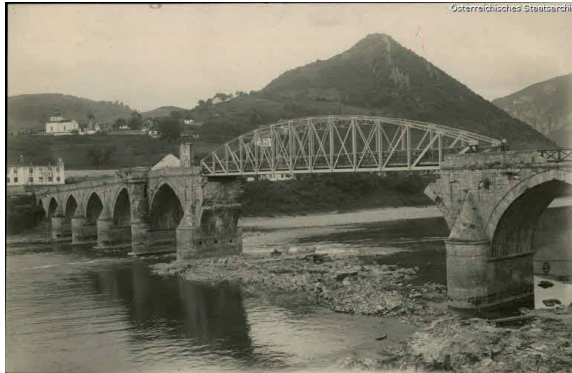
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1940'lı Yılların Türkiye'sinde Batı Edebiyatına *Adımlar*

Adımlar to Western Literature in Turkiye of the 1940's

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ÖZ

Behice Boran tarafından 1943 yılında yayımlanmaya başlayan *Adımlar*; düşünce ve edebiyat dünyasına önemli katkılar yapmıştır. Geniş bir yazar kadrosuna sahip olan dergi, Türk düşünce hayatına yeni ufuklar açmayı ilke edinmiştir. Dergide başta Behice Boran ve Muzaffer Şerif Başoğlu olmak üzere Nermin Menemencioğlu, Hilmi Ziya Ülken, Zeki Baştımar, Jean Camborde, Walter Ruben, Liko Amar, Yunus Kâzım Köni, Bekir Kunt, Nurullah Ataç, Suat Taşer, Rıfat Ilgaz, Sabahattin Ali, Kemal Bilbaşar ve Orhan Kemal gibi isimlerin imzaları bulunur. Dergi, II. Dünya Savaşı yıllarının olumsuz şartlarına rağmen Batı edebiyatını yakından izlemiştir. Çağdaş Batı edebiyatını Türk okuruna tanıtmayı hedefleyerek ilerlemeci ve toplumcu olarak nitelediği yazarları ve onların eserlerini öne çıkarmıştır. Kendini halkçı olarak nitelendiren dergi, yayımlandığı dönemde gündeme gelen hümanist yaklaşımlara kendine özgü bir bakış açısıyla eşlik etmiştir. Hümanizmin kaynağını halkta gören, millî kültür ve hümanizmin birbirine karşıt olmadığını savunan dergi, "halkçı hümanist" bakış açısıyla Batı edebiyatına yönelmiş, halkın sanat ve kültür zevkini yükseltmek için "ileri" ve "halkçı" olarak değerlendirdiği Batı edebiyatı ürünlerini örnek göstermiştir. İnsanlık için büyük felaketlerden biri olan savaşın Batı edebiyatı üzerine yansımasını da sayfalarına taşıyan dergi, edebiyat ve toplum arasındaki etkileşimi gözler önüne sermiştir. Ayrıca sosyolojik eleştiri anlayışının hâkim olduğu değerlendirmelerle *Adımlar*, Türkiye'de henüz akademik düzeyde tam anlamıyla uygulama alanı bulamamış edebiyat sosyolojisine kuramsal açıdan öncü yaklaşımlar getirmiştir. Bu bağlamda makalede *Adımlar* dergisi tanıtılarak derginin Batı edebiyatına dair yaklaşımları ele alınmıştır. Derginin edebiyat sosyolojisi disiplinine yaptığı Türkiye'de akademik çevrelerce ihmal edilmiş katkılara dikkat çekilmiştir.

Anahtar Kelimeler: Adımlar, batı edebiyatı, edebiyat sosyolojisi, halkçılık, toplumcu gerçekçilik

ABSTRACT

Adımlar, which was founded by Behice Boran in 1943, made important contributions to the world of thought and literature. The magazine, which had a wide staff of writers, adopted the principle of opening new horizons for Turkish intellectual life. The magazine featured writers such as Nermin Menemencioğlu, Hilmi Ziya Ülken, Zeki Baştımar, Jean Camborde, Walter Ruben, Liko Amar, Yunus Kazım Köni, Bekir Kunt, Nurullah Ataç, Suat Taşer, Rıfat Ilgaz, Sabahattin Ali, Kemal Bilbaşar and Orhan Kemal, and especially Behice Boran and Muzaffer Şerif Başoğlu. Despite the unfavourable

conditions of the World War II years, the journal followed Western literature closely. Aiming to introduce contemporary Western literature to the Turkish reader, it highlighted progressive and socialist authors and their works. The magazine, which described itself as populist, brought a unique perspective to the humanist approaches that came to the fore at the time of its publication. The magazine, which saw the source of humanism in the people and maintained that national culture and humanism are not contradictory to each other, turned to Western literature with a "popular humanist" perspective, and highlighted the products of Western literature that it considered "advanced" and "populist" in order to broaden people's artistic and cultural tastes. The magazine revealed both the reflection of the war, one of humanity's greatest disasters, on Western literature and the interaction between literature and society. In addition, with evaluations that were dominated by an understanding of sociological criticism, *Adımlar* brought theoretically pioneering approaches to the sociology of literature, which had not yet found a full application at the academic level in Turkiye. In this context, this article introduces *Adımlar* and discusses the journal's approaches to Western literature. Attention has been drawn to the journal's previously neglected contributions to the discipline of sociology of literature by academes in Turkiye.

Keywords: Adımlar, western literature, sociology of literature, populism, social realism

EXTENDED ABSTRACT

As one of the periodicals that contributed to the world of culture, art and thought in 1940's Turkiye, *Adımlar* succeeded in leaving a remarkable imprint in its short history. *Adımlar*, which first appeared in May 1943 and defined itself as the "Monthly Journal of Ideas and Culture", continued its publication for 12 issues until it was closed in April 1944. Continuing its publication despite the harsh social and political conditions of World War II, the journal brought various approaches to culture and art with its wide staff of writers.

Closely following international and Turkish art and literature movements of the 1940s, Western art and literature were presented in a section titled "This Month" in every issue. There were also articles where recent developments in art and literature were evaluated. In the "Publications" section of the journal, translated works from Western literature were introduced to the reader. In addition, translations of Western novels, stories and poems were also included in the magazine. Analysis and comments on Western literature in *Adımlar* were made by academics, translators and researchers with a command of Western languages and literature, such as Behice Boran, Nermin Menemencioğlu, Jean Camborde, Walter Ruben and Burhan Arpad.

A distinguished team of writers, who had themselves written works and done translation in the fields of art and literature, wrote articles in *Adımlar* evaluating French literature, primarily, along with American, English and German literature. In terms of genre, the magazine emphasized the novel and presented it from a more social point of view. Evaluations focusing on the relationship between the current age and the

novel genre came to the fore. This point of view, which reflects the influence of owner and editor-in-chief Behice Boran's academic identity, led to approaches to the Western novel within the framework of literary sociology.

Adımlar, which drew attention to works from Western literature in order to contribute to the development of Turkish intellectual life, emphasized the transition that the world was experiencing during the war years. With an understanding that nations were in material and spiritual exchange with each other in this period, it kept up with the world and expressed the desire for Turkiye to meet the future as a "nation with advanced technology and culture".

During its short publication period, *Adımlar* succeeded in bringing discussions and commentary in Western and Turkish intellectual life together with its readers by presenting an example of cultural and intellectual publishing that opens its doors to Western thought. In the 1940s, research, discussion and commentary around humanism, which came to the fore within the framework of Hasan Ali Yücel's cultural policies, were favoured by *Adımlar* as well, and they declared that it was a publication that adopted humanist discourse as a principle. By publishing a humanism questionnaire, it provided a space for the views of Turkish and Western researchers, academics and writers, and brought the "People's Humanism" approach to the fore. This humanist attitude, which was the source of the magazine's interest in Western literature, made an intellectual contribution to Turkiye in the 1940s.

It is seen that the sociological perspective comes to the fore in the evaluations of Western literature in *Adımlar*. The magazine introduced contemporary Western writers, in particular French novelists, and emphasized socialist realist writers. Accordingly, the subjects that authors such as Andre Malraux, Paul Nizan, John Steinbeck and Erich Maria Remarque dealt within their works were included. As a reflection of the populist humanist approach it adopted, the journal highlighted works in which wars, economic and social inequalities are interpreted from a critical point of view. It has been stated that literature should mirror social problems and produce solutions, and the importance of socialist realist art understanding was emphasized.

One of the aspects that distinguishes *Adımlar* in Turkish cultural and intellectual life was its attitude during World War II. drawing attention to the destruction caused by the war, the magazine represented an anti-war approach that put human values at the

centre. The magazine, which reacted to the disaster caused by Nazi Germany in Europe from the perspective of literature and art, became an oppositional voice against the political perspective that was dominant in Turkiye during the Second World War. With its understanding of thought, art and literature, *Adımlar* was exposed to high criticism from the Turkist-Turanist circles that gained strength in the early 1940s. The journal, which existed in the harsh political climate of the Second World War years, succeeded in being effective in a strictly controlled publication period.

As an art and literature magazine in Turkiye in the 1940s, *Adımlar* tried to stay away from current political debates but did not avoid being party to harsh debates. It contributed to the literary climate with the "populist" perspective it adopted. Thanks to its publication policy, the journal drew attention to the importance of intercultural interaction by pulling back the curtain on the communication channels of World War II.

Giriş: *Adımlar* Dergisi

1940'lı yılların Türkiye'sinde kültür, sanat ve düşünce dünyasına katkı yapan süreli yayınlardan biri olan *Adımlar*, kısa zamanlı yayın periyodunda dikkat çekici izler bırakabilmeyi başarır. İlk sayısı Mayıs 1943'te çıkan ve kendisini "Aylık Fikir ve Kültür Dergisi" diye tanımlayan *Adımlar*, Mayıs 1944'te kapatılıncaya kadar 12 sayı yayın hayatını sürdürür. II. Dünya Savaşı'nın ağır toplumsal ve siyasal şartlarının eşlik ettiği bir dönemde yayımını sürdüren dergi, geniş bir yazar kadrosuyla kültür ve sanata dair çeşitli yaklaşımlar getirir.

Adımlar dergisinin sahibi ve neşriyat müdürü Behice Sadık Boran'dır. Boran, dergiyi Muzaffer Şerif Başoğlu ile birlikte *Yurt ve Dünya* dergisinin yazı kadrosundan ayrılarak çıkarmaya başlar. Derginin yayımlandığı dönemde Ankara Üniversitesi DTCF'de sosyoloji doçenti olarak görev yapan Boran, derginin yazar kadrosunu akademisyenler, şair ve yazarlardan oluşturur. Dergide başta Behice S. Boran ve Muzaffer Şerif Başoğlu olmak üzere Nermin Menemencioğlu, Hilmi Ziya Ülken, Zeki Baştımar, Jean Camborde, Walter Ruben, Liko Amar, Yunus Kâzım Köni, Bekir Kunt, Nurullah Ataç, Suat Taşer, Rıfat Ilgaz, Sabahattin Ali, Kemal Bilbaşar ve Orhan Kemal gibi isimlerin imzaları bulunur.

Behice Boran ve Muzaffer Şerif Başoğlu'nun girişimleriyle yayım hayatına başlayan *Adımlar* dergisi bilim, sanat ve edebiyat ağırlıklı bir yayın çizgisi benimser. Bu anlayış, neşriyatın sahibi sıfatıyla Behice Boran'ın dergiyi çıkarmak için verdiği beyannamede de belirtilir. Boran'ın *Adımlar*'ın çıkarılacağına dair Ankara Vilayeti'ne verdiği beyanname karşılığında Matbuat Kanunu'nun 17. maddesi gereği verilen belgeye göre, derginin idare yeri Behice Boran'ın ikamet adresidir. Her ayın başında çıkacağı bildirilen dergi için söz konusu belgede "siyasi değildir, ilmî ve edebîdir" ifadesine yer verilir (Atılgan, 2019, s. 58). Kendisiyle yapılan söyleşide Boran, *Adımlar*'ın mümkün olduğunca politik tartışmalardan uzak bir yayın sürdüğünü şu sözlerle anlatır:

> 1942 yılı sonlarına doğru *Yurt ve Dünya*'dan ayrılarak Muzaffer Şerif Başoğlu ile 1943 Mayıs'ında *Adımlar* dergisini yayımlaya başladık. Derginin sahibi ve yazı işleri müdürü yine bendim. *Adımlar*, kanımca daha tutarlı ve belirgin bir ideolojik çizgideydi, en azından öyle olmasına özen gösteriyorduk. Devlet memurlarını politik yayınlar çıkarmaları yasaklanmış olduğundan ve üniversite öğretim üyeleri de o statüde sayıldığından, her iki dergide de politik yazılar çıkmıyordu. (Mumcu, 2019, s. 28)

Adımlar'ın Mayıs 1943'teki ilk sayısı derginin yayın politikasını anlatan bir sunuş yazısıyla yayımlanır. Tanıklık edilen savaş yıllarında dünyanın büyük bir değişim içinde olduğuna vurgu yapılan yazıda, derginin "toplumcu" ve "ilerlemeci" düşünceler ekseninde kurulduğu ifade edilir:

> Bugün geçiş hâlinde bulunan bir dünya içinde yaşıyoruz. Her şey hareket hâlinde… Biz de, bizim milletimiz Türk milleti de bu yanan seyrin içindeyiz. Bilhassa bu harp yıllarında milletlerin birbiriyle maddi ve manevi alışveriş hâlinde olduğunu daha kuvvetle anladık… Bu seyir içinden biz, rastgele bir yarına değil, millî inkılabımızın ileri hamlelerinin vardığı yoldan ilerleyerek ışıklı ve belirli bir yarına doğru gitmek istiyoruz. Bu yarını biz, bütün vatandaşların her türlü gelişmesine elverişli bir nizam içinde, dünyanın ileri gidişine ayak uydurmuş, tekniği ve kültürü yüksek bir millet olarak karşılamak istiyoruz. (*Adımlar*, 1943, Mayıs, s. 1)

Derginin bildirisi niteliğindeki sunuş yazısında Batılaşma ve hümanizm üzerinde ayrıntılı bir şekilde durulur. Derginin yayın hayatı süresince işleyeceği bu iki temel konunun sunuş yazısında ele alınması, *Adımlar*'ın Batı düşünce ve edebiyatına yönelik dikkatinin ilk işaretidir. Bu bağlamda bildirisinde insanı merkeze aldığını ve hümanist olduğunu ilan eden dergi, millî kültür bağlılığıyla da hümanist olunabileceğinin altını çizer. Bildirisinde "Adımlar, memleketimizin ve dünyanın bilhassa modern kültür, sanat ve fikir eserleri üzerinde ısrarla duracaktır." (*Adımlar*, 1943, Mayıs, s. 3) ifadesine yer veren dergi, hem Batı hayranlığına hem de Batı dünyasına kapıları kapatmaya karşı olduğunu dile getirir. "Hâlis manada millî ile beşerî birbirinin zıddı değildir, birbirinin içindedir." (*Adımlar*, 1943, Mayıs, s. 5) görüşünü savunan dergi, halkın pürüzsüz ve sade zevkini modern dünyanın düşünce ve edebiyatıyla kaynaştırarak bir terkip sunmayı hedefler.

Adımlar, "ilerlemeci" düşüncesi ekseninde Batı düşünce ve edebiyatına yayın periyodu süresince dikkat çekici ölçüde yer verir. Batı medeniyetine dair düşüncelerini "Garp olmuş, bitmiş, şeklini, kemâlini tamamlamış bir medeniyet değildir. Garp medeniyeti şu veya bu milletin imtiyazlı malı da değildir. Bugün garbın ileri hareketleri insanlığın, milletlerin ileri hareketini temsil ediyor… İleri görüşle biz de garbın içindeyiz." (*Adımlar*, 1943, Mayıs, s. 2) sözleriyle anlatan dergi, Batı düşünce ve edebiyatının çeşitli yönleriyle anlaşılması yönünde çaba gösterir. Bu doğrultuda dergi, sorgulayıcı ve nesnel bir bakışla Batı düşünce ve edebiyatına dair tespitleriyle dönemin kültür, sanat ve düşünce hayatına kendine özgü bir bakış açısı getirir.

Türkiye'nin İkinci Dünya Savaşı tehdidi altında olduğu yıllarda yayım hayatını sürdüren *Adımlar*, kaynağını halkın yaşama biçimi ve beğenisinden alan hümanizm anlayışını merkeze alarak savaş karşıtı bir tavır benimser. Avrupa'da yükselen milliyetçilik akımının Türkiye'de de karşılık bulduğu, Türkçü bakış açısının resmî milliyetçiliğe de tesir ettiği bir dönemde varlık gösteren *Adımlar*, savaşın insanlık için ne derece büyük bir yıkım olduğunu işleyen edebiyat eserlerini öne çıkarır.

Adımlar'ın yayımlanmaya başladığı 1940'lı yılların başı, Türkçülüğün altın devridir. Bu dönemde Nazi Almanya'sının Sovyetler Birliği'ne saldırısı, Türklerin birleşmesine dair ümitleri canlandırır (Bora, 2017, s. 273). Böylelikle İkinci Meşrutiyet sonrasında Türk düşünce hayatında etkili olan Turancı söylem, İkinci Dünya Savaşı yıllarında yeniden gündeme gelir. Turancı politikaların taraftar bulması için Alman hükûmeti de gayret sarf eder. Bu doğrultuda "Almanya'nın doğu cephesindeki başarılarının sürdüğü, Alman ordusunun Sovyetler Birliği'nin önemli bir kısmını işgal ettiği 1941 yılı Haziran ayından 1942 sonuna kadar Berlin, Turancı propaganda ve eylemleri destekler." (Koçak, 2018, s. 660) İkinci Dünya Savaşı'nın ilanını takip eden yıllarda yayımlanan *Orhun*, *Türklük*, *Kopuz*, *Bozkurt*, *Çınaraltı*, *Millet, Tanrıdağ* ve *Gökbörü* gibi dergiler, bir taraftan Türkçü-Turancı söylemle öne çıkarken diğer taraftan da siyasi ve ideolojik boyutlarıyla Sovyet tehdidinin varlığını gündemde tutarlar.

İkinci Dünya Savaşı yıllarında siyasi anlamda güç kazanan ve Sovyet ideolojisini en büyük tehlike olarak yorumlayan Türkçü-Turancı çevrelerin hedefinde *Adımlar* dergisi vardır. Dönemin Türkçülerinden Reha Oğuz Türkkan, yayımladığı broşürle "Arnavut melezi Kemal Bilbaşar", "melez Bekir Sıtkı Kunt", "Rum dönmesi Sabahattin Ali", "ırkların müsavi olduğunu ispata kalkan Muzaffer Şerif Başoğlu" diye ırkçı yaklaşımlarla tanımladığı derginin yazar kadrosunu kızıl tehlike olarak hedef gösterir (Türkkan, 1943, s. 6). Peyami Safa, bir yazısında "tertemiz Türk çocuklarına ders veren ve telkinde bulunan Ankara'da vazifeli bazı öğretmen ve doçentler" ifadesiyle *Adımlar* dergisinin yazar kadrosuna işaret eder. Osman Turan ve Nihal Atsız da dergiyi ve derginin yazar kadrosundaki şair ve yazarları sert bir şekilde eleştirir (Atılgan, 2019, s. 66). Böylelikle *Adımlar*, her ne kadar politik tartışmalardan uzak kalmaya çalışsa da İkinci Dünya Savaşı yıllarındaki hâkim yaklaşımın hedefi olur.

