B.A.S.

British and American Studies

2020

B.A.S.
British and American Studies
A Journal of Romanian Society of English and American Studies

Publisher
THE DEPARTMENT OF ENGLISH LANGUAGE AND LITERATURE,
UNIVERSITY OF TIMIŞOARA

The language of the journal is English. Contributions from both Romania and abroad are welcome. Articles for publication should be sent to Prof. Hortensia Pârlog, Department of English Language and Literature, 4, Bd. Vasile Pârvan, 300223, Timişoara, Romania. They should be supplied both as a hard copy and electronically at **bas.journal@gmail.com**

BAS. *British and American Studies* is indexed in the following data bases:

ISSN 1224-3086
e-ISSN 2457-7715

Publisher	MARILENA BRÂNDA
Cover Design	DAN URSACHI
Cover Illustration	IOSIF STROIA
Layout	DORIN DAVIDEANU

Editura Universității de Vest
Str. Paris, nr. 1, 300003, Timişoara
E-mail: editura@e-uvt.ro; Tel.: +40 - 256 592 681

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THIS SUPERNATURAL SOLICITING

FROM ZOMBIE TO ZOMBIES, OR HOW THE ATOMIC ERA CHANGED THE POST-APOCALYPTIC

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***Abstract**: Zombies are an ancient representation of afterlife, and are built upon a rich philosophical substrate that seems to transcend time and cultural context, being easily translated into current readings. A paradigm shift would turn, progressively but visibly, the notion of singular zombie to pluralistic zombie - transforming the isolated mythical or folkloric 'draugr','strigoi', 'jiangshi', etc. into a mass of nameless zombies. The paper investigates this transition and attempts to explain its implications for the American Post-Apocalyptic, a literary subgenre that seems to have a number of common points with zombies as an event.*
***Keywords**: American, apocalyptic, atomic, post-apocalyptic, zombies*

1. Introduction

Your country is desolate,
Your cities are burned with fire;
Strangers devour your land in your presence;
And it is desolate, as overthrown by strangers. (Isaiah 1:7)

This particular exploration of the concept of zombies will indirectly, and perhaps analogously, reveal a set of features that can be considered an integral part of the American Post-Apocalyptic subgenre, especially through its "cousin-niche", the Zombie Apocalypse phenomenon. Therefore, the points of analysis, haphazard as they may seem, will be relevant in context, yet, in this paper, I will attempt to demonstrate the existence of a correlation between the notion of zombie in its various forms (Lauro and Embry (2008: passim), Bishop (2010: passim), Davis (2000: passim), Dendle (2007: passim), Brooks (2003: passim), etc.) and its transition towards an eventful state, possibly as a function of a broader paradigm shift throughout the Atomic Age (Neguț 2020: passim).

For the purpose of this paper, only the narrative incarnations of zombies will be accounted for, but definitions from other areas will also be taken into account. A parallel will be drawn between the folkloric and mythical pancultural discourse of undeath and its shift to the fairly ubiquitous "mass" of undead, which, I will argue, coincided with the advent of the Atomic Age; most importantly, I will attempt to analyze what these zombies *are* and what they *are not*, and how their attributes translate directly into American post-apocalyptic narratives, possibly as part of a larger cultural discursive process. The attributes in question will be related to undeath/unlife, volition, identity, aesthetics (abjection - the anonymous body), and eschatology of zombies, among them.

2. Morphology of the "Living Dead" - origins, glorified Body

The definition of "zombie" is complex, and varies by source. There are, however, common elements between its various instantiations. It would first be in order to briefly explore the historical journey of the concept, and then term, to better evidentiate its evolution. If one simply accepted the "zombie" as "living dead" - which is very simply put - then the concept could be traced as far back as the ancient Mesopotamian myths, the oldest recorded writing of which is probably *The Descent of Ishtar/Innana into the Underworld*:

> Gatekeeper, ho, open thy gate …
> If thou openest not the gate to let me enter…
> I will bring up the dead to eat the living.
> And the dead will outnumber the living. (Dalley 1998: 155)

This concept can be diachronically traced in Christian, Zoroastrian and Jewish eschatology; of these, the Christian manifestation comes in several forms - first pre- and then post-apocalyptic, both through anastasis: "… the tombs broke open... The bodies of many holy people who had died were raised to life. They came out of the tombs after Jesus' resurrection..." (Matthew 27: 50-54)", or in the case of post-apocalyptic, "...the trumpet will sound, and the dead will be raised incorruptible, and we shall be changed..." (Corinthians 15: 51-53) and, - "But the rest of the dead did not live again until the thousand years were finished…" (Revelation 20: 5). Comparable events can be found in Jewish eschatology, notably the Mishnah (Neusner 2009: 103), similarly positing that resurrection happens "through flesh" (2 Maccabees 7.11, 7.28).

Islamic belief, however, accentuates the bodily resurrection, as it is depicted in the Yawm al-Qiyāmah, in the al-Qiyama Surat (Quran 74: 38). Regarding the physicality of these revived dead, Christian eschatology notes: "Our earthly bodies which die and decay are different from the bodies we shall have when we come back to life again, for they will never die... they will be full of glory when we come back to life again... they will be full of strength...they will be superhuman bodies" (1 Corinthians 15: 42-44)

In addition to the biblical resources, St. Thomas Aquinas (Summa Theologiae: 5102), significantly expands on the physicality of resurrected (or "glorified") bodies, noting that they possess three qualities - impassibility, agility, subtlety, and clarity, each referring to immunity from death and pain, obedience to spirit with relation to movement and space (the ability to move through space and time with the speed of thought), freedom from restraint by matter and resplendent beauty of the soul manifested in the body**,** respectively. To these, the Catechism of the Catholic Church adds: "1038 The resurrection of all the dead, of both the just and the unjust," (Acts 24:15) will precede the Last Judgment, and that an apocalyptic prerequisite, an "hour when all who are in the tombs will hear... and come forth...". Notably, a moral filter is established: "... those who have done good, to the resurrection of life, and those who have done evil, to the resurrection of judgment." (Catechism of the Catholic Church 2019)

The physicality of a revived body had encountered some resistance among the clergy, possibly denoting some reluctance against trespassing the boundaries of death. As St. Augustine of Hippo notes, the "resurrection of flesh" has been:

"... attacked with... pertinacious, contentious contradiction, in the Christian faith... they doubt not indeed, but they most openly deny it, declaring it to be absolutely impossible that this earthly flesh can ascend to Heaven.". Whereas the soul appeared to have been accepted as a valid permeant of the veil of life: "... in many books they have left it written that the soul is immortal..." (Augustine of Hippo, *Exposition on Psalm 89*: 750).

3. The postcoloniality of the "Living Dead"

Having taken into account these ancient anastatic/eschatological formations of "life after death" and the reluctance to canonically consider them, it would now be in order to highlight the origin of the fairly neologistic term of "zombie". The earliest reference can be traced back to the form of „Zombi", recorded by Moreau de Saint-Méry (1798: 62), in his work *Description topographique, physique, civile...de l'isle Saint-Domingue*, a work on the then-French colony island named Saint-Domingue, now called Haiti. Davis (1988: passim) had found out that these "zombi" are thralls created by Vodoun (voodoo) priests (bokors), by using a poisonous powder as part of a magical ritual, that would later render the subjects mindless and fully obedient.

Moreman and Rushton (2011: passim) review these accounts and determine that the term is of West African origin, brought to Haiti by way of slavery. Furthermore, they claim that there is a cultural-political angle to the concept, linking it to the social death of slaves. In an article for the *New York Times* (2012), Amy Wilentz claims that zombies are, in fact, a "very logical offspring of New World slavery", as zombies are essentially slaves forever: "Suicide was the slave's only way to take control over his or her own body... And yet, the fear of becoming a zombie might stop them from doing so... This final rest... is unavailable to the zombie. To become a zombie was the slave's worst nightmare..."

Moreover, Moreman and Rushton claim that the term had made its way into the United States through slavery, the first time in a story named *The Unknown Painter*, in 1838, in which a slave claims to have seen a "zombi" working alongside himself. His claim is dismissed as peddling "African superstitions". While the aesthetic of the zombie had not yet been formed, there is an underlying element of determinism and human intervention, insofar as this zombie has no apparent volition, and its only purpose is to serve its master. It is, essentially, a slave, but this is not a usual incarnation, which will be explained shortly.

4. Death, undeath and the attributes of the glorified body

A zombie is not alive, but it is not dead either. A third space, a liminality between life and death, known as undeath, exists. According to the Christian/original conception, a glorified body is agile, impassable, clear and subtle, as explained before, yet a "zombi", in its earliest forms, only retains a limited form of agility and impassibility. Moreover, a zombi is a man-made creation, but a seemingly abject, unholy or "dishonored/vilified" body. This seems to be the opposite of the biblical conception and a perversion and perhaps reversal of the Christian post-apocalyptic eschatology, insofar as qualifying to be considered unholy. The unholy denomination can also be used to express the non-divine, but man made origin of this modern version of undeath, as opposed to the mythical version found in non-biblical but folkloric lore.

One of the first literary recordings of undeath can be found in Bram Stoker's *Dracula* (1997: 306): "... When they become such [Undead], there comes with the change the curse of immortality...". The undead also seem to have gained the characteristic of being akin to a plague, such that "All that die from the preying of the Undead become themselves Undead, and prey on their kind..." (ibid.). Interestingly, the body proper, in this case, acts as a disturbance, an obstacle in the passage of the soul, and remnants of the Christian eschatology can still be recognized, possibly suggesting continuity from the original depictions, with the retention of the Judgement, which is now aided by man - "... But of the most blessed of all, when this now UnDead be made to rest as true dead, then the soul… shall again be free... and she shall take her place with the other Angels." (ibid.).

Folkloric and mythical variants of the undead, such as *ghouls*, *jiangshi*, *draugr* (and many more) seem to have been isolated, singular incidents, as Paffenroth and Morehead (2012) note throughout their work. Moreover, they were usually identifiable, in the sense that an identity would be retained. Along with their identity, they would retain a certain amount of volition. Their transformation would be the consequence of a curse (*wraiths, ghosts, phantoms*), a disrespected tradition or sins (*strigoi, draugr, jiangshi*), or a link to the afterlife (*banshees, revenants, wights*). Their origin usually warranted a purpose, which would limit their autonomy, but some, such as vampires or, more recently liches, would act according to their whims, presenting a higher degree of free will. Even Shelley's Frankenstein's Monster, which is an implied proto-zombie, finds itself on a quest for identity (1998: xvii).

5. Contemporary undead - zombies as an event

Contemporary zombies, instead, seem to be governed by a different set of rules. This framework has been developed, I theorize, as an effect of the Second World War socio-cultural changes. As I have previously attempted to show, during the Atomic Age, a unique reversal of the apocalyptic paradigm would permanently mark the American (and soon thereafter global) consciousness. By witnessing the destructive potential of humanity, the apocalypse was no longer reserved for the divine, and this new model would no longer be followed by an afterlife, but by an aftermath. This paper's aim is to briefly analyze this transition based on previous research and briefly exemplify the process by analyzing the appearance of literature of this kind in a chronological fashion (cf. Neguț 2020).

More modern definitions (Lauro and Embry 2008: passim, Bishop 2010: passim, Davis 1988: passim, Brooks 2003: passim, Dendle 2007: passim, etc.) of the undead generally expand on Bram Stoker's, with various differences - such that most forms have adhered to the "brain-eating, brainless zombie" archetype, like those in the horror films *Night of the Living Dead* or *The Walking Dead*, and are usually depicted as part of a horde. Most of them seem to be the result of a human error – either technological, biological, or otherwise, and seem to no longer possess a "soul" (in any sense), such that they are purely driven by instinct and no longer recognizable as persons (with some exceptions). Their quasi-infectious nature appears to have been canonized, now commonly depicted as turning their victims into zombies through wounds (biting, scratching, blood contact, etc.). Curiously, this predates the Christian version, hearkening back, instead, to the cannibalistic dead in Ishtar's threats.

This, I believe, has contributed to the transition from zombies as singular, personal, and identifiable cases into a brainless mass of enmity that seems to have captivated audiences worldwide. The new ruleset appears to be, thus, a mirrored negative of the original, such that contemporary zombies are unholy, unintentional, undead, mindless, devoid of free will and, arguably, not characters. When, referring to contemporary zombies, instances and depictions such as those in novels (the *Resident Evil* series, the *Undead* series, the *The Walking Dead* series, *World War Z*, etc.), cinematic productions (*Night of the Living Dead, The Walking Dead, World War Z*, etc.), as well as video games (*Dying Light* series, *State of Decay* series, *The Last of Us* series, etc.) are taken into account, where zombies are hollowed out, shallow obstacles of pure enmity, which usually serve as a plot device. Yet how did this template come into existence?

6. The World Wars, dehumanization and technological progress, and the anonymous body

Undeath and *death* have been briefly discussed in the previous paragraphs, especially their relevant conceptions. One of the less discussed components of the equational transformation from living to undead is represented, I think, by the acts of killing and dying, which are logically and symbolically precursors to death (and undeath). I believe one possible explanation for the contemporaneous concept of undeath can be found in a quote often misattributed to the J.V. Stalin, which was first recorded by a reporter and satirist known as Kurt Tucholsky, discussing the events of the World Wars: "*Der Tod eines Menschen: das ist eine Katastrophe. Hunderttausend Tote: das ist eine Statistik!*" ('The death of a man: that's a catastrophe. A hundred thousand dead: that's statistics!') (Tucholsky 1932: 155). An earlier, similar, but still (I believe) oddly relevant quote can be found back in 1759, when a classics scholar named Beilby Porteus (1759: 12) published a prize-winning work titled *Death: A Poetical Essay*:

> To sate the lust of power; more horrid still,
> The foulest stain and scandal of our nature
> Became its boast - One Murder made a Villain**,**
> Millions a Hero. - Princes were privileg'd
> To kill, and numbers sanctified the crime.
> Ah! why will Kings forget that they are Men? (Porteus 1759: 12)

Together, these two may reflect a shift in the perception of dying as a function of large scale conflict, especially in the context of the upscaling of warfare through the process of industrialization, which came along with the World Wars, notably in the case of Tucholsky's quote. As Lifton (1965: 257-272), Winter (1992: passim), Zarlengo (1999: passim) and Mueller (1991: 1-28) point out, the two World Wars have had a significant impact on the cultural and social organization due to several factors, and from several angles - for instance, the gendered separation of war involvement in the first World War, combined with the post-nuclear perception on death and the periods of peace prior to and following the spans of the two worldwide conflicts have created a cocktail of cultural shifts that would later result in changes to personal and social reflection on death and dying.

Boyer (2005: 58) relates a crescendo of communal angst that followed the Nuclear Event of Hiroshima and Nagasaki; it seemed to pervade the public knowledge of the happenings proper, but would appear even unexpectedly. He

aptly sees it as part of a larger „nuclear consciousness", one apart from the „bomb's corrosive impact on the externals of life" (58), but a rather retrospective, gradual filter over memories past and perceptions future. There may be a link between this cultural shock and the transition from zombie to zombies - from the risen relative or the haunting neighbour to the mindless, nameless and accidental mass of danger. Furthermore, I believe there is a strong link between the former, the latter and the development of American Post-Apocalyptic fiction, which seems to share similarities with „zombie literature" and the contemporary zombie archetypes, as described by Brooks (2003: passim) and Christie and Lauro (2011: passim).

I believe the connection between the aforementioned transition and the apparition of zombies as a 'mass' might be, in part, due the innovations in the means of killing - especially since through the development of long-range warfare, killing seemed to have become less and less personal. Turning back to Tucholsky's quote, not only did the concept of casualty change, but the unmentioned reason for such high numbers of casualties is left undebated - indeed, weapons of mass destruction, combined with high populations and unprecedented levels of attrition appear to be a logical prerequisite to such aftermath, and would draw the biblical scale of seemingly worldwide change ever closer to the tumultuous realities of a global conflict.

It was perhaps then that some cultures foresaw the first signs of a biblical apocalypse, and the Seven Seals (the opening of the first four release the Four Horsemen) would become a reality: from famine, to calamities, to sickness and the great wars and their giant flames - a futurist reading (Pate 2009) of the Apocalypse would equate the breaking of the „seven seals" (thus heralding the End Times) to real-life events, such that the inter- and post-war attrition would be linked to the third and fourth seals, the fourth seal would be linked to technological marking of the population, the sixth seal would be seen as a result of nuclear warfare, the first seal would be a world leader of dictator vying for the reconstruction of an empire (U.S.S.R., Third Reich, possibly others), and so forth.

The religious horizon might have drastically changed to fit the paradigms of this new and unstable geopolitical landscape, in which the possibility of an apocalypse would no longer be relegated to divine, ineffable forces, but become increasingly real, palpable and human. Along with these, a general transformation in the ways of warfare would mark the transition from mass dying (such as the case with disease) to mass murder. While communal graves were not uncommon before, the new ones, paired with the monuments to the „Unknown Hero", would flag the erasure of identity (as conceptually expanded upon by Fulton 1965), as a consequence of mass murder, which can be interpreted as the historical analogue to the recently risen, but nameless dead found in zombie narratives.

Killing too has become impersonal. Recent research seems to suggest that remote killing „might be psychologically easier" than killing „face to face" (Rutchick et al. 2017: 1), and one could, perhaps, correlate the technological innovations in two offensive areas of warfare technology with a propensity to (and indifference in) killing, serving as dehumanizing factors. The conditions of trench warfare, as a result of the evolution of artillery (Ortner 2007, Kaiser 1931, Herr 1925), the spread of highly provocative propaganda that would morph and ridicule race and nationality, and the increased usage of biological weapons (Leitenberg 2001: 267-320) would have the potential to turn into the archetypal disease-ridden, rotting, dehumanized undead.

As for dehumanization, I propose that event bound zombies be viewed as dehumanized enemies. In *Less Than Human: Why We Demean, Enslave, and Exterminate Others*, Smith (2011: passim) thoroughly explores humanity's propensity for killing, but proposes a novel way of approaching atrocious acts: through the aforementioned lens of dehumanizing the enemy. Recent research (Bruneau, Kteily 2017) suggests that dehumanization was used as a means for the advantaged groups to „morally disengage" from the oppressed ones, but that it works both ways, with the oppressed seeing the advantaged group as less than human, due to their behaviour and as a defensive measure. Dehumanizing, as the book describes, works by morphing the mental image of a person or group, ethnic or otherwise, to make them appear less than human, and even „less than animals".

In fact, Hitler, at one point, stated that "... international Jewry is the ferment of decomposition of peoples and states, just as it was in antiquity. It will remain that way as long as peoples do not find the strength to get rid of the virus" (Friedman n.d.), equating the ethnic group to a threat and comparing them to the lowest of forms of existence, and even suggesting they are contagious. This approach may be compared to that used in representing zombies - which are usually disfigured, lack any ability to communicate or possess a very limited one, and are even infectious - with the crucial exception of not being a minority, but usually a majority, compared to human characters. Perhaps ironically, if one were to replace "Jewry" with "Zombies", Hitler's statement could pass as a reply taken directly from a zombie narrative referencing Ishtar's dead. This trend of large-scale dehumanization continued throughout the Second World War and beyond, and it seemed to have been reflected in literature around the same time, concentrated around the Atomic Era (Nadel 1995: passim).

6. Conclusion

Returning to the claim of this paper - and with the purpose of reinforcing it - a summary of publication dates for zombie narratives will be included here.

One of the first narrative incarnations of the contemporary zombie archetype can be found in *Herbert West - Reanimator*, by H. P. Lovecraft (1931), as early as 1921. Later, in 1976 in *Illuminatus!* by Shea Robert and Wilson Anton (1984), zombies return as an event, not long after Romero's seminal film, the aforementioned *Night of the Living Dead*, which eventually became part of the *Living Dead* series. *Re-Animator* would be loosely a movie based on Lovecraft's story, produced in 1985. As for the continuity of novels, a gap could be observed around the seventies and eighties, but they would make a comeback with Joe Lansdale's *On the Far Side of the Cadillac Desert with Dead Folks* (1989), a novella, followed by the highly acclaimed *Resident Evil* series by S.D. Perry (1998). From then on, a transmedial revival of the genre would follow, with critically acclaimed series such as *The Walking Dead* TV series, various video game adaptations (*Dying Light, The Last of Us, Dead Island, Day Z, etc.*), and novels such as Maberry's *Dead of Night* (2011), McKay's *Undead* (2011), Shan's *Zom-B* (2012), Stenson's *Fiend* (2013), Carey's *The Girl with All the Gifts* (2014), Jessulat's *The Decline* (2016), *etc*. In them, most, if not all of the attributes described above can be found and work together to shape the eventful, anonymous zombie archetype, and, as I will further argue in future works, share the dystopian setting and conceptual landscape of the American Post-Apocalyptic subgenre, due to their common origins in the events leading up to, during, and shortly past the Atomic Era.

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GHOSTS TELL STORIES: CULTURAL HAUNTING IN JESMYN WARD'S *SING, UNBURIED, SING*

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Abstract: *In her novel Sing, Unburied, Sing, Jesmyn Ward uses the ghost as both a literary trope and a cultural element in order to investigate an erased or distorted past and to assert an authenticated African-American cultural identity. Based on Kathleen Brogan's concept of "Cultural Haunting", the paper aims to examine how the ghost of Richie (one of the novel's major characters and narrators) functions as a literary and cultural tool to revise history and re-enliven African-American cultural memory and identity.*

Keywords: *African-Americans, cultural haunting, cultural identity, ghost, magic realism, memory*

1. Introduction

MacArthur Genius and two-time National Book Award winner, Jesmyn Ward is considered as one of the most talented and influential African-American writers of the 21st century. Ward is hailed as "heir to Faulkner", as all of her works are set in the American South, Mississippi in particular, in a small fictional rural village called Bois Sauvage. Like Faulkner, she also tackles the issues of racism, poverty, family relationships, communal love, and rural life in Mississippi. Her writing style and use of multiple narrators, and sometimes complicated plots, especially in her latest book, *Sing, Unburied, Sing*, reminisces of Faulkner's narrative style.

Sing, Unburied, Sing, the focus of the present paper, was published in 2017 and has won the National Book Award for Fiction. One major characteristic of the novel is the use of the supernatural and of magic realism. For instance, one of the major characters and narrators in the book is a ghost called Richie. However, unlike classical and Shakespearean ghosts, who often come back to life seeking revenge and retribution, modern African-American ghosts "signal an attempt to recover and make social use of a poorly documented, partially erased cultural history" (Brogan 1995: 150). Based on Kathleen Brogan's concept of "Cultural Haunting", the paper argues that, by inserting a ghost into her narrative, Ward sheds light on an authentic African-American literary and cultural tradition and challenges historical erasure by providing a counter-narrative about the past and its bear on the present.

2. Cultural Haunting

2.1. Definition

The use of ghost for storytelling is an old and common literary tradition. For African-American cultural and oral history, the ghost, or the apparition of a dead person, figures prominently in old folktales, in slave narratives and even in

contemporary African-American literature. Brogan (1995: 150) states that "one of the key elements of African religious thought to survive in syncretic forms of New World religious practice and in slave folklore is the belief in ancestor spirits... the appearance of ancestral ghosts... suggested in fact a literary Africanism". Similarly, Gordon (2008: 151) argues that "[t]he significance of ghosts and particularly spirit work in African-American culture and letters no doubt owes some of its origin to their respected place in African life". Thus, by opting for the ghost trope, Ward anchors her work in an African literary tradition and asserts first and foremost the Africanist side of the African-American cultural identity. However, in Ward's *Sing,* the ghost conveys a deeper meaning and plays a far more important role. It represents "a very particular way of knowing what has happened or is happening (idem: 8). It is a literary and cultural tool, through which the writer recovers and investigates a past that is often, to use Morrison's term, either "absent" or "romanticized" (qtd. in Redding 2001: 167) and re-enlivens the African-American cultural identity.

2.2. Cultural Haunting in Jesmyn Ward's *Sing, Unburied, Sing*

Through her concept of "Cultural Haunting", Brogan (1995: 151) explains how ghost stories are used in American literature of different ethnic backgrounds as a memory tool to show how the past interacts with the present and to expose multiple ethnic and cultural identities. She argues that ghosts in American literature serve mainly to restore lost cultural identities, to re-create an ethnic identity by recalling a collective history, and to disrupt historical chronology by introducing a meta-narrative and inserting fragmented or absent discourse. In particular, ghosts in recent African-American literature "signal an attempt to recover and make social use of a poorly documented, partially erased cultural history" (Brogan 1995: 150). In *Sing*, there are two ghosts, but the focus in this paper will be only on one of them, the more significant one, the ghost of Richie. Richie is a black thirteen-year-old boy, who was imprisoned back in the 1940's for stealing food to feed his starving family. Years after he dies, his ghost is resurrected into the narrative, to communicate not only his own individual trauma, but also "the crises of a larger social group" (ibid.) and to tell the readers untold stories about the past, stories about slavery, lynching, racism, as well as stories about communal love and bonding. Richie comes back to Parchman prison after kneeling before a "white snake, thick and long... slither[ing] out of the shadows beneath the trees" (Ward 2017: 176). The presence of a snake with a magical power that enables Richie to go back both in space and time is noteworthy here. Knowing that the novel itself is abundant with direct and indirect references to voodoo religion and practices, the white snake could in fact refer to Damballah, the most important god of the voodoo religion in the Caribbean, who is usually seen living in trees close to water or streams. Again, by both using the ghost trope and including references to voodoo, Ward takes the side of Melville J. Herskovits (American anthropologist who argued, contrary to sociologist Franklin Frazier, that enslaved people retained some of their African cultural heritage when taken from Africa to America) in asserting the syncretic nature of African-American religious beliefs, and highlights the survival of some elements of Africanist cultures and traditions among African-American communities, especially in the South, until today.