İkinci Dünya Savaşı yıllarında etkili olan Türkçü söyleme koşut olarak dönemin iktidarı da Sovyet ideolojisini büyük bir tehlike olarak yorumlar. Ekonomik ve sosyal sorunlardan söz etmenin ideolojik bağlamda tehlikeli olarak kabul edildiği bu dönemde, *Adımlar*

sıkı bir denetim altındadır. Nitekim Basın Yayım Umum Müdürlüğünün 9 Şubat 1944'te Başbakanlık makamına hitaben kaleme aldığı yazıda „öteden beri komünizme yakın bir temayül gösteren *Adımlar* mecmuası'nın arz ettiği tehlike rapor edilir" (Koçak, 2011, s. 179). Dergide yoksulluğu konu edinen hikâyelere yer verilmesi, ziraî konular etrafındaki düşünceler dile getirilirken Anadolu köylüsünün sorunlarından söz edilmesi, tehlikeli yaklaşımlar olarak görülür. Nihayetinde kapatılan *Adımlar*'ın dağıtıma çıkabilen son nüshası 11. sayısı olur ve dergi Mayıs 1944'te yayın hayatından çekilir.

Batı Edebiyatına *Adımlar*

1940'lı yıllarda dünyada ve Türkiye'deki sanat ve edebiyat hareketlerini yakından takip eden *Adımlar*'da Batı sanatı ve edebiyatı, makalelerin yanı sıra her sayıda "Ayın İçinden" başlığıyla yer alan ayın sanat ve edebiyat gelişmelerinin değerlendirildiği bölümle sunulur. Dergideki "Yayınlar" bölümünde, Batı edebiyatından yapılan çeviri eserler okura tanıtılır. Ayrıca dergide Batı roman, hikâye ve şiirlerinden çevirilere de yer verilir. *Adımlar*'da Batı edebiyatına yönelik inceleme ve yorumlar; Behice Boran, Nermin Menemencioğlu, Jean Camborde, Walter Ruben ve Burhan Arpad gibi Batı dil ve edebiyatlarına hâkim akademisyen, çevirmen ve araştırmacılar tarafından yapılır.

Adımlar'da Behice Boran, İngiliz ve Amerikan edebiyatına yönelik yorumlarıyla Batı edebiyatı değerlendirmelerine katkı sağlar. Boran'ın Batı dil ve edebiyatına hâkimiyeti, almış olduğu eğitim dolayısıyladır. Amerikan Kız Koleji'nden mezun olan Boran, Michigan Üniversitesi'nde sosyoloji alanında doktora eğitimi almadan önce kısa bir süre Manisa Orta Mektebi'nde İngilizce öğretmenliği yapmış, çeşitli dergilerde Türk ve Batı edebiyatı üzerine yazılar kaleme almıştır (Boran, 1992). Ayrıca Boran'ın İngilizce yazdığı bir hikâyesi ve vefatından sonra yayımlanan yine İngilizce kaleme aldığı şiirleri de mevcuttur (Boran, 2020).

Batı edebiyatı üzerine yaptığı değerlendirmelerle *Adımlar*'ın yazar kadrosunda yer alan isimlerden biri de Nermin Menemencioğlu'dur. Amerikan Kız Koleji'nden mezun olduktan sonra yükseköğrenimini ABD'de tamamlayan Menemencioğlu, Türk edebiyatından İngilizceye yaptığı çevirilerle Türk edebiyatının dünyada tanınması için gayret sarf etmiştir. Adımlar'ın yanı sıra *Yurt ve Dünya, Forum*, *Yeni Ufuklar*, *Varlık* ve *Türk Dili* gibi dergilerde Batı edebiyatından yaptığı çeviriler ve inceleme yazıları kaleme almıştır. (Kurdakul, 1985, s. 415) Fahir İz ile birlikte yayımladığı Türk edebiyatı ile ilgili özgün değerlendirmeler içeren *Turkish Verse* adlı antolojiyle Türk şiirinin ülke dışında tanınmasında rol oynamıştır.

Adımlar'da Fransız romanı ile ilgili değerlendirmeler, Ankara Üniversitesi Fransız dili ve edebiyatı profesörlerinden Jean Camborde tarafından yapılır. Türkiye'de akademik ve sanat dergilerinde Fransız edebiyatı üzerine araştırmalar kaleme alan Camborde, Ankara'da Batı dilleri ve edebiyatları bölümlerinin kurumsal anlamda gelişmesinde rol oynamıştır. Camborde, DTCF'deki akademik faaliyetlerinin yanı sıra Gazi Üniversitesi'ndeki yabancı diller bölümünün kurulmasına öncülük ederek ilk bölüm başkanı sıfatıyla buradaki eğitim müfredatlarını hazırlamıştır. Türkiye'de karşılaştırmalı edebiyat sahasında yapılan doktora düzeyindeki ilk çalışmalardan biri olan 1944 yılında Necdet Bingöl'ün hazırladığı *Yakup Kadri'nin Beş Romanında Fransız Realist ve Natüralistlerin Etkisi* başlıklı doktora tezinin de danışmanlığını yürütmüştür (Donbay, 2014, s. 557).

Batı edebiyatına dair incelemeleriyle *Adımlar*'ın yazar kadrosunda yer alanlardan biri de Walter Ruben'dir. Hitler Almanya'sından iltica eden akademisyenlerden biri olan Ruben, Türkiye'de bulunduğu yılların bir kısmını Kırşehir'de geçirmiş, bir süre ise DTCF'de öğretim üyesi olarak görev yapmıştır (Fişek, 2017, s. 19). DTCF tasfiyesine kadar akademik çalışmalarını devam ettiren Ruben, bu süre zarfında Hindoloji çalışmalarının yanı sıra Kırşehir başta olmak üzere Anadolu'da halkbilimi sahasında araştırmalar kaleme almıştır.

Türk edebiyatında başta hikâyeleri olmak üzere gezi ve eleştiri yazılarıyla tanınan Burhan Arpad, *Adımlar*'da Batı edebiyatına dair dikkatleri ortaya koyan bir başka isimdir. *Adımlar*'ın yanı sıra *İnanç*, *Yığın*, *Yurt ve Dünya*, *Yürüyüş*, *Yeditepe* ve *Varlık* gibi dergilerde yazıları yayımlanan Arpad, Modern Alman ve Avusturya edebiyatlarından gerek kendi adıyla gerekse Ahmet Hisarlı imzasını kullanarak elliyi aşkın eseri Türkçeye kazandırmıştır (Necatigil, 1995, s. 45). *Hürriyet*, *Vatan* ve *Cumhuriyet* gazetelerinde muhabirlik ve fıkra yazarlığı yapan Arpad, gazeteci kimliğiyle de kültür ve düşünce hayatına katkılar yapmıştır.

Adımlar'da, sanat ve edebiyat alanında telif ve çeviri birçok eser kaleme almış seçkin bir yazar kadrosu tarafından Batı edebiyatı üzerine yapılan değerlendirmeler öncelikli olarak Fransız edebiyatı olmak üzere Amerikan, İngiliz ve Alman edebiyatlarına dair yazılardan oluşur. Dergide tür açısından ağırlık romana verilmiş, romana yönelik dikkatler ise daha çok toplumsal bir bakış açısıyla sunulmuştur. Yaşanılan çağ ile roman türü arasındaki ilişki üzerine eğilen değerlendirmeler öne çıkmıştır. Derginin sahibi ve yazı işleri müdürü Behice Boran'ın akademik kimliğinin etkisini düşündüren bu bakış açısı, Batı romanına edebiyat sosyolojisi çerçevesinde yaklaşımlar getirilmesini sağlamıştır.

Fransız Edebiyatı

Fransız edebiyatı ile ilgili değerlendirmeler *Adımlar*'da çağdaş Fransız şiiri ve romanı üzerine odaklanır. Sanatın toplumu anlattığı görüşünün eksene alındığı değerlendirmelerde devam etmekte olan II. Dünya Savaşı'nın edebiyat üzerindeki etkileri incelenir. Bu bağlamda edebiyat ve toplum ilişkisini irdeleyen yazılarda sosyolojik bakış açısını yansıtan yaklaşımlar belirleyici olur.

II. Dünya Savaşı'nın devam ettiği yıllarda Fransız romanını "Bugünün Fransız Romanı" başlıklı makalesiyle inceleyen Camborde, roman türü ile toplumsal hayat arasında ilişkiye dikkat çeker. "Sade ve vasıtasız bir tepki, kısa nefesli bir elem haykırması" diye nitelendirdiği şiirden farklı olarak romanın gelişmek için hürriyete muhtaç olduğuna işaret eder. Bu doğrultuda "Harbin insanlara vurduğu darbe ile askerî mağlubiyet ve vatan topraklarının işgali, Fransa'da roman nevinden eserlerin kaynağını bir zaman için kurutmuştur." (Camborde, 1943, Haziran, s. 43) tespitini yapar. Ancak bu felaketli günlerin yarının Fransız romanını hazırladığını ileri süren Camborde, Fransız romanında yakın gelecekte Halide Edib'in *Ateşten Gömlek*'ine yahut Yakup Kadri'nin *Yaban*'ına benzer eserler ortaya çıkacağı öngörüsünde bulunur (Camborde, 1943, Haziran, s. 43).

Adımlar'da savaşın gölgesindeki Fransız şiiri, Nermin Menemencioğlu'nun "Bu Harp Yıllarında Fransız Şiiri" başlıklı makalesiyle ele alınır. Makalede 1789 İhtilali'nden itibaren milyonlarca insanın manevi vatanı olarak gördüğü Fransa'nın mağlubiyetinin siyasi ve askerî boyutlarının ötesinde kültürel hayatta da derin sarsıntıya sebep olduğu vurgulanır. Menemencioğlu yazısında "Fransa'nın siyasi ve askerî teslimine rağmen kültürel varlığı devam ediyor mu? Eğer devam ediyorsa, bugün ellerine kalem alanlar geçmiş olayları bizim için biraz olsun aydınlatabiliyorlar mı? Fransa niçin teslim oldu sualine cevap verebiliyorlar mı?" (Menemencioğlu, 1943, Mayıs, s. 11) sorularına yanıt arar. Savaş yıllarında yayımlanan eserlerin bütünüyle takibinin güç olduğunu belirten Menemencioğlu, erişebildiği edebiyat dergilerinden hareketle, işgal yıllarında daha çok şiir yayımlandığını "harp senelerinde çok şiir yazılıyor" ifadesiyle dile getirir. Aynı durumun İngiltere'de de olduğunu, savaş başlar başlamaz şiir neşriyatının birden arttığını söyler. İşgal yıllarında Paris'ten kaçmayı başaranların ya da müstemleke ülkelerindeki şairlerin savaştan, mağlubiyetten, Fransa'nın son yıllarda geçirdiği maddi ve manevi buhranlardan neredeyse hiç söz etmediklerini tespit eder. 1940-1942 yılları arasındaki Fransız şiirinde genellikle "bedbinlik, istikametsizlik, hakikatten kaçış ve geriye dönüş" izlerinin olduğunu belirten Menemencioğlu, "Neo-romantik veya Neo-sürrealist Vichy

edebiyatının yerine hakikate dayanan yeni ve kuvvetli bir Fransız edebiyatının yaratılacağını ümitle bekliyoruz." (Menemencioğlu, 1943, Mayıs, s. 16) diye beklentisini ifade eder.

Fransa'nın işgal edildiği II. Dünya Savaşı yıllarında Fransız şiirini ve romanını ele alan Camborde ve Menemencioğlu'nun değerlendirmeleri birbirleriyle örtüşen tespitler sunar. Savaş döneminde Fransız romanın sessizliğe büründüğü, Fransız şiirinin ise işgale tepkisiz kaldığına işaret edilir. Bu doğrultuda savaş yıllarında Fransız edebiyatının toplumsal gerçekliği yansıtmada yetersiz kaldığı yönünde kanaat belirtilir. Camborde ve Menemencioğlu, Fransız edebiyatının savaşın yol açtığı yıkımlara karşı duyarsızlığını eleştirerek nitelikli eserler verme kabiliyetine sahip bu edebiyat geleneğinin yakın gelecekte gerçekçi ve daha güçlü ürünler vereceği öngörüsünde bulunurlar.

Camborde, *Adımlar*'da "Bugünkü Fransız Edebiyatında İçtimaî Roman" başlığıyla kaleme aldığı iki makaleyle 20. yüzyılın ilk yıllarındaki Fransız yazarlarının toplumsal hayata dair izlenimlerini ele alır. İlk makalesinde Pierre Hamp ve Louis Aragon'un eserlerini yorumlayan Camborde, ikinci makalesinde André Thérive, Léon Lemannier, Antonie Coulet-Teissier, Laurence Algon ve Paul Nizan gibi "halkçı" olarak nitelendirdiği çağdaş Fransız romancılarının eserlerini tanıtır. Camborde'un Fransız romancıları üzerine yaptığı değerlendirmelerde öne çıkan bir diğer husus ise roman türü çerçevesindeki sosyolojik yaklaşımlarıdır. "Roman, geleneklere uyarak dışarıdan aldığı intibaların ve arzuların mihrakı olan ve bizzat bu dış dünyada kendisi de rol alan bir esas kahramanın hikâyesi de olsa, bir ferdin romanı olmakla bu ferdin bağlı olduğu sitenin, cemiyetin romanı sayılır." (Camborde, 1943, İkinci Teşrin, s. 218) diyerek toplum ve yazar arasındaki ilişkiye değinen eleştirmen, roman türünün toplumsal hayattan ayrılamayacağı görüşünü dile getirir. Fransız akademisyenin birey ve toplum eksenli roman yaklaşımı; Ziyaeddin Fahri Fındıkoğlu, Kemal Karpat, Nurettin Şazi Kösemihal ve Cemil Meriç'ten önce Türkiye'de edebiyat sosyolojisi alanına yapılan akademik bir katkı olarak dikkate değerdir. Bu doğrultuda Camborde'un *Adımlar*'da öne çıkardığı edebiyat ve toplum arasındaki ilgiye yönelik dikkatleri Türkiye'de edebiyat sosyolojisi sahasındaki öncü akademik yorumlardan biri olarak önem kazanır.

Adımlar'da Fransız edebiyatı üzerine genel değerlendirmelerin yanı sıra Fransız yazarların müstakil olarak ele alındığı makalelere de yer verilir. Nermin Menemencioğlu'nun "Büyük Fransız Romancısı André Malraux" başlıklı incelemesinde Malraux'nun 1933 yılında yayımladığı *İnsanlığın Hâli* adlı romanı üzerinde durulur. Fransız yazarın bütün romanlarında

insan meselesi üzerine durduğunu belirten Menemencioğlu, *İnsanlığın Hâli*'nin I. Dünya Savaşı sonrası Fransız edebiyatının en önemli romanı olduğu yorumunu yapar. Malraux'nun fikirlerini kendi hayatına tatbik eden bir yazar olduğunu ifade eden Menemencioğlu, Fransız yazarın romanlarında yarattığı kahramanlar gibi büyük cereyanlara iştirak ettiğini belirtir. Malraux'nun Çin ihtilalini yakından gördüğünü, İspanya savaşı sırasında Cumhuriyetçiler safında yer aldığını, son olarak da Fransız Hava Kuvvetleri'nde Almanlara karşı savaştığını anlatır. Yazısının sonunda Menemencioğlu'nun Malraux'ya dair ifadeleri ise savaşın gölgesindeki edebiyatın oldukça çarpıcı bir boyutunu sergiler:

> Harpte ölmediğini yeni bir eser yazdığını biliyoruz. Fakat nerededir? Oflagların birinde esir midir? Bir rivayete göre Fransa'nın cenubunda bulunduktan sonra Cezayir'e geçmeye muvaffak olmuş. Eğer doğru ise bu sevindirici bir haberdir… Malraux henüz kırk bir yaşındadır. Kırk yaşında bir tayyareci ihtiyar sayılabilir, fakat kırk yaşında bir muharririn en faal günlerini henüz yaşamamış olması pek muhtemeldir. *İnsanlığın Hâli* romanından daha büyük bir eser vermek mümkün değilse bile Malraux, onun kadar olgun, onun kadar mükemmel birçok eser verebilir. Cezayir'de veya kurtarılmış Fransa'da neşredilecek bu romanları bekliyoruz. (Menemencioğlu, 1943, Ağustos, s. 116)

Jean Camborde'un "Modern Fransız Romancılarından Paul Nizan" başlıklı yazısı *Adımlar*'da Fransız romancılarını konu edinen bir diğer değerlendirmedir. Nizan'ın Türk okuyucusuna tanıtılmasının amaçlandığı yazıda Fransız yazarın yaşamöyküsüne yer verilerek eserleri üzerine tematik yorumlar yapılır. Nizan'ın halkçı bir yazar olduğuna vurgu yapılan değerlendirmede genç yaşta vefat eden yazar için şu ifadelere yer verilir:

> Romancıya insanlık hâlinin münakaşa edildiği sahaya inmek hakkını istemek hatta ona bunu bir vazife olarak yüklemek tarzında meseleyi halletmiş olanlar arasında hiç biri faal durumunu, genç romancı Paul Nizan kadar açık tarzda meydana koymamıştır. Dikkate değer bir çıraklıktan sonra gelen erken bir olgunluk ve üstatlığı ile bize şaheserler vaat eden bu sanatçı ancak ölümüyle bizi bu eserlerden mahrum bırakmıştır. (Camborde, 1944, Nisan, s. 385)

Adımlar'ın her sayısının sonunda yer alan "Yayınlar" başlığıyla yapılan tanıtımlar arasında Fransız edebiyatıyla ilgili değerlendirmelerde Malraux'nun yeni yayımlanan

La Lutte avec l'Ange adlı romanına yer verilir. Nermin Menemencioğlu'nun "Malraux'nun Yeni Romanı" başlığıyla kaleme aldığı tanıtımda savaşın edebiyata yansıyan yüzü gözler önüne serilir. Menemencioğlu, Malraux'nun savaşta ölmediği haberi karşısında duyduğu sevinci paylaştığı yazısında şu ifadelere yer verir:

> Malraux ölmemiş Malraux yaşıyor, *Adımlar*'ın Ağustos sayısında bahsettiğim yeni romanı şimdi İstanbul'da, Haşet kitabevinde satılmaktadır. İsviçre'de tab edilen bu roman uzun bir eserin birinci kısmıdır. Eserin tamamının ismi: *Melekle Mücadele*. Birinci kısmın ismi, *Altenburg'un Ceviz Ağaçları*. Hikâye 1940 senesinde Charteres'te başlıyor, kahraman Almanları eline düşen yaralı Fransız askerlerindendir. Bir Alsace ailesinin çocuğudur… (Menemencioğlu, 1943, Eylül, s. 173)

Adımlar'da Nermin Menemencioğlu ve Jean Camborde'un Fransız edebiyatına dair yorumlarında toplumcu gerçekçi çizgide eserler veren yazarların öne çıkardıkları görülür. Savaş yıllarının Fransız edebiyatı üzerindeki etkisini ele aldıkları yazılarında karşılaştırmalı edebiyat ve sosyolojik eleştiri disiplini içinde değerlendirilecek yaklaşımlar sunarlar. Menemencioğlu ve Camborde'un Fransız edebiyatını konu edinen yazılarında önem verdikleri yazarlar, *Adımlar*'ın teneffüs ettiği çağa bakışını yansıtır. Örneğin, Camborde'un dikkatlere sunduğu Fransız romancı Paul Nizan, Hitler ile Sovyetler'in saldırmazlık anlaşması imzalaması üzerine Fransız Komünist Partisi üyeliğinden ayrılır, Almanların Fransa'yı işgaline karşı direnir ve savaşta hayatını kaybeder. Mücadeleci bir kimliğe sahip olan Nizan'ın edebî yönünün yanı sıra Avrupa'yı kasıp kavuran Nazi saldırıları karşısındaki tutumu, sömürgeciliğe karşı oluşu ve halkçı yaklaşımı, *Adımlar*'ın dikkatini çekecek ölçütlerdir. Bu doğrultuda Camborde'un dergide Nizan'ı Türk okuruna tanıtma gayreti, *Adımlar*'ın toplumsal duyarlılığını yansıtması bakımından önemlidir.