Richie landed in a "field of endless rows of cotton [where he] saw men bent and scuttling along like hermit crab, bending and picking. Saw other men walking

in circles around them with guns" (Ward 2017: 176-178). Parchman prison is described as a slavery institution, where enslaved people (or inmates) work in cotton fields all day, with white masters (or sergeants) watching them. By making this rather blurring connection between the past and the present and disrupting historical chronology (for though the novel's main story is set in the 21st century, the return of the past through Richie's story blurrs the distinction between what is past and what is present), Ward seems to argue that history for African-Americans remains an unfinished process and that the legacy of slavery continues to define their lives to the present day. This "temporal and ontological disjunction" that African-Americans experience is conveyed by the figure of the ghost, who represents, to use Derrida's (2006: 5) definition of a ghost, "this non-object, this non-present present, this being-there of an absent or departed one no longer belongs to knowledge... One does not know if it is living or if it is dead". The dichotomous patterns of being and non-being, absence and presence and visibility and invisibility translate the mental and psychological state of Richie, who felt confused the first time he landed in Parchman after his death, and could not conceive how "Parchman was past, present and future all at once" (Ward 2017: 240). He claims: "This is where I worked. This is where I was whipped... I remembered my name: Richie. I remembered the place: Parchman... I burrowed in tight. Needing to be held by the dark hand of the earth. To be blind to the men above. To memory" (Ward 2017: 179). For Richie, the memory of the past is so traumatic and painful that he is unable to face it first. Being oblivious to memory and trauma is out of people's control, because, sooner or later, it will come back to haunt their consciousness, dead or alive alike. The memory of Parchman is for Richie just like the memory of slavery for African-Americans, a painful and poignant experience that never ends, due to its everlasting traumatic effect and the absence of a real change, as asserted by him when he claims:

> Sometimes I think it done changed. And then I sleep and wake up, and it ain't changed none. It is like the cuffs all the way down to the bone. It's like a snake that sheds its skin. The outside looks different when the scales change, but the inside always the same. Like my marrow could carry a bruise. (Ward 2017: 222)

Ward's message in this statement is definitely political. It implies that that the current discourse about the end of racism and the beginning of a new post-racial era is misleading and false and that the racial binary continues to determine African-American life to this day. Richie's trauma is not personal and individual, but rather collective. It translates the trauma of a group of people and reflects "a society's inability to integrate with the present both traumatic experience and a pre-catastrophic lost past" (Brogan 1995: 153). The deep psychological and cultural trauma caused by hundreds of years of enslavement and dehumanization is not allowed to heal, simply due to the lack of any real change and to an inability to reckon with a traumatic past. Through the ghost trope, Ward challenges mainstream narratives about the present by negating the end of racism and shedding light on one of the major institutions that preserves it: the prison system. However, clear as it may be, the novel is more concerned with the past than with the present. Richie's ghost is primarily an apparition from the past, who comes back to life loaded with stories, desires, and questions in order to illuminate a gloomy part of American history and to convey a people's struggle to survive and affirm its cultural identity.

A brief account of Richie's story is needed in order to understand what follows. Richie, imprisoned at Parchman, is tortured, whipped, and humiliated, but finds refuge in another inmate, called River or Pop. River takes care of Richie, feeds him, saves him sometimes from being punished and cures his wounds when he is whipped. One day, Richie decides to run out of the prison together with another inmate, called Blue. On their way, they encounter a white girl and Blue tries to rape her, but Richie hits him on the head and saves her. Learning about the incident and about the inmates' escape, a white mob starts hunting for the two runaways and eventually finds Blue first. They torture him, cut his body into parts, lynch him and then set him on fire. Meanwhile, River tries to track Richie down, using his dogs and succeeds to find him before the angry mob reaches the place. River feels compelled to kill Richie by stabbing him in the neck, saving him thus from being tortured to death and lynched by the white mob. This violent and traumatic end keeps haunting Richie and hinders his burial and mourning process. Thus, he comes back to haunt the living, to tell stories about the past, to understand his own death and to find peace for his restless soul. By making Richie one of the story's narrators to tell first-hand stories about the past, Ward gives voice to the voiceless and the oppressed and endows him with the agency to re-create the past, shifting the focus from traumatic memory to narrative memory.

Wandering about Parchman, Richie's ghost meets Jojo, River's grandson, who came to the prison together with him mom, Leonie, and toddler sister, Kayla, to take their released white father back home. Being visible only to Jojo and Kayla, Richie goes back with them in the car to meet River and understand his own tragic end. Meeting Jojo for the first time, Richie says:

> There's so much Jojo doesn't know. There are so many stories I could tell him. The story of me and Parchman, as River told it, is a moth-eaten shirt, nibbled to threads: the shape is right, but the details have been erased. I could patch those holes. Make the shirt hang new, except for the tails. The end. (Ward 2017: 180)

Just like Beloved's ghost in Toni Morrison's *Beloved*, Richie's ghost "enters, all fleshy and real, with wants, and a fierce hunger" (Gordon 2008: 139), for he needs the end of the story in order to be able to go. However, Richie's main purpose, besides finding answers to his tragic end, is to pass on stories about the past to Jojo (and thus to the readers), to fill in memory gaps and throw light on an erased or absent history. The ghost becomes in this sense a political tool through which Ward not only gives power and agency to the oppressed, but also revises history and refreshes memory to challenge oblivion and forgetfulness. In other words, African-Americans need to revisit history, to fathom it and to reckon with what happened to be able to reconcile with the present and the future. And Ward makes this possible by bringing Richie back to life to tell stories from the past, mainly atrocious stories about his life in Parchman, but also stories about the brutality of slavery and Jim Crow. Besides describing how inmates, especially black inmates, were treated as slaves in Parchman, some of the major shocking stories told by Richie are stories of lynching. One of these stories was told to Richie by a-black female inmate, called Sunshine Woman. It is about a black man and his lady, who did not step down into the street when a white woman was passing by and he accidently touched her. The white woman went back home and told her husband that the black man, together with his wife, had molested her. So, a white mob went out looking for them and eventually hanged them. Richie provides a detailed and exhaustive image of the lynching scene:

> She said their people went out in the woods and found them the next day. Said the mob beat them so bad they eyes disappeared in they swollen heads. There was wax paper and sausage wrappings and bare corncobs all over the ground. The man was missing his fingers, his toes, and his genitals. The woman was missing her teeth. Both of them were hanged, and the ground all around the roots of the trees was smoking because the mob had set the couple afire too. (Ward 2017: 243-244)

The shocking visual picture of lynching serves to highlight the extreme brutality of lynching and the ultimate inhumanity of white supremacy. The scene reflects white America's "dehumanizing, ungendering and defacing project of African persons" where "[t]he anatomical specifications of rupture, of altered human tissue, take on the objective description of laboratory prose- eyes beaten out, arms, backs, skulls branded, a left jaw, a right ankle, punctured; teeth missing, as the calculated work of iron, whips, chains, knives, the canine patrol, bullet" (Spillers 1987: 67-72). In other words, using different means, the project of destroying and mutilating the black body (or "flesh"), which started with captivity and slavery, has in fact continued after that and is still present today. Through the detailed description of the torture and pain inflicted upon the black body, Ward seems to suggest that her use of the fantastic and of magic realism mimics in multiple ways the actual life of African-Americans. Ward contends that life during slavery and after it is closer to the fantastic than to the real and that any milder representation of it is a form of historical erasure and distortion. That is to say that, as magical realism is defined by Mathew Strecher (1999: 267) as "something too strange to believe", the horror and immorality of slavery and Jim Crow is, just like magic realism, hard to believe.

One other major symbolic element that is highly significant in African-American cultural memory and which directly invokes lynching is the tree. "The lynching tree is the most potent symbol of the trouble nobody knows that blacks have seen but do not talk about, because the pain of remembering - visions of black bodies dangling from southern trees, surrounded by jeering white mobs - is almost too excruciating to recall" (Cone 2011: 3). Just as Sethe in Morrison's *Beloved* is branded and marked by a tree on her back from being whipped as a slave, reminding her of a "past that is nothing less than a tribunal of brutality" (Redding 2001: 169), Ward's *Sing* is also full of tree imagery. Richie is always found hanging on, ascending and curled under pine and oak trees. The novel itself ends with the powerful and metaphorical image of a tree full of ghosts:

> He [Richie] ascends the tree like the white snake. He undulates along the trunk, to the branches... And the branches are full. They are full with ghosts, two or three, all the way up to the top, to the feathered leaves. There are women and men and boys and girls. Some of them near to babies. They crouch, looking at me. Black and brown and the closest near baby, smoke white... They speak with their eyes: *He raped me and suffocated me until I died I put my hands up and he shot me eight times she locked me in the shed and starved me to the death while I listened to my babies playing with her in the yard they came in my cell in the middle of the night and they hung me they found that I could read and they dragged me out to the barn and gouged my eyes before they beat me still I was sick and he said I was an abomination and Jesus say suffer little children so let her go and he put me under the water and I couldn't breathe.* (Ward 2017: 357)

While the lynching tree attests to the extreme violence and cruelty of white supremacy, it also testifies for a group's traumatic history and power to resist and survive. The ghosts here are not given voices to speak out their traumas, because the extreme violence and atrocity of what happened is too unbelievable and incomprehensible to be put into words. Besides recalling Faulkner's writing style, the stream of consciousness-like and uninterrupted narration of what happened (the italicized part in the quote above) indicates the continuous and unstoppable nature of the past, further confirmed by a mention of the different methods used, past and present, to subjugate and terrorize black Americans: raping, suffocating, starving to death, shooting, hanging, beating, etc. However, it is worth noting that the lynching tree in this scene as much as it suggests displacement and alienation, it also signifies reunion and communion. By bringing together "ancestral spirits" into the same site of memory, "the lynching tree," Ward highlights the communal and collective nature of the African-American experience and asserts that black Americans are united through their pain and traumas.

Though the overall picture of the past drawn by Richie's ghost is gloomy and ghastly, the flip side of the picture tells other stories as well – stories of love and emotional bonding. In fact, familial and communal love is one the major themes that dominate Ward's fiction. Despite all the pain and suffering experienced by Richie in Parchman, he claims that the place felt like home for him. As soon as Richie entered the prison, River felt compassion and sympathy for the thirteen-year-old boy. He took care of him, fed him, helped him to finish his work on time and thus escape punishment and cured his wounds when he was whipped. He acted like a surrogate father for Richie. Describing this paternal love, Richie says: "The way he [River] carried me to my cot, the way he bent over me made something soft and fluttery as a jellyfish pulse in my chest. That was my chest. That was my heart. Him my big brother. Him my father" (Ward 2017: 178). Coming back to life and seeing River, Richie was overwhelmed by love again. Getting closer and closer to River, he became like a cat "fresh-born, milk-hungry, creeping toward someone he'd die without" (idem: 283). The story of the father-son love relationship shows that despite the gloomy and traumatic life of African-Americans under the brutal system of slavery and racism, stories of human love and affection are there. The extreme inhumanity of slavery and Jim Crow is juxtaposed with the ultimate humanity that brought together Richie and River. Indeed, just like extreme maternal love led Sethe to kill her own daughter and save her from bondage in Morrison's *Beloved* (1987), it is also ultimate paternal love that led River to murder Richie, just to save him from being tortured and lynched to death.

3. Conclusion

Cultural Haunting in African-American literature often translates an inability to reckon with a past that refuses to be buried and a desire to be heard and seen. By coming back to life and intruding the narrative loaded with stories, the ghost of Richie shows that the past still lingers in the present and that it is only by excavating and interrogating an erased and often silenced history that the past's ghostly presence could be exorcised and "new forms of consciousness, identity and subjectivity may be wrought" (Redding 2001: 175).

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WHO AM I? WHO ARE WE?

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Abstract: *The telling of a story is at the core of many of Paul Auster's novels yet, in the recent years, the author has shifted his attention from the "what" to the "who" of his narratives. As such, the present paper analyses the telling of the Other within Auster's latest novel* 4321 *through the lenses of Americana.*
Keywords*: Americana, the Other, possibility, storytelling*

1. Introduction

4321 is a countdown of sorts, a tour de force and a true frenzy that seems to encompass a lifetime oeuvre resembling a desperate call to "speak now before it is too late" (Auster 2012: 1). More intimate, colorful and vivid than any of his previous narratives, the writing under scrutiny takes upon itself the most uncomfortable of discussions, namely the multiple selves within an America that grows crazier by the day. Conscious that the everyman is the closest to the reader, the author employs polyphony and uchronia to bring to life a very subjective and yet mesmerizingly realistic depiction of American madness that brakes his character's future into four possible existences, which cyclically come together to underline "life's excessive possibilities" (Bataille 1957: 86). A solid 866-page experiment in prose, *4321* reminds us that fiction is supposed to be devoid of logic, just as reality is. With long Proustian lines that give away an almost stream of consciousness style, stressing the burden of a name that befalls Auster's main character – Ferguson, the deceptive realism imbedded in the narratives comes to inform us of inevitable blasts from the past. While "leading us on a walk down Memory Lane" (Auster 2017: 799), the author humorously reminds us of the plurality of *Is* that follows a never coincidental name, and points out what America(n) means in the eyes of various generations.

The beginning of the novel is another story which starts in the good old days, way back when America was welcoming immigrants from Europe with open arms. As usually, it all begins with the name and a Jew.

> According to family legend, Ferguson's grandfather departed on foot from his native city of Minsk with 100 rubles sewn into the lining of his jacket, traveled west to Hamburg through Warsaw and Berlin and then booked passage on a ship called the *Empress of China.* While waiting to be interviewed by an immigration official at Ellis Island, he struck up a conversation with a fellow Russian Jew. The man said to him, forget the name Reznikoff. It won't do you any good here. You need an American name for your new life in America - something with a good American ring to it. Since English was still an alien tongue to Isaac Reznikoff in 1900, he asked his older, more experienced compatriot for a suggestion. Tell them you're Rockefeller, the man said. You can't go wrong with that.

> An hour passed, then another hour. And by the time the 19-year-old Reznikoff sat down to be questioned by the immigration official, he had forgotten the name the man had told him to give. Your name? - the official asked. Slapping his head in frustration, the weary immigrant blurted out in Yiddish, ikh hobn fargesn (ph) - I've forgotten. And so it was that Isaac Reznikoff began his new life in America as Ichabod Ferguson. (Auster 2017:1)

So, *4321* is a novel centered around Archie Ferguson's possible lives, and becomes thus, a kind of fractured mirror that reflects different versions of Paul Auster. With all the usual Austerian ingredients, the novel focuses on the differences in these four possible lives of a man, which include everything from diligence at school to sexual orientation.

The paper examines Auster's four Fergusons, by discussing aspects which are related to the perception of the Other, viewed through the lenses of what is termed as Americana.

2. The beginning

In its initial form, *Ferguson*, the novel had to be re-named after the Ferguson Missouri incident happened, but it still preserved most of its original silver lining, i.e. the Other struggling to find himself in the American ongoing madness. Ferguson Missouri represented a wake-up call on all those thinking that issues of racism have become a question of the past. On August 9th, 2014, Michael Brown, an unarmed young Afro-American boy was shot to death by a white police officer. This set off a wave of protests that lasted for months and brought into attention an ongoing civil right crisis. Already built on the assumption that the Other is a character prone to suffering and misfortune, Auster's story hit close to home, and the author decided to depict various perspectives on one's life. Moreover, by splitting one character into four possible Others, Auster underlines todays' paradox of multiple selves: "One of the odd things about being himself …was that there seemed to be several of him, that he wasn't just one person, but a collection of contradictory selves, and each time he was with a different person, he himself was different as well" (Auster 2017: 241), meaning that people build their selves according to the context they live in.

As a result, the novel can be read in numerous ways – i.e. either each story separately, each first chapter, and so on, or as a continuous narrative that switches between timelines and characters of various ages; yet, all in all, *4321* is a book about the first 20 years of one's life, with all their possibilities. In this sense, it can be interpreted as a book of youth, of the 1000 things done for the first time, opposing, consequently, Auster's previous pieces of autobiography (*Winter Journal* – 2012 and *Report from the Interior* – 2013). All the stories have a common start, namely the story of Ferguson's grandfather, the Jewish immigrant, who came to the promised land in search of a better life as well as of himself. He is the only Ferguson who does not have any predecessor, the one who foreshadows the others, and the only one who reminds us of the European man through his passion for knowledge and work.

After the short amusing introduction to the Fergusons and their beginnings in America, the narrative splits and *4321* becomes a novel centered on Archie Ferguson the third's possible lives at various times in American history. These stories span and superpose, here and there, Auster's own life as a child missing his

father, as a teenager discovering the reality of America, or as a young writer trying his hand at journalism and whatnot. With four diverse universes across seven different chapters, these microcosms of Auster's abound in references to his well-known themes, oeuvre, and life, making *4321* a literary exercise for both the writer and the readers. This structure play points out that Auster has switched from 'showing, not telling' to 'telling, telling, telling'. With all the usual Austerian ingredients, the novel presents the changes in Archie Ferguson's persona, which include everything – from how it feels to communicate through text to sexual awareness. Additionally, with the 'What if?' at the core of every narrative, the novel also discusses some political and social events between the 1950s ad the 1960s, highlighting the idea that the future is always a fiction, and when young, people never look back on the past, but rather towards what awaits them. Yet, the reality in which the novel was created proves that the past is a defining element for any individual. The novel is, in this sense, quite political, stressing the need to become aware of the cascading effect that decision making involves at all levels of life. Auster skillfully portrays American "laisser-faire" and its results: protests, frustration, political disarray, racism, etc. The 'What if?' of his narratives not only suggests a difference between what there is and what might be, but also that there could be something else that the Other could help with to change the prospect of the future. The idea that the Other is always the negative character has become outdated. Therefore, Auster questions whether the Other is not actually a solution and should be thus accepted.

The lines of this organic and natural novel have a sensation of propulsion and transform its reading into the experience of the Other on the page. With the unexpected always on the verge of happening, it underlines the idea that absolute strangers can meet in deep intimacy without actually ever crossing paths in real life; the only thing they need is a common cause. Thus, all the four Fergusons are the Other, and in telling the Other, i.e. in telling the four possible futures, Auster brings up current urgent issues, such as normalization of human life, patterns of behaviour, human development, social consciousness and America as an anti-intellectual country. Somehow all four characters are damaged people exploring what it feels like to live in a racially, sexually and politically maddening America, with the hope that: "Everything always happens for the best – in this, the best of all possible worlds" (Auster 2017: 279).

3. The Fergusons

Auster's four Fergusons are a rare delight. They are all parts of dramas, disembodied men who mix private and public selves, because they cannot settle for just one life, for just one path. Their four stories are about human experience and urge the reader to go with the flow and, if and when s/he stops, there is a feeling of loss and forgetfulness that will overwhelm him/her. The novel is about people not allowing themselves to be as they really are. This is mostly the result of stereotyping and misconception on the majority's part. Nevertheless, through his four characters, Auster proves that anyone can and will feel alienated at some point in life, especially during one's years of self-discovery, i.e. the first twenty years of one's life. Accordingly, the text has many disjunctions, brakes and repetitions in names and relationships, which take the reader aback. Nonetheless, they exist because the main purpose of all the Fergusons is to "become the hero of his own life" (Auster 2017: 348) Hence, the different roads they pursue.

The first Ferguson is a handicapped journalist finding his way through the harsh 60s', trying to survive the anti-war, anti-racism protests and not feeling "ashamed of being different". His life is marked by identity creation, by a vivid American history and collective memory. As a journalist he is the only one who wants to depict reality and not the phantasm of a 'what if'. Unfortunately, his personal life takes the best of him and he loses sight of reality. Too reflexive, redundant in break-through ideas and eager to be the one to singlehandedly change the world, Ferguson number one loses himself in an existential crisis with no perspective in sight, ending: "from one end of the earth to the other, the gods were silent" (Auster 2017: 228).

Ferguson number two has a short life; a lover of literature, with a body marked by numerous accidents, and a mind that penetrates even the most profound political issues, he unfortunately dies young in a summer camp, during a storm. Of the four Fergusons, he would have been the perfect one; the one who could have succeeded in life, who would have done something important and would have changed the world. He is the pure individual, the idealist, and the boy who becomes a man at an intellectual level. Maybe this is the reason why Auster kills him so early in the novel; a reasonable person would never make for a good character in a story of 'what ifs?'.

The third Ferguson is marked by his father's death in a fire, and loses faith in God. He is the queer character who struggles to fit into a world that does not accept him for what he is, yet praises him for what he pretends to be. This peculiarity makes him and his story the most realistic of the four. He leads a fearful double life. He enjoys pondering on possibility and the 'what if' is his credo. Nonetheless, he becomes a successful writer, lives in Paris, yet dies in a stupid car accident, while promoting his only book in London. All three stories up to now would suggest that Auster does not see another end for his characters apart from death.

And last but not least, Ferguson the fourth is, in my opinion, the most normal of all, if American normality could be defined. He is a rich boy who rejects his legacy, due to a fall out with his father. He resembles the original Ferguson the most, in terms of life expectations and purpose. He is an impotent man, who leaves everything behind and moves to Europe to become a writer. Here, he learns the joke about Isaac Reznikoff and writes a novel about four possible Fergusons.

The four stories are far from Ricoeur's idea of sameness, so often employed by Auster. Sameness (*mêmetée*) suggested that whatever we do, we return to the Other, as well as that identity is unique, yet recurrent. The Other is here a reflection and the result of one's decisions. Each version of Ferguson is part of the same individual and can, at any time, survive the odds, should the context in which he develops be auspicious. By means of Ferguson's four facets, Auster makes the reader see the world through the eyes of the Other and, more to the point, gives him the opportunity to choose whether to be silenced by fear, or face the person he might become once the fear is overpowered. That is maybe why, once you stop reading Auster's story, you cannot remember much, apart from the feeling of missing up on something.

The structure of the novel does not help too much in making sense of this feeling either. Although the book is divided into numbered sections, they are uneven due to the disproportioned stories of the four Fergusons. Some parts of the narratives dwell more on the historical context of the action, while others focus on character building. In this sense, the novel is both expansionist and narrow, but it all boils down to the journey of its characters. As such, *4321* points out that there is

no identity without narrative and, as we discover at the end of the novel, everything, even the 'what if', encompasses a story about the unseen, misinterpreted, unwanted and yet always present Other.

4. Conclusion

By means of Auster's four Fergusons, *4321* brings to light the abnormalities of today's America, while echoing the postmodern decentered identity crisis. The Other is no longer a reference point or a mirror towards which to glance whenever at a loss, but rather a solution to the unpredictable future. The novel plays with the disappearance of the boundaries of self and time. From the patchy lives of the characters to the rough political and historical moments they have to go through, the story Auster creates catches momentum. *4321* turns to be a novel of all times and all ages. It makes sense for all those who question reality's cyclicality. In a sense, the novel is a nostalgic countdown of all the versions of Auster's, never to see light. It is a wide-awake man's dream about bridging the gap between two realities in which the I's and the Other collide only to discover they need each other to overpass difficulties. Inhabiting the Others' mind has long been one of Auster's main writing themes, after all. Auster's phantoms are, yet again, resurrected and reshaped to fit the patterns of sameness and otherness, so that, when read, *4321* becomes an immersion into Auster's cosmos, an invitation to cross into the Other's solitude. Here, one becomes two, two becomes three, and you never know how many Others come into existence. Hence the main novelty of this oeuvre. Never before were readers able to go so far into Auster's narrative as to feel the Other's silence at its core. Auster's story attracts through its debate on human condition. No one knows oneself, until one is faced with becoming the Other. Hence, the latter's silence is mesmerizingly loud, bringing together generations of I's and Others, because that "is how reality works. Nobody's life goes smoothly" (Kathimerini 2018). So, failure, triumphs and mishaps are explored to help the writer give voice to chance throughout this novel. In the end, the joke is on the reader. Finally, we get the full circle of the story. *4321* – a book born out of a joke about names – brings out the yearning for possibility in each of us.

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WAR OF THE WOR(L)DS IN SALMAN RUSHDIE'S *TWO YEARS, EIGHT MONTHS AND TWENTY-EIGHT DAYS*

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Abstract: *The paper analyzes Rushdie's 2015 novel,* Two Years, Eight Months and Twenty-Eight Days*, addressing the author's recurrent themes: the relation between fiction and reality, between faith and reason, the tension between good and evil. I propose a comparison between this work and Rushdie's previous novels (*Midnight's Children *and* The Satanic Verses*), in terms of world-vision, style and narrative techniques.*
Keywords: *allegory, evil, faith, reason, symbol.*

1. Introduction. The context of publication. Autobiographic allusions

Published in 2015, three years after the memoir book *Joseph Anton*, Rushdie's novel represents a clear change, both in intention and tone. The author declared in an interview: "I think what happened is that after I'd finished writing the memoir, I kind of got sick of telling the truth. I thought, it's time to make something up. I had this real emotional swing towards the other end of the spectrum, towards high fabulism" (Maddocks 2015).

The main ingredients are well known from his previous novels, as he combines fantasy and contemporary problems. The narrator expresses the author's aesthetic creed: "To recount a fantasy, a story of the imaginary is also a way of recounting a tale about the actual" (Rushdie 2015: 182). So, the tale is simultaneously fantastic and all-to-real. The upper world of jinns (and jinnia) meets the lower world of humans, as in the *Arabian Nights*. Numerous allusions to familiar places and situations (New York, Bombay/Mumbay, terrorism, 9/11) transform this novel into an allegorical tale. If we refer to Rushdie's previous writings, the novel is, also, a departure from magical realism and historiographic metafiction, concepts which define his best-known novels, *Midnight's Children* and *The Satanic Verses*.

However, like in his previous novels, the autobiographic dimension is suggested by numerous details of the story: one of the protagonists is Ibn Rushd, a medieval Muslim philosopher known as Averroes in the West. The author himself stresses the "elective affinity" between Rushd and Rushdie, his family name being chosen by his father to honour the medieval philosopher, a commentator of Aristotle, known for his "liberal ideas", a man of reason, logic and science, "words many of his contemporaries found shocking" (idem: 8).

The title of the novel is a transparent allusion to *The Thousand and One Nights*, and to Scheherazade, who tells stories in order to postpone death. In a similar manner, the old, exiled Ibn Rushd tells "philosophical stories" to Dunia, a jinnia made of smokeless fire, hidden under the appearance of a young woman, to survive her insatiable sexual appetite. "He was a sort of anti-Scheherazade, her stories saved her life, while his put his life in danger" (idem: 12).

But the reviewers also refer to the experience of the author, who continued to write, under the death threat. "Rushdie is our Scheherazade, inexhaustibly enfolding story within story and unfolding tale after tale with such irrepressible delight, that it comes as a shock to remember that, like her, he has lived the life of a storyteller in immediate peril" (Le Guin 2015).

The fate of the real author can also be read in the protagonist's destiny, gardener Geronimo, "a man who has been cursed and then gets blamed for it", as Marcel Theroux (2015) states in a *New York Times* review. The character's words are attributed directly to the author: "Why do you imagine I consider my condition an improvement? he wanted to cry out. Why, when it has ruined my life and I fear it may bring about my early death?" (Rushdie 2015: 91).

Other reviewers (Wagner 2015) begin their interpretation by resuming terrorist attacks and treat the war described in the novel as the fictional embodiment of these contemporary threats, or consider the novel as "a futuristic tale of good versus evil that reads like a personal revenge fantasy" (Mahamdallie 2015: online). We have cited only a few examples that show how deep this reading practice is: one can hardly read Rushdie outside the social and political context generated by *The Satanic Verse*s, even thirty years after the *fatwa*.

2. War of the wor(l)ds between symbol and allegory

2.1. The medieval debate and beyond

In terms of structure, characters and narrative register, the novel has its shortcomings. The plot is hard to sum up, as it involves stories within stories: the conflict begins in 12th century Spain, with the philosophical/theological debate between the Muslim theologian al-Ghazali (1058-1111) and the Andalusian philosopher Ibn Rushd (1126-1198), known as Averroes in the West. Al-Ghazali, in his tome, *The Incoherence of the Philosophers* (1095) argues that "reality itself does not guarantee its own intelligibility", while Ibn Rushd, almost a century later, in *The Incoherence of the Incoherence* (1180), desires "to see the world explain itself and, thereby justify its own existence" (Kukkonen 2000: 542). Although they both "consider the order of existence being necessarily established by a transcendent cause", they arrive at "the same view from such different considerations as to make it appear that the questions they address are fundamentally different" (idem: 557). For Kukkonen (2000: 559), many passages from al-Ghazali's tome are strikingly modern and he associates the Baghdadian Muslim's views with the philosophy of Kant and Wittgenstein, in regarding the expression of mystical experience, as "a divine vision of the world, *sub specie aeterni*, which is inexpressible in any innerworldly language" (idem: 560).

However, Rushdie chooses to simplify a more complex, historical and religious issue of the medieval debate: al-Ghazali's views of the relationship between knowledge, reality and language are treated as incoherent and irrational, while he puts into Ibn Rushd's mouth his own creed: if, originally, for the Andalusian philosopher "innerworldly reasonability is both derivable from the divine essence and evident in the way nature works" (idem: 547), in Rushdie's novel, Rushd is forced to stand, anachronistically, for the Enlightenment position that considers belief in God as a sign of childishness. The two characters come to embody, allegorically, the conflict between reason and unreason, between logic

and faith and this "war of words" brings exile for Ibn Rushd and glory for al-Ghazali, although the biographical truth tells us they both traversed periods of spiritual crisis and official disgrace, and they both became influential thinkers for the centuries to come.

Rushdie sacrifices historical facts for the sake of demonstration and builds a strong allegory by drawing a sharp line between two sets of opposed values: good and evil, reason and faith, freedom and fear. For example, al-Ghazali, regarded as one of the most proeminent Sufi mystics, is described as "an unforgiving, narrow man (...) A puritan, whose enemy is pleasure, who would turn its joy to ash" (Rushdie 2015: 49), who, 800 years after his death, continues to preach irrational fear, from the grave.

To analyze the case built by Rushdie in this novel, one can begin from an observation made by Barbara E. Johnson (2003: 67), who states that

> Allegory is manichean to the extent that it is based on clear binary oppositions. [...] Thus, no matter how complex they seem, allegories would always have a manichean logic. Black characters and white characters, for example, would signify something they self-evidently embody. They are chosen in allegory in order to signify. Black and white are not treated in this case as unknowns, then, but as knowns.

The two characters are reduced to bare oppositions, impossible to reconcile. For Ibn Rushd, "The battle between reason and superstition may be seen as mankind's long adolescence, and the triumph of reason will be its coming of age", while for al-Ghazali "reason and science are the true juvenilia of the human mind. Faith is our gift from God and reason is our adolescent rebellion against it" (Rushdie 2015: 49).

Although, in interviews, Rushdie denies being didactic, in this novel he actually is. He abandons the hallmarks of ambiguity and plurality that consecrated him in his first novels and produces a univocal allegory, where the reader is clearly taught whom he should love or hate:

> The good guys are made from bits of Rushdie's self-image, his post-fatwa persecution and his well-known views on the nature of religion, Islamist terrorism, secularism, freedom of speech and so on. The bad guys are ugly photo-fits for Bin Laden, Isis, barbarism, obscurantism, irrationality, bearded stupid preachers, misogynist inadequates and all those who have it coming to them. (Mahamdallie 2015: online)

In an interview (Maddox 2015), Rushdie baldly asserts that "If you believe in God, and I don't, it must be legitimate for me to say your belief is full of crap. Why do we have to put religious belief in cotton wool?" Unfortunately, the temptation to ridicule the opponent is transparent also in this novel: al-Ghazali preaching from the grave sounds "like a man with a mouth full of worms and dirt" (Rushdie 2015: 49) and God is viewed not as the supreme being, the source of supreme love of the mystics, but a tyrant invented by the first humans and who, in turn, punishes them, by bringing terror, curse and fear:

> The curse of being out of step with God, ahead of our time or behind it, who can say; of being weathercocks, showing how the wind blows, coal mine canaries, perishing to prove the air is poisonous, or lightning rods, through whom the storm

> strikes first. Of being the chosen people God smashes with his fist to make an example of, whenever he wants to make a point. (Rushdie 2015: 36)

Unlike in his previous books, where magical-realist devices like oxymoron and literalized metaphors built paradoxical world-views and ambiguous, pluridimensional characters, here the "bad guys" are strongly ridiculed. This results in aesthetic failures: flattened, cartoon-like, bidimensional characters, disaster movie style, transparent moral verdicts, didacticism. The problem goes beyond the personal beliefs of the individual reader, as Mahamdallie (2015: online) puts it:

> If you can buy into the binary – Enlightenment good, Islamic fundamentalism bad, rationalism good, faith in the supernatural dumb – you may feel some warmth generated by a flush of moral superiority. However, you should still feel short-changed that the author has squeezed out most of the ambiguities, contradictions and unexpected elements from the central intellectual debate. Yet, it is in this complexity that truth resides.

2.2. The strangenesses era of the 2000s

A fantasy shift of the story brings the initial 12th century *War of the words* into the 2000s, and transforms it into a *War of the Worlds* between the descendants of Dunia (the jinnia) and Ibn Rushd – the Duniazat tribe, scattered all over the world, on the one side – and, on the other, the bad jinns and their human supporters, led by Grand Ifrit Zumurrud, who gathers his armies from the land of A – allusions to Afganistan and the Talibans who practice "the art of forbidding things" (Rushdie 2015: 200) – and aims to conquer the world and establish an evil global jinn sultanate.

The allegorical dimension implied in the medieval debate is taken one step further, as the battle of the 2000s represents the visible cataclysm generated by the battle of words. While Dunia herself and Rushd's descendants fight for the ideas represented by their ancestor (reason, freedom), the others are driven by irrational faith and inspire fear in order to rule. The ideology of the author is, again, transparent: "Hatred, stupidity devotion, greed the four horsemen of the new apocalypse" (Rushdie 2015: 155).

But the confrontation between these fantasy creatures appeals transparently also to contemporary, historical facts. We are told in no uncertain terms that the "crazy" drive of the "strangenesses" was "9/11 crazy: foreign, evil" (idem: 94). In what culminates with an "epic battle between good and evil, Rushdie renders the black-and-white absolutes of Islamic fundamentalism vs. rational Enlightenment and freedom of speech in the kind of glorious Technicolor we commonly associate with Marvel Comics" (Scholes 2015).

There is a failure in terms of ideas, as the novel becomes a transparent allegory about humanity's struggle between superstition and reason. But there is also a failure in terms of content and structure:

> If a book is everything it risks being a formless nothing. The new novel quickly becomes a breathless mash-up of wormholes, mythical creatures, current affairs and disquisitions on philosophy and theology. (...) The narrative sprawls; digressions and minor characters multiply. Anything can go in, so everything does. The book seems both overpopulated and underimagined. (Theroux 2015: online)

The book seems to be written after a blockbuster check-list, with violent deaths, and (super)natural disasters, using special effects in excess and adding, in the end, the SF touch: the megalopolis of the future shining in the sun of a new era. But, usually, when it comes to utopian futures, something is rotten and aesthetically vulnerable, as it is hard to hide the ideological position behind the narrative construction, even when the noble purpose of anti-dogmatism should justify the means.

And, despite numerous allusions to the stories within stories, as in *A Thousand and One Nights*, the promise remains unfulfilled; the novel "is a long way from the authorlessness and economy of fairy tales, which never lecture and whose bareness – envious stepmother, noble prince, dark forest – extends a more subtle invitation to the reader" (Theroux 2015: online).

Paradoxically, a novel projected as a plea for rationalism and anti-dogmatism, becomes, despite its comic-book tone, the most didactic of Rushdie's writings.

2.3. The future-in-the-past perspective

The book ends with a surprising epilogue, which brings a change in tone and perspective, due to the narrator's position in the time span of the novel. The anonymous narrator pretends to be a humble chronicler writing from the future, from a peaceful era, around the year 3000, 1000 years after the "strangenesses" era (the 2000s, the readers' time), when no rules applied any longer. It was an epoch that ended with the War of the Worlds, which lasted for exactly two years, eight months and twenty-eight nights (i.e. one thousand and one) and resulted in the definitive closing of the gates between the two realms, and the birth of a new, post-apocalyptic world, dominated by peace and reason.

Although pretending to write for his contemporaries "a chronicle that degenerated towards the condition of legend, speculation or fiction", he writes back to us, the 2000s readers, the "ancestors" contemporary with the characters, thus settling the allegorical mechanisms of the text: "This is the story of our ancestors as we choose to tell it, and so, of course, it's our story too" (Rushdie 2015: 18).

> This is a story from our past, from a time so remote that we argue, sometimes, about whether we should call it history or mythology. Some of us call it a fairy tale. But on this we agree: that to tell a story about the past is to tell a story about the present. To recount a fantasy, a story of the imaginary, is also a way of recounting a tale about the actual. (Rushdie 2015: 188)

There is a second paradox that affects the credibility of the story. Inevitably, to be readable in 2015 (the date of publication), the futuristic narrator has to go back in time and speak our tongue, the ancients of the 2000s. And in addition, he forces us to perceive ourselves as the barbarian ancestors of humankind. Theoretically, the narrator writes a chronicle for a utopian, mature humanity, his contemporaries from the 3000s and beyond, but this plea for rationality takes the form of a postmodern fairytale for the childish humanity of the 2000s, keeping the traditional polarization between Good and Evil, with no intermediary grey zones. And although Rushdie chooses his second motto from George Szirtes – "One is not a ' believer' in fairy tales. There is no theology, no body of dogma, no ritual, no institution, no expectation for any particular form of behaviour. They are about the

unexpectedness and mutability of the world" (Rushdie 2015: 2) –, the author contradicts himself, as each fantastic detail in his novel is minutely planned to correspond, allegorically, to reality; moreover, the ideal, mature, reader is simultaneously praised for his rationality and asked for a constant, willing suspension of disbelief.

The most influential motto that echoes in the Epilogue is taken from *Los Caprichos no. 43* by Goya: *El sueño de la razón produce monstrous* ('The sleep of reason brings forth monsters'), but the author continues with the full caption in the Prado etching: "Fantasy abandoned by reason produces impossible monsters: united with her, she is the mother of the arts and the origin of their marvels" (idem: 1).

The epigraphs function as hermeneutic keys: the first, best known citation from Goya, seems to privilege reason, thus echoing the main conflict in the novel. What Goya does not say and what Rushdie (almost against what he asserted in the main narrative) suggests only in the end – is that reason alone, without fantasy, is monstrous as well. We find that, after the War, in order to avoid chaos, the two realms had to be definitively separated and Dunia covered with her body the breech between the worlds, sacrificing her form, her essence, her conscience, to secure the human world, as "reason demands it". "That was the hinge moment, when the door from the past, where lay what we used to be, swung shut once and for all, and the door to the present, leading to what we have become, opened like the stone gateway to a treasure cave, perhaps even Sesame itself" (idem: 247).

But this simultaneous closure and disclosure could be seen, from the perspective following in the epilogue, in terms of death: the old, barbarian humanity is "dead", closed in a crypt (the stone gateway could figure, also, a tomb stone), the past becomes "the skeleton in the cupboard" while this "treasure cave, perhaps even Sesame itself" is still a cave, implying closure, darkness and illusions (like in Plato's cave), despite the Enlightenment creed professed by the narrator.

In the "brave new world", humans enjoy total freedom, they can manipulate the genome and become whatever they like. Science makes every wish come true. (But there arises a new question: is freedom possible, even conceivable, without any limitations?) The people of the future also choose to abandon faith, considered a sign of childishness. The most precious book of the 3000s, "our most admired text from antiquity", is *In Coherence*, "a plea for a world ruled by reason, tolerance, magnanimity, knowledge, and restraint" (Rushdie 2015: 248), a response to al-Ghazali's 12th century *Incoherence of Philosophers*.

> Fear did not, finally, drive people into the arms of God. Instead, fear was overcome, and with its defeat men and women were able to set God aside, as boys and girls put down their childhood toys, or as young men and women leave their parents' home to make new homes for themselves, elsewhere, in the sun. For hundreds of years now, this has been our good fortune, to inhabit (...) a peaceful, civilized world, of hard work and respect for the land. A gardener's world, in which we all must cultivate our garden, (...) to do so is not a defeat, (...) but the victory of our better natures over the darkness within. (Rushdie 2015: 248)

2.4. Symbolical ambiguity

While the main narrative paid its tribute to allegorical manicheism, the epilogue appeals to symbolical values, bringing ambiguity back into the text. The change from allegorical to symbolic relations could also explain the contradictions

in the end of the story, testifying to the complex relation between fantasy, reality and literary fiction.

If we ascribe a symbolic value to the jinns as signs of and connectors with the Other World, then the closing of the "gates" could also mean the refusal of such a relation between the Upper and the Lower world, the refusal of a symbolic order. Furthermore, if jinns are symbols for the fantasy world announced in Goya's motto, fantasy being an alternative mode of knowledge, their isolation in the Upper World equals the separation of fantasy and faith from reason. Thus, in the future, reason and fantasy are physically separated, science remaining the only legitimate way of searching for answers. But, in this happy world of the 3000s, something unexpected happens. Its inhabitants lose their dreams ("The dream factories are closed"):

> Something befell us… We no longer dreamt. It may be that this time those slits and holes were closed so tightly that nothing at all could leak through, not even the drips of fairy magic, the heaven-dew, which according to legend fell into our sleeping eyes and allowed us our nocturnal fantasies. Now in sleep there was only darkness. (Rushdie 2015: 251)

Thus, the ending introduces doubt to a serene scene and questions the long-term consequences of the choices humankind make. If, within the allegorical connections of the author, reason is equated with logic and daylight, while faith stands for the irrational, nocturnal, dark side of a being, then the juvenile rejection of God and the closing of the gates to the "above world" has left humankind alone in the dark nights, without fantasy and dreams. The thousand and one nights become a mere number, evoking nostalgically a time when nights were full of dreams and stories: "But the nights pass dumbly. One thousand and one nights may pass, but they pass in silence, like an army of ghosts, their footfalls noiseless, marching invisibly through the darkness, unheard, unseen, as we live and grow older and die" (Rushdie 2015: 251).

Despite the universal joy, the perspective is rather pessimistic, as this collective *we* ("the greater ' we' which we have all become") lost the connection with something bigger than themselves: "We go together towards an end beyond which there is no beginning, and beyond that, none, and the dawn city glistening in the sun" (ibid.). The image could remind someone of SF movies, with the megalopolis of the future inhabited by a sort of *Star Trek*-like Borg, a collective mind engulfing each singularity in its march towards perfection. By contrast, our modernity values the individual, the contradictory uniqueness of each human being, and this is precisely what the inhuman jinns cannot stand:

> It was as if he (Zumurrud) took the complexity of human beings as a personal affront, the maddening inconsistency of human beings, their contradictions which they made no attempt to wipe out or reconcile, their mixture of idealism and concupiscence, grandeur and pettiness, truth and lies. (Rushdie 2015: 110)

And this brings the novel to the ultimate question, with moral, religious and philosophical implications: What is the essence of our humanity? Can we just get rid of our dark side and become "better versions of ourselves", or this abandonment is rather a denial of something crucial for humankind? If we are defined by our double nature and the conflict is the essence of human personality, then the split

between the two equates self-destruction, even under the appearance of peace. That is why this joyful humanity is nostalgic about the past and secretly "longs for nightmares".

From a Jungian perspective, the conflict between the shadow and the solar side is essential for the individual. The shadow is the door to our individuality, as it contains not just destructive aspects of one's personality, but also potent, creative, and powerful capabilities (Jung 1959: 10). "The wildness in us, which sleep unleashed, has been tamed, and the darkness in us, which drove the theatre of the night, is soothed" (Rushdie 2015: 251).

Another Jungian postulate asserts that "when an inner situation is not made conscious, it happens outside, as fate" (Jung 1959: 71) ("Something *befell* us", as the narrator says). That is to say, when the individual remains undivided and does not become conscious of his inner opposite, "the world must perforce act out the conflict and be torn into opposing halves" (ibid.). This process could explain the sharp divisions of the main narrative: the War of the Worlds is the inner conflict made visible:

> Looking back, we tell ourselves this: the craziness unleashed upon our ancestors by the jinn was the craziness that also waited inside every human heart. We can blame the jinn, and we do, we do. But if we are honest we must blame human failings too. (Rushdie 2015: 216)

3. Conclusion

The novel has at least two levels: the first, of the shallow cartoon-story type, an unambiguous allegory, and the level of essential interrogations represented by the epigraph and the epilogue, full of contradictions, ambiguities and unanswered questions. So, beyond the apparent happy ending and above the stylistic, Rushdie-like fireworks, lies the great author, capable of writing something that really matters, even when he seems to play in a minor key.

But, an alternate interpretation can read in this ending an *act manqué*. As "our postmodern Scheherazade", Rushdie unconsciously projects himself in the place of the narrator, a chronicler of his era, reduced to a nostalgic storyteller, sitting by the drained Sea of Stories. He seems to articulate his world view by recycling and modelling from the outside the old tales motifs and characters, forcing them to fit the imperatives of a particular historical moment. Unfortunately, at least for this novel, the game is unconvincing.

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WORDS FOR FREEDOM:
PRISON POEMS, FROM ANGEL ISLAND TO HANOI HILTON

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Abstract. This essay sets out to explore two cases in which writing poetry was employed as a strategy to resist the brutality that prisons engender: the case of the lines in Chinese, carved on the walls of the detention barracks on Angel Island, and the case of the poems "tapped" on his cell walls by John Borling, a fighter pilot detained in Vietnam.
Keywords: *Angel Island, Hanoi Hilton, John Borling, prison poems, walls*

1. Introduction: prison walls, poetry, and freedom

By separating offenders and enemies from mainstream society, prison walls supposedly perform a protective function. Yet, as Patricia O'Connor (2003: 140) points out, by definition they also have the effect of silencing both the inmates (by hindering their possibility of communicating freely) and the "public knowledge about them". In the anonymity of a cell, where days are marked by an imposed routine and captives are increasingly stripped of their individuality, writing can turn into an effective tool for recovering one's agency, thus undermining the alienating potential of imprisonment. Doran Larson (2010: 147) observes that "the prison writer returns herself to language, and thus necessarily into an identity separate from that which power seeks at once to impose, to know, and to destroy". This essay will focus on two cases in which prisoners succeeded in challenging the oppressive authorities they were subjected to by provocatively transforming their bare prison walls into the perfect site for their cathartic and empowering poetry: the case of the lines carved in Chinese on the detention barracks walls on Angel Island, and the poems John Borling (a fighter pilot) tapped, using a special code, on the walls of his cell at Hanoi Hilton, where he was detained in solitary confinement during the war in Vietnam. As will be shown, despite the obvious differences in settings and circumstances, all authors regarded their ability to create and leave an enduring trace of their thoughts as an act of defiance and resistance. Moreover, their feelings of helplessness and isolation were somehow overcome by envisioning and addressing a supportive community of kindred spirits, with whom to share the same struggle, goals, and ideals.

2. Angel Island and its poems

Doomed to be demolished in 1970, the immigration station on Angel Island and the calligraphy on its walls were spared thanks to the farsightedness of a park ranger, Alexander Weiss. While making his rounds, he noticed the copious inscriptions in the detention building and began to stir interest in what is now acknowledged as "a symbol of America's history of racial exclusion and a site of conscience and reconciliation for all", to quote Judy Yung and Genny Lim (2014:

ix) , the editors (together with Him Mark Lai) of a seminal volume entitled *Island* (first published in 1980), which collects most of these poems with their English translations, oral histories, and rare pictures. From its opening in 1910 up until 1940 (when it was closed, after a devastating fire destroyed the main building), the immigration center on Angel Island processed thousands of newcomers to the US, most of whom were Chinese (approximately 175,000). Even though Angel Island was commonly known as the *Ellis Island of the West*, it differed from its counterpart in one essential respect: its real purpose was *not* to receive the immigrants and regulate their entry; as Him Mark Lai (1978: 100) emphasised, instead of acting as a gateway into America, "to Chinese arrivals it was a half-open door at best, a prominent symbol of racist immigration policy". Actually, it was primarily established to enforce the 1882 Chinese Exclusion Act, a racially targeted law, which prohibited Chinese immigration into California with the exception of certain categories, namely merchants, travellers, teachers and students, diplomats, and the offspring of naturalised citizens. Since birth records had been destroyed during the 1906 earthquake and fire in San Francisco, many Chinese immigrants claimed blood relations with compatriots that had long settled in America, in order to gain access to the *Golden Mountain* and its opportunities (they were the so called *paper sons* and *paper daughters*). To ascertain the validity of these and other (mostly fictitious) claims, Chinese immigrants were detained on Angel Island, for a period ranging from a few weeks to a couple of years, and daily questioned by immigration inspectors. Upon arrival, they had to leave their luggage and belongings in a storage room; men and women were kept apart, in separate dormitories, but both had to undergo the same invasive and extensive physical examinations, to make sure they did not carry any of those highly contagious diseases that, as it was widely believed, Chinese people were more prone to contract and spread.

Poorly fed, deprived of their freedom and dignity, constructed as a threat to the nation, some were liable to become the prey of depression, while others refused to simply languish on their beds; accordingly, they reacted to blatant discrimination and abuse by painting and then carving poems on the empty walls. Their act must have been perceived as particularly insubordinate and disrespectful, given the numerous signs in the barracks, warning the inmates not to damage the building, as it was US property. Indeed, in a letter to the commissioner of Immigration, Frank Hays, Inspector in Charge, reiterated that the premises belonged to the government: "it is unlawful to write on or disfigure the walls or to destroy any property" (Hoskins 2006: 99). The inscriptions were initially painted over, several times; then the prisoners began to carve the characters with a knife, to make their obliteration more difficult. Putty was, therefore, used as a filler before applying new coats of paint, which paradoxically resulted in the preservation of what was supposed to be erased. More than 200 poems cover the walls of the men's section and, as eye witnesses testified, as many must have been carved in the women's quarters, destroyed in the fire that caused the immigration station to be finally abandoned.