Adımlar'da Fransız romancıları arasında özellikle önem verilen Malraux, derginin İkinci Dünya Savaşı dönemi edebiyatına bakışını örnekleyen bir başka isimdir. Malraux da Paul Nizan gibi Nazi Almanya'sına karşı cephede savaşan bir yazardır. Her iki yazarın toplumsal tutumları bağlamında ortak yönleri ise benimsedikleri halkçı yaklaşım, baskıcı ve yayılmacı politikalara karşı mücadeleci tutumlarıdır.

Menemencioğlu'nun dergide ayrıntılı bir şekilde değerlendirdiği Malraux, hayatı boyunca sanatın özgürlüğünü ve özgünlüğünü savunur. Hiçbir zaman Komünist Parti'ye üye olmayan Fransız romancı, buna rağmen 1934 Sovyet Yazarlar Birliği Kongresi'nin

katılımcıları arasında yer alır. Kongrede yaptığı konuşmayla Sovyetler'in resmîleştirdiği toplumcu gerçekçi sanat anlayışına ilişkin kaygılarını ve itirazlarını sıralar (Bezci, 2021: 205). Eserleriyle toplumcu gerçekçi çizgiden uzak olmayan yazar, Moskova'daki muhalif tutumuyla, eleştirel tavrını ve sanatçının özgürlüğü hususundaki hassasiyetini gösterir. Sanatın merkezine insanı alan Malraux, bu yönüyle *Adımlar*'ın sanat ve edebiyat yaklaşımıyla örtüşen bir tutumun temsilcisi olur.

Adımlar'da Fransız edebiyatının konu edildiği değerlendirmelerde, İkinci Dünya Savaşı'nın belirleyici olduğu görülür. Savaş ve edebiyat ilişkisinin gözler önüne serildiği yazılarda, savaşın edebiyat metinlerine ne ölçüde yansıdığı üzerine yorumlar yapılır. Yayılmacı ve baskıcı politikalara karşı çıkan, insandan yana tavır takınan Fransız yazarlar, beğeni ifadeleri ve olumlu yaklaşımlar eşliğinde Türk okuruna tanıtılır.

İngiliz ve Amerikan Edebiyatı

Adımlar'da İngiliz ve Amerikan edebiyatına yönelik değerlendirmelerde Behice Boran, Nermin Menemencioğlu ve Walter Ruben'in katkıları öne çıkar. Dergide Fransız edebiyatı üzerine yapılan değerlendirmelerde olduğu gibi İngiliz ve Amerikan edebiyatlarını konu edinen makalelerde de sosyolojik bakış açısı hâkimdir.

"İngiliz Romanının Sosyal Cephesi" adlı makaleyle Behice Boran dergide sosyolojik edebiyat eleştirisinin yetkin bir örneğini sunar. İngiliz romanının doğuşu ve gelişim evreleri üzerinde duran Boran, İngiliz toplum yapısındaki değişmelerin türün seyri üzerindeki etkisine dikkat çeker. İngiliz romanının önce orta sınıfın ve burjuvalaşmış küçük toprak sahibi eşrafın kadın, aşk, evlenme ve aile kurma alanlarındaki ilişkileri incelediğini belirtir. Ardından tezli romanların geliştiğini ve bazı romancıların orta sınıfın hayatındaki aşırılıkları hicvettiği bir dönemin meydana geldiğini ifade eder. 19. yüzyılın sonlarında ise eski kıymetler sisteminin sarsıldığına, buna bağlı olarak da toplumu tahlil ve tenkit eden eserlerin ortaya çıktığına işaret eder. Boran, 20. yüzyıl İngiliz romanının ise bir belirsizliğe mahkûm olduğunu Fransız ve Amerikan romanlarında örnekleri mevcut olan "ileri kıymet ve hareketleri" anlatan eserlerden yoksun olduğu tespitini yapar. Boran, düşüncesini şu sözlerle açıklar:

> 20. yüzyıl cemiyet şartları altında yukarıdan beri kısaca vasıflandırdığımız İngiliz romanında verimsiz olmaya mahkûm istikametler beliriyor. Bu istikametlerin her biri birer çıkmaza sapmış oldukları için verimsizliğe

mahkûmdurlar. Bunlardan bir kısmı daha şimdiden geçmişe mal olmuş, bugün kıymetten düşmüş muharrirler ve eserlerdir. Bu cereyanların yanında romanda bir de bugünü yarına bağlayan, bugünü yarına götürecek olan ileri kıymet, hareket ve cereyanları anlatan eserler var. Fransa'da Malraux ve Barbusse, Amerika'da Steinbeck ve J. Dos Passos romanda bu cereyanın mümessilleridir. İngiliz romanında bu ileri kolun, bu saydığımız romancılar ayarında dünyaca tanınmış mümessilleri henüz yoktur. (Boran, 1943, İkinci Teşrin, s. 240)

Adımlar'da Nermin Menemencioğlu tarafından yayımlanan "Amerikan Romanında Yeni İstikametler" başlıklı makaleyle 20. yüzyılın ilk çeyreğinde Amerikan romanındaki genel eğilim gözler önüne serilir. "Bugünkü Amerikan romancıları realisttirler. Gördükleri muazzam değişmeleri, çarpıtmaları, hatta kendi ruhlarında olan bitenleri, olduğu gibi göstermek isterler." (Menemencioğlu, 1943, İkinci Teşrin, s. 230) tespitinin yapıldığı değerlendirmede Amerikan romancıların yüzyılın başında kendi köklerine dönerek başarılı eserler verdikleri ifade edilir. Değerlendirmede Ernest Hemingway, Sinclair Lewis, Theodere Dreiser ve John Dos Passos gibi realist Amerikan yazarları örnek verilip onların romanları hakkında tanıtım yapılır. "Amerikan romancıları, kendi içtimai hayatlarına iştirak ettikleri günden beri büyük edebiyat yaratmaya başladılar. Ondan evvel yazdıkları eserler Amerikan tablosu değil, karikatürü idi." (Menemencioğlu, 1943, İkinci Teşrin, s. 230) yorumunu yapan eleştirmen, Türk romancılarının da önce kendi topraklarına yaklaşarak yaşadıkları hayatı gerçekçi, eleştirel bir bakış açısı ve yalın bir dille sunmaları hâlinde başarılı olacakları kanaatini ifade eder.

Amerikan edebiyatı hakkındaki genel değerlendirmelerin yanı sıra dergide "Büyük Bir Amerikan Romancısı: Steinbeck" başlıklı incelemeyle Menemencioğlu, Türk okuyucusunun yeterince tanımadığı çağdaş Amerikan romancısı John Steinbeck'i tanıtır. Son yıllarda Steinbeck'in Türkçeye *Ay Batarken* adıyla çevrilen romanın Türkiye'de ilgi gördüğünü söyleyen Menemencioğlu, bu romanın Steinbeck'in başarısız bir denemesi olduğunu belirtir. Amerikan yazarın henüz Türkçeye çevrilmeyen *Gazap Üzümleri* adlı romanının "yirminci asrın en mükemmel Amerikan romanı" olduğunu Steinbeck'i tanımak isteyenlerin bu romanı okumaları gerektiğini ifade eder (Menemencioğlu, 1943, Temmuz, s. 90).

Adımlar'da İngiliz edebiyatını konu edinen makalelerden biri Walter Ruben'in kaleme aldığı "Morgan'ın Şehvet ve Cezbe Romanı" başlıklı değerlendirmedir. İngiliz yazar

Charles Morgan'ın romanının çağın ruhsal krizlerini yansıtan bir örnek olduğunu belirten Ruben, romanı "burjuva Hristiyanlığının ahlak mefhumlarına karşı bir isyanı" olarak yorumlar. Ancak romanı başarılı bulmayan Ruben, romanın kurgusunun aile yapısı ve evlilik kurumundaki aksaklıkları yansıtmada yetersiz kaldığına işaret eder. Morgan'ın mistiği, cezbeyi ve şehvet taşkınlıklarını gelişi güzel bir şekilde kurguladığını, eleştirmek istediği ahlak krizini gerçekçi bir yaklaşımla sunamadığını belirtir. Romanın kurgusal bakımdan başarısızlığını Ruben, şu ifadelerle özetler:

> Morgan, içinde yaşadığı Avrupa cemiyetinin ahlâk krizinden kurtulmak istemiştir. Ona karşı isyan etmiştir. Fakat bunun yerine sığındığı anarşist ve mistik vuslat kaçamağı belki daha bozguncu bir ruh hâlini ifade ettiği için daha tehlikelidir. Eğer müellif Avrupa'da câri burjuva evlenme müessesinin sakatlığına karşı isyan ediyorsa, bugünkü evlilik hayatının çürüklüklerini, mürailiklerini göstermek istiyorsa bunun için tutulacak yol daha evvel Balzac ve Bocaccio'nun yaptığı gibi insanlar arasında olanı biteni realist bir surette ortaya koyarak bütün çıplaklığıyla teşhir etmektir. Morgan bunu yapamıyor. Mistiği ve şehvet taşkınlıklarını bir araya getirerek ortaya bulanık bir çamur çıkarıyor. Bu ise devrini yaşamış, yarına geçmek için ümidi kalmamış bir medeniyetin sanat alanındaki çırpınışlarının ifadesinden başka bir şey değildir. (Ruben, 1943, Eylül, s. 163)

Adımlar'da Amerikan şiiri ile ilgili yayımlanan tek inceleme, Behice Boran'ın Amerikan şair Walt Whitman'ı ele aldığı "Açık Yolun Türküsü" başlıklı yazıdır. Amerikan şiirine serbest şiiri tanıtan Walt Whitman'ın şiirlerinin ilk başta beğenilmediğini ve anlaşılmadığını, şairin şöhreti geç bulduğunu belirten Boran, Whitman'ın şiirleri üzerine kısa bir değerlendirme yapar. Amerikan şairin kâinatı kucaklayan bir tabiat sevgisi içinde şiirlerini işlediğine değinerek iyimser bir hayat görüşü çerçevesinde sanatını şekillendirdiğine dikkat çeker (Boran, 1943, Mayıs, s. 9). Walt Whitman'ı tanıtan ifadelerinin ardından Boran, Amerikan şairin şiirlerinden yaptığı çevirilere yer vererek değerlendirmesini tamamlar.

Adımlar, Fransız edebiyatından sonra en çok ilgiyi İngiliz ve Amerikan edebiyatlarına gösterir. Ancak dergide Amerikan romanı, özellikle de İngiliz romanı üzerine yorumlar genel itibarıyla olumsuzdur. Edebiyattan, halkın estetik zevklerini yücelten ve insanı merkeze alan realist bir yaklaşım sergilemesini bekleyen *Adımlar*, bu yönleriyle İngiliz romanının henüz yeterli bir düzeye erişemediği kanaatindedir. Burjuvanın yaşama biçiminin, sınıf atlama telaşının ve kimi ahlak çıkmazlarının yansıtıldığı realist eserleri,

"ileri kıymet ve hareketler"den yoksun olarak gören dergi, İngiliz romanında yeni yönelişlerin ortaya çıkmasını ümit eder.

Adımlar'da Amerikan edebiyatı üzerine yapılan değerlendirmelerde ise Ernest Hemingway, John Steinbeck ve John Dos Passos gibi yazarlar olumlu bakış açısıyla öne çıkarılır. 20. yüzyıl Amerikan edebiyatında gerçekçi çizgide eserler veren bu romancılar, *Adımlar*'ın benimsediği edebiyat ve sanat anlayışıyla bir ölçüde örtüşürler. Bu bakımdan Amerikan romanında yeni bir eğilimin öncüsü olan söz konusu realist yazarlar, derginin sayfalarında Türk okuyucusunun dikkatine sunulur.

Alman Edebiyatı

Batı edebiyatını Türk okuyucusuna tanıtmayı ve eleştirel bir bakış açısıyla değerlendirmeyi amaçlayan *Adımlar*'da Burhan Arpad'ın "Harpsonu Alman Edebiyatında Bir Sulh Muharriri" başlıklı değerlendirmesi, edebiyat sosyolojisi açısından önemli veriler sunan bir yaklaşım olarak dikkat çeker. I. Dünya Savaşı'ndan sonra Avrupa edebiyatlarında "ileri fikirli muharrirler"in savaşın, insanlık ve medeniyet için büyük tehlikeler doğurduğu tespitini yaptıklarını belirtir. Bu bağlamda Arpad, Alman edebiyatında savaş gerçekliğini eleştirel bir dikkatle yorumlayan Erich Maria Remarque'ın eserlerini ele alır. Alman yazarı *Garb Cephesinde Kayda Değer Bir Şey Yok* ismi ile Türkçeye çevrilen romanıyla büyük başarı elde ettiğini ifade eder. Bu romanının ardından yazarın sırasıyla kaleme aldığı *Dönüş Yolu*, *Üç Arkadaş* ve *İnsanları Seveceksin* adlı romanlarıyla 1914-1939 yılları arasındaki çeyrek yüzyılın bütün toplumsal olaylarını gözler önüne serdiğine işaret eder. Arpad, Remarque'ın son romanı üzerine değerlendirmeleri ile de sosyolojik bir bakış açısıyla Avrupa'nın içinde bulunduğu durumu şu sözlerle özetler:

> Muharririn 1941'de çıkan son eseri olan *İnsanları Seveceksin* romanı ise *Garp Cephesi*'nden beri devam eden bir içtimaî kaynaşmalar ve huzursuzluklar silsilesinin en son safhasıdır. 1933'de Almanya'da iktidarı ele geçiren kahverengi gömlekli irticanın tehdidi ve istibdadı büyük bir süratle Avrupa'ya çökmektedir. İnsanlar, tazyik edilmekte, çeşitli bahanelerle oradan oraya sürülmekte, temerküz kamplarına tıkılmaktadır. Yüzlerce ve binlerce insan, Avrupa devletlerinin hudutları arasında, bir türlü sonu gelmeyen bir mecburi yürüyüşe çıkmış gibidirler. Ve 1914 yılında *Garp Cephesi*'nde başlayan harp, yirmi beş yıldır devam etmektedir. (Arpad, 1943, İkinci Teşrin, s. 228-229).

Alman edebiyatını konu edinen bir başka değerlendirme, Walter Ruben'in dikkatleriyle *Adımlar*'da yer alır. "Thomas Mann" başlığıyla yayımlanan makalede Ruben, Alman yazarın hayatı ve eserleriyle ilgili bilgiler verir. Hindoloji uzmanı olan Ruben, Mann'ın eserlerini Hint mistisizmi çerçevesiyle ele alır ve yazarın mistik duyarlılığa sığınışını psikanalitik ve sosyolojik yaklaşımlarla yorumlar. Bireye her bakımdan kendini ortaya çıkarma imkânları vermeyen bir toplum düzeni olmadıkça, bireyin biyolojik ve psikolojik varlığı ile toplumsal düzenin talepleri arasında ahenkli bir bağ kurulmadıkça Mann'ın eserlerinde sunduğu ruhsal mücadelelere ve huzursuzluklara akılcı bir çare bulunamayacağını ve böylelikle mistisizme sığınışın kaçınılmaz hâle geleceğini belirtir (Ruben, 1944, İkinci Kanun s. 292). Bu bağlamda *Adımlar*'da daha önce değerlendirdiği Charles Morgan ile Thomas Mann'ın eserlerini mistik duyarlılıkların yansıması çerçevesinde karşılaştıran Ruben, her iki yazarın da eserlerinde burjuva evliliklerinin çıkmazlarını ve bireyin iç huzursuzluğunu anlattığını, ancak bu sorunlara toplumsal ölçekli bir çözüm sunamadıklarını belirtir. Her iki yazarın mistisizme kaçışlarının ardında psikolojik etkenler olduğu kadar Batı'nın toplumsal yapısının da payının olduğuna vurgu yapar.

Adımlar'da Alman edebiyatı ile ilgili bir başka değerlendirmeye derginin her sayısının sonunda yer alan "Yayınlar" başlığıyla yapılan tanıtımlar arasında yer verilir. Burhan Arpad'ın Joseph Roth'dan yaptığı *Eyyub* adlı tercümesi, Behice Boran tarafından tanıtılır. Roth'un eserinin romandan daha çok uzun hikâye özelliği taşıdığını belirten Boran, Arpad'ın çevirisini oldukça başarılı bulur (Boran, 1943, Temmuz, s. 108).

Batı edebiyatları ile Türk edebiyatı arasında köprü vazifesi üstlenen *Adımlar*'da Batı edebiyatlarından en az ilgiyi Alman edebiyatı görür. Dergide Walter Ruben'in dikkatiyle sunulan Alman yazar Thomas Mann, arzu edilmeyen bir edebiyat anlayışının temsilcisi olarak yorumlanır. Derginin benimsediği ve Türk okuruna tanıtmayı amaçladığı tek Alman romancı ise Erich Maria Remarque'dır.

Adımlar'da övgüyle söz edilen Remarque, sosyalist dünya görüşünü benimsemediğini söyleyen ve kendisini yalnızca "barışsever" olarak tanımlayan bir aydındır. Çağdaş Alman edebiyatının en çok okunan, en çok övülen ve çok hırpalanan yazarıdır. Öyle ki, Remarque'ın romanları hem çok okunur, hem de sık sık yasaklanır. 1933-1954 arasında Almanya ve İtalya'da, 1949-1953 arasında ise Sovyetler Birliği'nde ve sosyalist memleketlerde eserleri yasaklanır (Arpad, 1993, s. 28).

Adımlar'ın Dünya edebiyatında dikkat çekici bir ses getiren Remarque'ın önemine İkinci Dünya Savaşı yıllarında vurgu yapması, bilhassa önemlidir. Dergide Burhan Arpad'ın yorumuyla sunulan Remarque, gerçekçi edebiyat akımını benimseyen ve Nazi diktatörlüğüne karşı savaş açmış bir yazar olması dolayısıyla öne çıkarılır. Remarque'ın savaş gerçekliğini eleştirel bir dikkatle romana taşıması, insanî değerleri merkeze alması ve yaşadığı çağın sorunlarına duyarsız kalmaması, *Adımlar*'ın benimsediği sanat ve edebiyat anlayışıyla örtüşür.

Sonuç

Türk düşünce hayatının gelişmesine katkıda bulunmak amacıyla Batı edebiyatlarından eserlere dikkat çekilen *Adımlar*'da savaş yıllarında geçiş hâlinde bulunan bir dünya içinde yaşandığına işaret edilmiştir. Bu dönemde milletlerin birbirleriyle maddi ve manevi alışveriş hâlinde bulunduğunun daha güçlü bir şekilde kavrandığına vurgu yapılarak dünyaya ayak uydurmuş, "tekniği ve kültürü yüksek bir millet" olarak yarını karşılamak arzusu dile getirilmiştir.

Kısa süreli yayın periyodunda *Adımlar*, Batı düşüncesine kapılarını açan bir kültür ve düşünce yayıncılığının örneğini sunarak Batı ve Türk düşünce hayatındaki tartışma ve yorumları okuyucusuyla buluşturmayı başarmıştır. 1940'lı yıllarda Hasan Ali Yücel'in kültür politikaları çerçevesinde gündeme gelen hümanizm etrafındaki arayış, tartışma ve yorumlara *Adımlar* da dâhil olmuş, hümanist söylemi ilke olarak benimsemiş bir yayın olduğunu ilan etmiştir. Hümanizm anketi açarak Türk ve Batılı araştırmacıların, akademisyenlerin ve yazarların görüşlerine yer vermiş, "Halkçı hümanizm" yaklaşımını ön plana çıkarmıştır. Derginin Batı edebiyatına ilgisinin kaynağını oluşturan bu hümanist tutum, 1940'lı yılların Türkiye'sine entelektüel bir katkı sağlamıştır.