In the early 1930s, two detainees – Jann Mon Fong and Tet Yee – embarked on the project of copying the inscriptions (independently from one another), thus creating the core of a corpus which, since then, has been the object of a still ongoing investigation. As Erika Lee and Judy Yung (2010: 104) have pointed out, most poems (the earliest literary endeavours by Chinese immigrants in America) were written before the 1930s by Cantonese prisoners from the Pearl River delta who, somehow, formed, in the words of Charles Egan, a "poetry society". In the

scholar's opinion, "early poets set the tone and themes, and later poets added responses in the same vein, and thereby joined the group" (Lee and Yung 2010: 104). Traditionally, as Elizabeth Lyman (2007: 73) remarks, poetry was used in China to "expos[e] social injustice in a constructive manner", without openly criticizing the government's policies. It could be argued, therefore, that the poetic community thus created on Angel Island collectively aimed at suggesting alternative models for self-identification and self-affirmation, while rejecting the subordinate role assigned by the authorities to Chinese immigrants, as well as the customary depiction of their people as a *model minority*, always compliant and submissive. By using their prison walls as fresh pages, they longed to write a reformed version of their history in America, while leaving a tangible, hardly erasable trace of their existence.

Cynthia F. Wong (1999: 6), the author of one of the first critical contributions on the poems themselves, highlights the "generalizing function of the whole immigrant experience" achieved by the inscriptions in their anonymity (the lack of unequivocal signs of identification, however, may also be explained by the inmates' fear of retaliation). Wong (1999: 3) also places a strong emphasis on the "formidable self-laceration" which, in her view, characterised both the prisoners' attitude during confinement and their lines. Undoubtedly, countless words are spent to express dejection, loneliness, and frustration (for example, six poems are entirely devoted to the "harsh treatment by the doctors" (Lai, Lim, and Yung 2014: 126), who savagely "stabbed" arms and ears for blood samples). Nonetheless, the authors' complex strategies for self- and mutual empowerment should not pass unnoticed. First of all, many poets consciously operate as members of a community stretching backward and forward in time, ready to offer support through comforting words; as one of the contributors openly states, he is "leav[ing] th[at] as a memento to encourage fellow souls" (idem: 144). The community will always remember the hardships immigrants were forced to suffer, while cherishing the worth of each and every one of them, since they all contributed to the eventual success of the Chinese in America (soon to come): hence, after mentioning "tens of thousands of poems composed on th[ose] walls" (idem: 80) (an obvious hyperbole), one writer promises that the day he is "rid of th[at] prison" and attains prosperity, he will not forget "that th[at] chapter had existed" (ibid.). The striking contrast between China, a country with a millenary cultural tradition, and uncivilised America is explored in many inscriptions, which forcefully reverse the widespread portrayal of the Chinese as a degraded and debased race. White Americans are, therefore, labeled as "Western barbarians" (Lai, Lim, and Yung 2014: 94, 130), "ugly barbarians" (110), "false Westerners" (78), and "devils" (128), who deserve to be punished for their inborn viciousness, coupled with their unfair laws, "harsh as tigers" (54). Thus upsetting the stereotypical representation of the meek and emasculated *Chinaman*, many poems call for revenge, carried out in the most atrocious ways: one author dreams of "behead[ing] the barbarians and spare not a single blade of grass" (100), while another one yearns to "cut out the heart and bowels of the Western barbarian" (130). Several poets also foresee the day when China, once released from the shackles of poverty and foreign control, will wage war against the Unites States, to "reciprocate in kind to America" (118): "someday after China rises and changes/ She will be adept at using bombs to obliterate America" (118). Interestingly enough, even captivity is perceived under a different and surprisingly constructive light: indeed, many legendary heroes had been obliged to endure toils and tribulations before attaining supremacy. Thus aligning his compatriots with

national icons and other exemplary figures, the author of one of the poems, therefore, advises his countrymen "not to worry too much" (152): Han Xin (a poor youth destined to become a prominent general) and King Wen (also held prisoner by his enemy) had been humiliated before eventually thriving.

3. Hanoi Hilton and its poems

A graduate of the US Air Force Academy in 1963, John Borling took an active part in the Vietnam War. In June 1966, as he was flying his 97th mission over North Vietnam, his plane was shot down. Severely injured but still alive, he was captured by enemy soldiers. He spent the following six years and eight months as a POW in the infamous Hoa Lo Prison in Hanoi (sarcastically known as Hanoi Hilton), where detainees were segregated, underfed, psychologically abused, and often physically tortured. As Borling (2013: 14) recalls in the introduction to his poetry collection, entitled *Taps on the Walls: Poems from the Hanoi Hilton*, "the enemy wanted us weak, despondent, and totally cut off. Our challenge was to keep the faith, carry on, and stay true to one another. For that, we had to communicate". Also in this case, the thick walls designed to isolate the inmates (so as to render them vulnerable and invisible) are defiantly turned into the instrument through which creativity is expressed and mental freedom regained. To keep the flow of communication going, Borling and the other prisoners began to use the so-called *tap code*, originally imported by Captain Harris, "a 1965 shoot down" (idem: 20). The key to the code (which was also the key to their survival) was rather simple: the alphabet letters were divided into five lines of five each (C and K shared the same slot); every letter was tapped with two numbers: the first tap indicated which horizontal row to use, while the second tap identified the column. As Borling observes, "the tap code became our lifeline, our means of passing along information and words of encouragement to one another. […] We tapped as if our lives depended on tapping − because they did" (14). Borling also decided to compose, memorise, and tap poems on his cell walls, as a proactive strategy to fight his and his comrades' mental starvation, drawing on what he deemed "the essence of the human condition" (16), i.e. the ability to create. He would put his words on paper only after his release, in February 1973, recommending the recipients of his lines to read them aloud, so that his silenced thoughts could finally come fully alive.

Divided into four sections, *Taps on the Walls* chronicles the joys and ordeals of every fighter pilot, including the author. The opening poems are devised to offer a form of soothing mental escape to his fellow detainees, who are reminded of the time when they were "men with wings" (Borling 2013: 30), free to roam the sky and in full control of their lives. In "Carpet of Clouds", for instance, Borling conjures up the empowering and liberating experience of flying: "from cockpit throne, you reign alone/ On top in Titan world" (43). In the second section, the frustration of captivity is explored, exemplified by the clash between the glory days of the past and the grim and dreary present. Fond memories and solid moral values provide the only source of comfort and deliverance, as in the poem entitled "Hanoi Epitaph": "you cling to values you know are true,/ Like family, God, the red, the white the blue,/ It's your fortress 'gainst indoctrination" (61). The contrast between liberty and incarceration is further investigated in the third part of the volume, devoted to holidays and festivities, which lose their meaning for those who are caged. As Borling (2013: 71) remarks in "The Other Christmas", "It's Christmas

again in the land of the free". Quite significantly, the collection ends with an epic poem ("Southeast Asia Story"), a genre aimed at celebrating the deeds of heroes; in this case, the author commemorates the whole community of American pilots and soldiers, whose bravery and extraordinary accomplishments are immortalised in his lines. Despite the adversities they encountered (or, better, *because of* the adversities they encountered and overcame), their legacy will continue to inspire generations to come.

4. Conclusion

As this essay has tried to demonstrate, in times of war and social turmoil, walls are not just obstacles to freedom: for writers, they may become a source of healing, providing unexpected opportunities for individual and collective self-assertion. If it is true that *the brain is wider than the sky*, as Emily Dickinson revealed in one of her poems, it is certainly wider than a prison cell.

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POETRY LISTENING TO THE MUSIC OF THE SPHERES

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Abstract: *The article focuses on the nature of poetry as expounded by Elizabeth Jennings in her critical prose and incorporated into many of her poems. Jennings' reflections on the potential of the poetic word revolve around two interconnected notions, which define its ontological status. One of them concerns the divine Logos and its intrinsic link with the language of poetry. The other refers to a perfect order and harmony, known as music of the spheres, which is operative in the Cosmos and resounds in poetry.*

Keywords: *Elizabeth Jennings, Logos, metaphysics, music, visionary poetry*

1. Introduction: Elizabeth Jennings as the poet exploring the nature of poetry

The following discussion concentrates on the nature of poetry and its status among different branches of art. However, in view of such broad consideration, a more specific approach seems to be more viable. That is why, apparently contrary to the announcement made in the title, the perspective adopted in the subsequent discussion will direct the reader's attention to a particular poet. The poet whom I have chosen is Elizabeth Jennings (1926-2001), one of the most highly acclaimed English lyrical poets of the twentieth-century, who, in the words of Michael Schmidt, her friend, a poet himself and editor of much of Jennings' poetic work, "was the most unconditionally loved writer of [her] generation" (Schmidt 2002: xix). Schmidt's appraisal, unsurprisingly, echoes similar comments made by Jennings' contemporaries, associated with a group of young and sundry poets called "The Movement", alternatively known as "Poets of the Fifties".

At the beginning of her poetic career, Jennings was loosely connected with the Movement, which included such literary figures as Philip Larkin, Robert Conquest, Thom Gunn, Donald Davie, John Holloway, D.J. Enright or Kingsley Amis and John Wain. Many years after the Movement had already dispersed, Amis, in his *Memoirs*, evoked Jennings in the context of the group as "the star of the show, our discovery" (Buxton 2009: 293). In turn, referring to the force of Jennings' poetic impulse prevailing over her recurrent nervous problems and mental collapses, John Wain dedicated to her a laudatory poetic letter, which ends with a dramatic and, at the same time, unmistakably complimentary proclamation: "Your art will save your life, Elizabeth" (Wain 1969: 55).

Jennings' association with the Movement, however, was loose and short. She saw in it an artificial construct rather than a conscious enterprise. A clear note of her rather critical attitude to the Movement can be heard in her book of literary appraisal *Poetry To-Day*, in which she deplores the fact that the poetry of the Movement often lacks "world-schemes [and] personal philosophies, and would have nothing to do with the symbolic and the allegorical" (Jennings 1961b: 10). Besides, as she made it clear in a 1964 interview with John Press (Orr 1966: 91 – 96), being a woman and a Catholic believer among men and atheists, she could hardly find there a place for herself (idem: 92).

Hence, almost right from her poetic debut and throughout all her writing that comprises poetry as well as critical prose, Jennings was building up her own *ars poetica*, which she carefully elaborated not only in the pages of her books of literary essays, such as *Every Changing Shape* (1961a) or *Seven Men of Vision* (1976), but also inscribed into the body of many of her poems. Jennings' poetic output was enormous. Between the years 1956 – 2001, she published twenty-six collections of poetry containing over twelve-hundred poems. In 1983 Erwin Stürzl published a book on the "thematic content" of Jennings' poetry, though on account of the date of its publication, Stürzl's work cannot be considered either final or completely satisfactory. Six years before Jennings' death, Gerlinde Gramang (1995) published another study, addressing what she called "major themes" in Jennings' poetry. But after the year of Gramang's publication, four new volumes of Jennings' poetry came out: *In the Meantime* (1996), *A Spell of Words* (1997), *Praises* (1998) and *Timely Issues* (2001). Yet, in spite of incomplete attempts to classify Jennings' creative output, at all stages one can still distinguish in her impressive poetic corpus a great number of poems related to three sister arts, corresponding to three Muses – of poetry, music, and painting. That is one of the reasons why Jennings' work can be used as a very good illustration of a certain type of poetic art, which is rooted in metaphysics and interlocks with painting and music, the latter being in the focus of the present discussion.

Therefore a close look at Jennings' particular poems, especially those which in various ways involve music, sheds much light on the poet's ideas about the nature of poetry. Furthermore it calls attention to rhetorical and imaginative strategies which Jennings frequently employed in order to express her artistic *Credo* in the poetic idiom.

2. The bond between poetry and music: major queries

The title of the present article poses two questions which need to be clarified right at the beginning, not only because they emphasise the gist of the following argument, but also because the answers to these questions constitute one of the founding blocks of Jennings' own philosophy of poetry and her *ars poetica*, which was the guiding principle for her writing and reading of poems.

The first query concerns what critics of literature usually call the function of poetry, namely what it does. Reading Jennings' work makes one reverse common assumptions about poetry and readers' expectations. Why should poetry be *listening*, while habitually a poem is thought of as saying something, so, as a result, we tend to talk about a message which the poem spells out, or conveys. In Jennings' case, the intriguing switch from *speaking* to *listening* is partly analogous (allowing for all deficiencies of analogical thinking) to the switch from painting to writing, which takes place both in the discourse and the perception of icons.

The first question leads to another, namely what is the object of *listening*, or, in other words, what is poetry listening to? Remarkably, poetry is not listening to the creative orders of the poet, who, as the source of the poem, is withdrawn and overshadowed by something greater than merely human agency or artisan's craft. Thus the second query concerns the object of listening, the *music of the spheres*, and precisely what it means for Jennings and how her ideas of the music of the spheres get expounded in her literary output. Since music comes to the foreground as the target of listening, it is appropriate to start with music.

2.1. Music of the spheres

The concept of *music of the spheres*, otherwise known as *harmony of the spheres* or *musica universalis*, derives from antiquity and owes much to the quasi-mystical thought of Pythagoras, who, having studied the correlation between mathematics and music, postulated the existence of the strict relation between the pitch of musical notes and the length of the strings that produced them. In its primary meaning, *music of the spheres* refers to a perfect harmony and order in which celestial bodies move in the cosmic space. As such it concerns strictly balanced proportions in their orbital motion, which was believed to produce a distinctive and unique resonance. Ancient philosophers, like Pythagoras, saw such regularity and synchronization amounting to the absolute order in the Cosmos in terms of music, and they claimed, accordingly, that the Sun, the Moon and other celestial bodies emit musical tones as a result of their movements. This specific music, though imperceptible to the physical ear, was presumably audible to the inward ear of the human soul.

Etymologically, the term 'music', borrowed from French (*mousique*), has its origin in the Latin *musica*, the art of music; this was derived from the Greek word *mousiké*, which refers to the art of the Muses. The etymology points to the art over which the Muses preside, i.e. all art including lyrical verbal poetry alongside sound and melodies. Especially the Greek word explains why poetry and music have often been twinned: not only special colouring of the sound, meter and rhythm have always been incorporated into the body of the poem, but also, especially in the past, poetry was often given audible voice by being recited to the accompaniment of music. Hence the figure of Old English *scop*, or medieval *bard*, well-known in the history of literature, the maker and performer, who combined the words of poetry with the sound of music.

It should be stressed, however, that *music of the spheres* is essentially a metaphysical concept that hints at the transcendental order of reality which assumes the form of disembodied music, and, no matter how elusive of the sensual cognition, it can be perceived in an extra-sensory way. In Jennings' view, it is poetry that may provide a pathway to approach the domain of the music of the spheres and to get a foretaste of transcendence. It is so because, as she claims in the "Foreword" to *Every Changing Shape*, there exists "a connection between poetry and mysticism", and that is why she states, accordingly, that in this book she is "concerned with three things – the making of poems, the nature of mystical experience, and the relationship between the two" (Jennings 1961a: 9).

2.2. The mystical and visionary intertwined with music

In Jennings' poems there are numerous references to the music of the spheres. On the one hand, they presuppose the ontological link between music and poetry, as confirmed by the Greek etymology of the word; and on the other hand, they hint at the capacity of poetry to reach out towards transcendence. The latter aspect accounts for the proximity of poetry, particularly that with a visionary slant, to mysticism. Looking for the connection between poetry and mysticism, Jennings compares the poet and the mystic, and observes that while the mystic is concerned with the description of the mystical experience as such, the poet's interest lies in the fruits of his poetic experience, i.e. the poem. Consequently, she concludes that "[t]he mystic looks for the seed, the poet for the flower" (Jennings 1961a: 10).

Nevertheless, she insists that they are both involved in the process of cognizance of the same mystical object. The sense of the affinity of poetry with mysticism underpins much of Jennings' creative writing. It is not only expounded in her works of prose, but it also gets built into a considerable body of her poetry.

What she sees as a profound parallel between mysticism and poetry is epitomised in the title of one of her poems, "Seers and Makers" (*In the Meantime*, 1996). The poem underscores the similarity between the poet, or artist in general, and the mystic, which lies in the fact that they both step back in order to make room for something greater, be it either a poem or mystical experience. In Jennings' artistic Credo, the self has to be always reduced in order to allow the music of the spheres to enter into the realm of experience. Hence the poem solemnly asserts: "Self disappears when man becomes his prayer, / Likewise man and his art" (Jennings 2012: 732).

Music is frequently evoked in Jennings' poetry, however, more often than not, it is the music which is neither played on man-made instruments nor available for a musical notation on sheet music. Sometimes it is associated with the light of the stars as, for example, in "The Early Work" (*Tributes*, 1989), which may be read as the poet's personal testimony of the creative process of poetry making:

> Now I would reach
> For the sound and so
>
> Discover the pure
> And untrammelled note
> […]
> … . O let
> My poems find,
> As stars do light,
> The music of mind. (Jennings 2012: 588)

While "the pure note" suggests the Absolute and "the music of mind" points to melodies inaccessible to the physical ear, they both markedly adumbrate the music of the spheres.

Music, which is inscribed into Jennings' poetic idiom, permeates the poet's imagination. It is usually linked with the elevation of the spirit and a special insight into the core of reality, both of which are accompanied with emotional intensity in its purest form, free from sentimentality and hallmarked with truthfulness. When Jennings' philosophical and poetic reflections concentrate on what she calls "The First Music" (*Familiar Spirits*, 1994) in the title and in the first line of the poem, she thinks of it inquiringly as

> … music that was its own
> Purpose, a pattern or phrasing, a quality
> Of sound that came between silences and cast out
> All other possible sounds? (Jennings 2012: 686)

The "pure note" from the poem "The Early Work" corresponds to the music that is "its own" in the poem "The First Music", and they both hint at a metaphysical domain which transcends any sensory perception. In "the first music", the poet finds the praise of the mystery of creation, and she yearns for that profound

understanding which was supposedly given to some mystics, when they touched the divine. In Jennings' poetic vision, "the first music" lies at the foundation of the Universe and, consequently, it stirs up in the poet a deep-seated desire to feel at one with the principle of being. Therefore the words of the poem echo the existential urgency to transcend all limitations and plunge into the heart of meaning.

> ... O how much I would give
> To hear that first and pristine music and know
> That it changed the turning planet and visited stars. (Jennings 2012: 687)

Whenever poetry attains a visionary quality, it always resounds in Jennings' imagination with the music of the spheres. In some poems, the music of the spheres is mentioned explicitly, or even underscored by the title of the poem, as can be seen in the collection *Familiar Spirits* (1994) which includes the poem thus entitled, with the phrase "Music of the Spheres" put in inverted commas. The form of the poem emulates a philosophical query commencing with the rhetorical question:

> Is there a music underneath the kind
> The instruments send up, conductor draws
> Out of the orchestra. Is there a sound behind
> The theme we hear that fills another pause
>
> No echo eases? … (Jennings 2012: 707).

In subsequent attempts to define the music of the spheres, it is compared to "heavenly harmonies / Which only on a wise, controlled mind fall", and presented as "Heaven-sent / Sound" or "a grace that's lent" (Jennings 2012: 707). In Jennings' poetry, the music of the spheres undoubtedly belongs to a different order of reality, as is made clear in the poem "A Happy Death" (*Tributes*, 1989), dedicated to the memory of Jennings' friend, a Dominican priest, who in the poet's vision:

> Is out in the elements, one with the music of spheres
> Which God plays over and over in artists' minds
> For the great ones to copy out in little fragments.
> Angel messages putting this frightened world
> At peace with itself. … (Jennings 2012: 619).

2.3. Music accommodating nature and art

In the majority of her poems, however, the music of the spheres is not overtly named but compellingly implied. It is subtly linked with other conspicuous elements of Jennings' poetic imagination, such as a sense of peace, serenity and harmony. It is also associated with light, another typical marker of Jennings' poetic landscapes, which is often presented as shining through the leaves of a tree, or as the light of the setting sun which tints the landscape in red, or else as delicate luminosity spread over the starlit or moonlit sky. The world depicted in Jennings' poetry is listening to *musica universalis* which is full of metaphysical significations. Likewise, Nature, with all its splendour illuminated by the radiance

of celestial bodies, becomes, in the poet's perception, an open window that lets in the tunes and glimpses of transcendence, which combine into the music of the spheres, inaudible to the senses, but capable of being heard by the attentive soul of the poet and then encapsulated in the potential of the poetic word.

The poet is brought into the act of listening in "Precursors" (*Extending the Territory*, 1985), a poem with clear autobiographical overtones, which brings in and shows the impact of various sights in Nature not only on one's extrasensory perception, but also on the poet's capacity to experience it in terms of music, which is then converted into poetry:

> Passages of music, a violin's slow pace, a picture
> Recording the sunset but telling more …
> […]
> … Today it is Autumn outside
> And as the sun reddens the whole landscape
> And a smell of bonfires haunts me, a tune begins
> To sing in my mind. It has no words as yet
> And a life and a half would probably be too short
> To set the music down with appropriate words, (Jennings 2012: 546).

The words "telling more" from "Precursors" may be treated as a key-phrase to much of Jennings poetry, similarly to the title of another poem, "On the Edge of My Mind" (*Tributes*, 1989), which is clearly suggestive of the borderline territory where the physical encounters the metaphysical. In the poem, Jennings muses on the experience of touching spiritual reality with the baffled intellect and roused imagination, and she speaks of it in terms of "[a] rhythm of pure thought which must I think mean music" (Jennings 2012: 616).

Alongside Nature, Art also figures significantly in Jennings' poetry as another factor which opens up human perception to the continual flow of that singular music which is not contained in any sound. "On the Edge of My Mind" refers to impressionistic painting and raises the general question of art contemplation, which transports the spirit to the metaphysical dimension that reverberates with the music of the spheres.

> … It is music of the spheres,
> No less than that, which will speak to my weary spirit.
> No, do more, release my spirit
> Till I fly like Ariel given his total freedom
> But with Caliban's music singing in my ears. (Jennings 2012: 616)

The intertextual allusion to Shakespeare's' *The Tempest* is here highly significant, for it underscores the possibility of a miraculous transformation of the barbarous and mundane into the sublime. Caliban, invoked in Jennings' poem, in spite of being uncouth and brutish, can hear that the island of the shipwreck is "full of noises, / Sounds, and sweet airs, that give delight, and hurt not". What is more they "show riches / Ready to drop upon [him]" (III. 2. 133-134, 139-140). Notably, within the bounds of Jennings' poetry, places revealed to the eye in physical or geographical categories appear as permeated with music. That is why, in "Particular Music" (*Extending the Territory*, 1985), the poet declares: "So I make / A music out of places" (Jennings 2012: 537). Consequently, the whole world, with all its natural beauty, becomes in Jennings' handling a place framed in music.

2.4. The position of the poet altered through the mode of listening

In Jennings' view, poetry which contemplates Nature and Art listens to the whole gamut of audible sounds coming from the surrounding world, where, in Keats's words from his "Ode on a Grecian Urn", "unheard [melodies] are sweeter" (Church 1948: 88). For Jennings the sounding of music in poetry is primarily due not to the power of imagination, as in Keats, but rather to the fact that those "unheard" melodies carry intimations of *musica universalis* that is independent of the poet's will and external to the body of the poem. The idea of poetry getting tuned into the world of Nature and Art and primarily listening to its music is embedded in Jennings' entire creative output. It is not surprising therefore that the gist of her poetic Credo is that poetry is especially predisposed to ascend from the echelons of making a statement to the mode of listening to the music of the spheres. This poetic act of faith is corroborated by her claim from one of her introductions to a book of poems that "poetry, whatever its theme, offers experience, not sermons" (Jennings 1981: 10).

If making definite, doctrinal statements is not the foremost function of poetry, then, in consequence, the role of the so-called lyrical subject, usually identified with the voice speaking in the poem, is considerably reduced. In Jennings' poems, one can observe a curious suppression of the poet's persona that does not flood the reader with carefully worded pronouncements, but instead makes room for something else, inviting the reader to participate in the exquisite experience of listening.

In order to switch poetry from the mode of speaking to the mode of listening, it is essential to alter the position of the poet within the body of the poem. That is why Jennings pleads for humility in the rapport with a work of art and, accordingly, denies the authoritarian ownership of the poetic world to both: the poet, as the maker, and the reader as the receiver. Her favourite wording for this attitude is: *not to possess, but to be possessed* by a work of art, and it gets interwoven into her poetry in a variety of forms. While contemplating ancient sculptures in "Greek Statues" (*Song for a Birth or a Death,* 1961), for example, the poet records the accompanying aesthetic experience in the following words:

> … one wants to touch not simply stare,
> To run one's fingers over the flanks and arms,
> Not to possess, rather to be possessed.
> […]
> And our probing hands move not to grasp but praise. (Jennings 2012: 108)

Such humility is not only Jennings' personal trait, but first and foremost it is an essential part of her poetic practice. Erwin Stürzl observed it already very early in his study published during Jennings' lifetime. Stürzl included in the title of his book one line from Jennings' poem, "Rembrandt's Late Self-Portraits" (*Growing Points*, 1975), which is a comment on the greatness of Rembrandt's art and reads: "Here / Is a humility at one with craft" (the indefinite article in Jennings' line is missing from Stürzl's title).

2.5. Humility of the poet and silence in the poem

Humility naturally combines with the attitude of selflessness and both of them are fostered in Jennings' poetry. One of the poems which addresses this issue

is tellingly and provocatively entitled "Total" (*Tributes*, 1989). Here the poet struggling with difficulties and mental obstacles eventually declares: "The spirit of me discards crude self, takes on / Unpossessiveness" (Jennings 2012: 576). And further, she concludes with a reflection apparently triggered off by the sight of the moon which, in Jennings' handling, becomes a symbol of the totally selfless and non-possessive disposition of the poet:

> The full moon outstared me to show
> Like it I must become less,
> A silver of self alone
> Diminished to quarter moon. (Jennings 2012: 576)

Likewise, "Nocturne" (*Tributes*) foregrounds the process of "becoming less" and presents the poet as a mere instrument for the transfiguration of human experience into the art of poetry, which is intrinsically intertwined with music:

> … I am
> Simply imagination and a hand
> Ready to score the music that's moving fast
> In my veins and arteries. … (Jennings 2012: 617-8)

Thus Jennings posits the figure of the poet as a humble receptacle of the music of the spheres rather than the originator of its rare beauty. These and many similar examples additionally show that, in Jennings' vision, the moral virtue of humility constitutes an important prerequisite for the aesthetic valour of poetry and a most desirable condition not only for its making, but also for its proper reception.

The hushing up of the voice of the self makes room for silence, which has a fundamental significance in Jennings' *ars poetica*. First of all, it is a necessary state which stimulates listening; besides, it creates an indispensable space which allows echoes of the music of the spheres. In another poem with strong personal overtones, "Sky in Childhood" (*Familiar Spirits*, 1994), the poet refers to a state of mind when "Man's spirit is aglow" (Jennings 2012: 690), and makes it clear that one has to keep silent in order to develop a special disposition to hear the music of the spheres:

> And there is surely 'music of the spheres'
> If we will only keep
> Silent for it to drive away our fears
> And orchestrate our sleep. (Jennings 2012: 690)

It should be emphasised that silence in Jennings' conception is never identified with a wordless void. On the contrary, it is always pregnant with meanings. The poem "Mozart in the Middle of the Night" (*Timely Issues*, 2001) points to what seems a paradoxical nature of silence, which is conducive to music. The poet listening to the music of Mozart ponders on how the composer "elaborates the silence" (Jennings 2012: 794), so that his composition works miracles which transfigure reality:

> In the night there is a singing sun.
> I listen in a rapture of repose;
> Drop after drop, there another goes. (Jennings 2012: 794)

"Drop after drop" in the context of the poem refers to musical notes and it illustrates one of Jennings' favourite rhetorical strategies to make silence in the poem. She uses a simple repetition of words, or more formal anaphora, which provide an extension of verse that generates an extra space, without filling it in with new semantic signs or, attached to them, definite signifiers.

2.6. Inklings of logos in poetry

In the already mentioned "Particular Music" (*Extending the Territory*, 1985), Jennings forcefully proclaims that "Words are music to find" (Jennings 2012: 537), thus pointing to a profound link that amounts to an ontological analogy between the language of poetry and *musica universalis*. Evidently, Jennings endorses the ancient view that the exquisite harmony and perfect order of the Universe are revealed in the music of the spheres, and Logos essentially refers to the same idea. That is why Jennings accords a special status to poetic words which, through the sacramental mystery discussed in my book on the nature of Jennings' poetry (Walczuk 2017), have a special share in Logos – the Word of God which, in the biblical account, lies at the foundation of the entire Cosmos (cf. John 1: 1-4). Jennings is strongly convinced that the language of poetry, by virtue of being affiliated to the divine discourse discernible in the world, reaches out towards transcendence, and so it naturally resonates with Logos.

Undoubtedly, Jennings' thinking about poetry and the world was affected by her religious faith and additionally inspired by David Jones's views of sacramentality, as expounded particularly in his 1955 essay "Art and Sacrament". Jones sees the artist as a sign-maker and a sacramentalist whose signs are "re-presenting [or] showing again under other forms", hence they are significant of a greater reality, "of something that is sacred" and outgrows the mere sign (Jones 1988: 157). Therefore the art of man essentially becomes a "sacramental activity" (idem: 161), which binds human sign-making to God. Jennings alike ascribes the quality of sacredness to poetic activity, and all her thinking about the making of poems supports Jones's claim that "art is, at bottom, and inescapably, a 'religious' activity, for it deals with realities and the real is sacred and religious" (idem: 158). Jennings' reverence for poetic words stems from her belief that the words of the poet, regardless of the poet's intention, will, or religious denomination, always originate from and resonate with the supreme Word of God. As a result, Logos is foreshadowed in the body of a poem. Jennings poetic output provides ample evidence for her artistic Credo, which is epitomised in her poem significantly entitled "A Metaphysical Point About Poetry" (*Praises*, 1998), where she solemnly professes: "I wish to say that God / Is present in all poetry that's made / With form and purpose" (Jennings 2012: 775).

In the poem paying tribute to the poetic heritage of Gerard Manley Hopkins, "Hopkins in Wales" (*Growing Points*, 1975), Jennings speaks in the same vein: "God's Presence / Was granted a new kind of immanence in your lines" (Jennings 2012: 328), thus expressing her belief that transcendence may be embodied in imaginative constructs through the words of poetry. A similar note of grateful admiration and subtly acknowledged affinity with other poets sounds in her "Homage to Thomas Traherne" (*Timely Issues*, 2001), whose poetry "soars", "sings" and has God as its "great theme" (Jennings 2012: 801).

Jennings own views on the nature, function, and value of poetry are often embedded in her reflections on other poets, for she feels part of a great community of artists, and like them, as she asserts in "For the Times" (*Times and Seasons*, 1992), through the power of words "[she] seek[s] / Intensity of music in each rhyme, / Each rhythm" (Jennings 2012: 669). In "Thinking of Descartes" (*Tributes*, 1989), Jennings ponders on the status of poetry, and she plays with the famous Cartesian dictum, *cogito ergo sum*, transposing it into a statement about poetic activity. Her musings lead her to the conclusion that a poem is a transcendent entity inherent in the music of the spheres, originating in Logos and substantiated through the working of the poet's imagination in the words of the poem. So she states, with great emotional intensity, that:

> … I feel (yes,
> Not think) that poems or their substance are
> Upheld by moon and stars, lifted by winds
> But won't be words until some poet catches
> The moment and the music. … (Jennings 2012: 609–610)

In Jennings' ideas about poetry, there is a striking parallel between Logos and the music of the spheres. Their close analogy rests on the poet's vision that the music of the spheres is an emanation of Logos, and Logos is also the fountainhead of poetry.

3. Conclusion: Elizabeth Jennings' metaphysical poetics

Jennings worked out her own poetics, in which the music of the spheres and Logos as the fountainhead of all poetic words occupy a prominent position. In her poetic imagination, the music of the spheres represents a unique language which resonates throughout the world with the divine Logos, or the primary Word of God, that calls the Universe into being and institutes harmony and perfect order. In Jennings' poetics the relation between Logos and the music of the spheres is reciprocal: Logos is the source of the music of the spheres, while the latter irresistibly adumbrates Logos. Their proximity, which underlies a great number of Jennings' poems, explains why the ontological link between poetry and music is embedded in her artistic Credo.

In Jennings' *ars poetica*, the poetic persona is often cast as listening to music, while poetry is presented as especially predisposed to be listening to the music of the spheres. This is an ongoing process, which never finds its completion and is never brought to a closure. That is why in Jennings' poetry, listening is intertwined with continual seeking and, in consequence, her entire poetic *oeuvre* is characterised by a friendly openness, which can accommodate all seekers of truth.

In "A Music Sought" (*Tributes*, 1989), the poet reiterates the rhetorical question of artists, philosophers, and ordinary readers of poetry. Therefore the following poetic lines seem to provide a suitable closure to the necessarily open-ended meditations on poetry listening to the music of the spheres:

> Shall I ever find
> This music which I seek?
> […]
> Yet there's a universe
> Which Bach and Mozart knew,
> […]

… There's
A starlight brilliance too
We but half-understand
Yet recognise as true –
The music of the spheres. (Jennings 2012: 570–571)

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EAST EGG REVISITED:
J. R. MOEHRINGER'S *THE TENDER BAR*,
OR THE PERSONAL MEMOIR AS FICTION

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Abstract: *In his memoir,* The Tender Bar *(2005), J.R. Moehringer recounts how he, a fatherless boy from Manhasset, New York, strived during the late '70s and '80s to come to terms with family issues, while being raised by the men who tended the most popular bar in town. A piece of literature in its own right,* The Tender Bar *shares its narrative pattern with F. Scott Fitzgerald's* The Great Gatsby *(1925). My paper tackles this conspicuous influence in order to emphasize how well-known literary motifs may enhance credibility in non-fiction writing.*
Keywords: *J. R. Moehringer, American memoir, F. Scott Fitzgerald, New York, September 11*

1. Introduction: different ways of calibrating the narrative 'I'

Usually, one apprehends the memoir as the telling of someone's life story in the first person within a set of literary conventions which sometimes may be transgressed for the sake of variation, but, in the end, they must yield to the tenet "reminiscence equates truthful speaking" (or, in this case, truthful writing). For instance, you may refer to yourself in the third person singular, as Salman Rushdie does in his *Joseph Anton* (2012), or render family scenes retrieved from those early stages of your life, although it is neurologically impossible to have those memories, but you need not completely invent the narrator. No matter how much liberty the memoirist takes in rethinking the form of confession, s/he will have to negotiate the imperative of telling the truth to some high degree, a criterion one would not find imposed on the fiction writer. Perhaps this is why nowadays, in the age of the Internet and social media, confessional writing has become a subgenre of motivational literature.

Sanford Pinsker notices that hardly a week passes in the United States without a memoir being singled out for critical assessment in *The New York Times Book Review*. The flood of memoirists became the object of satire in *The New Yorker*. In one of its issues, a schoolboy is asked to present his composition in front of the class and the caption reads: "Gameboy: The Memoir of an Addict" (Pinsker 2003: 312). Pinsker made this remark in 2003, yet a simple survey of the current situation in the statistics from *Publishers Weekly* or *Forbes* would confirm that the trend gives no sign of relenting: the non-fiction categories top the fiction spectrum, with the memoir/autobiography section constantly on the bestselling list (Milliot 2018). It seems that the American readers returned to an old-fashioned need for personal stories, a need fueled by the "therapeutic culture" of our time (Pinsker 2003: 313). The journalist Vivian Gornick (qtd. in Pinsker 2003: 313) - herself a memoirist – states that "a mass culture has emerged on a plane unparalleled in history, urging Everywoman and Everyman to tell the The Story of My Life."

However, by assessing the decline of confessional writing into the self-help genre, Gornick highlights that the

> memoir is neither testament nor fable nor analytic transcription. A memoir is a work of sustained narrative prose that bears the same responsibility as does all writing: to lift from the raw material of life a tale that will shape experience, transform event, deliver wisdom. (qtd. in Pinsker 2003: 313)

Literary criticism seldom makes the memoir the direct interest of its analytical tools. The writers' personal notes, diaries, and published memoirs are usually the wedges employed in order to crack open the other works, even when the critics are aware that the memoirist is a master of deceiving, like Vladimir Nabokov, whose aversion for biographers and biographical indiscretions is notorious (his *Speak, Memory* abounds with false roads, sly evasions, veiled self-references). A writer is one who puts some distance between herself or himself and the state of things s/he reshapes in poetic forms. Writing a book – any book – means to put order in one's life and make that life aesthetically apprehensible. Appropriating a term coined by William Carlos Williams, Tony Tanner (1971) describes as "fictionalized recall" a typically American genre, from which he singles out not only one of the most appreciated memoirs of adolescence, namely *Stop-Time* (1967) by Frank Conroy, but also novels such as Saul Bellow's *Herzog* (1964) and Philip Roth's *Portnoy's Complaint* (1968). I would add Cormac McCarthy's *Suttree* (1979) on the same shelf. Tanner tries to find an appropriate denomination for the remembering process which should justify the author's license to distort life according to a particular vision and a specific aesthetic:

> My suggestion is, rather, that for some American writers their experience of life in America is so intense and primary that it seems supererogatory to invent new material. Instead, the craft of the fiction-maker goes into shaping and ordering the overall structure of his recollections. (Tanner 1971: 295)

J. R. Moehringer's *The Tender Bar* definitely illustrates this hybrid genre. Born in 1964, Moehringer is a Pulitzer Prize winner journalist, who has also done some successful ghost writing work for the tennis player Andre Agassi and most recently for the billionaire and the *Nike, Inc.* Chairman Phil Knight (I would say this is the main issue of the celebrity memoirs, the reminiscences belong to the narrator but it is somebody else who writes them down, an anomaly which renders one's life as team work). Moehringer's breakthrough came in 2005 with the publication of *The Tender Bar*, his coming of age memoir mostly set in Moehringer's native place, Manhasset, New York. A hamlet on Long Island, Manhasset is known for its lacrosse players, its liquor stores, and its prehistoric glacial erratic named Shelter Rock. But most of all, emphasizes Moehringer, the place owes its literary immortality to *The Great Gatsby* (1925), because F. Scott Fitzgerald, while sitting "on a breezy veranda in Great Neck" and gazing across Manhasset Bay, turned the town into his fictional East Egg. As the memoirist puts it, "We strode each day across Fitzgerald's abandoned stage set." (Moehringer 2015: 5-6) No matter how intensely the melancholy tone paces the Prologue, the rest of the book feels as if Fitzgerald's world followed its own course, an ever drinking, ever partying microcosm inside J. R. Moehringer's favorite bar. Everybody's favorite bar, actually.

2. Misreading the green light once again

In the opening phrase of *The Great Gatsby*, Nick Carraway remembers the advice his father gave him: " 'Whenever you feel like criticizing anyone', he told me, 'just remember that all the people in this world haven't had the advantages that you've had' " (Fitzgerald 2000: 7). There is no advantage and, most important, no fatherly wisdom for JR from Manhasset. The fatherless childhood is the main motif in *The Tender Bar*. In this sense the Irish-American boy is less a Nick Carraway and more of a David Copperfield. The name of the bar in town, where Uncle Charlie - his mother's brother - works as a bartender, is "Dickens", spelled with Old English letterings. Moehringer begins his recollections with a short but engaging history of the pub culture, from the *tabarnae* of Ancient Rome and Chaucer's inns of *The Canterbury Tales*, to the first bar built by the Puritans on landing in the New World, and the meaning Americans have invested in their drinking places ever since, the Prohibition years included. At the outset, Steve, the founder and manager of "Dickens", wanted just a safe place on Plandome Road - the half-mile long main street – for his high-school friends returning from Vietnam, but his early ambitions soon gave way to a vision. Moehringer sums up "Dickens'"s exceptionalism on a street where bars "were as numerous as stars on Hollywood's Walk of Fame" (Moehringer 2015: 4, 6). Like Gatsby's blue gardens, the bar seems destined to draw in the New York bacchanalia in its entirety:

> Essential to Steve was the idea that Dickens would be the opposite of the outside world. Cool in the dog days, warm from the first frost until spring. His bar would always be clean and well-lighted, like the den of that perfect family we all believe exists but doesn't and never did. At Dickens everyone would feel special, though no one would stand out. (Moehringer 2015: 7)

As the boy passes from childhood to early adolescence and becomes more involved with his Uncle Charlie's colleagues and friends, the place changes its name. "Dickens" becomes – through another of Steve's whims – "Publicans". A more obscure name no doubt, but one which may bequeath a stronger identity on its clients, publicans all, once they step over its threshold.

The world of little JR – his mother's hate for her ex-husband is so strong that she denies the boy his father's name, keeping it as the abbreviated spelling of "Junior", without dots, a constant source of confusion and embarrassment for the kid – is polarized. His four compass points are his grandparents' house, the opulent mansions on Manhasset's richest neighborhood, Shelter Rock, and the bar. Under the sagging roof of Grandpa's house, live together, in unending domestic tension, no less than eleven noisy souls – including Uncle Charlie, Aunt Ruth and her six children –, permanent lodgers in a sort of a doomed tenement. Grandpa calls them grudgingly "Huddled masses yearning to breathe rent-free" (Moehringer 2015: 15). Hot water is a luxury, never enough for everybody, the light bulbs glare during nighttime like prison searchlights – "Even moths avoided the lamps at Grandpa's" (idem: 62) – and the furniture mended with duct tape is so old that the main piece earns its name of "the bicentennial sofa", since it looks "as if George Washington had used it to cross the Delaware" (idem: 16). Always disheveled, dressed like a bum, grumpy, stingy, introvert, and aggressive to his wife, Grandpa is a cultured man, with a prodigious memory and a genuine passion for books and crossword puzzles, who chose failure. Or at least he likes to enact insanely being broke. One

of the weirdest aspects of his personality comes to light every evening, when Grandpa walks along the platform, awaiting the trains from New York, and then dives into the garbage cans after the newspapers discarded by commuters in order "to check the closing prices of his sizable portfolio of stocks and bonds" (idem: 32). No surprise then that the dilapidated dwelling he reigns over is nicknamed the "Shit House".

Thus, Shelter Rock, a canopy of stone venerated by Native Americans in times of old, adopted by the British colonists and eyed by real estate developers for the lands surrounding it looks like a sane alternative (idem: 27). If, for young Gatsby, the very fabric of reality mingled with his reveries, is "a promise that the rock of the world was founded securely on a fairy's wing" (Fitzgerald 2000: 96), the boy from Manhasset finds the glacial erratic as the hard evidence of rough immutability. The rock is more than a local symbol for JR. It is the very image of destiny for someone lacking financial means and deprived of luck in Manhasset. His mother lives on a budget and does not conceive that her son would not be one day an Ivy Leaguer. She wants JR to become a lawyer, so she might retrieve the child-support money his father never paid. The only pastime she can offer her son is to make him climb into their rusty, thundering 1963 T-Bird and give him a ride to Shore Drive Street, where they admire the sumptuous, Gatsby-like mansions of rich families, until sadness and frustration well up in her voice. She is the embodiment of tender resilience and motherly love, but also an epitome of job uncertainty and the object of anxious responsibility for the boy, especially since Grandma told him that "Real men take care of their mothers" (Moehringer 2015: 49).

In Frank Conroy's jocular *Stop-Time* - a book Moehringer pored over, along with Fredrick Exley's *A Fan's Notes* (1968) and Tobias Wolff's *This Boy's Life* (1989) (Guthmann 2005) – the memoirist often ponders on the perceptiveness of children, who, unlike adults, have no specific goals and relate to people and the world around in a completely immersive way: "Perhaps children remember only waiting for things. The moment events begin to occur they lose themselves in movement, like hypnotized dancers" (Conroy 1977: 22). The boy from *The Tender Bar* seems to inhabit the wordy cosmos his mature self is unwinding with craftsmanship and great care in front of our eyes, a cosmos where even blood relations are synesthetic tropes:

> Like nothing else, words organized my world, put order to chaos, divided things neatly into black and white. Words even helped me organize my parents. My mother was the printed word – tangible, present, real – while my father was the spoken word – invisible, ephemeral, instantly part of the memory. There was something comforting about this rigid symmetry. (Moehringer 2015: 63)

JR's father, a passionate disk jockey, is most of the time just a voice in the ether that the child sitting on the stoop tries to identify through the statics of a portable radio. There is a subtle analogy between the father's impersonation gift, his mercurial shifting between local posts around the country and his frightfully changing moods. He is a dipsomaniac, a talkative and funny fellow, who may turn on the spot into an enraged, ready to kill brute. The repression of JR's first name, John Joseph, Jr. – stylized to just two meaningless capitals -, and the bizarre story of the almost unpronounceable second name – "Moehringer", stolen by his other grandfather, a Sicilian immigrant, from a deceased German neighbour in order to

find work easily – however true to reality, are also remindful of *The Great Gatsby*. JR is certain that he cannot succeed in life bearing his father's name. He even tries to change it completely and build up his identity from scratch in a fashion similar to that of penniless James Gatz, who found a mentor in the person of the millionaire Dan Cody, had to start his bootlegger career, and then made his glamourous appearance on Long Island as the stylish socialite Jay Gatsby. J. R. Moehringer does not dwell unnecessarily upon the Freudian subtext which is pretty obvious. He conjures up his boyhood self instead and his strong belief that "Manhood is mimesis" (Moehringer 2015: 42), a creed which underlies the kid's attachment to idealized representations he has about bartenders, bouncers, cops out of duty, Vietnam vets, occasional brokers, and about any fellow manly enough to fit in a fatherly place.

The crowd at the "Publicans", like a true underworld, has its strict rules and protocols, a semiotic system – body language, a lewd tinted glass, even a trust fund in the urinals –, colourful slang, its good angels and bad angels, *femmes fatales* and comic-like villains, its shared passions – especially sports –, its seasoned drinks and moods. Most of the time the "Publicans" prove prone to what to JR seems to be gangster sentimentality. Moehringer's prose in *The Tender Bar* is rife with the charismatic gangster trope and his first novel, *Sutton* (2012), is a fictive take on the life of the bank robber Willie Sutton. Writing always means impersonating, but Moehringer had to find the right voice first – a voice apt to channel other's ways of speaking – and to master it like a true maker of literary characters. When you yield to the habit of mimicking so many, you cannot figure out who you really are:

> The bar fostered in me the habit of turning each person who crossed my path into a mentor, or a character, and I credit the bar, and blame it, for my becoming a reflection, or a refraction, of them all. (Moehringer 2015: 10)

The juvenile delinquent who grows up and makes his way as a gangster apprentice is a resilient topos in American literature. Although JR is not Billy Bathgate from Bronx – an Irish-Jewish kid and fatherless too – who tries to impress the mobster Dutch Schultz in order to win the confidence of his gang and run errands for them, he nevertheless shares with E. L. Doctorow's character the same fascination for men with destructive personality and the belief that the thing you are good at has almost everything to do with "the culture of where you lived" (Doctorow 2010: 29). It is hardly a coincidence that Billy, a juggling prodigy and master at deceiving the truant officer from the Max and Dora Diamond Home for Children – Billy earns both his surnames of Mandrake, "after the Hearst *New York American* comic magician", and Phantom, "after that other Hearst *New York American* comics hero, who wore a one-piece helmet mask and purple skintight rubberized body garment and had only a wolf for a companion" (Doctorow 2010: 23) –, catches the gangsters' interest with his Bronx-related dexterities. In a similar fashion, JR's special superpower to solve the crosswords puzzles in newspapers, which baffles the men working at the "Publicans", opens the bar door for him:

> I'd always thought there had to be a secret password into the men's circle. *Words* were the password. Language legitimized me in the men's eyes. After decoding the Wordy Gurdy, I was no longer the group mascot. (Moehringer 2015: 105)

One cannot miss the detail that JR outdoes the other "Publicans" customers at naming Batman villains (Moehringer 2015: 280, 282), his occasional escape into comics being the other trait he has in common with the Bronx boy. *Billy Bathgate* (1989) is set during the Great Depression, yet the novel explicitly addresses the '80s and the Reagan era. Moehringer's memoir covers mostly the late '70s and the '80s, but in the end it turns out that the bar's time span mirrors the cultural divide bequeathed by the tragic events of September 11.

JR will eventually meet his Daisy with a "voice full of money" (Fitzgerald 2000: 115), who will break his heart during his college years at Yale, and he will try to sneak into one of his WASP colleagues' persona, a fellow sophomore with a custom-made collection of expensive shirts.

Sidney is a patrician, restless young woman with a husky voice, from a well-to-do home – her father resembles Ernest Hemingway and owns a construction company (Moehringer 2015: 207-208) – who sets the tune of their relationship from the start and marries a man from her own class in the end. Bringing her to the bar turns out as a bad omen for their prospects. JR's companionship puts her off: "She saw why the bar had been special to me as a boy, but she couldn't see the wisdom in continuing to cherish the place as a young man" (Moehringer 2015: 219). Sidney's dismay at meeting the drinking crowd at the "Publicans" is an echo of Daisy Buchanan's appalled reaction when she goes to Gatsby's party for the first (and last) time: "She saw something awful in the very simplicity she failed to understand" (Fitzgerald 2015: 103).

Elegant Jay Gatsby, alone on the veranda late at night, hands in pockets, watching intently over the waters the green light at the end of Daisy's dock is perhaps the most lingering and bewildering image in Fitzgerald's novel. By assessing the plethora of meanings that literary critics have been ascribing to the motif, Sarah Churchwell uncovers an unexpected possibility in her astute study, *Careless People: Murder, Mayhem, and the Invention of The Great Gatsby* (2013). In New York, driving precaution used to be the only rule at intersections during the '20s. There were no traffic signs, and neither was there "traffic light uniformity", even after the unveiling of the ornamental bronze signal tower on the Fifth Avenue, in December1922 (Churchwell 2014: 48-49). For a considerable period of time, green and red lights were confusing to drivers and pedestrians alike. Patricia Churchwell suggests that F. Scott Fitzgerald's receptivity to the rising of car industry and the consequences of driving for modern life made him imagine the enigmatic metaphor:

> Jay Gatsby, the young man who misreads the green light when he moves to New York, is confused by it into thinking he has permission to proceed from west to east, when in reality it's telling him to stop. A collision becomes inevitable: if only America's signals were less mixed, their meaning more consistent. (Churchwell 2014: 50)

One might say that JR misreads America's signals too when he tries to lure Sidney from her WASP environment to Manhasset, and his pernicious illusion has much to do with his close reading not only of Fitzgerald's novel, but with his reading of the writer's life as well. Once, through his darkest year at Yale, JR tries to justify his lack of ambition as a potential key to success:

> For the first time I suspected a self-destructive streak in myself, a suspicion bolstered when I read a biography of F. Scott Fitzgerald and greedily highlighted passages about his landing on academic probation at Princeton and dropping out. I caught myself thinking that maybe failing out of college was a prerequisite to becoming a writer. (Moehringer 2015: 226)

The other conspicuous instance when JR immerses himself a little bit too much in a Jazz Age kind of fantasy occurs when he starts his own laundry service in the campus. Bayard, a student from a rich family with Huguenot ancestry, overwhelms JR with his luxurious wardrobe:

> He owned a shocking collection of shirts – paisley, broadcloth, candy-striped, button down, spread-collared, silk – and seemed to own exactly two of every style, as though he were preparing to ship off on some Noah's Ark of Garments. He also owned several custom-made white dress shirts with British collars and paper-thin French cuffs, each a work of art. (Moehringer 2015: 204)

This time JR feels like Daisy Buchanan when she weeps and almost sinks in the shirts Gatsby throws theatrically from his "patent cabinets" (Fitzgerald 2000: 89). Harold Bloom emphasizes that Fitzgerald, an admirer of John Keats, makes his protagonist heap up "his soft, rich, multicolored shirts" in the same manner as Porphyro in "The Eve of Saint Agnes" offers the sleeping Madelaine "a heap/ Of candied apple, quince, and plum, and gourd;/ With jellies soother than the creamy curd,/ And lucent syrops, tinct with cinnamon" (Bloom 2002: 644; Keats 2008: 261). Hapless JR, enchanted by the glamorous persona of his Yale colleague, puts on one of the beautiful shirts in order to go to a party – an identity theft committed rather from a desperation feeling than a romantic urge – only to be exposed and shamed upon arrival by the monogram on his cuff. American signs fail him over and over again.