Adımlar 'da Batı edebiyatı üzerine yapılan değerlendirmelerde sosyolojik bakış açısının öne çıktığı görülür. Başta Fransız romancıları olmak üzere Batı edebiyatının çağdaş yazarlarının tanıtıldığı dergide ağırlıklı olarak toplumcu gerçekçi çizgiye yakın yazarlar üzerinde durulmuştur. Bu doğrultuda André Malraux, Paul Nizan, John Steinbeck ve Erich Maria Remarque gibi yazarların eserlerinde ele aldığı konulara yer verilmiştir. Dergi benimsediği halkçı hümanist yaklaşımın yansıması olarak Batı edebiyatında savaşların, ekonomik ve toplumsal eşitsizliklerin eleştirel bakış açısıyla yorumlandığı eserleri öne çıkarmıştır. Edebiyatın toplumsal sorunlara ayna tutması ve çözüm üretmesi gerekliliği ifade edilmiş, toplumcu gerçekçi sanat anlayışının önemi vurgulanmıştır.

Adımlar'ı Türk kültür ve düşünce hayatında ayrıcalıklı kılan yönlerinden biri de İkinci Dünya Savaşı yıllarında sergilediği tutumdur. Savaşın yol açtığı yıkıma dikkat çeken dergi, insanî değerleri merkeze alan savaş karşıtı bir yaklaşımın temsilcisidir. Nazi Almanya'sının Avrupa'da yol açtığı felakete edebiyat ve sanat penceresinden tepki gösteren dergi, İkinci Dünya Savaşı yıllarında Türkiye'de hâkim olan siyasal bakış açısı karşısında muhalif bir ses olur. Savunduğu düşünce, sanat ve edebiyat anlayışıyla *Adımlar*, 1940'lı yılların başında güçlenen Türkçü-Turancı çevrelerin dozu bir hayli yüksek eleştirilerine maruz kalır. İkinci Dünya Savaşı yıllarının sert politik ikliminde varlık gösteren dergi, sıkı bir denetim altındaki yayın periyodunda etkili olmayı başarır.

1940'lı yılların Türkiye'sinde sanat ve edebiyat dergisi kimliğiyle güncel siyasal tartışmaların uzağında kalmaya çalışan ancak sert tartışmaların da tarafı olmaktan kaçınmayan *Adımlar*, edebiyat iklimine benimsemiş olduğu "halkçı" bakış açısıyla katkı sağlamıştır. Sergilediği yayın politikasıyla II. Dünya Savaşı'nın iletişim kanalları üzerine çektiği perdeyi aralayarak kültürler arası etkileşimin önemine dikkat çekmiştir.

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La récriture au féminin : *La Femme rompue* de Simone de Beauvoir et *La Femme gelée* d'Annie Ernaux

Women's Rewriting: *The Woman Destroyed* by Simone de Beauvoir and *A Frozen Woman* by Annie Ernaux

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RÉSUMÉ

Annie Ernaux fait partie de la génération d'écrivaines françaises qui a succédé Simone de Beauvoir dont l'œuvre et les idées l'ont influencée largement. La lecture de *Le Deuxième Sexe* en particulier est une vraie révélation pour Annie Ernaux qui le cite à bon escient à plusieurs reprises tout au long de son œuvre. Nous distinguons une ressemblance aussi bien au niveau formel qu'au niveau thématique entre plusieurs de leurs livres. Quant à la question féminine, nous percevons tout au long de la lecture de *La Femme gelée* d'Annie Ernaux l'écho, voire les traces, de *La Femme rompue* de Simone de Beauvoir. Quelle pourrait être la raison pour une écrivaine de choisir, semble-t-il volontairement, le contenu déjà traité par une autre précédemment ? Bien plus que d'aborder les mêmes sujets afin de les actualiser, l'écriture féminine semble se reprendre, voire se répéter afin de traiter sous un nouvel angle des questions féminines loin d'être acquises. Nous essayerons dans notre article de comparer les deux livres traitant de la question féminine des deux auteures du point de vue de l'intertextualité et de l'écriture féminine afin de comprendre ce processus de récriture qui apparaît chez les femmes-auteures.
Mots-clés: Simone de Beauvoir, *La Femme rompue*, Annie Ernaux, *La Femme gelée*, récriture féminine

ABSTRACT

Annie Ernaux is one of the French successors of Simone de Beauvoir, whose work and ideas have greatly influenced her. Reading *The Second Sex (Le Deuxième Sexe)* was a revelation for Annie Ernaux, who wisely refers to this text several times throughout her work. A resemblance both at formal and thematic levels can be distinguished in several of their books. As for the female question, we see throughout the reading of *A Frozen Woman (La Femme gelée)* by Annie Ernaux, the echo, even the traces, of *The Woman Destroyed (La Femme rompue)* by Simone de Beauvoir. What could be the reason for a writer to choose – seemingly voluntarily – content previously covered by another? Much more than tackling the same topics to update them, women's writing seems to resume, even repeat itself when dealing (from a new angle), with women's issues that are far from being acquired. In this article, two books of the two authors dealing with the female question will be compared from the point of view of intertextuality and female writing with the aim of understanding the process of rewriting that is revealed in the work of female authors.
Keywords: Simone de Beauvoir, *The Woman Destroyed*, Annie Ernaux, *A Frozen Woman*, women's rewriting

EXTENDED ABSTRACT

Annie Ernaux, born in 1940 and having published her first book in 1974, is one of the French successors of Simone de Beauvoir. If there is one author who has shaped her mind, it is undoubtedly Simone de Beauvoir, whom she knew through her readings, particularly during her university studies of modern literature. This relationship is especially apparent considering that Ernaux cites Beauvoir several times in her works and reading *The Second Sex (Le Deuxième Sexe)* in particular seems to be a real revelation and "an opening onto the world" for Annie Ernaux (Ernaux, 2007, p. 27). From the perspective of intertextuality, we note a similarity both formally and thematically between several works by the two authors. Both Simone de Beauvoir's *A Very Easy Death (Une mort très douce*, 1964) and Annie Ernaux's *I Remain in Darkness (Je ne suis pas sortie de ma nuit*, 1997) deal with the illness and death of the mothers of the two author-narrators. Both in Simone de Beauvoir's *Memoirs of a Dutiful Daughter (Mémoires d'une jeune fille rangée*, 1958) and in Annie Ernaux's *A Gilrl's Story (Mémoire de fille*, 2016), the two authors deal with their youth and their very choice of titles seem to openly mark the connection between these two books. As for the female question, throughout the reading of Annie Ernaux's *A Frozen Woman (La Femme gelée*, 1981) we notice the echo of Simone de Beauvoir's *The Women Destroyed (La Femme rompue*, 1967). In the latter, Beauvoir writes a triptych in which she stages three fictional women, destroyed by marriage and/or motherhood, which seems to be a way of warning her female readers against the trap that society could set for them. Alongside this, Ernaux deals with her own marriage to a bourgeois executive in a tone of confession and in an ironic and derisive way. Ernaux writes her book to share her journey as a woman through her personal becoming and development. Through this narrative, she wants to show that in order to gain awareness of her minority situation as a woman in relation to men, she must go through the situation faced by the majority of women. Contrary to Beauvoirian women, who are frozen in a situation of total destabilization, Ernausian woman is subject to a liberation from her situation.

We can thus ask ourselves what could be the reason for a writer to choose – voluntarily – subjects already dealt with previously by another writer? In this context, it would be appropriate to focus on intertextuality, and women's literature in particular. Indeed, in addition to taking up the same topics to update them, women's writing is reinstated, even to repeat itself, to tackle female questions far from being acquired from a new angle. Moreover, this conception shows a parallelism with Annie Ernaux's conception

of literature in general, according to which, literature would be constantly moving and evolving. In addition to quoting Simone de Beauvoir and her works, while maintaining the content and sometimes even echoing the titles, Annie Ernaux takes on the challenge of rewriting works modelled on them, taking each time care to adapt them to her own generation and socio-cultural condition. Indeed, it is through writing that the Ernausian "frozen woman" frees herself from her situation in the same way that Annie Ernaux carries the torch of the Beauvoirian feminist denunciation by means of her rewritten and reinterpreted work.

In this article, Simone de Beauvoir's *The Women Destroyed* and Annie Ernaux's *A Frozen Woman*, two works dealing with the feminine question, will be compared from the point of view of intertextuality and women's writing in order not only to understand this process of rewriting among women-authors but also to show how literature is renewed through this process. We can finally deduce that women's reworking and rewriting are effective ways to consolidate the feminist theses found in women writers' books. Thus, intertextuality in women's writing, far from being a simple imitation, may assume the continuity of women's literature, where each woman author might contribute not only to her own future, but also to other women's future.

Introduction

La femme rompue de Simone de Beauvoir, œuvre entièrement fictive constituant un triptyque formée de nouvelles – *La Femme rompue, L'âge de discrétion* et *Monologue* – paraît en 1967 alors qu'Annie Ernaux a 27 ans et mène une vie de mère de famille qui la pousse petit à petit en plein milieu d'une crise existentielle en tant que femme. Quand a-t-elle eu l'occasion de lire ce livre pour la première fois ? A l'entendre, elle l'aurait lu en 1975 (Ernaux, 2001, p. 5), soit 6 ans avant la parution de son propre livre inspiré de celui-ci. Avait-elle prévu d'écrire un livre portant sur le même thème lorsqu'elle a lu le livre de Beauvoir ou est-ce son expérience de la vie conjugale qui l'a poussée à l'écrire, cela demeure une question difficile à répondre. Par contre s'il y a bien une chose qui est assez certaine, c'est la relation personnelle d'Annie Ernaux avec Simone de Beauvoir et son lien avec son œuvre. Ernaux explique cette relation assez intime qu'elle entretient avec Simone de Beauvoir – même si elles ne se sont jamais rencontrées en personne – de la façon suivante :

> C'est un devoir pour moi, une sorte d'hommage, de dette plutôt. Sans doute ne serais-je pas tout à fait, sans elle, sans l'image qu'elle a été au long de ma jeunesse et de mes années de formation, ce que je suis. (Et cela, qu'elle soit morte 8 jours après ma mère, en 86, est un signe supplémentaire). (Ernaux, 2001, p. 2)

Ne niant aucunement son lien étroit et faisant allusion à Simone de Beauvoir et en particulier à son œuvre capitale qu'est *Le Deuxième Sexe* à partir de son premier livre *Les Armoires vides* (1974), Annie Ernaux accepte d'emblée l'influence de Beauvoir non seulement sur sa vie personnelle mais aussi sur sa conception de la littérature.[1] De plus, une vie d'intellectuelle semblable à celle de Beauvoir semble également la faire rêver dès ses années de faculté : « Je serai agrégée de lettres, ça ressemblera presque à Simone de Beauvoir, les cafés, la piaule, se coucher à quatre heures du matin en discutant sur le tiers-monde […]. » (Ernaux, 2008, p. 175). Annie Ernaux, en plus de citer Simone de Beauvoir ainsi que ses œuvres, se donne le défi de récrire[2] des œuvres calquées sur

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[1] Pour de plus amples exemples au sujet de l'influence beauvoirienne sur Annie Ernaux, consulter l'article de Rossi, Marie-Laure. (2015) *Une intellectuelle au féminin ? De Beauvoir à Ernaux*. Paris : Presses Universitaires de la Sorbonne, p. 73-79.

[2] Dans son article intitulé *De l'intertextualité à la récriture*, Anne-Claire Gignoux explique l'usage des termes « réécriture » et « récriture » en insistant sur l'usage du premier dans le cadre de la critique génétique et en réservant le second au domaine de l'intertextualité. (Gignoux, 2006) (Gignoux, 2003, p.16) Dans ce cadre, nous faisons un usage semblable du terme de « récriture ».

celles-ci tout en conservant le contenu et parfois même en faisant écho aux titres, mais en prenant soin à chaque fois de les adapter à sa propre génération et condition socio-culturelle. Ainsi, *Une mort très douce* (1964) fait écho avec *Je ne suis pas sortie de ma nuit* (1997) : deux livres où chacune des auteures-narratrices traitent de la maladie de leur propre mère, récits au cours desquels elles questionnent la relation qu'elles ont chacune entretenue avec leurs mères. Si pour une écrivaine, écrire à nouveau un sujet traité par une écrivaine de la génération précédente ne semble pas être une entreprise originale, Ernaux est consciente que l'originalité de son œuvre viendra non pas de sa ressemblance avec la précédente mais bien de la différence qu'elle pourra faire émerger par rapport à celle-ci. Ainsi, comme le note Marie-Laure Rossi : « Si l'identité d'Annie Ernaux, en tant que femme qui écrit et qui pense l'action de son écriture sur le monde, s'est profondément enracinée dans la référence à Simone de Beauvoir, c'est assurément pour la dépasser et transformer cet héritage » (Rossi, 2015). Lorsque nous considérons l'œuvre ernausienne dans son ensemble, il n'est pas difficile de remarquer que cette différence provient bien plus de la différence sociale que générationnelle entre les deux auteures. En effet, un sujet assez anodin telle que la relation mère-fille qu'Ernaux a entretenue avec sa mère est racontable dans la mesure où la relation d'une mère issue du prolétariat et une fille « transfuge de classe » devenue bourgeoise reste inédite pour le domaine littéraire. Dans le livre d'Annie Ernaux, en plus des conflits générationnels que l'on peut y observer, nous trouvons la rancœur et l'amertume de la différence sociale de la narratrice-personnage éprouvées au plus profond d'elle-même envers sa mère. Dans ce cadre, il faudrait rappeler la constatation selon laquelle « la littérature se renouvelle[rait] par reprise d'une même matière » (Piégay-Gros, 1996, p. 8). Il faut donc considérer le processus ernausien comme une reprise volontaire de la même matière afin d'apporter sa contribution à la littérature dans le but de la transformer et de la renouveler. Dans ce cadre, Samoyault remarque que « [l]a reprise d'un texte existant peut être aléatoire ou consentie, vague souvenir, hommage affiché ou encore soumission à un modèle, subversion du canon ou inspiration volontaire » (Samoyault, 2004, p. 5). La littérature n'est donc pas une matière inerte mais elle suit un changement, un bouleversement, un renouvellement et une actualisation constants qu'il est utile d'assumer. Si Ernaux n'hésite pas à reprendre des thèmes beauvoiriens aussi évidents, c'est en quelque sorte lié à sa volonté de recréer une nouvelle version selon son propre vécu et point de vue.

De même, il est difficile de ne pas faire de rapprochement du point de vue des thèmes traités dans *Mémoires d'une jeune fille rangée* de Simone de Beauvoir et *Mémoire de fille*

d'Annie Ernaux à un petit détail près : les « mémoires » ernausiennes ne sont aucunement « rangées ». En mettant l'accent sur une expérience inavouée de la part des femmes, à savoir la première relation sexuelle, Annie Ernaux casse volontairement les conventions sociales et culturelles quant à la respectabilité de l'auteure en transgressant encore une fois les règles de la littérature bourgeoise. Même si concernant les sujets qui portent sur la femme, Ernaux semble être sur la même longueur d'ondes que Beauvoir, du point de vue des conventions littéraires et bourgeoises, elle s'en diffère considérablement, s'efforçant d'apporter sa contribution au domaine littéraire tout en bafouant les règles de la littérature classique. Ainsi que le remarque Nathalie Piégay-Gros :

> Si l'intertextualité peut constituer une force de liaison, capable d'inscrire le texte dans une filiation d'œuvres, elle peut à l'inverse représenter une force de rupture qui met à mal la tradition, bafoue l'autorité des modèles et modifie profondément le statut et la nature du texte. (Piégay-Gros, 1996, p. 135)

Dans ce cadre, même si nous ne pouvons pas qualifier l'œuvre ernausienne dans son ensemble comme étant une écriture de la révolte, son côté transgressif reste indéniable.[3]

Gérard Genette définit *la transtextualité* comme étant « tout ce qui met [le texte] en relation, manifeste ou secrète, avec d'autres textes » (Genette, 1982, p. 7). Apparemment, plusieurs des œuvres ernausiennes semblent être en étroite relation avec certaines œuvres beauvoiriennes. En s'inspirant volontairement de Beauvoir, Ernaux semble ajouter de nouvelles fonctions à son écriture qui se trouve dans la continuité des écritures précédentes des femmes. A cet égard, Genette note que « l'art de « faire du neuf avec du vieux » a l'avantage de produire des objets plus complexes et plus savoureux que les produits « faits exprès » : une fonction nouvelle se superpose et s'enchevêtre à une structure ancienne, et la dissonance entre ces deux éléments coprésents donne sa saveur à l'ensemble » (Genette, 1982, p. 451). Pierre-Louis Fort insiste sur le fait que la relation entre Beauvoir et Ernaux dépasse la relation intertextuelle : « plus qu'une intertextualité, il y aurait une sorte de dialogue critique. Annie Ernaux écrivant ici non « avec » mais peut-être « contre » Beauvoir – un « contre » de proximité qui n'est pas pour autant un refus ni une défiance mais la revendication d'autres choix d'écriture »

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3   Ce côté transgressif de l'œuvre ernausienne a notamment été traité par Elise Hugueny-Léger dans son œuvre intitulée : *Annie Ernaux, une poétique de la transgression*, Peter Lang, 2009.

(Fort, 2018, p. 113). Dans notre article, nous tenterons d'analyser l'œuvre de ces deux auteures afin de voir l'évolution de l'écriture féminine et de discuter de l'intérêt de récrire à nouveaux des sujets déjà traités.

1. Les « femmes rompues » de Simone de Beauvoir

Dans *La Femme rompue* de Simone de Beauvoir où trois récits de femmes sont narrés à la première personne du singulier sur le ton de l'aveu, du monologue et du journal intime, nous voyons trois femmes qui se trouvent à un moment de leur existence où elles doivent remettre en question toute leur vie. Elles sont au bord de l'abîme et au bon milieu d'une crise existentielle et identitaire. En tant que femmes, elles vivent chacune un malheur familial ou conjugal qui leur permet de reconsidérer toute leur existence. Plus que les situations dans lesquelles elles se trouvent, c'est leur incapacité à s'en rendre compte et à lutter contre leur sort qui est à l'origine de leur situation de femmes rompues, détruites, anéanties. L'identité par laquelle elles se réalisent étant d'abord et avant tout le rôle de mère de famille ou d'épouse, elles se sentent détruites à la suite des événements imprévisibles qui leur arrivent. Comme le remarque Monique, la protagoniste de *La Femme rompue*, « [t]outes les femmes se pensent différentes ; toutes pensent que certaines choses ne peuvent pas leur arriver, et elles se trompent toutes » (Beauvoir, 2013, p. 134). Leur refus catégorique du malheur qui leur advient est le principal responsable de leur situation : elles s'en sortent très mal alors que justement c'est leur prise de conscience qui pourrait leur procurer une émancipation. Elles sont donc des anti-héroïnes qui résistent à leur entourage, tentant en vain de changer les autres et les événements, au lieu de se prendre en main et de questionner leurs vies. Des femmes qui ne se définissent et qui n'existent qu'à travers leurs proches, ayant renoncées à leurs rêves, à leurs avenirs, voire à leurs vies.

Pour marquer cet état d'âme, les trois femmes du récit beauvoirien ont en commun d'avoir des troubles de sommeil ; elles utilisent des somnifères (p. 62, 87) ou le médicament Nembutal (p. 143) et s'ennuient au point de vouloir « tuer le temps » (p. 76, 97, 150). Une situation d'inconscience et une totale indifférence envers ce qui leur advient règnent sur elles. Par ailleurs, cette relation qu'elles entretiennent avec le temps montre leur incapacité à le saisir et donc à se saisir de leurs propres vies ; c'est en quelque sorte une perte de la notion du temps qui s'opère après des années de sacrifices devenues leur routine. Elles sont à tel point « rompues » qu'elles se sentent incapable de lutter de quelque manière qu'il soit. Leur seul remède, c'est de rester dans l'ignorance totale

de leur situation. Les somnifères semblent être un bon remède mais ces médicaments nous permettent aussi de comprendre la déstabilisation totale des femmes que nous pouvons expliquer du point de vue beauvoirien que par leur manque de conscience.

Ces trois femmes, bien que se racontant à la première personne du singulier, n'assument aucunement ni leur vie, ni les événements dans lesquels elles se trouvent. Elles sont dans une situation de déstabilisation totale à travers laquelle Beauvoir semble vouloir déstabiliser, voire dérouter son lecteur. A la lecture de chacune des trois récits, nous sommes témoins d'une situation difficilement acceptable. Ce qui exacerbe les lecteurs – et peut-être plus les lectrices – c'est le manque de conscience et d'autoévaluation de la part des protagonistes. Elles ne font en effet pas le moindre effort pour surmonter leur situation et passent leur temps à se lamenter. Chose difficilement acceptable pour qui connaît Simone de Beauvoir. Cependant, cela reste un choix stylistique et narratologique assumé par l'auteure pour montrer la réalité crue des choses à ses lecteurs et tout particulièrement à ses lectrices. Elles semblent dès lors subir les méfaits de la société à travers la narration de laquelle Beauvoir continue de dénoncer non pas une nature innée de la femme mais les règles sociales qui seraient responsables de la déstabilisation de celle-ci.

1.1. La maternité peinte à travers *L'Âge de discrétion*

La protagoniste de *L'Âge de discrétion*, la seule dont on ne mentionne pas le prénom, qui après avoir pris sa retraite de professeure de lycée, écrit des livres de critiques littéraires, se retrouve en position de femme anéantie par les décisions de son fils unique. C'est une femme sévère, sérieuse, qui a une vision du monde et des valeurs qu'elle tient par dessus tout, selon qui « la culture est la plus haute des valeurs » (Beauvoir, 2013, p. 20). Malgré cette émancipation du point de vue social, culturel et intellectuel, la décision de son fils Philippe de quitter son doctorat et le monde universitaire à la suite de son mariage avec une fille issue du monde des affaires, Irène, et de travailler dans un poste que son beau-père lui a trouvé, la mettra hors d'elle. Pourtant, elle a des incohérences dont elle n'est pas consciente elle-même. Ainsi, s'étant « acharnée à faire de Philippe un intellectuel » (p. 20), elle ne s'abstient pas en tant que mère de famille impeccable de faire préparer « les plats préférés de Philippe » (p. 20) et elle est hantée par l'attente de ce fils et répète à plusieurs reprises « Philippe sera là ce soir. » (p. 11), « Philippe sera là… » (p. 12). Ayant tout au long de sa vie œuvré pour faire de son fils un intellectuel et bien qu'elle se croie elle-même être une intellectuelle, le rapport

qu'elle entreprend avec son fils est bien loin de celle d'une femme intellectuellement émancipée. Justement, elle s'en rend compte pendant le procès qu'elle tient contre elle-même et elle se l'avoue : « [q]uelle duperie, ce progrès, cette ascension dont je m'étais grisée » (p. 71). Quand bien même elle a d'autres préoccupations comme d'écrire le deuxième volume de son critique de Rousseau et de Montesquieu, ainsi qu'un mari attentif, elle se refuse à l'idée que « Philippe ait cessé de [lui] appartenir » (p. 11). De plus, les critiques de son livre sont défavorables tout comme le jugement de Martine, sa jeune éditrice (p. 59). Elle se sent plus qu'à tout autre moment de sa vie « trahie, abandonnée » par ce fils pour qui elle s'était crue « indispensable » (p. 31). La protagoniste avoue tout au long de son récit que ce qui lui arrive n'est pas seulement la distance qui ne fait que se creuser avec son fils mais aussi son corps de femme qui se détériore : « Mon corps me lâchait. » (p. 71), « C'est ça aussi, vieillir » (p. 73). avoue-t-elle. Ce qui lui est désagréable au point de lui faire perdre conscience, c'est de basculer avec l'âge et la retraite dans une vie insignifiante. Mais à la suite des crises qu'elle vit avec son fils, elle se libère de cette double dérision en acceptant d'accueillir la vie telle qu'elle se promet et de la vivre avec son mari. Elle finit donc par se réconcilier avec la vie, avec elle-même et voulant regagner son fils, elle remarque qu'elle avait faillit perdre son mari, André, (p. 82) avec qui elle se résout à se confronter à la vie qui lui reste à vivre : « Nous sommes ensembles. C'est notre chance. Nous nous aiderons à vivre la dernière aventure dont nous ne reviendrons pas » s'avoue-t-elle (p. 84).

Dans le cas de la protagoniste de ce premier récit de Beauvoir, le titre se trouve justifié. Ce qui pèse sur la protagoniste c'est moins les décisions de son fils que le temps qui passe et envers lequel elle se retrouve démunie comme tout être humain. En plus, elle sait que le temps est plus nuisible aux femmes qu'aux hommes et l'apparence physique est une chose à laquelle seule les femmes sont contraintes de porter attention. « Un corps de vieux, c'est tout de même moins moche qu'un corps de vieille » (p. 69) remarquera-t-elle. La prise de conscience de la protagoniste nous révèle comment les femmes, les mères de familles en particulier, se dupent à vouloir se réaliser avec les exploits de leur proche. Ce récit expose également le piège bourgeois de la femme parfaite mère de famille dans lequel peut tomber n'importe quelle femme.

1.2. Murielle ou la vengeance par *Le monologue*

Le deuxième récit de Beauvoir est écrit sous forme d'un monologue de la protagoniste Murielle, femme de Tristan et mère de Francis. Nous découvrons au fur et à mesure

qu'avance le récit qu'ils sont séparés et que Murielle ne voit pas souvent son fils âgé de 11 ans. Elle est au bord de la déprime et tout comme la protagoniste du récit précédent, elle tue le temps (p. 97) et utilise des somnifères (p. 87). Elle a le sentiment que tout le monde, y compris sa propre famille, est contre elle, son frère et sa mère lui préférant à son mari (p. 88). Cependant le récit avance d'une façon très énigmatique. L'aveu de la protagoniste voulant raconter sa vie puisque « tant de femmes le font » (p. 90) et le pressentiment qu'elle fait sentir tout au long de son monologue intriguent profondément le lecteur et l'on apprend, deux pages plus tard, que « c'est contre nature qu'on enlève un fils à sa mère » (p. 92). Malgré cette découverte qui pourrait être la cause de la détresse de Murielle, nous pouvons légitimement penser que ce n'est pas la seule chose qui la tourmente. On se demande qui est Sylvie dont on parle au début du récit, si ce n'est la fille de Murielle et l'on est définitivement convaincu de l'existence de celle-ci au moment où sa mère annonce sa mort. (p. 97) On sentait qu'en tant que femme, elle voulait récupérer son fils et qu'elle voulait également se réconcilier avec son mari qui vivait dans un autre appartement mais on la voyait hantée par quelque chose d'autre. Bien qu'elle fasse des efforts, elle finit à chaque fois par céder car elle se sent impuissante contre « les hommes qui se tiennent tellement » (p. 93) en face desquels « une femme seule, on crache dessus » (p. 93). Dans une telle situation, tout est prétexte pour se questionner et douter de soi-même et des gens. Dans les méandres de sa pensée, la narratrice essaie de deviner ce que les gens, ses voisins pensent d'elle. On découvre enfin que sa fille Sylvie s'est suicidée en se droguant à 17 ans mais Murielle lâche le mot : « C'est moi qu'on enterrait » (p. 99). Une femme désespérée, qui ne supporte pas la perte de sa fille, encore moins d'en être tenue responsable par sa propre mère : « Tu l'as tuée » (p. 112). Le monologue acerbe, âpre qu'elle tient du début à la fin de son récit devient non seulement un moyen d'autodépréciation mais aussi de vengeance contre la douleur que lui font endurer la vie et ses proches.

1.3. Monique ou l'image parfaite de *La Femme rompue*

Monique, 44 ans, mariée depuis 22 ans, est une femme entièrement dévouée à ses deux filles, Colette et Lucienne, et à son mari Maurice, un médecin de 45 ans. Ce qui fait d'elle une femme totalement rompue, c'est qu'il lui advient la chose dont elle se méfiait le moins. Elle découvre que son mari la trompe depuis dix ans avec différentes femmes. Ainsi, à 44 ans, elle se retrouve seule, sans travail puisqu'elle a passé la moitié de son existence à se sacrifier pour sa famille. C'est tout un passé, toute une vie qui sont alors mis en question et qui s'écroulent. Elle, qui s'est refusée toute occupation

professionnelle alors qu'elle pouvait devenir médecin comme son mari car elle ne supporterait pas de n'être pas totalement à la disposition des gens qui ont besoin d'elle (p. 125). « Je n'ai vécu que pour lui. Je n'ai jamais rien demandé pour moi que je ne veuille aussi pour lui » (p. 133) s'étonnera-t-elle. Elle se sent coupable d'avoir accompagné sa fille Colette, malade, à la montagne au mois d'août pendant lequel son mari l'a trompée (p. 132-133). De plus, elle doute d'elle-même et tente de comprendre son mari. C'est avec son amie Isabelle qui a choisi la liberté dans son couple (p. 134) qu'elle en discute et cherche à justifier les infidélités de son mari. Ainsi, voulant justifier l'action de son mari par son manque d'attention, elle rejoint la remarque de Bourdieu selon qui la domination masculine est tellement ancrée dans nos inconscients qu'on ne s'en rend pas compte dans le cadre des rapports de domination en général dans la société et encore moins dans les relations de couple (Bourdieu, 2002, p. 55).

Ce récit dont le titre est éponyme avec celui du livre, est le point culminant de l'image de la « femme rompue », puisqu'en tant que victime de son mariage bourgeois, Monique tente de justifier l'infidélité de son mari et veut trouver la faute chez elle-même au lieu de saisir la situation et d'assumer la lâcheté de son mari. La conclusion sera donnée par sa fille Lucienne : « Quand tu mises sur l'amour conjugal, tu prends une chance d'être plaquée à quarante ans, les mains vides » (Beauvoir, 2013, p. 246). Mais Monique ne semble pas vouloir changer sa situation, se considérant désormais comme « une morte » (p. 251). Aucune volonté de changement ou de devenir à l'horizon que traduisent ces énoncés : « Ne pas bouger ; jamais. Arrêter le temps et la vie. » Pourtant, cette volonté viendra, mais « lentement et implacablement » (p. 252).

2. Le devenir de la « femme gelée » d'Annie Ernaux

Contrairement aux personnages de l'œuvre fictive de Simone de Beauvoir, nous savons que la « femme gelée » ernausienne n'est autre qu'elle-même. L'auteure-narratrice ouvre le récit en pointant du doigt et en dénonçant « les femmes sans voix, soumises » (Ernaux, 2007, p. 9) afin de rendre hommage aux femmes de sa classe sociale, qui au contraire ont « le verbe haut » et « des corps mal surveillés » (p. 9). Ces femmes sans voix et soumises semblent être également une allusion aux protagonistes beauvoiriennes de *La Femme rompue*. A travers une narration où elle prône hautement que « devenir quelqu'un ça n'avait pas de sexe pour [s]es parents » (p. 39), elle dénonce comment une femme peut imperceptiblement passer à un état dans lequel elle n'aurait jamais pensé se retrouver : « Prête à jurer que la condition féminine la plus répandue ne sera

jamais la mienne » (p. 111). Durant sa jeunesse, on sait que la lecture du *Deuxième Sexe* sera plus que révélatrice pour Annie Ernaux : « *Le Deuxième Sexe* m'a fichu un coup. Aussitôt les résolutions, pas de mariage mais pas non plus d'amour avec quelqu'un qui vous prend comme objet » (p. 103). S'en suivent les observations interminables quant à la routine des femmes mariées et des mères de famille. Insouciance et indifférence face à la situation féminine dominent alors l'esprit de la jeune Annie : « Le matin, je vois des femmes secouer des chiffons, faire des signaux interminables sur leurs vitres, rentrer des poubelles. Je ne me pose pas de questions, ces gestes font partie d'un rituel étranger à ma vie » (p. 111). Selon la narratrice, étant jeune, « toutes les femmes à mari et à mômes font partie d'un univers mort » (p. 111). Toute la routine de la femme mariée, mère, voulant jouer le rôle de la parfaite maîtresse de maison afin de plaire à son mari et à son entourage est minutieusement racontée sur un ton ironique et dérisoire. On suit, tout au long de la narration, le quotidien de cette femme perdue dans les taches ménagères qui la pousse petit à petit dans un questionnement existentiel semblable aux anti-héroïnes beauvoiriennes :

> Surtout pas le balai, encore moins le chiffon à poussière, tout ce qui me reste peut-être du *Deuxième Sexe*, le récit d'une lutte inepte et perdue d'avance contre la poussière. (Ernaux, 2007, p. 150)

En effet, Ernaux raconte à travers le quotidien banal de cette « femme gelée » une nouvelle femme « en devenir ». Ainsi que le souligne Liane Mozère : « le devenir-femme, comme les autres formes de devenirs, contient donc en germe tout ce qui n'existe pas encore, tout ce qui est proprement impensable et impossible. » (Mozère, 2005, p. 57) Ainsi, nous voyons à travers la narration ernausienne les signes avant-coureurs de son changement. Étant désormais une femme mariée et mère de famille, elle finit par faire partie de la majorité. En effet, le fait que la narratrice commence à se questionner, même inconsciemment à travers ses observations sur sa propre vie qu'elle compare avec son passé, est révélateur de son pas en avant pour sortir de cette situation. Comme le montrent Deleuze et Guattari, le devenir-femme implique tout comme les autres types de devenir, la simultanéité d'un double mouvement, l'un par lequel on se soustrait à la majorité et l'autre par lequel on sort de la minorité (Deleuze et Guattari, 1980, p. 357). Alors que dans l'œuvre beauvoirienne ce double mouvement ne s'accomplit point, les narratrices-personnages restant dans la phase de soustraction à la majorité, la narratrice-personnage ernausienne accomplit d'une façon plus nette les deux mouvements : après s'être soustraite à la situation de la femme en général, elle œuvre

pour s'en sortir et réaliser son devenir-femme. En faisant partie de la majorité des femmes qui les rend minoritaire face à la situation de l'homme dans la société, elle porte en elle le germe de son émancipation. Déjà durant son enfance, la narratrice-personnage est consciente que son devenir-femme n'est pas compatible avec les attentes de la société : « Je ne savais pas que dans un autre langage cette joie de vivre se nomme brutalité, éducation vulgaire. Que la bonne, pour les petites filles, consiste à ne pas hurler comme une marchande de poisson, à dire zut ou mercredi, à ne pas traîner dans la rue » (Ernaux, 2007, p. 35). Étant enfant, elle a intériorisé une toute autre vérité sur les statuts des femmes et des hommes qui est en totale contradiction avec celle assignée par la société : « Ça ne fait pas un pli pour moi que les femmes sont plus savantes que les hommes » (p. 50). Contrairement aux codes de sa famille, tout au long de sa croissance, elle trouve des idéaux féminins différents de ce qu'elle a pu observer dans sa propre famille et au sein de sa classe sociale.

Pour se détacher de cette situation majoritaire de la femme, il suffit d'un rien : « Ce qui nous précipite dans un devenir, ce peut être n'importe quoi, le plus inattendu, le plus insignifiant. Vous ne déviez pas de la majorité sans un petit détail qui va se mettre à grossir, et qui vous emporte » (Deleuze et Guattari, 1980, p. 357). Pour la femme ernausienne toute chose, aussi banale qu'elle puisse paraître, est prétexte afin de précipiter ce devenir comme par exemple la « sonnerie stridente du compte-minutes » (Ernaux, 2007, p. 130), métaphore assez bien choisie qui semble également marquer l'éveil intérieur de la narratrice. Bien que l'acquisition de tels objets ou d'appareils électroménagers marque une réussite sociale pour le couple bourgeois qu'elle forme avec son époux, cela devient petit à petit le symbole de son échec en tant que femme. Ces mêmes objets autrefois convoités par le couple finiront par étouffer la jeune femme, la poussant à vouloir à tout prix sortir de cette majorité que forment les femmes bourgeoises mariées suivant le chemin imposé par la société : « Je mimais les gestes des femmes mariées » (p. 129). Mais inconsciemment, elle sait que cette adhésion à la situation majoritaire de la femme n'est pas la solution puisque cela anéantit son devenir.

> Le problème n'est jamais d'acquérir la majorité, même en instaurant une nouvelle constante. Il n'y a pas de devenir majoritaire, majorité n'est jamais un avenir. Il n'y a de devenir que minoritaire. Les femmes, quel que soit leur nombre, sont une minorité, définissable comme état ou sous-ensemble ; mais elles ne créent qu'en rendant possible un devenir, dont elle n'ont pas la propriété, dans lequel elles ont elles-mêmes à entrer, un

devenir-femme qui concerne l'homme tout entier, hommes et femmes y compris. (Deleuze et Guattari, 1980, p. 134)

Ce nouveau monde qui n'est qu'« un univers de femme rétréci » (Ernaux, 2007, p. 148) ne promet pas un avenir pour la jeune femme. Au contraire la narratrice-personnage ernausienne voudrait s'ouvrir au monde, dépasser sa situation de mère de famille. Zourabichvili indique qu'« [o]n n'abandonne pas ce qu'on est pour devenir autre chose (imitation, identification), mais une autre façon de vivre et de sentir hante ou s'enveloppe dans la nôtre et la « fait fuir » (Zourabichvili, 2003, p. 30). Ernaux ne veut ni imiter, ni s'identifier à un modèle ou un idéal de femme puisque dans sa situation de femme, elle aspire à une autre façon de vivre. C'est grâce à cette recherche constante de trouver sa place en tant que femme au sein de la société en refusant d'accepter les acquis, qu'Ernaux semble réaliser son devenir-femme.

3. L'Actualisation de la situation féminine à travers la récriture

Parmi les œuvres ernausiennes où il y a une référence ouverte aux œuvres beauvoiriennes, *La Femme gelée* a une place importante puisque ce livre est le premier à avoir repris et le titre et les sujets traités par Beauvoir. Comment, dans ces deux livres, et les quatre récits, qui se ressemblent à première vue, en est-on passé de la condition de la « femme rompue » à celle de la « femme gelée » ? En effet, alors que l'adjectif « rompue » soigneusement choisi par Simone de Beauvoir renvoie à une situation peu réversible de ses trois protagonistes, l'adjectif « gelée » aussi subtilement choisi par Annie Ernaux renvoie à une situation temporaire dans laquelle la femme se trouve par sa faute mais qui peut évoluer par sa propre volonté. Comme le remarque Colette Hall, « […] une femme gelée n'est pas encore rompue. Le geste lucide de l'écriture annonce déjà un dégel » (Hall, 1996, p. 12). Ce passage d'une situation inerte à une situation en mouvement semble avoir une connotation assez révélatrice. En effet, c'est par l'écriture que « la femme gelée » ernausienne se libère de sa situation au même titre qu'Annie Ernaux porte plus haut en tant qu'auteure le flambeau de la dénonciation féministe beauvoirienne par son œuvre récrite et réinterprétée.