3. Conclusion: the last call

All these motifs and explicit references give *The Tender Bar* its reassuring familiarity. Here we have an intimate confession of an unknown yet remarkable writer – a former "ghost writer" actually – who takes the unmistakable shape of one of the most famous novels in the American literature. Nevertheless, Moehringer is not so tactless as to jeopardize the first condition of memoir writing, namely sincerity. Neither does he cast himself as a 1980s avatar of Jay Gatsby. The real Gatsbyesque figure in *The Tender Bar* is Steve, in relation to whom the memoirist takes the place of Nick Carraway recording his life and deeds.

Like Jay, Steve, the son of a Heineken distributor, did not finish his studies and "believed in booze". He named his daughter Brandy and his speedboat, *Dipsomania* (Moehringer 2015: 8, 87). Moehringer's descriptions of Steve's physical appearance remain shaded. He is rather a felt presence at the "Publicans" than a display proper, a revered master of ceremonies who bestows his all-enveloping charming smile on his buddies and customers alike. Most of the time, Steve is referred to as "the Boss", yet his numerous nicknames – "Chief", "Rio", "Feinblatt" – and the adventurous stories people spread in town spirit Steve away in a mythic realm. His personality is so large that he actually becomes the place he owns: "[…] the more we talked about Steve, the less I felt that we knew him" (idem: 287). Fitzgerald's extended metaphor is put to work once again: many a

Publican considered that "Steve was like America – big, rich, powerful, admired" (Moehringer 2015: 286). Trying to export the bar's ethos beyond Manhasset by opening a second joint, the "Publicans on the Piers", in lower Manhattan, close to Wall Street, precipitates the downfall. The 1988 crash blows fatally his venture. The original bar in Manhasset makes people's different identities to "merge under the influence of alcohol" (McGowan 2010: 147) in the same way as Gatsby's mansion. Trying to expand it in the financial heart of New York is an act of hubris. It is the same mistake Jay does when he crosses from West Egg to East Egg. Steve's plunging into alcoholism renders his face a deep orange-red, while the famous Cheshire Cat smile shrinks to a sinister pair of dentures, an incorporeal grin left carelessly near the Boss' Heineken (Moehringer 2015: 376). Soon afterwards he dies.

However, Steve's true legacy, the "Publicans" spirit, was wiped out completely on September 11, when the smoke from the Twin Towers choked Manhasset and Fitzgerald's Valley of the Ashes materialized as a living nightmare. It is eventually in the Epilogue that we come to understand how J. R. Moehringer's "fictionalized recall" turned imperceptibly into a book of the dead: "Manhasset, where I'd once felt like the only boy without a father, was now a town full of fatherless children" (Moehringer 2015: 409). Any comfort fiction – Dickens' or Fitzgerald's – might sustain has to give way to mourning memories and to the awareness that what one thought for an instant to be merely characters – safely confined to the realm of imagination – are in fact real persons.

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A CONTEMPORARY TAKE ON AMERICAN CULTURE: THE EFFECTS AND THE PRICE OF EXCEPTIONALISM

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Abstract: *The omnipresence of American culture, which can be accounted for by the fact that people are exposed to it via various media, is perceived as ubiquitous and, as such, subject to (often emotional) attitude. The paper deals with the phenomenon of American cultural and linguistic omnipresence, which is not only felt in the global media content, but also in various other important aspects of life, such as political and/or economic. It investigates the link between the historical background of American culture and the contemporary perception of it and offers an awareness raising insight into the attitude towards global cultural trends.*
Key words*: American culture, attitudes, culture, exceptionalism, omnipresence*

1. Introduction: perception and conceptualization of culture

One thing we might all agree on is that teaching culture and society in any classroom situation represents a challenge at several levels. The first challenge we face is the definition of the subject matter - *culture*. The concept of culture has been defined by a number of authors in a number of different ways, which makes it difficult to grasp it as a unified and straightforward concept and it makes it an even more challenging and elusive one to teach.

The second challenge is confined to class instruction in reference to a particular culture, in this case American. For the purpose of investigating the attitude towards American culture and the reasons underlying it, a survey has been conducted at the Department of English (Faculty of Arts, University of Ljubljana). Students were asked to answer a few simple and direct questions pertaining to their emotional attitude and experiences related to American culture. By providing certain historical facts and combining them with contemporary views of American culture, the results of the survey have been interpreted within the framework of the relevant data and represent the basis for the conclusions.

Culture seems to be a theoretical construct with as many different definitions as there are people defining it, therefore teachers might opt for another approach to delineating this concept, namely that of asking their students about their own conceptualization of culture. A short survey conducted on a group of students at the University of Ljubljana (Faculty of Arts, Department of English; American Society and Culture Course; there were 25 students in the group) generated a set of interesting insights into their perception of culture.

Figure 1 presents the students' responses to the question *How would you define culture?* The order of the answers listed in the table is based on the criterion of their definitions of culture, ranging from (sometimes extremely) broad to narrow.

1. Opposite of nature – made by men
2. What separates people from animals
3. All human achievements typical of a part of the world
4. It describes everything a nation is: language, values, attitudes, art, history (an umbrella term)
5. The way of life of a certain society
6. Typical habits & behaviours
7. An image of a people

Table 1

The above table of definitions generated by students of cultural studies shows that the range is extensive, sometimes reaching beyond the scope of academic instruction in the field of humanities (e.g. the top two definitions relating to everything and anything that involves human beings). The third definition - at least geographically – narrows the scope down a notch to a part of the world, rather than the whole world, while the fourth relates to a specific nation. The fifth narrows the scope down another notch by referring to a society's way of life, which is reference to the small 'c' culture, the invisible core cultural patterns dwelling deep within the substance of a culture. The sixth further delineates the way of life – habits and behaviours – to a typical dimension. The last definition is the odd one on this list, since it relates to the opposite perspective: it raises the importance of other people viewing your culture from their perspective, which is reflected in the so called '*image of a people*'.

2. A contemporary view of American culture

If in the Introduction we pointed out that teaching any culture represents a challenge, we are now adding to this statement that teaching American culture aggravates the level of the challenge, since American culture seems to be omnipresent, which triggers in students and others an impression of familiarity with it; '*everybody knows it*'. In this respect, it is comparable to the English language, which also seems to be ubiquitous; *everyone* learns to speak it, and it thus harbours a sense of ownership in its users.

American culture being so omnipresent and familiar, I felt compelled to ask the target audience (students of English, Faculty of Arts, UL) about their expectations for an American culture course. The question *What are your expectations for the American Culture and Society Course as pertains to the topics discussed in class?* generated two sets of responses: one of a more general nature, and one of a more specific nature (cf. Table 2 below).

• Topics omitted from general history & cultural lessons
• What one can't learn from the American media
• Meaningful topics, something new
• What means to be an American
• What separates the US from Europe
• Dealing with stereotypical opinions

Table 2

The first three answers are questionable, mostly because of their vagueness. The list of topics which have been covered or omitted in elementary or high school probably differs from student to student. The information on which media channels individuals choose to follow in their free time is entirely private and opaque to the teachers. Also, in reference to the third option, what one individual might find meaningful and new, another may find ubiquitous.

It might therefore make more sense, at least in this case, to focus on the last three options, pointing to the discussion of the differences between American and European cultures (even though the latter is even more diversified than the American one and could therefore hardly be referred to as a unified concept) and of stereotypes.

Some of the respondents in the survey returned more specific responses, focusing on the following:

• regional/state cultural characteristics
• political topics
• treatment of minorities
• gun laws
• customs, pop art, pop culture
• influence of American culture on Europe
• education system, sports scholarships

Table 3

A particularly telling set of results was obtained by asking the question *Where/How do you experience American culture?* The responses are given in Table 4 below:

• I experience it only through popular media: o serials o music o Hollywood o TV o advertisements o the internet, games, social media o sports
• language (the accent)
• literature, studies
• friends & acquaintances from the US

Table 4

Even though these student responses are not surprising, and promoting interculturality on any cultural contact will ring better than none, reducing the culture of the 3rd largest and probably the most ethnically diverse state in the world to the ubiquitous media content could be viewed as superficial, an assessment of the culture of such a large nation at face value. Due to this process of taking American culture at face value, a process that does not seem to be applied to other cultures in the world in equal measure, it does seem close to impossible to evaluate its worth on a level that reaches beyond that of a mere stereotype.

An average observer might arrive at the conclusion that these are well deserved consequences to the American practices of *cultural imperialism* and placing their culture on a pedestal of exceptionalism.

3. American exceptionalism

Americans like to think that their history is different from that of other nations of the world, and it is in the human nature to look for counter-arguments when we are faced with such a strong statement, for it might sound pompous and elitist. But, truth be told, when we investigate the genesis of American nation, we might feel compelled to agree with this bold statement.

The idea of American exceptionalism dates back to the 1620s, the time when the Mayflower Compact was drafted on board the ship Arbella and the Puritan passengers agreed to try their best to build a new nation, one that would differ from the old world in certain important principles. The drawbacks of the European society of the 1600s were to be mended and the wrongdoings of its society reversed.

A close investigation of the intercontinental travel of the time reveals that it demanded great strength and courage, as those who set out on that fantastic voyage were not aware of the hardships that were awaiting them, nor were they resolute on ever returning to Europe, for the New World was to become their new homeland, the land of opportunity for those we today might be prone to refer to as 'deplorable' (reference to Hillary Clinton's "*basket of deplorables*", online source).

The journey itself was subject to many a hardship encountered by the passengers on board the ships, which were by no measure luxurious: there was lack of space, food and water; sanitary conditions were anything but sanitary, fostering the spread of the highly infectious and often deadly diseases of the time (such as small pox, haemorrhagic fever, or the plague). The unsanitary conditions were paired with unsafe ones, especially for women and children who would often fall prey to those physically stronger and prone to abusing the weaker members of society.

The chances of surviving the intercontinental voyage were thus slim and those who happened to endure the hardships and lived to disembark on the coast of the New World were in for an even bigger challenge: that of surviving the Stone Age resembling wilderness (McElroy 1999: 22). The same list of dangers and destitution awaited, in addition to the local population of native American tribes, harsh weather conditions, and certain human-unfriendly indigenous animal species. Due to these factors, the average life expectancy in the first European settlement of Jamestown, Virginia, was merely 25 years, while the survival rate in the early decades of the 1600s was below 10 per cent (*An Outline of American History*, online source). Compared to Europe, where the average life expectancy rate was already up to 60 years and the death rate considerably lower, the prospects of succeeding in the New World were meagre and the motivations which drove the emigrants to the alien land abundant.

Taking all this into consideration, we might conclude that the history of the United States is indeed different from that of most European nations, if not all. Therefore it didn't come as a great surprise when the Puritans of Cape Cod drafted a document in which they postulated that they were entrusted with the mission to transform the world, which in turn granted them superiority over other nations.

Their mission was to transform the "*Stone Age wilderness"* (McElroy 1999: 22) into a modern civilization and establish a society which would differ from the traditional European one in certain important traits, which were later to become the corner stone of American democracy. They were to mould over a hundred different ethnicities into a single nation with a strong and unified national identity. And this process of building a new society would be observed and closely monitored by the whole world. Therefore the concept of "*the city upon a hill*" (Winthrop, online source) was constructed to reflect the position these pioneering Christians were assuming – the model society in the making.

American *patriotism* – a trait that to this day is most frequently attributed to the US nationals – played an important role in this process. The concept of patriotism is not alien to other nations of the world, however, what is worth mentioning here is that it was present at the time in people even before they existed as a state or a nation. It was present before the newcomers were melted into a new nation; it was there before the colonies declared their independence from the British Crown and became a sovereign state. Patriotism was like some powerful glue, despite the fact that the people, having arrived on the continent from several different continents and countries around the world, didn't share a cultural, national, linguistic or racial background. That, indeed, is exceptional, and contributed to the development of the strong national identity of *Americans*.

If we tried to think of a remotely comparable concept in contemporary society, the closest to resemble the mission of building a new society on the newly discovered continent in the 1600s would be nothing short of moving to Mars. The intercontinental travel of the time is comparable to today's interplanetary travel. Those daring to venture on such a mission are not sure the state of the art technology will endure the space travel. They are not sure about what awaits them on the new planet, whether the living conditions are viable or whether there are any local perils lurking. And despite all these concerns, there are people who have volunteered in a heartbeat to be among the first to help build the settlements on Mars. I guess this pioneering spirit could be compared to that of those Europeans of the 1600s, who chose to explore the unknown, even at the cost of their own lives.

The result of all this is not only that American *history* is different from that of other nations, but that the American *present* is different from that of other nations, as well. It, indeed, is still exceptional, but in a slightly different manner in comparison to the early decades of the 1600s.

4. The effects of exceptionalism – omnipresence

The omnipresence of American culture can be accounted for by the fact that people all over the world are exposed to it via various media, such as Hollywood film and TV productions, which more often than not create a false impression of American culture. Judging by Hollywood productions, American culture is more or less a unified concept of either shallow characters involved in trivial activities, or heroic superpower heroes engendering the highest ideals, who will stop at nothing to save the world.

Discerning the patterns of any culture on the basis of media content only, at the mere level of '*cultural window shopping*', is a process doomed to result in at least some inaccuracies and impressionistic misconceptions. However, American omnipresence is felt not only in the global media content, but also at various other important levels, such as *political*, *economic* and *linguistic*, to mention but a few.

4.1. Political omnipresence

Having assumed the position of the nation endowed with the mission to transform the world, Americans soon took upon themselves the role of the so called '*world police*', and the role of being "*ever the beacon of democracy*"**;** they felt it their duty and moral responsibility to share their democratic ideas and ideals, even if at the cost of American lives.

The global political floor has barely suffered from any lack of American news, which has been partly due to their unconventional leaders, such as Hollywood actors, Texas cowboys or NYC real estate moguls. In Slovenia, in particular, the presence of American political reports has been enhanced after our co-national entered the White House as the First Lady.

4.2. Economic omnipresence

Americans have been known to be called a nation of actors, but also a nation of businessmen. And business is one of their strongest suits, therefore their global economic presence is no revelation. They excel at exporting their products, through which they also export their culture; from MacDonald's to Burger King, from American football to baseball and basketball, music and movies are no exception. Their economic power is felt through the presence of their multinational business corporations, which are almost impossible to avoid on a daily basis.

When you are having a drink or a quick meal, there is a good chance you are doing business with an American corporation (such as Coca Cola or MacDonald's). When you are making a credit card payment, doing online shopping or taking out a loan, there is a high possibility you are making a bank transaction with an American financial institution (Visa, for instance). When you are pumping oil at a gas station, there is a high probability you are pumping the budget of an American oil company (for example: Exxon, Shell). These are all such ever-present daily operations that we don't even realize how culturally American our lives actually are.

4.3. Linguistic omnipresence

The major factor contributing to the ease with which American culture and global business enterprises penetrate the nations and cultures around the world is the linguistic one. The English language is the single most important feature of American culture, which makes it easily accessible and, in a sense, virtually performs the important task of a global bond.

If we said that the *whole world speaks English*, it would be an overstatement, but the fact is that it would not be far from the truth. A quick glance at some of the figures (according to Poupaud at al. 2009: 270) reveals that in Europe, the percentage of all TV fiction is 70-80 per cent American, while the market share of foreign films in the USA is only 1 per cent. If we are not film lovers and detest Hollywood productions, there is a good chance that, if we are European and non-native English speakers, we might be subjected to American content through the books we read (the market share of translations from other languages is in Italy 27 per cent, in Denmark 41per cent, and in Slovenia as high as 70 per cent, while the corresponding figures for the UK and the US are 2 and 3 per cent, respectively).

5. The price of exceptionalism

However glorifying the above account of American traits, which represent the basis for their exceptionalism, might sound, the towering *city-upon-a-hill* position comes at a price.

5.1. Familiarity

The first price to be paid for assuming the position of leader of the free world is the concept of familiarity. Globally speaking, the effect of the omnipresence and what we might refer to as '*celebrity status*' of American culture is that most people would perceive it under the impression that they are *familiar* with it, that they know what it is all about and they could not be surprised by anything new or learn anything fresh.

It is comparable to the celebrity status experienced by famous Hollywood actors, rock stars and TV personalities. They seem to have a faithful fan base which offers support. But, on the other hand, there is also the problem of fame that involves a sense of familiarity that the fan base experiences. More often than not, the familiarity crosses the line in terms of assuming the personal traits of the celebrity, the effects of which can be devastating to the celebrity in question.

We might have to put the blame for that on the internet content and its accessibility, as well as the lightning speed at which it offers the information transfer. In this respect, American culture is not the only target. The World Wide Web's tentacles have the power to access every nook and cranny; the internet has the ability to establish global interconnectedness, while, at the same time, it has the power to change our reality, to change how we view the world around us. As much as it can serve as a valuable source of accurate information, it can also play an important role in altering or distorting our perception of the world around us.

So, all that fame and popularity can guarantee is *familiarity* – being a household name, and its effect is, according to Aesop (in *The Fox and the Lion*), that it breeds contempt. It is the direct result of being too familiar with a person, a concept, or any other content. It is human nature to not hold in high regard what we have at our finger tips, allowing us effortless accessibility. This is the aspect that is well reflected in the attitude towards American culture.

5.2. Ownership

It is human nature to start developing a sense of ownership towards the overly accessible entities and concepts and treat them as one's own. So, the traits of American culture have become seemingly familiar to everyone, even if most people have never even set foot on American soil - they still feel closely familiar with it.

The feeling of being in the position to '*use*' certain cultural traits as one's own, as one might find appropriate to do on the one hand, and severely criticize on the other, permits the treatment of American culture as a commodity. Of course, *serves them right – Americans - for treating it as a commodity themselves*, one might be inclined to jibe, nonetheless, generalizations, as we have established, have a tendency to trigger negative feelings and should for that reason be avoided in contexts of cultural explorations.

5.3. Judgment

What this sense of close familiarity also fosters is a sense of judgment. Once one assumes the position of expert on the matter, i.e. on a particular culture, one reserves the right to pass judgment on it. And paired with the afore-fostered contempt, the judgment is unlikely to be a favourable one.

What is meant by judgment is that if you are an English speaker, you are bound to have learnt at least some cultural practices that came with the process of language acquisition. English language learners familiarize themselves with the language through learning about several varieties of it and through various English speaking cultures. A curious case here is that, due to its being so wide-spread across the globe, the English language influences the development of non-English speaking cultures as well. This also warrants changes in the English language, which native English speakers are mostly unhappy about. In this respect, they all share the fate of American culture when they have to pay the price for their mother tongue being so globally wide-spread and its usage so commonplace.

Global familiarity is something that might be difficult to fathom, especially if you come from a culture that is more or less confined to its national and state borders, such as Slovenia, for example. It is inherently different from the case of the USA, since the Slovene language and culture are not readily available to *everyone*, they aren't easily recognized or acquired by people around the world. Actually, upon meeting foreigners, a Slovenian does not experience the response of '*ah, Slovene*' and the impression that they know it and are somewhat annoyed by it.

Most Americans do not grow up thinking about Slovenia or Monte Negro or Qatar; the opposite, however, cannot be said of most nationals in most countries around the world. Most citizens of countries all over the world do, in fact, grow up *thinking about* America, listening about its political issues, consuming its products, learning its language and culture.

The advantage of small or less prominent (less powerful in political or economic sense) nations regarding their culture, the inherent part of which is also their language, is that because there are many people around the world who do not know it, speak it or even recognize it, they, in a way, own it (or both, the culture and the language). On the other hand, they also feel threatened by the world, by the inevitable linguistic change which brings borrowings and new coinages into their language. Due to the state of the art technology, this process of language change has been significantly accelerated, the effects of which are felt in the nationals' protective attitudes towards it.

According to the perception of foreigners (cf. David Limon inaugural lecture, October 2017, personal notes), Slovenian language and culture are being put on a pedestal for fear of losing one or the other, were they readily subjected to the influx of foreign (specifically western, more specifically American) words and cultural practices.

If we compare these attitudes to those of (most of) the English language speakers, we notice quite a difference. While the British might seem a bit concerned over "*Americans ruining/mangling their language*" (Pensalfini, online source), other English native speakers seem to trust their mother tongue being '*up for grabs*'. English is indeed out there for everyone to use, and as such it has come to play a binding role at global level. The effects of letting people use a language and change it to fit their context (such as ad specific vocabulary to it, which gives it ethnic colour) has in fact (at least in the case of English) witnessed the opposite

effect: English did not die out, the number of its speakers has not decreased - quite the contrary; so given these current facts, the fear of losing culture over language change seem to be unfounded.

5.4. Attitude

However, judgment usually comes with a corresponding attitude. A short survey among the students attending American culture and society class was conducted to test the theory. The students were asked the question *Do you like American culture?* The results of the survey revealed that not only was the hypothesis that *the results would show unfavourable attitude of Slovene students towards American culture* on point, but it predicted even milder results than were revealed by the study. The ratio of those who nurtured a positive attitude towards American culture was 1 to 3. And even out of the 1/3 that harboured a positive attitude, approximately a half subsequently admitted that they in fact had mixed feelings about it.

Related to this, the USA are exceptional also on the point of the emotional attitude of other nations towards them. In any attempt to try and find a similar situation anywhere else in the world, we might have to accept a defeat. American culture seems to be a unique example in this respect: no other nation or culture seems to trigger such emotional response in many people from various countries around the world*. People might nurture an emotional attitude towards their neighbouring countries – that is in fact quite common – but triggering an emotional response in so many different cultures and nations worldwide seems to be the unique preserve of the USA.

6. Conclusion

In reference to the aspects of American culture discussed above, we may state that it could, in certain contexts, such as cultural, political, or economic ones, for instance, be regarded as a common global enemy. However, as much as a global binding role might seem prominent, and *prominence* might sound like a reward, it, in a way, has a dis-balancing effect. By becoming the most spread and familiar global culture, American culture has achieved the effect of throwing the world of cultures out of balance.

The success of current trends and efforts towards achieving humanity's integration at global level could, nonetheless, at least in part, be attributed to the English language and the American culture, for they are the main factors in overcoming the communication boundaries, so obviously and inevitably characterized by the diversity of cultures and languages. However, preservation of cultural and linguistic diversity of any single country is and should be of primary national interest. Slovenia stands as a prime example of that. With its highly specific culture and language, practiced and spoken by a mere (just over) 2 million people, Slovenian culture and language have stood the test of time, and have done that time and again.

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* cf. poll figures on *Global Attitudes and Trends* published by Pew Research [Online]. Available: https://www.pewresearch.org/global/2013/07/18/chapter-1-attitudes-toward-the-united-states/ [Accessed 2020, January 17].

In the interest of conciliating with the current unstoppable forces driven by the media, however, it would subsidy the global integration trends to view the contemporary cultural and linguistic processes as being enriching and mutually benefitting, rather than impoverishing humanity of diversity, for, if things are, according to Heraclitus, *in a state of flux*, then accepting the inevitable nature of change seems to be the obvious option.