Contrairement à la « femme gelée » ernausienne, il est intéressant de constater comment chez Simone de Beauvoir qui prône toutes sortes de libertés, les femmes sont prises par le piège de la société, de la famille et du mariage. Cela pourrait être une manière d'avertir pour Beauvoir les femmes en les mettant directement en face de la

réalité la plus banale et crue qu'elle soit, ou bien de les déstabiliser en leur montrant ce à quoi la plupart d'entre elles sont contraintes tous les jours mais qu'elles ont fini par accepter. En tout cas, ce n'est pas le chemin que prendra Ernaux, pour qui le « vécu personnel » reste un pilier important de son œuvre et qui, en plus de raconter le piège dans lequel elle est personnellement tombée, montre également combien cela est déstabilisant pour la femme. Tenant compte de cette différence, nous pouvons dire que l'œuvre beauvoirienne est une œuvre fermée sur la situation de la femme où celle-ci est dépeinte d'une façon inerte ; alors que l'œuvre ernausienne montre une femme dans son parcours existentiel, de son enfance jusqu'à sa prise de conscience de sa situation personnelle et sociale. Dans l'œuvre ernausienne, nous voyons un personnage en devenir, qui d'années en années et d'événements en événements se construit non seulement une identité en revendiquant sa liberté, mais aussi un dessein dans la vie : écrire. Écrire afin de se libérer elle-même mais aussi afin de donner cette même occasion dans un esprit de sororité à d'autres femmes qui se liront à travers son récit. Cependant, il faut noter que le « devenir ernausien » est différent de celui dont parlait Beauvoir dans *Le Deuxième Sexe* à travers son fameux énoncé sans cesse repris : « On ne nait pas femme : on le devient » (Beauvoir, 2014b, p. 13). Comme le souligne Monika Boehringer, « [d]evenir femme se fait d'une part sous la pression de la société patriarcale qui, imposant sa préconception de ce que c'est qu'une « femme », forme les femmes ; celles-ci se révèlent du coup être des constructions socio-culturelles » (Boehringer, 2003, p. 19). Dans le devenir ernausien, le mot n'a pas de connotations négatives qui sous-entendraient la construction de l'identité à travers les acquis socio-culturels de la société mais au contraire la construction de l'identité féminine à travers la prise de conscience de la femme. Même si, comme l'affirme Michèle Chossat : [l]a place et le quotidien de la femme – responsabilités familiales, tâches ménagères, contacts, profession – jouent un rôle dans la construction de l'identité féminine » (Chossat, 2002, p. 3), cette situation dans laquelle se trouve la femme en raison de l'ordre social établi préalablement devient un moyen de prise de conscience pour Ernaux.

Ainsi, « si *La Femme gelée* paraît descendre en droite ligne de « La Femme rompue », Ernaux apporte des correctifs importants à son modèle » (Hall, 1996, p. 6). Dans ce cadre, la récriture d'un même sujet féminin afin de l'actualiser selon son époque mais aussi selon son propre vécu, non seulement prouve tout l'intérêt du travail ernausien mais aussi démontre encore une fois sa conception plus globale de la littérature. En effet, « [p]our Ernaux, la littérature est vivante, dans le sens où elle est constamment en mouvement et en évolution (…) » (Hugueny-Léger, 2009, p. 205). La littérature est

donc renouvelable et actualisable selon son contexte spatio-temporel et social dans lequel elle est réinterprétée à nouveau. À ce propos, Lise Gauvin remarque :

> Telle est, dans la grande majorité des cas, l'entreprise de réécriture telle qu'elle a été pratiquée au cours des siècles aussi bien par les écrivains masculins que féminins : l'œuvre du passé se trouve ainsi réactualisée et recontextualisée dans un monde familier à l'auteur et à ses lecteurs. (Gauvin, 2004, p. 18)

Dans le cadre de l'intertextualité, le fait de traiter à nouveau des sujets déjà traités nécessite un effort de la part des lecteurs également, puisque « [l]a récriture […] fait appel à la mémoire des lecteurs, à leurs compétences culturelles ; elle relève évidemment de l'intertextualité […] » (Gignoux, 2005, p. 111). Pour Annie Ernaux, Simone de Beauvoir semble être « un repère » (Moricheau-Airaud, 2019, p. 191) ou encore « la source même de certaines [de ses] motivations d'écriture » (Hugueny-Léger, 2009, p. 77), qui, en apportant une nouvelle vision à des sujets semblables, contribue également à son propre devenir-femme mais aussi à celui d'autres femmes :

> Écrire est une affaire de devenir, toujours inachevé, toujours en train de se faire, et qui déborde toute matière vivable ou vécue. C'est un processus, c'est-à-dire un passage de Vie qui traverse le vivable et le vécu. L'écriture est inséparable du devenir : en écrivant, on devient-femme, on devient-animal ou végétal, on devient-molécule jusqu'à devenir-imperceptible. (Deleuze, 1993, p. 11)

Ainsi, pour Ernaux l'écriture est un devenir et c'est en écrivant de nouveau ce qui a déjà été écrit qu'elle pense pouvoir pousser toute femme mais aussi tout individu, y compris elle-même, plus loin dans sa quête et dans la construction de sa personnalité. Loin de penser que l'intertextualité au féminin ne serait qu'une simple imitation, elle assume la continuité de la littérature féminine où chaque auteure pourrait contribuer au devenir de sa propre personne mais aussi des autres femmes. Dans ce cadre, bien que les sujets se ressemblent, la manière de les traiter nous montre le développement de l'écriture féminine qui assume non pas la situation inerte de la femme mais tente de nous montrer son développement. Nous pouvons donc dire qu'il n'y a « pas de réécriture qui ne transforme d'une manière ou d'une autre le texte de base » (Gauvin, 2004, p. 12).

Conclusion

La récriture est un processus assez répandu dans la littérature que nous observons également chez certaines écrivaines modernes dont Annie Ernaux. Parmi les œuvres ernausiennes, *La Femme gelée* est tout particulièrement intéressante car cette œuvre reprend le thème de la déstabilisation de la femme au foyer, mère de famille qui avait été le thème de *La Femme rompue* de Simone de Beauvoir. En effet, Annie Ernaux, n'ayant jamais nié son lien étroit avec Simone de Beauvoir même si elles ne se sont jamais connues en personne, en plus de citer directement Simone de Beauvoir ainsi que ses œuvres, se donne le défi de récrire des œuvres calquées sur celles-ci tout en conservant le contenu et parfois même en faisant écho aux titres, mais en prenant soin à chaque fois de les adapter à sa propre génération et condition socio-culturelle. Nous avons pu observer à travers notre analyse comparative d'un point de vue de la récriture au féminin des deux œuvres appartenant à deux auteures de différentes générations, que l'œuvre d'Annie Ernaux « a produit une écriture littéraire de la condition féminine qui se démarque de celle de Simone de Beauvoir » (Rossi, 2015). Ainsi, Simone de Beauvoir dépeint trois femmes anéanties par le mariage, la famille et les enfants, chose assez surprenante pour les lecteurs qui connaissent ses revendications féministes. Mais cela semble être un moyen d'avertir les femmes de sa génération en les mettant directement en face de la réalité la plus banale et de les déstabiliser en leur montrant ce à quoi la plupart d'entre elle sont contraintes tous les jours. Alors que, Annie Ernaux reprend volontairement une même matière afin d'apporter sa contribution à la littérature dans le but de l'actualiser et la renouveler car elle est consciente qu'écrire à nouveau un sujet traité par une écrivaine de la génération précédente ne pourra être une entreprise originale seulement si elle adopte un point de vue différent et y apporte une nouvelle interprétation. Bien que le thème reste le même, Ernaux ne prendra pas le même chemin parcouru par Simone de Beauvoir et insistera sur son propre vécu pour raconter le piège dans lequel elle est personnellement tombée ainsi que combien cela est déstabilisant pour la femme, se libérant ainsi à travers l'écriture et montrant le chemin à tant d'autres femmes de sa génération. Contrairement aux femmes beauvoiriennes rompues, totalement anéanties, le gel de la femme ernausienne n'est qu'une situation passagère parmi les étapes de la femme en devenir, voire même la condition sine qua non de ce devenir. Si la femme gelée ernausienne montre clairement la difficulté d' « être comme tout le monde », c'est bien parce « qu'il y a une affaire de devenir » (Deleuze et Guattari, 1980, p. 342) dans son parcours de vie de femme. Pour Ernaux, l'écriture a le devoir

de produire un devenir-femme « capable de parcourir et d'imprégner tout un champ social, et de contaminer les hommes, de les prendre dans ce devenir » (p. 338).

En reprenant volontairement des sujets traités par d'autres auparavant, Annie Ernaux veut également montrer que « la parole intime des femmes sur scène publique demeure un combat de tous les instants. » (Martin et Rouch, 2020). L'intertextualité représente donc beaucoup plus qu'une simple inspiration intergénérationnelle au sein de l'écriture féminine. En ce sens, l'exemple d'Annie Ernaux concernant l'œuvre de Simone de Beauvoir est significatif.

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Reseña del libro *Las "chicas raras" en la Literatura Española Contemporánea: activismo, sexualidad y otredad en las "chicas raras"*

A Review of *Queer Women in Modern Spanish Literature: Activism, Sexuality and the Otherness of the "Chicas Raras"*

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QUEER WOMEN IN MODERN SPANISH LITERATURE

ACTIVISM, SEXUALITY, AND THE OTHERNESS OF THE 'CHICAS RARAS'

Edited by
Ana I. Simón-Alegre and Lou Charnon-Deutsch

El libro es una obra colectiva, publicada dentro de la serie "Literacy Criticism and Cultural Theory" con el número nueve. Consta de varios apartados: una breve dedicatoria, un índice de contenidos, un listado de las ilustraciones, la sección de agradecimientos, un resumen de la trayectoria académica de los autores, una introducción, las ocho investigaciones específicas y un índice onomástico final. Como queda expuesto en el apartado de agradecimientos (p. X), el libro se proyectó para recoger algunas de las ponencias presentadas en la Conferencia de la Asociación de Lenguas Modernas celebrada en Chicago y en la reunión de la Asociación de Lenguas Modernas del Noreste reunida en Washington, ambas celebradas en el año 2019. Pero la obra se ha conformado siguiendo una clara línea temática: el concepto de "chica rara" en la Literatura española desde principios del siglo XX hasta la actualidad, un concepto que ha sido traducido como "*queer women*" al inglés.

Introducción

"From «Chicas Raras» to Queer Women in Spanish Modern Culture", escrita por las dos editoras (pp. 1-16).

Este apartado comienza con una cita directa del libro *Oculto Sendero* (publicado por primera vez en 2016, aunque escrito muchos años antes por la española Elena Fortún [1886-1952]) que hace alusión a esa temática y donde podemos ver ya cuál va a ser el hilo conductor de los trabajos: la trayectoria vital y profesional de diferentes escritoras e intelectuales españolas que comenzaron a publicar sus obras a partir de la segunda década del siglo XX y que, por regla general, fueron marginadas de los centros literarios y olvidadas después al ser consideradas "raras", tanto por su forma de actuar o de vestir, como por declarar abiertamente su negativa a desempeñar los papeles atribuidos tradicionalmente a la mujer.

En las últimas décadas del siglo XIX se produjo un gradual aumento de la participación en la vida pública de las mujeres españolas, algo que alertó a ciertos círculos de hombres del "peligro" que podía conllevar. Lo que les molestaba no era que las mujeres tuvieran mayor visibilidad, sino que pudieran llegar a solicitar, como de hecho ya estaban haciendo, su participación igualitaria en determinadas esferas culturales, científicas, políticas y sociales. A partir de entonces muchas mujeres activistas empezaron a ser descritas como "las otras", es decir, aquellas que no encajaban en el papel femenino tradicional de "ángel del hogar", que no actuaban ni

vestían como se esperaba de ellas y que expresaban sus gustos y su género de formas poco habituales por aquel entonces. Esta idea se fue desarrollando con el tiempo y acabó derivando en dos corrientes distintas: una que continuaba la corriente negativa inicial, que veía a esas mujeres como fuera de su entorno y posibles rivales; y otra más positiva, que elogiaba su actitud rompedora y que sirvió, además, para transformar a algunas en un espejo en el que poder mirarse.

Este libro colectivo parte de ese momento fundacional de las "chicas raras" pero sigue también el concepto de "*queer women*" propuesto por Natasha Hurley (2018) para analizar las obras de ficción anteriores a la aparición a finales del siglo XX de narraciones abiertamente homosexuales o defensoras de una tipología género-sexual diferente. La expresión es un término muy flexible que engloba a personas que se alejan de la norma sexual aceptada por la sociedad patriarcal, independientemente de que se articulen o no en figuras específicas, y en los últimos años ha permitido a escritores y activistas de muy distintos orígenes y culturas poner en circulación un nuevo tipo de análisis que se ha tendido a concentrar mayoritariamente en las mujeres. No obstante, es un concepto relativamente reciente dentro del Hispanismo a pesar de la gran importancia que los estudios sobre mujeres alcanzaron en España desde finales del siglo XX.

Fue por esas fechas cuando se comenzó a recuperar la trayectoria de numerosas escritoras, intelectuales y artistas entre mediados del siglo XIX y el final de la Guerra Civil. Esas mujeres habían desempeñado un papel fundamental en el proceso modernizador de las Letras españolas, pero acabaron siendo excluidas del canon y, por tanto, fueron olvidadas o escasamente estudiadas. A menudo fueron artistas o activistas que lideraron movimientos sociales o políticos y que tuvieron una importante presencia en la esfera pública, mujeres inconformistas con su vida y con su papel en la sociedad patriarcal. Los grandes paralelismos entre muchas de ellas, el hecho de que a menudo entablaran lazos de hermandad y crearan grupos que pretendían alcanzar una posición más justa para todas las mujeres, así como la enorme importancia que daban al papel del amor y la amistad en sus vidas y en sus obras hacen que, al aplicar la metodología *queer*, los investigadores puedan encontrar elementos hasta ahora desconocidos o poco resaltados.

El término *queer* traduce el adjetivo español "raro/rara". Pero la implantación de la expresión "chica rara" es anterior a la aparición del término en inglés y se la debemos a

la escritora española Carmen Martín Gaite (1925-2000). Ella lo empleó por primera vez (1978) al referirse a un personaje de ficción: la niña Celia, protagonista de toda una saga infantil creada por Elena Fortún a finales de los años veinte. Para Martín Gaite, Celia era por encima de todo una "chica rara" por su inconformismo con la realidad y porque sus actitudes quedaban fuera de la norma heterosexual que se imponía a las mujeres. En este sentido "rara" venía a significar, más que una ambigüedad género-sexual, una postura no convencional. El término se asentó cuando la propia Martín Gaite lo utilizó en un artículo (1986) en el que analizaba a Andrea, la joven protagonista de la novela *Nada* (1944) de Carmen Laforet (1921-2004). Y, a partir de ahí, fue ganando terreno.

Tras exponer estas teorías y el contexto en el que se enmarcan todos los trabajos, aludiendo a una abundante bibliografía, las editoras pasan con posterioridad a hacer una breve presentación de cada uno de los capítulos del libro.

Capítulo 1

"The Nineteenth-Century Women Activists. Concepción Arenal's Cross-Dressing", por A. Vialette (pp. 17-32).

El artículo analiza la forma de vestir en público de la escritora, abogada y activista Concepción Arenal (1820-1893). Arenal fue una de las primeras mujeres españolas que se vistió de hombre para poder acceder a determinados ambientes que por aquel entonces estaban vetados a las mujeres, como la Universidad Central o el Ateneo de Madrid. También lo hacía porque le resultaba una ropa más cómoda y práctica que la femenina y como expresión de su activismo político a favor de la igualdad en la sociedad. Incluso hubo ocasiones en las que utilizó un nombre masculino (el de su hijo Fernando) para participar en algunas competiciones culturales prohibidas para las mujeres. Pero ella nunca se sintió un hombre, ni una persona de sexo indefinido: su ropa masculina era una manifestación pública de la imposibilidad que tenían las mujeres de actuar en la sociedad de la misma forma que los hombres. La también escritora Emilia Pardo Bazán (1851-1921) supo verlo enseguida cuando explicaba que Arenal acompañaba a su marido a las tertulias de café vestida de hombre porque de esa forma era vista como una persona más del grupo, y no como "la señora de". Además, empleaba sus días en actividades que no eran "las propias" de una mujer: leyendo, escribiendo artículos y desarrollando su vida fuera de casa casi todo el tiempo.

Su aspecto fue muchas veces calificado de "hombruno" por sus contemporáneos cuando, en realidad, no era más que una crítica a las normas sociales. Pero eso la convertía en una mujer extraña. La propia Arenal reprobó la hipocresía de una sociedad que imponía unas normas de vestir y de comportamiento especiales a las mujeres y que las impedía acceder, por ejemplo, a la universidad porque eran "una fuente de distracción" para sus compañeros varones, pero que aceptaba sin problemas que esas mismas mujeres acudieran a la iglesia o al teatro. Para ella todo era, en realidad, una forma de control por parte de los hombres que querían impedirles el acceso a una verdadera educación con la que ganarse la vida y ser, por tanto, independientes económica y familiarmente.

Capítulo 2

"Women Moved by the Spirit. Spiritism and Early Feminism in Spain", por L. Charnon-Deutsh (pp. 33-50).

Este trabajo relaciona el asociacionismo femenino surgido en España hacia 1860, en el que participaron figuras muy relevantes que crearon muchas publicaciones modernas enfocadas hacia las mujeres, con el auge del movimiento espiritista que se propagó por toda Europa hacia esas mismas fechas. La mayoría de las mujeres activistas actuaban en los límites de las normas sociales aceptadas en aquellos tiempos y por eso muy a menudo fueron tildadas de "raras". Muchas eran también solteras o estaban separadas de sus maridos y participaron en distintos movimientos políticos, por lo que acabaron en la cárcel o en el exilio. Por su parte, el espiritismo fue una corriente de ideales utópicos que ofrecía una alternativa a las prácticas católicas y que resultó desde el principio muy atractivo para las mujeres porque en lugar de valorar el sufrimiento promovía la paz espiritual, el progreso y la educación de ambos sexos, y proporcionaba una nueva alternativa entre la vida y la muerte. De ahí que muchas mujeres lo vieran como un motor del necesario cambio social. Aunque tuvo en España unos comienzos complicados, debido a las presiones de la Iglesia y los grupos conservadores, en 1868 contaba ya con unos cuarenta mil seguidores en todo el país y a finales de siglo su popularidad había crecido enormemente, vinculándose también con la masonería.

Una de las promotoras más influyentes del movimiento en España fue Amalia Domingo Soler (1835-1909), una de esas mujeres "raras". Sus publicaciones sobre el

espiritismo y la creación de un semanario especializado (que apareció entre 1879 y 1899) ayudaron especialmente a divulgar las nuevas ideas. Domingo Soler era una activista que basaba su labor en el concepto del amor y relacionaba el espiritismo con el laicismo y la necesidad de educación. Ella ayudó a transformar el espiritismo en una plataforma que sirviera para dar voz pública a las mujeres.

Capítulo 3

"Queer Literary Friendships in Salons. Concepción Gimeno de Flaquer, Carmen de Burgos and Others", por A. I, Simón-Alegre (pp. 51-83).