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ILLNESS AND THE MEDICALIZATION OF THE BODY IN PHILIP ROTH'S NOVELS

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Abstract*: A central, recurrent theme in Roth's oeuvre, the process of aging and illness has been widely explored by the writer in close relation with the medical realm. I shall focus on three novels that, in varying degrees, reveal the complex meaning of this phenomenon, all having the writer's alter-ego, Nathan Zuckerman, as protagonist:* The Anatomy Lesson*, where Roth exposes the painful awareness of biological vulnerability as part of becoming older,* Exit Ghost*, a novel of solitude and defeat, and* American Pastoral*, one of Roth's cardinal works, questioning the truth and mythology of one's biography.*
Keywords*: aging, illness, medical body, medical intervention, medicine and literature.*

1. Introduction

Aging and illness are major themes in Philip Roth's novels, along with a permananent interest in the connection between historical time and individual impermanence. Roth's paradigm of the ailing body is deeply connected to the medical dimension, therefore pain and suffering are inseparable from the clinical and its remedial strategies. The writer unitarily projects, throughout his oeuvre, his conception of the body as shaped by lust, illness, aging (and, subsequently, old age), physical degradation and death. However, Roth's major interest in the life of the body and its medicalization transcends the limits of classical intellectual allegory, as can be seen in Nathan Zuckerman's fixation with Thomas Mann's *Magic Mountain* in *The Anatomy Lesson*. His protagonist of nine major novels, clearly an alter-ego of the writer, Nathan Zuckerman is a character with an overactive body, both in a sexual and a medical sense. His aging is a dramatic adventure of loss and lessening, as he gradually becomes aware of the limits he can no longer push further in outbursts of cynical, excessive sexual energy. Pain and old age prove, at times, unsurmountable obstacles in his perpetual quest of biological truths. Novels such as *The Anatomy Lesson* (1983), *The Dying Animal* (2001), *Everyman* (2006), *American Pastoral* (1997) and *Exit Ghost* (2007) reveal a complex odyssey, culminating with Zuckerman's realization that the process of aging, unavoidably implying the burden of sickness and pain, irreversibly ties the life of the body to the medical realm. And, as a final attempt at curing and saving himself, in *The Anatomy Lesson*, Zuckerman decides to study medicine and become a doctor at the age of 40, an obstetrician.

In what follows, I shall explore Roth's acute perception of illness as a form of loss and alienation, and his strategies of transforming the body into the object of medical observation and intervention in three major novels - *The Anatomy Lesson* (1983), *American Pastoral* (1997) and *Exit Ghost* (2007). I will argue that Roth's approach to these issues is mediated by the tension between the body, its

medicalization, and Nathan Zuckerman's long and complex intellectual crisis, spanning various ages in his life as a writer. As a code of science and reason, medical language contributes to the articulation of the body paradox that Roth's fiction often invokes – as a site of pleasure and desire, and, at the same time, a locus of pain and decay.

2. Roth and the literature/medicine connection

The field of the humanities and, more specifically, that of literary studies, has long embraced the great potential of a dialogue with the medical field. Medicine has been, in various forms, a constant presence in literature, and the two domains share a vast common ground, enriched by metaphors that reflect their often similar modes of interpreting human existence. New disciplines and research areas, such as medical humanities, illness narratives, disability studies, or the more generous domain of literature and medicine certify the cohesion and validity of this alignment. A growing amount of scholarship and a decent number of dedicated journals have consolidated this neccesary intersection between science and the narrative art. In a cardinal essay concerning literature and medicine, published in the first issue of the journal *Literature and Medicine*, Edmund Daniel Pellegrino (1982: 19), professor of medical sciences and bioethics, argued, that the two knowledge areas share some fundamentally similar concerns: both "are ways of looking at man and both are, at heart, moral enterprises. Both must start by seeing life bare, without averting their gaze. Yet, neither can rest in mere looking. To be authentic they must look feelingly - with compassion". He also noted their similar inquisitive nature, stimulated by an "unremitting paradox": "the need simultaneously to stand back from, and yet to share in, the struggle of human life. They must see clearly but they must also be involved in the outcome of the struggle" (ibid.). Their inner core is determined by the necessity of a narrative - anamnesis, diagnosis and the doctor/patient dialogue gravitate around storytelling, since the doctor must reveal "a patient's odyssey in the dismal realms of disease, distress, disability and death." (idem: 20). Recently, the connection between the humanities and medical sciences has gained critical attention and has entered mainstream practice as a new strategy, that of narrative medicine. As Rita Charon (2006: 4) defines it, the notion refers to "medicine practiced with these narrative skills of recognizing, absorbing, interpreting, and being moved by the stories of illness". As part of standard healthcare, narrative medicine helps the field "become more effective than it has been in treating disease by recognizing and respecting those afflicted with it and in nourishing those who care for the sick" (ibid.). Literature has long been considered a form of therapy; now its healing potential could be fully activated and targeted towards healing protocols.

Indeed, a study of Roth's medical exploration could start with a meditation on Pellegrino's (1982: 20) belief that the dialogue between literature and medicine favours "subtle encounters of persons and matters medical with persons and matters literary". Not only does the main character of so many of his novels gradually enter the purgatory of medical investigation, but medical professionals and medical authority play a major role in some of his key writings, as well.

In *American Pastoral*, Jerry Levov, the protagonist's brother, is a renowned short-tempered cardiologist who bluntly informs Zuckerman of the central drama of his brother's life – the atrocious deeds of Merry Levov. Jerry is a typical Rothian

doctor, projecting the writer's recurrent assumption that medical knowledge aims for a purer form of approach to the mechanism of life, one that is grounded in certainty and undeniable truths. As if he gave a dire, hopeless diagnosis to a patient, Jerry informs Nathan of the tragedy that blew up the Swede's life:

> Meredith Levov. Seymour's daughter. The 'Rimrock Bomber' was Seymour's daughter. The high school kid who blew up the post office and killed the doctor. The kid who stopped the war in Vietnam by blowing up somebody out mailing a letter at five a.m. A doctor on his way to the hospital. Charming child," he said in a voice that was all contempt and still didn't seem to contain the load of contempt and hatred that he felt (Roth 1997: 68).

In *The Anatomy Lesson*, Bobby Freitag, an old friend of Nathan's who is an anesthesiologist, is portrayed as a man in charge of the tremendous task of managing the line between life and death in the operating room. His admiration for his former school friend, laced with professional envy, reveals Zuckerman's prejudice concerning the medical practice:

> (...) what I see is somebody hiding from nothing. Somebody who knows when he's right and knows when he's wrong. Somebody who doesn't have time in the operating room to sit around wondering what to do next and whether it'll work or not. Somebody who knows *how* to be right – how to be right *quickly*. No errors allowed. The stakes never in doubt. Life vs. Death. Health vs. Disease. Anesthesia vs. Pain. What that must do for a man! (Roth 1983:129).

Nevertheless, as the writer himself confessed during an interview, there is a surprisingly limited number of books that directly involve illness and medicine in the Western canon.

> Now it seems to me that what I've had instead of Newark or Chicago or Mississippi or Philadelphia has been the human body. When I was writing The Anatomy Lesson I made a list of novels about illness and disease. It was a short list. *Cancer Ward* and *The Magic Mountain*. If you want to stretch it, you can toss in *Malone Dies*. There is no great body of literature on this strain of misery. Astonishing, isn't it? All those great books about adultery and none about diabetes. There's *Philoctetes*, *The Plague*, *The Death of Ivan Ilych* – but pain, the physical pain, remains peripheral. (Roth in Searles 1992: 140)

3. Medical Roth

In her study on the medical dimension of Roth's work (particularly, *The AnatomyLesson*), Laura Mure□an (2015) argues that Zuckerman's illusion regarding the clarity of medicine (and of obstetrics) is contradicted by the very name of the field, having as its root the Latin verb 'obstare', meaning 'to stand by'. I believe Zuckerman was well aware of the partially passive nature of the obstetrical field – he believed that "being an obstetrician - you just wash your hands and hold out the net" (Roth 1983: 68). One may speculate that it is this apparently uninvolved position that drew Nathan to it in the first place, along with his fascination with the mysteries of the female body. Later, this mystery proves hard to bear. The ravages of illness on the female body reach a climactic point in *Exist Ghost*, when Zuckerman, an elderly man himself seeking treatment, sees Amy Bellette in the hospital hall and follows her out to a diner a few blocks away.

Bellette, now seventy-five and a ghost of her former glorious presence, closes the temporal arch defined by Roth's ghosts. An impressive character in *The Ghost Writer*, a novel set in 1956, when Zuckerman was a young man himself and she was twenty-seven, Amy resurfaces half a century later in *Exist Ghost* as a brain cancer patient. Although he follows her, Nathan keeps his distance while looking at the very visible signs of a radical surgical intervention on Amy's once vital, exuberant body: "a sinuous surgical scar cut a serpentine line across her skull, a raw, well-defined scar that curved from behind her ear up to the edge of her brow" (Roth 2007: 18). His refusal to approach her is motivated by his wider rejection of the damage inflicted by illness and time. Those who were once young, lively, unstoppable (himself included) are, in their old age, mere ghosts kept alive by aggressive medical treatment: "The astonishing reappearance and pathetic reconstitution of Amy Bellette" (ibid.) suggest that Zuckerman's physical fate is not close from disaster either.

Medical procedures are regarded, in many of Roth's novels involving illness and physical suffering, as the only real chance one has at restoring health. They are of paramount importance in *The Anatomy Lesson*, when Zuckerman suffers from intense, apparently impossible to diagnose, chronic pain, and in *Exit Ghost*, a novel detailing Zuckerman's return to New York after eleven years spent in seclusion, seeking a cure in Manhattan for the humiliating incontinence he had been suffering from after his prostate surgery. Radically different from his previous encounters with the limits of medical knowledge, this experience gives Roth's alter-ego writer new hope that he may resume a normal life:

> The procedure the next morning took fifteen minutes. So simple! A wonder! Medical magic! I saw myself once again swimming laps in the college pool, clad in only an ordinary bathing suit and leaving no stream of urine in my wake. I saw myself going blithely about without carrying along a supply of the absorbent cotton pads that for nine years now I had worn day and night cradled in the crotch of my plastic briefs (Roth 2007: 18-19).

In her well-known essay *Illness as Metaphor*, Susan Sontag exposes the cultural depth of the symbolic reading of illness, focusing on two major afflictions that plagued the 19th and the 20th centuries – tuberculosis and cancer. In a preliminary conclusion, she states that illness "suggested judgments of a deeper kind, both moral and psychological, about the ill" (Sontag 1978: 39). Roth's moral dimension is not straightforward, but rather contaminated with irony and sarcasm. The sexually prodigious Zuckerman, a writer constantly entertaining the idea of a harem, even in difficult times of debilitating pain, becomes frustrated and angry, once prostate surgery implacably renders him unable to have a sex life.

Sexual decline could be understood as cultural seclusion (Shipe 2009: 46), thus biological decay could be read as a literary allegory of alienation. *Exit Ghost*, announced as the final Zuckerman novel, cannot escape de paradigm of hubris triggering catastrophe, as the voluptous is symbolically and ironically punished to lose what he once enjoyed most. *The Anatomy Lesson*, as its title suggests, is mainly a lesson in observing the body, not in intervening with regulatory acts. It is, in fact, an exploration of a less frequently dissected element in the life of the medicalized body – pain. Zuckerman, tortured by agonizing pain that none of the numerous doctors he visits seem to be able to diagnose and treat, carefully observes his estranged body, while, at the same time, exposing it to his doctors and narrating

the symptoms of his bizarre affliction. As Roth declared about his intentions regarding *The Anatomy Lesson*, "The job was to give pain its due while at the same time rendering accurately the devastation it wreaks upon reason, dignity, pride, maturity, independence—upon all of one's human credentials" (Roth in Searles 1992: 140). The act of medical investigation revolves, as Michel Foucault argues in *The Birth of the Clinic*, around the medical gaze, an element he (2004: 9) identifies as having "a strange character", as "it is caught up in an endless reciprocity. It is directed upon that which is visible in the disease - but on the basis of the patient, who hides this visible element even as he shows it; consequently, in order to know, he must recognize, while already being in possession of the knowledge that will lend support to his recognition". Zuckerman's illness proves impenetrable and resists deciphering, though. At the age of 40, his imminent midlife crisis coincides with the debilitating episode of back pain that contradicts his belief in the efficiency and clarity of the medical act. By obsessively monitoring his body and his pain, the protagonist tries to control it while investigating his past, the death of his parents, and his failed relationships. His countless doctors – "three orthopedists, two neurologists, a physiotherapist, a rheumatologist, a radiologist, an osteopath, a vitamin doctor, an acupuncturist, and now the analyst (Roth 1983: 12) - triumphantly joined by a dolorogist, as a last resort, sometimes make wild assumptions about the cause and nature of his pain, and at other times choose to treat it with heavy drugs. Where the medical gaze fails, opiates and alcohol prove, destructively and for short intervals, rather efficient: it seems that nothing "alleviated Zuckerman's pain like the oxycodone that the master chef at Endo Laboratories, Inc., mixed with a little aspirin, a little caffeine, a little phenacetin, then lightly sprinkled with a dash of homatropine terephthalate, to make mellow, soft, and cheering Percodan" (Roth 2007: 137-138). Faced with "untreatable pain of unknown origins" (Roth 1983: 20), Zuckerman finds that his despair is aggravated by his disappointment in the only authority he had placed his trust in – the medical one. Exasperated and exhausted, Zuckerman's perspective is bleak and hopeless: "It wasn't leukemia or lupus or diabetes, it wasn't multiple sclerosis or muscular dystrophy or even rheumatoid arthritis - it was nothing. Yet to nothing he was losing his confidence, his sanity, and his self-respect" (idem: 22).

Although pain in *The Anatomy Lesson* is clearly located and Zuckerman mentally traces it along his neck and back, its effects do not concern a single organ, as more generally illness does in *Exit Ghost* and *American Pastoral*, where the prostate becomes the locus of sickness. Both functionally and symbolically, this specifically male organ, is, in some of Roth's later novels, a major source of health troubles - Zuckerman finds himself impotent and incontinent following prostate surgery in *American Pastoral*, and the crisis triggered by the operation is closely dissected in *Exit Ghost*. More severely, Swede Levov dies of prostate cancer, despite an apparently successful surgical intervention. As Elizabeth Moran (2015: 8) noted, "often his [i.e. Roth's] protagonists find that the body betrays, rather than constitutes, manhood".

It could be argued, as Matthew Shipe (2009) does in his study on *Exit Ghost* as an expression of Roth's "late style", that it is not only this last Zuckerman novel that could be regarded as a product of the writer's interest in the process of aging and the inevitable closeness to death. Drawing from Adorno (1993: 107) – "In the history of art late works are the catastrophes" – and Edward Said (2007: 7), who argued that the final works of musicians and writers "tear apart the career and the

artist's craft and reopen the questions of meaning, success, and progress that the artist's late period is supposed to move beyond", Shipe (2009) explores *Exit Ghost* from the perspective of Roth's *lateness*, defined by a sense of mortality and loss. Elements pertaining to this style surfaced long before the actual publication of *Exit Ghost*, in 2007. A decade earlier, *American Pastoral* sets out as an expression of nostalgia and the loss of a historical paradise never to be revisited. An older Nathan Zuckerman, living in seclusion, severely scarred by medical interventions following a serious diagnosis, delivers a tragic and nostalgic meditation on the fate of his postwar generation and its pitfalls. Here, aging and illness are processes of slowly exiting history. *American Pastora*l is permeated by a sense of no longer belonging to the present, of no longer being part of contemporaneity. Nathan Zuckerman's personal and political perspective belongs to the 1960s and 1970s, and the story of his childhood hero, Swede Levov, marks the demise of both the generic American Dream and of his own illusion of historical coherence and harmony. A sick, elderly Zuckerman receives the news of Swede's death from Jerry Levov, the cynical raisonneur who sums up his brother's life in a harsh, truthful manner: "He was very stoical. He was a very nice, simple, stoical guy. Not a humorous guy. Not a passionate guy. Just a sweetheart whose fate it was to get himself fucked over by some real crazies" (Roth 1997: 65). Those crazies were The Weathermen Underground terrorist group and one of its members, Swede's daughter, Merry. The death of "the powerful, the gorgeous, the lonely Swede, whom life had never made shrewd" (idem: 79) triggers one of Zuckerman's most bitter meditations upon the meaning of Seymour Levov's desire to ask Zuckerman to write about Swede's father: the letter he had sent Nathan asking for an encounter

> grew out of Swede Levov's belated discovery of what it means to be not healthy but sick, to be not strong but weak; what it means to not look great - what physical shame is, what humiliation is, what the gruesome is, what extinction is, what it is like to ask "Why?" Betrayed all at once by a wonderful body that had furnished him only with assurance and had constituted the bulk of his advantage over others, he had momentarily lost his equilibrium and had clutched at me, of all people. (Roth 1997: 29)

Ultimately, all verbal constructs articulating the past merely attempt to create the illusion of distance from death. The novel itself, as a fictional biography of the protagonist and of the house of Levov, lies on the narrator's declared effort to tame the obvious fear of death that a commemoration of the past may heighten:

> let's speak further of death and of the desire—understandably in the aging a desperate desire—to forestall death, to resist it, to resort to whatever means are necessary to see death with anything, anything, anything but clarity (Roth 1997: 47).

Illness is an isolating experience in the most concrete sense, as Roth literalizes its metaphorical one. Nathan Zuckerman's choice to live, after 9/11, in the region of the Berkshire Mountains signals his departure from community and his sense of disembodiment. Although a detachment from the body politic corresponds to a loss of control over his own body, Zuckerman claims he felt no loss. In the opening passage of *Exit Ghost*, he declares that "with no sense of loss – merely, at the outset, a kind of drought within me – I had ceased to inhabit not just the great world but the present moment" (Roth 2007:1). As Roth projects the

medicalization of the body, the pathological contaminates the intellectual - Zuckerman's incontinence following prostate cancer surgery is mirrored in his progressive incoherence and memory loss. The ghost is a surface metaphor of the physical dissolution of the body and the spectral value of the character as verbal construct. It also recalibrates Roth's consolidated interest in the stages of his bodily estrangement prefigured by illness.

Medical language and the trajectories of pain dictate the narrative flux in *The Anatomy Lesson*. Moreover, illness becomes a defining part of the character's fictional self. The narrative style of this novel is proof of Roth's search for "an organic and corporeal writing" (Mure□an 2015: 78) that remains unique in his oeuvre. Although this is not Roth's only novel focusing on aging, illness and the medical approach to the life of the body, it is certainly the one focused on them exclusively.

4. Conclusion

While The *Anatomy Lesson* and *Exit Ghost* are fictional maps of Roth's continent of illness and alienation, *American Pastoral* projects Zuckerman's nostalgic recollection of his personal past into the starting point of a vast meditation on the pitfalls of history and the demise of the American Dream. From the tragic vantage point of his own illness and of Swede Levov's death following a medical issue Zuckerman survived, Roth's fictional double aims at connecting individual fate to a universal frame. Whenever invoked, the complexity of illness deeply permeates and transforms the narrative, as Roth aims to reveal the expressive potential of language when involved in the inexprimable experience of pain.

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MY KINGDOM FOR A STAGE

TOM STOPPARD'S METATHEATRE

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Abstract: *The study focuses on several plays written by Tom Stoppard, which are excellent examples of the changing roles between reality and fiction or of the play with the levels of reality and literature. The plays discussed are significant in arguing loss or confusion in matters like identity, ethical issues, but also in dismantling theatrical conventions and enhancing Stoppard's metatheatrical approach; for him reality and truth are just a matter of perspective.*
Keywords: *commedia dell'arte, metatheatre, parody, theatre of the absurd, Tom Stoppard*

1. Introduction. "Andiam. Incominciante!" (Leoncavallo 1892)

The present paper discusses several plays by Tom Stoppard, a dramatist who constantly challenges theatrical conventions and patterns. The selected works (*The Real Inspector Hound*, *The Real Thing*, *Arcadia* or *Rosencrantz and Guildenstern Are Dead*) exemplify the "reality" and "fiction" changing roles or the boundary blur between these two facets or "two sides of the same coin" (Stoppard, in Sales 1988: 22). Moreover, they are significant in arguing loss or confusion of identity, ethical issues, but also in enhancing Stoppard's metatheatrical approach.

The first of the aforementioned plays is mainly connected to one of Agatha Christie's detective stories, *The Mousetrap* (1952), but Stoppard's text "targets" the whole "genre" (Sales 1988: 94) and "twists the tail of the whodunnit to make it absurd" (idem: 95). In 1961-1962, Stoppard begins writing *The Stand-Ins* (or *The Critics,* later revised as *The Real Inspector Hound*), while living in Bristol (Fleming 2001: 13). Thomas Whitaker (1983: 70) notes that: "'The one thing that *The Real Inspector Hound* isn't about...,' he said in 'Ambushes for the Audience', 'is theatre critics. I originally conceived a play, exactly the same play, with simply two members of the audience getting involved in the play-within-the-play.'" From the beginning, the play undermines the dichotomy factual/fictional: "The first thing is that the audience appear to be confronted by their own reflection in a huge mirror. Impossible" (Stoppard 1998: 13). Two theatre critics, Moon and Birdboot, are watching the rehearsals of a "thriller", when they become caught up in the play they are reviewing. The play in a one-act farce, and the theatre instances are changed, triggered by "the ringing of a phone that when answered turns out to have a call for no-one among the *dramatis personae*" (Whitaker 1983: 71). This power of art and theatre to switch between roles and stages is typical of the *commedia dell'arte*. In Tom Stoppard's case, little has been argued about a possible association with or influence of the *commedia dell'arte*: in terms of experimenting with "levels of reality", this type of dramatic composition and the way the Italian Verismo stages the idea of reality and fiction are intermingled could be useful in identifying irony and a metatextual character in *The Real Inspector Hound*. Therefore, a line from the *Prologue* of *Pagliacci*, a play-within-a-play by Ruggero

Leoncavallo, could be appropriate to begin this study with: "Andiam. Incominciate!/ 'On with the show! Begin!'" (Leoncavallo, *Prologo*/ *Prologue*, 1892).

In Leoncavallo's *Pagliacci*, the "levels of reality" or fiction can be fairly easily separated and identified. Both the libretto and the performances are relevant, but watching certain versions (1961, Tokyo, with Mario del Monaco and Gabriella Tucci – probably the best; 1907, with Enrico Caruso, but without a video; Pavarotti's acting can also be considered good enough) introduces the viewer to the elaborated, twofold artistic act. Leoncavallo composed two different types of music for the two levels: the *commedia dell'arte* (with Pagliaccio/Pierrot, Colombina, Taddeo, the servant, and Arlecchino, the lover) and the "real life" of the village (with Canio, Nedda, Tonio and Beppe and also some audience). Both are based on romantic entanglements and the entire play is set as a response to Pietro Mascagni's *Cavalleria rusticana* (Giovanni Targioni-Tozzetti and Guido Menasci's libretto). Consequently, the first act mirrors the *cavalleria rusticana*, placed in a Sicilian village of the 19th century, the second one presents the *commedia dell'arte* (a form of popular theatre), while the ending brings a juxtaposition of both planes.

In the play-within-the-play, the *commedia dell'arte*, Colombina is married to Pagliaccio, but has an affair with Arlechino. In the mock *cavalleria rusticana*, Nedda (the actress playing Colombina) cheats on Canio, her husband, (the actor playing Pagliaccio/Pierrot), having an affair with Silvio, not with Beppe (the actor playing Arlechino). However, "the villagers" think that they are still in *commedia dell'arte*: they remark Pagliaccio's (and Canio's) jealousy, but do not prevent the tenor from murdering Nedda/Colombina and Beppe/Arlechino, because they are not sure whether the crime and the lines are just in *commedia dell'arte*, or also in their life. The real audience – the spectators – has some signs – the music, also the actors' attitude. But in Tom Stoppard's play, *The Real Inspector Hound*, the blending of "reality" and fiction is more complex: "the levels of reality [are] piled so insanely on top of one another" (Esposito 2014: 38).