Carmen de Burgos (1850-1919) fue una periodista, activista y prolífica escritora española. Este artículo se centra en los diferentes tipos de personas de las tertulias culturales del Madrid de principios del siglo XX que Burgos describe en tres de sus novelas: *En la sima* (1908), *El veneno del arte* (1910) y *La entrometida* (1921). La escritora se inspiró para construir estas obras en sus propias experiencias en salones literarios y actos sociales diversos, reflejando a menudo personajes reales (como los escritores Concepción Gimeno de Flaquer [1850-1919] o Antonio de Hoyos y Vivent [1884-1940]) y, sobre todo, dejando constancia de la gente "rara" que asistía a ese tipo de eventos.

Estas obras son verdaderas "crónicas de salón" en las que se subraya la importancia de las tertulias de la época como lugares en los que la aristocracia y la burguesía se mezclaban con escritores y artistas. Burgos utilizó sus novelas para divulgar o censurar algunos aspectos de los asistentes. Por otra parte, las tertulias no estaban abiertas a todo el mundo, sino solo a un pequeño grupo de elegidos con puntos de vista poco normativos. De ahí que en las novelas el término "raro" se pueda entender como persona "extraña" pero también "extravagante" o "fuera de lo habitual".

Capítulo 4

"Concha de Albornoz. Exception, Dandy, and Character", por I. Murcia Estrada (pp. 84-101)

Concha Albornoz (1900-1972), hija del escritor y político de la II República española Álvaro de Albornoz, estudió en la Institución Libre de Enseñanza y se

licenció en Filosofía y Letras en 1933 en la Universidad de Madrid. Desde muy joven participó en numerosos círculos intelectuales de la capital junto con otras mujeres activistas de la época. Toda su vida se mantuvo alejada de los parámetros normativos tradicionales destinados a las mujeres y, aunque se casó, la pareja no tuvo hijos y acabó separándose. Desarrolló una clara tendencia a la masculinización de su aspecto, proporcionando una imagen de ambigüedad sexual, por lo que fue considerada una mujer excéntrica.

Murcia Estrada nos describe el "dandysmo" de Albornoz enmarcándolo en el aspecto que generalmente tenían las mujeres no normativas de la II República española: pelo corto, sencillez, ropa "perenne" alejada de la última moda pero al mismo tiempo elegante, práctica, útil y neutra.

Capítulo 5

"The Dissidence Inside Her Closet. Elena Fortún versus Encarnación Aragoneses Urquijo", por N. Capdevila-Argüelles (pp. 102-117).

La escritora Carmen Martín Gaite, forjadora del término "chica rara", dedicó la última década de su vida a investigar la obra y la figura de Encarnación Aragoneses Urquijo, verdadero nombre de Elena Fortún. Aparte de algunas conferencias, la mayoría de sus conclusiones fueron publicadas póstumamente en forma de libro en 2002. Martín Gaite opinaba que Encarnación/Elena se "escondía" detrás de su personaje más famoso: Celia. De hecho, los libros de la saga de Celia fueron a menudo el principal elemento para recabar datos acerca de Fortún hasta que la académica Marisol Dorao publicó una biografía exhaustiva sobre ella (1999) y la propia Capdevila-Argüelles sacó a la luz la primera edición de *Oculto Sendero* (2016). Fortún daba una importancia fundamental a su oficio de escritora: no solo por considerarlo su verdadera vocación y algo sin lo que no podía vivir, sino también porque ese trabajo la había ayudado a ser independiente. Pero al ocultar su autoría detrás de un pseudónimo, su personalidad real parecía quedar fuera de esa experiencia.

Fortún centró todas sus obras en la importancia de la amistad y el amor pero incluyó como protagonistas a "chicas raras": tanto Celia como María Luisa (la protagonista de *Oculto Sendero*) como otras de sus heroínas, eran muchachas fuera de la norma social habitual que van desarrollando poco a poco una fuerte personalidad,

pero que estaban muy influidas también por la propia trayectoria vital de la escritora. Esa forma de ser era hasta cierto punto una manera de "salir del armario" pues, en tanto que "raras", el día a día de esos personajes, como el de muchas mujeres de la época, consistía en ir definiéndose a sí mismas frente a las presiones sociales.

Capítulo 6

"Celia, Elena Fortún's Queer New Girl", por E. Lindholm (pp. 118-132).

Este capítulo enlaza hasta cierto punto con el anterior pues en él Lindholm se ocupa entre otras cosas de la "rareza" de Celia. La autora nos introduce primero en el nuevo tipo de mujer que fue surgiendo en Europa a partir de 1900 y que fue paralelo al desarrollo educativo occidental, sobre todo en lo relativo a la educación femenina. Esa renovación pedagógica se vio reflejada en diferentes modalidades de obras artísticas, a menudo elaboradas también por mujeres.

El artículo compara la primera versión de Celia, la protagonista de *Celia, lo que dice* (el primer libro de la serie de Elena Fortún, aparecido en 1929, y al que la escritora Carmen Martín Gaite añadió un espléndido prólogo en 1993), con Diana, el personaje principal de una serie de lecturas (1933, 1934 y 1935) creado por Leonor Serrano Pablo (1890-1942). Fortún ideó una niña realista, aunque dada a las fantasías, rebelde y muy alejada de los protagonistas infantiles habituales por entonces (que seguían un patrón utópico, con niños de comportamiento ejemplar y sin una verdadera personalidad). Celia tiene solo siete años en ese volumen, pero ya aparece como una niña "rara", una característica que se irá incrementando a medida que el personaje vaya creciendo. No obstante, ese rasgo desaparece de forma brusca en el último volumen, cuando Celia se casa y acaba convertida en un estereotipo del ideal heterosexual propio de los años cincuenta de la España franquista (en la que la rebelión propia de las "chicas raras" no resultaba aceptable).

Por su parte, Serrano concibió sus libros de lecturas como complemento a los métodos educativos modernos que defendía, sobre todo para las mujeres (1923). Serrano seguía los mismos preceptos pedagógicos que tenía Fortún; sin embargo, su protagonista no es una niña realista de carácter complejo y poco amiga de las normas como era Celia. Por el contrario, Diana es un modelo a seguir. La razón es que Serrano pretendía que tanto los progenitores como los educadores comprendieran su visión

de lo que las nuevas mujeres de la República debían ser y, para ello, centró su obra fundamentalmente en el elemento didáctico.

Capítulo 7

"The Unsuspected Truth. Abjection and Queer Narration in *Nada*", por N. Lynn Gradner (pp. 133-148).

Como ya hemos dicho antes, Andrea, la protagonista de *Nada*, fue uno de los personajes femeninos en los que Carmen Martín Gaite basó su formulación del término "chica rara". No es extraño, por tanto, que este libro colectivo incluya un capítulo centrado en la novela, sobre todo si tenemos en cuenta que esa obra de Laforet es, posiblemente después de *El Quijote*, la novela más leída y estudiada en los departamentos de español de los EE.UU.

Andrea era una "chica rara" no solo por su inconformismo con respecto al ambiente político y social que se vivía en la España de los años cuarenta o por estar en desacuerdo con la forma de entender la femineidad por el franquismo; también por ser un personaje rompedor en numerosos sentidos, incluido el literario. Para muchos críticos *Nada* es el reflejo del mundo desolador de la posguerra visto desde la perspectiva de una joven que llega a una Barcelona hundida y fantasmal para estudiar en la universidad. Pero en realidad no vemos ningún hecho histórico real en la obra: casi todo el tiempo el relato se centra en la cotidianeidad de Andrea en casa de su abuela. Andrea es un personaje-testigo que se limita a dar testimonio de lo que sucede a su alrededor. Tal vez por eso logró pasar sin problemas la censura franquista. Sin embargo, la novela encierra una aberración autoritaria representada por el personaje de Román. Ena, la amiga de Andrea, encarna el poder femenino que logra humillar a Román y consigue llevarle al suicidio.

Capítulo 8

"Trickster Women. Exploring Gender Identity and Sexuality with Txus García and Hannah Gadsby", por B. Bernstein (pp. 149-166).

Este capítulo final se centra en dos figuras distintas que trabajan en ámbitos y con lenguas diferentes pero que se declaran personas *queer*. Por un lado tenemos a Txus

García, una poeta catalana, artista de performance y activista de la comunidad LGBTQI+ que realiza su obra en español, y su colección de poemas titulada *Poesía para niñas bien: Tits in My bowl* (2012), una obra provocativa, con humor, sensual, en la que también aparece la melancolía. Por el otro está Hannah Gadsby, una famosa comediante de Nueva York con un estilo muy poético, que trabaja en inglés y que se concentra en los problemas derivados de romper las normas dentro de la sociedad patriarcal. Ambas, a pesar de las diferencias, han descrito las dificultades de querer ser "otro" y no encajar en los papeles habituales identificados con cada género.

* * *

La expresión "chica rara" no es exactamente equivalente a lo que hoy en día entendemos por "mujer *queer*": mientras que las "chicas raras" se caracterizaban especialmente por su disconformidad con las normas impuestas a las mujeres y ofrecían una imagen muy alejada de las mujeres "femeninas", las personas que se identifican con la palabra *queer* suelen reconocer un fuerte componente de fluidez sexual y no participan de las marcas de género binario, algo que no existía entre la mayoría de las "chicas raras" de la España de los años veinte, treinta y cuarenta. No obstante, es la mejor forma de traducir un término que ha entrado a formar parte de pleno derecho en los estudios del hispanismo contemporáneo. Por otra parte, deberíamos contemplar la idea de que esas "chicas raras" podían encontrarse también en otros países por esos mismos años, ya que el activismo femenino que pretendía la igualdad y la liberación de las normas establecidas no era algo propio de España sino que surgió en prácticamente todo el mundo. De ahí que los estudios enmarcados en este libro tengan una importancia doble: por un lado, nos hablan de aspectos destacados del hispanismo poco estudiados hasta la fecha; por otro, nos sugieren nuevos enfoques a la hora de tratar temas similares en otras culturas.

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TANIM

İstanbul Üniversitesi, Edebiyat Fakültesi, Batı Dilleri Bölümü'nün yayını olan Litera: Dil, Edebiyat ve Kültür Araştırmaları Dergisi – Journal of Language, Literature and Culture Studies, açık erişimli, hakemli, yılda iki kere Haziran ve Aralık aylarında yayınlanan, çok dilli bilimsel bir dergidir. 1954 yılında kurulmuştur.

AMAÇ VE KAPSAM

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Ön kontrolden geçirilen makaleler, iThenticate yazılımı kullanılarak intihal için taranır. İntihal/ kendi kendine intihal tespit edilirse yazarlar bilgilendirilir. Editörler, gerekli olması halinde makaleyi değerlendirme ya da üretim sürecinin çeşitli aşamalarında intihal kontrolüne tabi tutabilirler. Yüksek benzerlik oranları, bir makalenin kabul edilmeden önce ve hatta kabul edildikten sonra reddedilmesine neden olabilir. Makalenin türüne bağlı olarak, bunun oranın %15 veya %20'den az olması beklenir.

Çift Kör Hakemlik

İntihal kontrolünden sonra, uygun olan makaleler baş editör tarafından orijinallik, metodoloji, işlenen konunun önemi ve dergi kapsamı ile uyumluluğu açısından değerlendirilir. Editör, makalelerin adil bir şekilde çift taraflı kör hakemlikten geçmesini sağlar ve makale biçimsel esaslara uygun ise, gelen yazıyı yurtiçinden ve /veya yurtdışından en az iki hakemin değerlendirmesine sunar, hakemler gerek gördüğü takdirde yazıda istenen değişiklikler yazarlar tarafından yapıldıktan sonra yayınlanmasına onay verir.

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Hakem Süreci

Daha önce yayınlanmamış ya da yayınlanmak üzere başka bir dergide halen değerlendirmede olmayan ve her bir yazar tarafından onaylanan makaleler değerlendirilmek üzere kabul edilir. Gönderilen ve ön kontrolü geçen makaleler iThenticate yazılımı kullanılarak intihal için taranır. İntihal kontrolünden sonra, uygun olan makaleler baş editör tarafından orijinallik, metodoloji, işlenen konunun önemi ve dergi kapsamı ile uyumluluğu açısından değerlendirilir. Baş editör, makaleleri, yazarların etnik kökeninden, cinsiyetinden, cinsel yöneliminden, uyruğundan, dini inancından ve siyasi felsefesinden bağımsız olarak değerlendirir. Yayına gönderilen makalelerin adil bir şekilde çift taraflı kör hakem değerlendirmesinden geçmelerini sağlar.

Seçilen makaleler en az iki ulusal/uluslararası hakeme değerlendirmeye gönderilir; yayın kararı, hakemlerin talepleri doğrultusunda yazarların gerçekleştirdiği düzenlemelerin ve hakem sürecinin sonrasında baş editör tarafından verilir.

Hakemlerin değerlendirmeleri objektif olmalıdır. Hakem süreci sırasında hakemlerin aşağıdaki hususları dikkate alarak değerlendirmelerini yapmaları beklenir.

- Makale yeni ve önemli bir bilgi içeriyor mu?
- Öz, makalenin içeriğini net ve düzgün bir şekilde tanımlıyor mu?
- Yöntem bütünlüklü ve anlaşılır şekilde tanımlanmış mı?
- Yapılan yorum ve varılan sonuçlar bulgularla kanıtlanıyor mu?
- Alandaki diğer çalışmalara yeterli referans verilmiş mi?
- Dil kalitesi yeterli mi?

Hakemler, gönderilen makalelere ilişkin tüm bilginin, makale yayınlanana kadar gizli kalmasını sağlamalı ve yazar tarafında herhangi bir telif hakkı ihlali ve intihal fark ederlerse editöre raporlamalıdırlar. Hakem, makale konusu hakkında kendini vasıflı hissetmiyor ya da zamanında geri dönüş sağlaması mümkün görünmüyorsa, editöre bu durumu bildirmeli ve hakem sürecine kendisini dahil etmemesini istemelidir.

Değerlendirme sürecinde editör hakemlere gözden geçirme için gönderilen makalelerin, yazarların özel mülkü olduğunu ve bunun imtiyazlı bir iletişim olduğunu açıkça belirtir. Hakemler ve yayın kurulu üyeleri başka kişilerle makaleleri tartışamazlar. Hakemlerin kimliğinin gizli kalmasına özen gösterilmelidir.

YAYIN ETİĞİ VE İLKELER

Litera: Dil, Edebiyat ve Kültür Araştırmaları Dergisi– Journal of Language, Literature and Culture Studies, yayın etiğinde en yüksek standartlara bağlıdır ve Committee on Publication Ethics (COPE), Directory of Open Access Journals (DOAJ), Open Access Scholarly Publishers Association (OASPA) ve World Association of Medical Editors (WAME) tarafından yayınlanan etik yayıncılık ilkelerini benimser; Principles of Transparency and Best Practice in Scholarly Publishing başlığı altında

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Kabul edilen etik standartlara uygun olmayan tüm makaleler yayından çıkarılır. Buna yayından sonra tespit edilen olası kuraldışı, uygunsuzluklar içeren makaleler de dahildir.

Araştırma Etiği

Dergi araştırma etiğinde en yüksek standartları gözetir ve aşağıda tanımlanan uluslararası araştırma etiği ilkelerini benimser. Makalelerin etik kurallara uygunluğu yazarların sorumluluğundadır.
- Araştırmanın tasarlanması, tasarımın gözden geçirilmesi ve araştırmanın yürütülmesinde, bütünlük, kalite ve şeffaflık ilkeleri sağlanmalıdır.
- Araştırma ekibi ve katılımcılar, araştırmanın amacı, yöntemleri ve öngörülen olası kullanımları; araştırmaya katılımın gerektirdikleri ve varsa riskleri hakkında tam olarak bilgilendirilmelidir.
- Araştırma katılımcılarının sağladığı bilgilerin gizliliği ve yanıt verenlerin gizliliği sağlanmalıdır. Araştırma katılımcıların özerkliğini ve saygınlığını koruyacak şekilde tasarlanmalıdır.
- Araştırma katılımcıları gönüllü olarak araştırmada yer almalı, herhangi bir zorlama altında olmamalıdırlar.
- Katılımcıların zarar görmesinden kaçınılmalıdır. Araştırma, katılımcıları riske sokmayacak şekilde planlanmalıdır.
- Araştırma bağımsızlığıyla ilgili açık ve net olunmalı; çıkar çatışması varsa belirtilmelidir.
- Deneysel çalışmalarda, araştırmaya katılmaya karar veren katılımcıların yazılı bilgilendirilmiş onayı alınmalıdır. Çocukların ve vesayet altındakilerin veya tasdiklenmiş akıl hastalığı bulunanların yasal vasisinin onayı alınmalıdır.
- Çalışma herhangi bir kurum ya da kuruluşta gerçekleştirilecekse bu kurum ya da kuruluştan çalışma yapılacağına dair onay alınmalıdır.
- İnsan öğesi bulunan çalışmalarda, "yöntem" bölümünde katılımcılardan "bilgilendirilmiş onam" alındığının ve çalışmanın yapıldığı kurumdan etik kurul onayı alındığı belirtilmesi gerekir.

Yazarların Sorumluluğu

Makalelerin bilimsel ve etik kurallara uygunluğu yazarların sorumluluğundadır. Yazar makalenin orijinal olduğu, daha önce başka bir yerde yayınlanmadığı ve başka bir yerde, başka bir dilde yayınlanmak üzere değerlendirmede olmadığı konusunda teminat sağlamalıdır. Uygulamadaki telif kanunları ve anlaşmaları gözetilmelidir. Telife bağlı materyaller (örneğin tablolar, şekiller veya büyük alıntılar) gerekli izin ve teşekkürle kullanılmalıdır. Başka yazarların, katkıda bulunanların çalışmaları ya da yararlanılan kaynaklar uygun biçimde kullanılmalı ve referanslarda belirtilmelidir.

Gönderilen makalede tüm yazarların akademik ve bilimsel olarak doğrudan katkısı olmalıdır, bu bağlamda "yazar" yayınlanan bir araştırmanın kavramsallaştırılmasına ve dizaynına, verilerin elde edilmesine, analizine ya da yorumlanmasına belirgin katkı yapan, yazının yazılması ya da bunun içerik açısından eleştirel biçimde gözden geçirilmesinde görev yapan birisi olarak görülür. Yazar olabilmenin diğer koşulları ise, makaledeki çalışmayı planlamak veya icra etmek ve / veya revize etmektir. Fon sağlanması, veri toplanması ya da araştırma grubunun genel süpervizyonu tek başına yazarlık hakkı kazandırmaz. Yazar olarak gösterilen tüm bireyler sayılan tüm ölçütleri karşılamalıdır ve yukarıdaki ölçütleri karşılayan her birey yazar olarak gösterilebilir. Yazarların isim sıralaması ortak verilen bir karar olmalıdır. Tüm yazarlar yazar sıralamasını Telif Hakkı Anlaşması Formunda imzalı olarak belirtmek zorundadırlar.

Yazarlık için yeterli ölçütleri karşılamayan ancak çalışmaya katkısı olan tüm bireyler "teşekkür / bilgiler" kısmında sıralanmalıdır. Bunlara örnek olarak ise sadece teknik destek sağlayan, yazıma yardımcı olan ya da sadece genel bir destek sağlayan, finansal ve materyal desteği sunan kişiler verilebilir.

Bütün yazarlar, araştırmanın sonuçlarını ya da bilimsel değerlendirmeyi etkileyebilme potansiyeli olan finansal ilişkiler, çıkar çatışması ve çıkar rekabetini beyan etmelidirler. Bir yazar kendi yayınlanmış yazısında belirgin bir hata ya da yanlışlık tespit ederse, bu yanlışlıklara ilişkin düzeltme ya da geri çekme için editör ile hemen temasa geçme ve işbirliği yapma sorumluluğunu taşır.

Editör ve Hakem Sorumlulukları

Baş editör, makaleleri, yazarların etnik kökeninden, cinsiyetinden, cinsel yöneliminden, uyruğundan, dini inancından ve siyasi felsefesinden bağımsız olarak değerlendirir. Yayına gönderilen makalelerin adil bir şekilde çift taraflı kör hakem değerlendirmesinden geçmelerini sağlar. Gönderilen makalelere ilişkin tüm bilginin, makale yayınlanana kadar gizli kalacağını garanti eder. Baş editör içerik ve yayının toplam kalitesinden sorumludur. Gereğinde hata sayfası yayınlamalı ya da düzeltme yapmalıdır.

Baş editör; yazarlar, editörler ve hakemler arasında çıkar çatışmasına izin vermez. Hakem atama konusunda tam yetkiye sahiptir ve Dergide yayınlanacak makalelerle ilgili nihai kararı vermekle yükümlüdür.

Hakemlerin araştırmayla ilgili, yazarlarla ve/veya araştırmanın finansal destekçileriyle çıkar çatışmaları olmamalıdır. Değerlendirmelerinin sonucunda tarafsız bir yargıya varmalıdırlar. Gönderilmiş yazılara ilişkin tüm bilginin gizli tutulmasını sağlamalı ve yazar tarafında herhangi bir telif hakkı ihlali ve intihal fark ederlerse editöre raporlamalıdırlar. Hakem, makale konusu hakkında kendini vasıflı hissetmiyor ya da zamanında geri dönüş sağlaması mümkün görünmüyorsa, editöre bu durumu bildirmeli ve hakem sürecine kendisini dahil etmemesini istemelidir.

Değerlendirme sürecinde editör hakemlere gözden geçirme için gönderilen makalelerin, yazarların özel mülkü olduğunu ve bunun imtiyazlı bir iletişim olduğunu açıkça belirtir. Hakemler ve yayın kurulu üyeleri başka kişilerle makaleleri tartışamazlar. Hakemlerin kimliğinin gizli kalmasına özen gösterilmelidir. Bazı durumlarda editörün kararıyla, ilgili hakemlerin makaleye ait yorumları aynı makaleyi yorumlayan diğer hakemlere gönderilerek hakemlerin bu süreçte aydınlatılması sağlanabilir.

YAZILARIN HAZIRLANMASI VE YAZIM KURALLARI

Dil

Dergide Türkçe, İngilizce, Almanca, Fransızca, İtalyanca ve İspanyolca makaleler yayınlanır. Makalede, makale dilinde öz ve yanısıra İngilizce öz olmalıdır. Ancak İngilizce yazılmış makalelerde geniş özet istenmez.

Yazıların Hazırlanması ve Gönderimi

Aksi belirtilmedikçe gönderilen yazılarla ilgili tüm yazışmalar ilk yazarla yapılacaktır. Makale gönderimi online olarak ve https://litera.istanbul.edu.tr/tr/_ üzerinden yapılmalıdır. Gönderilen yazılar, yazının yayınlanmak üzere gönderildiğini ifade eden, makale türünü belirten ve makaleyle ilgili bilgileri içeren (bkz: Son Kontrol Listesi) bir mektup; yazının elektronik formunu içeren Microsoft Word 2003 ve üzerindeki versiyonları ile yazılmış elektronik dosya ve tüm yazarların imzaladığı Telif Hakkı Anlaşması Formu eklenerek gönderilmelidir.

1. Çalışmalar, A4 boyutundaki kağıdın bir yüzüne, üst, alt, sağ ve sol taraftan 2,5 cm. boşluk bırakılarak, 12 punto Times New Roman harf karakterleriyle ve 1,5 satır aralık ölçüsü ile ve iki yana yaslı olarak hazırlanmalıdır. Paragraf başlarında tab tuşu kullanılmalıdır. Metin içinde yer alan tablo ve şemalarda ise tek satır aralığı kullanılmalıdır.

2. Metnin başlığı küçük harf, koyu renk, Times New Roman yazı tipi, 14 punto olarak sayfanın ortasında yer almalıdır.

3. Metin yazarına ait bilgiler başlıktan sonra bir satır atlanarak, Times New Roman yazı tipi, 10 punto ve tek satır aralığı kullanılarak sayfanın soluna yazılacaktır. Yazarın adı küçük harfle, soyadı büyük harfle belirtildikten sonra bir alt satıra unvanı, çalıştığı kurum ve e-posta adresi yazılacaktır.

4. Giriş bölümünden önce 200-250 kelimelik çalışmanın kapsamını, amacını, ulaşılan sonuçları ve kullanılan yöntemi kaydeden makale dilinde ve ingilizce öz ile 600-800 kelimelik İngilizce genişletilmiş özet yer almalıdır. Çalışmanın İngilizce başlığı İngilizce özün üzerinde yer almalıdır. İngilizce ve makale dilinde özlerin altında çalışmanın içeriğini temsil eden, makale dilinde 5 adet, İngilizce 5 adet anahtar kelime yer almalıdır. Makale İngilizce ise İngilizce genişletilmiş özet istenmez.

5. Çalışmaların başlıca şu unsurları içermesi gerekmektedir: Makale dilinde başlık, öz ve anahtar kelimeler; İngilizce başlık öz ve anahtar kelimeler; İngilizce genişletilmiş özet (makale İngilizce ise İngilizce genişletilmiş özet istenmez), ana metin bölümleri, son notlar ve kaynaklar.

6. Araştırma makalesi bölümleri şu şekilde sıralanmalıdır: "Giriş", "Amaç ve Yöntem", "Bulgular", "Tartışma ve Sonuç", "Son Notlar", "Kaynaklar", "Tablolar ve Şekiller". Derleme ve yorum yazıları için ise, çalışmanın öneminin belirtildiği, sorunsal ve amacın somutlaştırıldığı "Giriş" bölümünün ardından diğer bölümler gelmeli ve çalışma "Tartışma ve Sonuç", "Son Notlar", "Kaynaklar" ve "Tablolar ve Şekiller" şeklinde bitirilmelidir.

7. Çalışmalarda tablo, grafik ve şekil gibi göstergeler ancak çalışmanın takip edilebilmesi açısından gereklilik arz ettiği durumlarda, numaralandırılarak, tanımlayıcı bir başlık ile birlikte verilmelidir. Demografik özellikler gibi metin içinde verilebilecek veriler, ayrıca tablolar ile ifade edilmemelidir.

8. Yayınlanmak üzere gönderilen makale ile birlikte yazar bilgilerini içeren kapak sayfası gönderilmelidir. Kapak sayfasında, makalenin başlığı, yazar veya yazarların bağlı bulundukları kurum ve unvanları, kendilerine ulaşılabilecek adresler, cep, iş ve faks numaraları, ORCID ve e-posta adresleri yer almalıdır (bkz. Son Kontrol Listesi).

9. Kurallar dâhilinde dergimize yayınlanmak üzere gönderilen çalışmaların her türlü sorumluluğu yazar/yazarlarına aittir.

10. Yayın kurulu ve hakem raporları doğrultusunda yazarlardan, metin üzerinde bazı düzeltmeler yapmaları istenebilir.

11. Yayınlanmasına karar verilen çalışmaların, yazar/yazarlarının her birine istekleri halinde dergi gönderilir.

12. Dergiye gönderilen çalışmalar yayınlansın veya yayınlanmasın geri gönderilmez.

Kaynaklar

Kabul edilmiş ancak henüz sayıya dahil edilmemiş makaleler Early View olarak yayınlanır ve bu makalelere atıflar "advance online publication" şeklinde verilmelidir. Genel bir kaynaktan elde edilemeyecek temel bir konu olmadıkça "kişisel iletişimlere" atıfta bulunulmamalıdır. Eğer atıfta bulunulursa parantez içinde iletişim kurulan kişinin adı ve iletişimin tarihi belirtilmelidir. Bilimsel makaleler için yazarlar bu kaynaktan yazılı izin ve iletişimin doğruluğunu gösterir belge almalıdır. Kaynakların doğruluğundan yazar(lar) sorumludur. Tüm kaynaklar metinde belirtilmelidir. Kaynaklar alfabetik olarak sıralanmalıdır.

Referans Stili ve Formatı

Litera: Dil, Edebiyat ve Kültür Araştırmaları Dergisi-Journal of Language, Literature and Culture Studies, metin içi alıntılama ve kaynak gösterme için APA (American Psychological Association) kaynak sitilinin 6. edisyonunu benimser. APA 6.Edisyon hakkında bilgi için:
-   American Psychological Association. (2010). Publication manual of the American Psychological Association (6th ed.). Washington, DC: APA.
-   http://www.apastyle.org/

Kaynakların doğruluğundan yazar(lar) sorumludur. Tüm kaynaklar metinde belirtilmelidir. Kaynaklar aşağıdaki örneklerdeki gibi gösterilmelidir.

Metin İçinde Kaynak Gösterme

Kaynaklar metinde parantez içinde yazarların soyadı ve yayın tarihi yazılarak belirtilmelidir. Birden fazla kaynak gösterilecekse kaynaklar arasında (;) işareti kullanılmalıdır. Kaynaklar alfabetik olarak sıralanmalıdır.

Örnekler:

Birden fazla kaynak;
(Esin ve ark., 2002; Karasar 1995)
Tek yazarlı kaynak;
(Akyolcu, 2007)
İki yazarlı kaynak;
(Sayıner ve Demirci 2007, s. 72)
Üç, dört ve beş yazarlı kaynak;
Metin içinde ilk kullanımda: (Ailen, Ciambrune ve Welch 2000, s. 12–13) Metin içinde tekrarlayan kullanımlarda: (Ailen ve ark., 2000)
Altı ve daha çok yazarlı kaynak;
(Çavdar ve ark., 2003)

Kaynaklar Bölümünde Kaynak Gösterme

Kullanılan tüm kaynaklar metnin sonunda ayrı bir bölüm halinde yazar soyadlarına göre alfabetik olarak numaralandırılmadan verilmelidir.

Kaynak yazımı ile ilgili örnekler aşağıda verilmiştir.

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DESCRIPTION

Litera: Journal of Language, Literature and Culture Studies - Dil, Edebiyat ve Kültür Araştırmaları Dergisi, which is the official publication of Istanbul University, Faculty of Letters, Department of Western Languages is an open access, peer-reviewed, multilingual, scholarly and international journal published two times a year in June and December. It was founded in 1954.

AIM AND SCOPE

Litera - Journal of Language, Literature and Culture Studies publishes disciplinary and/or interdisciplinary, theoretical and/or applied research articles that focus on Western languages and literatures in the following fields: literary studies, linguistics, cultural studies, media studies, translation studies, and language teaching. The objective of Litera is to publish scientific articles that provide an intellectual platform for literary and cultural studies.

Western languages and literatures are the main fields of the journal scope. However, multidisciplinary and comparative approaches that focus on or include discussions of non-Western languages and literatures are also encouraged. The target group of the Journal consists of academicians, researchers, professionals, students, related professional and academic bodies and institutions. It publishes articles written in Turkish, English, French, Italian, German, and Spanish.

EDITORIAL POLICIES AND PEER REVIEW PROCESS

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The journal is committed to upholding the highest standards of publication ethics and pays regard to Principles of Transparency and Best Practice in Scholarly Publishing published by the Committee on Publication Ethics (COPE), the Directory of Open Access Journals (DOAJ), the Open Access Scholarly Publishers Association (OASPA), and the World Association of Medical Editors (WAME) on https://publicationethics.org/resources/guidelines-new/principles-transparency-and-best-practice-scholarly-publishing

The subjects covered in the manuscripts submitted to the Journal for publication must be in accordance with the aim and scope of the Journal. Only those manuscripts approved by every individual author and that were not published before in or sent to another journal, are accepted for evaluation.

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- Are the interpretations and consclusions justified by the results?
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a) Turkish Book

Karasar, N. (1995). *Araştırmalarda rapor hazırlama* (8th ed.) [Preparing research reports]. Ankara, Turkiye: 3A Eğitim Danışmanlık Ltd.

b) Book Translated into Turkish

Mucchielli, A. (1991). *Zihniyetler* [Mindsets] (A. Kotil, Trans.). İstanbul, Turkiye: İletişim Yayınları.

c) Edited Book

Ören, T., Üney, T., & Çölkesen, R. (Eds.). (2006). *Türkiye bilişim ansiklopedisi* [Turkish Encyclopedia of Informatics]. İstanbul, Turkiye: Papatya Yayıncılık.

d) Turkish Book with Multiple Authors

Tonta, Y., Bitirim, Y., & Sever, H. (2002). T*ürkçe arama motorlarında performans değerlendirme* [Performance evaluation in Turkish search engines]. Ankara, Turkiye: Total Bilişim.

e) Book in English

Kamien R., & Kamien A. (2014). *Music: An appreciation.* New York, NY: McGraw-Hill Education.

f) Chapter in an Edited Book

Bassett, C. (2006). Cultural studies and new media. In G. Hall & C. Birchall (Eds.), *New cultural studies: Adventures in theory* (pp. 220–237). Edinburgh, UK: Edinburgh University Press.

g) Chapter in an Edited Book in Turkish

Erkmen, T. (2012). Örgüt kültürü: Fonksiyonları, öğeleri, işletme yönetimi ve liderlikteki önemi [Organization culture: Its functions, elements and importance in leadership and business management]. In M. Zencirkıran (Ed.), *Örgüt sosyolojisi* [Organization sociology] (pp. 233–263). Bursa, Turkiye: Dora Basım Yayın.

h) Book with the same organization as author and publisher

American Psychological Association. (2009). *Publication manual of the American psychological association* (6th ed.). Washington, DC: Author.

Article

a) Turkish Article

Mutlu, B., & Savaşer, S. (2007). Çocuğu ameliyat sonrası yoğun bakımda olan ebeveynlerde stres nedenleri ve azaltma girişimleri [Source and intervention reduction of stress for parents whose children are in intensive care unit after surgery]. *Istanbul University Florence Nightingale Journal of Nursing, 15*(60), 179–182.

b) English Article

de Cillia, R., Reisigl, M., & Wodak, R. (1999). The discursive construction of national identity. *Discourse and Society, 10*(2), 149–173. http://dx.doi.org/10.1177/0957926599010002002

c) Journal Article with DOI and More Than Seven Authors

Lal, H., Cunningham, A. L., Godeaux, O., Chlibek, R., Diez-Domingo, J., Hwang, S.-J. ... Heineman, T. C. (2015). Efficacy of an adjuvanted herpes zoster subunit vaccine in older adults. *New England Journal of Medicine, 372,* 2087–2096. http://dx.doi.org/10.1056/NEJMoa1501184

d) Journal Article from Web, without DOI

Sidani, S. (2003). Enhancing the evaluation of nursing care effectiveness. *Canadian Journal of Nursing Research, 35*(3), 26–38. Retrieved from http://cjnr.mcgill.ca

e) Journal Article wih DOI

Turner, S. J. (2010). Website statistics 2.0: Using Google Analytics to measure library website effectiveness. *Technical Services Quarterly, 27,* 261–278. http://dx.doi.org/10.1080/07317131003765910

f) Advance Online Publication

Smith, J. A. (2010). Citing advance online publication: A review. *Journal of Psychology.* Advance online publication. http://dx.doi.org/10.1037/a45d7867

g) Article in a Magazine

Henry, W. A., III. (1990, April 9). Making the grade in today's schools. *Time, 135,* 28–31.

Doctoral Dissertation, Master's Thesis, Presentation, Proceeding

a) Dissertation/Thesis from a Commercial Database

Van Brunt, D. (1997). *Networked consumer health information systems* (Doctoral dissertation). Available from ProQuest Dissertations and Theses database. (UMI No. 9943436)

b) Dissertation/Thesis from an Institutional Database

Yaylalı-Yıldız, B. (2014). *University campuses as places of potential publicness: Exploring the politicals, social and cultural practices in Ege University* (Doctoral dissertation). Retrieved from http://library.iyte.edu.tr/tr/hizli-erisim/iyte-tez-portali

c) Dissertation/Thesis from Web

Tonta, Y. A. (1992). *An analysis of search failures in online library catalogs* (Doctoral dissertation, University of California, Berkeley). Retrieved from http://yunus.hacettepe.edu.tr/~tonta/yayinlar/phd/ickapak.html

d) Dissertation/Thesis abstracted in Dissertations Abstracts International

Appelbaum, L. G. (2005). Three studies of human information processing: Texture amplification, motion representation, and figure-ground segregation. *Dissertation Abstracts International: Section B. Sciences and Engineering, 65*(10), 5428.

e) Symposium Contribution

Krinsky-McHale, S. J., Zigman, W. B., & Silverman, W. (2012, August). Are neuropsychiatric symptoms markers of prodromal Alzheimer's disease in adults with Down syndrome? In W. B. Zigman (Chair), *Predictors of mild cognitive impairment, dementia, and mortality in adults with Down syndrome.* Symposium conducted at the meeting of the American Psychological Association, Orlando, FL.

f) Conference Paper Abstract Retrieved Online

Liu, S. (2005, May). *Defending against business crises with the help of intelligent agent based early warning solutions.* Paper presented at the Seventh International Conference on Enterprise Information Systems, Miami, FL. Abstract retrieved from http://www.iceis.org/iceis2005/abstracts_2005.htm

g) Conference Paper - In Regularly Published Proceedings and Retrieved Online

Herculano-Houzel, S., Collins, C. E., Wong, P., Kaas, J. H., & Lent, R. (2008). The basic nonuniformity of the cerebral cortex. *Proceedings of the National Academy of Sciences, 105,* 12593–12598. http://dx.doi.org/10.1073/pnas.0805417105

h) Proceeding in Book Form

Parsons, O. A., Pryzwansky, W. B., Weinstein, D. J., & Wiens, A. N. (1995). Taxonomy for psychology. In J. N. Reich, H. Sands, & A. N. Wiens (Eds.), *Education and training beyond the doctoral degree: Proceedings of the American Psychological Association National Conference on Postdoctoral Education and Training in Psychology* (pp. 45–50). Washington, DC: American Psychological Association.

i) Paper Presentation

Nguyen, C. A. (2012, August). *Humor and deception in advertising: When laughter may not be the best medicine.* Paper presented at the meeting of the American Psychological Association, Orlando, FL.

Other Sources

a) Newspaper Article

Browne, R. (2010, March 21). This brainless patient is no dummy. *Sydney Morning Herald, 45.*

b) Newspaper Article with no Author

New drug appears to sharply cut risk of death from heart failure. (1993, July 15). *The Washington Post,* p. A12.

c) Web Page/Blog Post

Bordwell, D. (2013, June 18). David Koepp: Making the world movie-sized [Web log post]. Retrieved from http://www.davidbordwell.net/blog/page/27/

d) Online Encyclopedia/Dictionary

Ignition. (1989). In *Oxford English online dictionary* (2nd ed.). Retrieved from http://dictionary.oed. com

Marcoux, A. (2008). Business ethics. In E. N. Zalta (Ed.). *The Stanford encyclopedia of philosophy.* Retrieved from http://plato.stanford.edu/entries/ethics-business/

e) Podcast

Dunning, B. (Producer). (2011, January 12). *inFact: Conspiracy theories* [Video podcast]. Retrieved from http://itunes.apple.com/

f) Single Episode in a Television Series

Egan, D. (Writer), & Alexander, J. (Director). (2005). Failure to communicate. [Television series episode]. In D. Shore (Executive producer), *House;* New York, NY: Fox Broadcasting.

g) Music

Fuchs, G. (2004). Light the menorah. On *Eight nights of Hanukkah* [CD]. Brick, NJ: Kid Kosher.

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