2. "Un tal gioco, credetemi,/ È meglio non giocarlo."// 'It's better not to play/ such games, believe me.' (Leoncavallo 1892)

The two critics from *The Real Inspector Hound* are not completely involved in reviewing, they also have other thoughts in mind. On the one hand, there is Moon, who keeps the seat "warm" for Higgs, the first-string critic, and has an inferiority complex:

> It is as if we only existed one at a time, combining to achieve continuity. I keep space warm for Higgs. My presence defines his absence, his absence confirms my presence, his presence precludes mine. […] When Higgs and I walk down this aisle together to claim our common seat, the oceans will fall into the sky and the trees will hang with fishes. (Stoppard 1998: 14)

This "game" makes him obsessed with Higgs' death: "Sometimes I dream that I've killed him." (Stoppard 1998: 35)

On the other hand, there is Birdboot, who is already married to Myrtle, but dates Felicity, one of the women involved in the play on stage, and is also is interested in Lady Cynthia Muldoon ("She's beautiful—a vision of eternal grace, a

poem…", idem: 29). If Moon over-evaluates the play, gives it too many attributes and has high expectations, Birdboot is more interested in mundane subjects, like the relationships between characters, gossip, honour. He almost identifies himself with the character Simon and has remorses about his own feelings. The two can build the different sides of same coin: "If Birdboot targets popular audience, Moon aims at intellectual, elitist readers" (Jenkins 1989: 52). In spite of the fact that Stoppard stated that the play was not about reviewers, critics managed to put Birdboot and Moon in the context of the British public:

> Moon belongs to the pseudo-intellectual school of theatre reviewers. He affects to be a man of letters rather than a man of the theatre. He searches for hidden symbolic or psychological meanings and also likes to show off his literary credentials. […] Birdboot, on the other hand, is a man of the theatre who affects to know instinctively and intuitively the kind of rattling good show that the great British public really wants. (Sales 1988: 97)

As a consequence, Moon is the one who is more concerned about identity and tries to separate reality from fiction, even if he uses clichés:

> MOON: Does it, I repeat, declare its affiliations? There are moments, and I would not begrudge it this, when the play, if we can call it that, and I think on balance we can, aligns itself uncompromisingly on the side of life. *Je suis*, it seems to be saying, *ergo sum*. But is that enough? I think we are entitled to ask. For what in fact is this play concerned with? It is my belief that here we are concerned with what I have referred to elsewhere as the nature of identity. I think we are entitled to ask – and here one is irresistibly reminded of Voltaire's cry, "*Voila*!" – I think we are entitled to ask – *Where is God*? (Stoppard 1998: 37)

Birdboot wants to figure out the plot of the "whodunnit", he actually tries to follow a detective plot, because radio police messages permanently interrupt the actors, announcing that a madman is on the run in Essex. The cast's debate about the madman interferes with the ordinary dialogue:

> FELICITY: I hear there's a dangerous madman on the loose.
> CYNTHIA: Simon?
> SIMON: Yes—yes—sorry. (Plays) (Stoppard 1998: 33)

There is a permanent presence of fear and death, a recurrent aspect in detective stories. First, there is a corpse on the stage, but nobody seems to see the body. Moreover, Cynthia threatens to kill Simon if she found out he "falsely" seduced her from her husband Albert or if he was unfaithful to Felicity ("If I find that you have been untrue to me – if I find that you have falsely seduced me from my dear husband Albert – I will kill you, Simon Gascoyne!", Stoppard 1998: 34). Also, Felicity makes a remark that brings about mistrust among the characters: "FELICITY: Yes, there's something foreboding in the air, it is as if one of *us*" (idem: 39). In the play, inspector Hound arrives at the mansion and asks about the "thing" (idem: 41), thinking that one of the characters is the real William Herbert McCoy, against whom the escaped madman seeks revenge. Finally, Hound finds and reveals the corpse. Felicity thinks the strange man is Simon Gascoyne, while Hound thinks the dead man is Cynthia's husband, Albert, but the woman denies. Everybody searches for the killer and leaves the room, while Simon enters the

room, notices the corpse and is shot dead. As stated before, Birdboot tries to solve the mystery:

> BIRDBOOT: Well, it seems open and shut to me, Moon – Magnus is not what he pretends to be and he's got his next victim marked down. (Stoppard 1998: 37)

The phone rings on the stage, and Moon has no patience anymore and answers it. The call is "for no-one among the *dramatis personae*" (Whitaker 1983: 71): it's Myrtle, Birdboot's wife, who wants talks to her husband, because she found out about the dinner he had had with Felicity. This is the moment when the two levels of fiction interpose and Birdboot gets caught in the play within the play, he "gets entrapped in the performance as the actors re-enter the stage and start to interact with him" (Esposito 2014: 32). Felicity takes Birdboot for Simon and the critic cannot fight against her. The whole scene is nonsense for Moon:

> MOON: What do you think you're doing? You're turning it into a complete farce! (Stoppard 1998: 57)

The first act is now replayed with few changes (like Canio says in the second act of *Pagliacci*: "Recitar! / Perform the play!"). At the end, Birdboot thinks he figured out the "whodunnit" and tries to tell Moon about the corpse, but he is shot, exactly like Simon was in the first part. Moon enters the play as Inspector Hound, and "SIMON *and* HOUND *are occupying the critics' seats*.)" (idem: 59). The characters and the audience change places, breaking "the fourth wall". As a result, "*The Real Inspector Hound* becomes a hyper-theatrical chamber of mirrors in which the reflections of alarmingly overlapping and indistinguishable planes of reality and fiction intersect" (Esposito 2014: 40).

3. "Il teatro e la vita non son la stessa cosa"// 'The stage is one thing and life itself another' (Leoncavallo 1892)

Moon has trouble in seeing what Leoncavallo's Canio says: "Il teatro e la vita non son la stessa cosa/ the stage is one thing and life itself another" (Leoncavallo, online). Moon is accused of murder and cannot completely deny: "MOON: But I didn't kill – I'm almost sure I" (Stoppard 1998: 62). Yet, nothing in this play has to be taken too seriously or for granted, as Magnus kills Moon and reveals that he is *both* Puckeridge, the real Inspector Hound, and Cynthia's husband, Albert: "Moon dies recognising Puckeridge playing Albert playing the *real* Inspector playing Magnus Muldoon" (Sammels 1988: 59). This is where Stoppard parodies the plot *of The Mousetrap* by Agatha Christie, where a policeman turns out to be the murderer. Stoppard's play can be seen as a mousetrap organized by Puckeridge: "This scheming killer has written a playlet, rented a theatre, ordered scenery, hired a cast, rehearsed it and, to complete the illusion of a play in progress, he has assembled an audience" (Durham 1988: 91). The "third-string critic Puckeridge has thus succeeded in eliminating both obstacles to his career: first-string Higgs and second-string Moon" (Esposito 2014: 32).

The blend between uncertainty and circular patterns is frequent in Stoppard's plays. For instance, Valentine from *Arcadia* explains how "nature creates itself": "The unpredictable and the predetermined unfold together to make everything the way it is" (Stoppard 1993: 47). Moreover, a similar scheme is used in *Rosencrantz*

and Guildenstern are Dead, where Shakespeare's two peripheral characters are again "two sides of the same coin" (Stoppard 1988: 22): "Rosencrantz is practical, prosaic and rather stupid, whereas Guildenstern is more emotional, poetic and intelligent" (Sales 1988: 15). Theatrical mechanics are disclosed from the beginning: "We transport you into a world of intrigue and illusion…[…] It costs little to watch, and little more if you happen to get caught up in the action" (Stoppard 1988: 22). Even though this play was debated in terms of affinities with Shakespeare's *Hamlet* and Beckett's *Waiting for Godot*, an association with *The Real Inspector Hound* cannot be denied. Together with *The Real Thing* (where the ethical issue of adultery is depicted in a detailed manner), these works construct a hall of mirrors that reflect different angles, different perspectives about reality and imaginary, as their intersections are meant to question literary practices.

4. Conclusion: "Till events have played themselves out. There's a logic at work… it's all done for you, don't worry. Enjoy it. Relax." (Stoppard 1988: 50)

Closely situated to the theatre of absurd, Stoppard "demonstrates the unreality of *all* acting, and invites the audience to consider whether, in terms of another focus beyond their perception, they too are no more than actors in a play" and to beg "the inevitable, logical question: whose illusion is this?" (Brassell 1985: 96). Unlike the final line from Ruggero Leoncavallo's *Pagliacci*, "La commedia è finita!", Stoppard's plays cannot end, because they show how fiction can seduce reality, but also the dangers of belief and of the power of words or discourse, that are central in both fiction and reality. "Stoppard creates a self-referential work" (Delaney 1990: 113) which articulates nonlinear structures of performance and show "the limitations of all theatrical innovation" (Turner 2007: 115).

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"SPIRITS TO ENFORCE, ART TO ENCHANT": METATHEATRICALITY AND ART IN THE TEMPEST AND HAG-SEED

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Abstract: *Although interpretations of the metatheatre stand as a recurring theme in many of Shakespeare's plays,* The Tempest *can be observed to be the most self-conscious one as a theatre about the theatre. With a comparative look at the Bard's* The Tempest *and its rewriting* Hag-Seed *by Margaret Atwood, the present study aims to explore the ways in which metatheatricality functions, and is translated to a contemporary context, as an asset of symbolic power and representing different layers of reality governed mainly by Prospero's art.*
Keywords: *contemporary, metatextuality, metatheatre, reality, rewriting*

1. Introduction

> The work of a thespian held out a remarkable happiness to him – the first, perhaps, he had ever known; but when the last line was delivered and the last dead man applauded off the stage, the hated taste of unreality would assail him. He would cease being Ferrex or Tamerlane and return to being nobody.
> Borges, "Everything and Nothing" (1964: 231)

When Shakespeare, on his deathbed after years of being "so many men in vain", asks God to allow him to be finally one and himself, God replies that He is no one either: "Neither am I anyone; I have dreamt the world as you dreamt your work, my Shakespeare, and among the forms in my dream are you, who like myself are many and no one" (Borges 1964: 232). This unbearable possibility of the mankind to be both the creator and the audience of its own existence has been explored in great detail by Borges in many of his other writings. He interrogates further this strange case of metatextuality through *Don Quixote* – "Why does it disturb us that Don Quixote be a reader of the *Quixote* and Hamlet a spectator of *Hamlet?*" – and the initial answer comes to us as contradictory and laborious as an author tilting at windmills: a self-conscious text considers the astonishing possibility that "if the characters of a fictional work can be readers or spectators, we, its readers or spectators, can be fictitious" (idem: 187).

It is then no wonder that John Barth (1984: 64), examining "the used-upness" of the conventional modes of literary representation in his 1967 essay "The Literature of Exhaustion", finds himself wrapped up by the Argentine writer, whose love of books endowed his writings to a great degree with a unique layer of metatextuality. Leaving aside the intricate business of the "death of the novel," Barth renounces the realistic discourse as the touchstone of literary and dramatic criticism, and points out that the recent debate concerning literature which may have been exhausted its ability to ever produce "original" texts is simply an idea too impossible to embrace. Like many postmodern writers, he is especially

intrigued by Borges's short story "Pierre Menard, Author of the *Quixote*", in which the French Symbolist Pierre Menard "produces – not *copies* or *imitates*, but *composes*" several chapters of Cervantes's novel. Through a metafictive agenda, Borges (re)uses Cervantes's novel, in order to produce a "remarkable and original work of literature, the implicit theme of which is the difficulty, perhaps the unnecessity, of writing original works of literature" (Barth 1984: 68).

With these concerns in mind, I aim to show how Barth's metatextual ideas on (re)creating works of literature reflect themselves in a recent postmodern rewriting. Through invoking the theory of metatextuality in literature and theatre as one of the core traits of postmodernism and its many effects on its audience, I propose to explain how the reinterpretation of Shakespeare's *The Tempest* through its 2016 retelling *Hag-Seed* by Margaret Atwood supports enwrapped layers of (un)reality and how Atwood "confronts an intellectual dead end and employs it against itself to accomplish new human work" (idem: 69).

2. Metanarrative or self-conscious fiction

Although our contemporary literature more often than not supports a metafictional discourse, the erosion of the belief in the nearly-fascist authority of the author and the written word begins with Cervantes. In *Partial Magic*, Robert Alter (1975: 3) states that Cervantes was among the first writers "to see in the mere fictionality of fictions the key to the predicament of a whole culture, and to use this awareness centrally in creating new fictions of their own". Supporting two very different planes of existence from the beginning, Cervantes not only creates a very real portrait of the aged knight Don Quixote, with his pragmatic squire, on the plains of La Mancha, but also presents the knight as "merely a lifelike model of papier-mâché, a design in words, images, invented gestures and actions, which exists between the covers of a book by Miguel de Cervantes" (idem: 4). Thus, it stands befitting for Don Quixote's adventures to start in a library and even lead to a printing shop in Barcelona, where he becomes familiar with the processes of type-setting, revision, and publishing. Interrogating Ortega y Gasset's ideas that the world of the novel must be "hermetically sealed" in order not to let the outside world meddle with its fragile representation of reality, Alter points out that Cervantes is *au fait* with the idea that there is an ultimately serious tension between the recognition of fictions as fictions and their acceptance as reality, however easy it may be to maintain these two types of awareness simultaneously (idem: 5-10). Knowing that fiction is, after all, only fiction is potentially subversive of any meaningful reality that might be attributed to the fiction whereas assenting imaginatively to the reality of a represented action is a step in a process that could undermine or bewilder what one ordinarily thinks of as his sense of reality.

Over the last few decades, novelists have been more submerged with the theoretical issues concerning the construction of a text, which consequently have rendered their creations more self-reflective and formally uncertain. Patricia Waugh attributes this rising awareness of "meta" levels of discourse to the contemporary culture's awareness of our everyday "reality." According to Waugh (1984: 3), since "the simple notion that language passively reflects a coherent, meaningful and 'objective' world is no longer tenable…'meta' terms are required in order to explore the relationship between this arbitrary linguistic system and the world to which it apparently refers". Consequently, metafiction functions as a self-

reflective narrative that flaunts its own condition of fictionality and artifice in order to pose questions about the problematic relationship between fiction and reality. It further aims to reveal and play with the primary identity of the novel as a genre: by constructing the fictional illusion and unveiling that illusion in order to make a certain statement about the process of creating it, metafiction "offers both innovation *and* familiarity through the individual reworking and undermining of familiar conventions" (idem: 12). Although metatextuality functions as one of the trademarks of postmodern literature, Waugh additionally clarifies that almost all writing supports at least some metafictional qualities. Richard Hornby (1986: 17) makes a similar statement about the metatheatrical quality of dramatic representation in his *Drama, Metadrama, and Perception*, when he concludes that "[a] play does not reflect life; instead, it reflects itself. At the same time, it relates to other plays as a system".

A play, then, first and foremost mirrors *itself* before any external reality, which makes the audience aware of its self-contained experience as it watches the play. It is through this experience and the audience's disturbed feelings about this experience that notions such as Brecht's *Verfremdungseffekte* or 'alienation effect' emerges. Although Brecht has mostly cultural and political objectives in mind when he writes about a play "alienating" its audience, this process also functions as a way of distancing the same audience from the clichéd forms of identification and conventional modes of understanding. In the same way, Barth (1984: 73) reports that the audience is disturbed "metaphysically" when fictional characters become readers or authors of the fiction they belong to, since this same estranging stance reminds us of "the fictitious aspect of our own existence".

2.1. Shakespeare's partial magic

Traditionally acknowledged as the epitome of his career and his valediction to the stage, *The Tempest* can be considered as one of the most explicitly self-aware play among Shakespeare's plays. The concept of *theatrum mundi*, however, is nothing but handsomely employed in many of his other works as well: Jacques the melancholy claims that "[a]ll the world's a stage" in *As You Like It* (II.7.140); Antonio regards the world as "a stage where every man must play a part" in *The Merchant of Venice* (I.1.77); the-play-within-a-play creates a double dramatic presence in Hamlet's famous Mousetrap, just like the labourers' performance of the story of Pyramus and Thisbe in *A Midsummer Night's Dream*. Cleopatra, anticipating to be humiliatingly staged by the Romans after Anthony's death, creates an image through a theatrical vocabulary, suitable to the dramatic practices of Shakespeare's day:

> […] The quick comedians
> Extemporally will stage us, and present
> Our Alexandrian revels. Antony
> Shall be brought drunken forth, and I shall see
> Some squeaking Cleopatra boy my greatness
> I' th' posture of a whore. (V.2.216-21)

The Tempest, however, constitutes a complete contextualization of metatheatrical elements in the way it is replete with audiences, masques, and explicit allusions to the world of the theatre. It opens with Miranda, as one fixed

witness of the destruction caused by the tempest, her father's recounting of events, and Prospero's Art throughout the play and the role of the witness-audience is transformed into the conspirators watching a pseudo-masque orchestrated by Prospero, and later witnessing Ferdinand and Miranda's chess playing as lovers. The integrity of Prospero's own play, just like Shakespeare's, depends on its audience, on the conspirators surviving in order to both successfully stage and be the audience of the play at the same time. The importance of the presence of the audience (and also actors) is clearly emphasized when Prospero vehemently demands to know if his conspirators have survived his designated tempest. Ariel answers that there is "not a hair perished / on their sustaining garments not a blemish" (I.2.217) and the play is ready to be staged. As a result of watching the characters undertaking our own role, we become a "part of the metaphor, an ever-present and silent audience watching this display of stage audiences" (Homan 1981:194). Furthermore, Prospero's epilogue holds a unique place in the Shakespearean canon, in the way the speaker declares himself not only an actor in a stage play, but also a character in a piece of fiction. Now that Prospero's charms are "all o'erthrown," he invests his magic in the audience and their "gentle breath", and instead of traditionally stepping out of his character, he extends the fictionality of the drama beyond the limits of the stage. By constructing an indiscernible boundary between the representation of reality and illusion in this way, *The Tempest* not only expresses the ancient celebration of art, but also poses fundamental questions about the perplexing relationship between the world off- and on-stage. In *Drama within Drama*, Robert Egan comments on Shakespeare's further explorations on the correlation between his art and the world of his audience through his plays:

> In the process, he turns from the confining realism of the play-within-a-play convention, with its overt boundary between play and reality, towards a more imaginative and flexible mode: that of portraying the direct application of drama to reality in such a way as not only to define drama as a dynamic element within the play's world, but to establish a cognate place for the play itself in the world of its audience. (Egan 1975: 12)

In his notes on *The Tempest*, Borges emphasizes a similar sentiment about the Bard's gravitating towards creating a more obscure distinction between fiction and reality. He explains the purpose of all works of art as a means "to impose fiction on reality", while "Shakespeare wants the fictitious to appear fictitious, so that nothing will be real and we will accept at the end the revelation that we are nothing more than dreams" (Borges qtd. in Tiffany 2018: 73). True enough, Prospero, before echoing Ovid's Medea in the celebration and renunciation of his magic-art, famously states: "We are such stuff as dreams are made on, / And our little life is rounded with a sleep" (IV.1.156). The final paradigm for the play presents itself as reality mostly being the product of Prospero's imagination, or recreation of past events through his memory.

2.2. His island domain, his place of exile, his theatre

The metatheatricality of the magician-poet-director Prospero in the dramatic context of the play is reinterpreted as the artistic director of a Shakespearean theatre festival, Felix Philips, in Margaret Atwood's 2016 contemporary rewriting,

Hag-Seed. As a part of the project to retell Shakespeare's plays, launched by Hogarth Press for the commemoration of the 400th anniversary of the Bard's death, Atwood not only transforms the metatheatrical context of the play into the form of a novel, but also adeptly tinkers *Hag-Seed* into a mechanism that endlessly reflects the kaleidoscopic intertextuality of reality and illusion. She explains her reasons for choosing *The Tempest* with the play's ultimate focus on the theatre itself: while plays such as *Hamlet* and *A Midsummer Night's Dream* generally focus on a-play-within-a-play, *The Tempest* stands as "the closest Shakespeare gets to writing a play about putting on a play" (The Next Chapter 2016). In *Hag-Seed*, Prospero is recreated in the image of the avant-garde artistic director Felix, who becomes so obsessed with his art and most current project of staging *The Tempest* as a tribute to his deceased daughter that he fails to see his right-hand Tony's schemes of overthrowing him from his position. Having fallen from grace and exiled himself from society for twelve years under the alias of Mr. Duke, Felix takes up a job in Fletcher Country Correctional Institute in order to teach prisoners, who will eventually help him get his revenge on his usurpers. When asked about her inspiration for rewriting the play through a prison-Shakespeare perspective, Atwood comments on the obstacles of adapting the story of "a magician marooned on an island for 12 years with a now adolescent daughter": "Calm, calm, I told myself. I read the play again, this time backwards. The last three words Prospero says are 'Set me free.' But free from what? In what has he been imprisoned?" (The Guardian 2016).

The metafictional aspect of Atwood's retelling presents itself first and foremost in the very act of reinterpreting Shakespeare's play in a contemporary context; in a similar manner, Borges is praised on his fiction: the artist acts like a Thesean hero in the labyrinth, who "need[s] *not* rehearse [art's] possibilities to exhaustion", since s/he becomes "faithful amanuenses of the spirit, translators and annotators of pre-existing archetypes" (Barth 1984: 73). As such, it is essential to fully comprehend the nature of Felix's occupation as the artistic director: his ultimate aim is to "create the lushest, the most beautiful, the most awe-inspiring, the most inventive, the most numinous theatrical experiences ever" and "evoke the collective indrawn breath, the collective sigh" from his audience (Atwood 2016a: 12). In Felix, we get to see the extent to which he adopts his role as the recreator of Shakespeare's plays, and in Atwood, an adept parody of the contemporary process of rewriting a precursor text as something immensely personal and opaque at the same time. Through a trademark manner of postmodernism, the reader is able to sympathize at least a little with Tony's so-called excuses about the Board's decision to fire Felix because of the way he reconfigures his production of *The Tempest*:

> His Ariel, he'd decided, would be played by a transvestite on stilts who'd transform into a giant firefly at significant moments. His Caliban would be a scabby street person – black or maybe Native – and a paraplegic as well, pushing himself around the stage on an oversized skateboard. Stephano and Trinculo? He hadn't worked them out, but bowler hats and codpieces would be involved. And juggling: Trinculo could juggle some things he might pick up on the beach of the magic island, such as squids. (Atwood 2016a: 16)

Felix plans to play the part of Prospero himself, with his magic garment made up of animals, "plush toys that had been unstuffed and then sewn together" in

order to "evoke the elemental nature of Prospero's supernatural yet natural powers" (17). The general reception of his reproductions reflects itself on the grumbling criticism of his audience in their interrogating the director's choices. The audience asks: "Did Lear have to take off *all* his clothes?" or he is usually confronted by a "trivial letter of complaint" bemoaning about "a front-row theatregoer's unwilling interactive participation in a splatter scene: Macbeth's gore-drenched head flung too vigorously onto the stage, Gloucester's gouged-out eyeball slipping from the grasp of its extractor" (19). When this process of avant-garde restaging of Shakespeare comes together with Felix's newly-discovered communication with the ghost of his dead daughter right after he loses his job, it becomes nearly impossible for the reader to decrypt the authenticity – and sometimes deny the possibility – of Tony's shameless claims that Felix has lost his "contact with reality" (20).

A similar dilemma stands essential in the case of Miranda, Felix's daughter, who dies at the age of three of an illness. Felix's obsession with his daughter is clearly emphasized in the way he names her: "Miranda: what else would he have named a motherless baby girl with a middle-aged, doting father?" (14). Atwood portrays Felix's awareness of Miranda's ethereal existence in a flickering manner, which in turn prompts the reader to question her reality on the fictional level: while we can see that Felix is more than aware that her existence in the house is "a conceit, a whimsy, a piece of acting" (45) at the beginning, the playacting transforms itself into an expanded wishful daydreaming, whose outlines in time become more than a little blurry. Felix starts counting the passing years by taking into account the age Miranda would reach if she were alive; later his description of living with her gradually draws a more realistic picture: "'Six times nine?' he'd quiz her. She was so sharp! She almost never made a mistake... They began having their meals together...She scolded him gently when he didn't eat enough. Finish on your plate, she would say to him…" (46). In addition to the metatextual narrative that constitutes Barth's (1984: 67) pre-existing layer for the rewriting of a work of literature, the audience here serves for the double-frame of reality and/versus illusion. When Felix realizes he can have an opportunity of eventually avenging himself through the prison's "Literacy through Literature" program, *The Tempest* both becomes his revenge plan against his usurpers, and functions as a way to "create, or possibly resurrect" his Miranda: "Lavinia, Juliet, Cordelia, Perdita, Marina. All the lost daughters. But some of them had been found again. Why not his Miranda?" (Atwood 2016a: 15).

After Stella, as the person in charge of the program, confronts Felix's decision to teach Shakespeare to the inmates, Felix's voice can be heard for a moment through the author's words that "the text wasn't a sacred cow" (53): Atwood breaks down the prejudices against the tradition of rewriting with an emphasis on Shakespeare's time and practices in his productions. Felix fervently states that "in the early days of the theatre, actors were regarded as next door to criminals anyway," – they would be doing a lot of improvisations, and that Shakespeare never even intended to be a classic: "He was simply an actor-manager trying to keep afloat. It's only due to luck we *have* Shakespeare at all!" (53) Felix has been working as a teacher in the prison's Literacy program for four years, when he realizes that he may have a change at retribution. After he decides on which play to perform, the inmates run a deep analysis under his guidance, later to be performed and videotaped for the whole prison. The inmates, however, do not

show their usual enthusiasm for *The Tempest* in the way they did for plays like *Macbeth*, *Julius Caesar*, or *Richard III*, all of which are founded on main themes of power struggles, violence, and crimes. Similar to Prospero's own skills at manipulating other minds, Mr. Duke describes *The Tempest* to the inmates as a play about prisons and prisoners and transforms the context, through an innovative reinterpretation, into what his readers find relevant. In face of the inmates' unwillingness to play a "super-sucking fairy" as a character, Mr. Duke changes perspectives and describes Ariel in a new light: after the inmates are convinced that Ariel is the crucial "special-effects guy", who "performs the single most important act in the whole plot," every hand in the room goes up for the part (65). Mr. Duke's words re-appropriate his audience and future actors just as Atwood re-appropriates Prospero in a refreshing way as "a clear tendency towards demystifying the benevolent nature of Prospero and his plots" (Muñoz-Valdivieso 2017: 114).

3. Conclusion

Hag-Seed presents the three-fold structure of a play-within-a-play within a play within a novel. The intertwined sequence starts with the first layer of a play-within-a-play, represented by Mr. Duke's revenge-staging Shakespeare's *The Tempest* with Anne-Marie playing Miranda, Freddie playing Ferdinand, Tony playing the usurper Antonio, and Lonnie playing King Alonso. The outer dramatic frame consists of Felix's initial staging *The Tempest* with the inmates as part of the literacy program, but without Tony, Freddie, and Lonnie as his unaware actors, which is videotaped to be shown later. Finally, the novel frame encapsulates both sub-frames and functions as a greater metafictional layer by the author, who recreates Prospero in the image of Felix, the artistic director, and his daughter Miranda as Prospero's own Miranda. This metatextuality of both *The Tempest* and *Hag-Seed* is disclosed by Felix when he contemplates the island's magic: "The island is many things, but among them is something he hasn't mentioned: the island is a theatre. Prospero is a director. He's putting on a play, within which there's another play" (116). The further he analyses Prospero and the ending of the play, the more Felix comes to realize that "the endgame of his obsession wasn't to bring his Miranda back to life. The endgame was something quite different" (280). He concludes by telling the inmates that Prospero is himself a prisoner, in the way he is trapped on the island and asks the audience for their "gentle breath" to sail away:

> The last three words in the play are 'set me free.' You don't say 'set me free' unless you're not free. Prospero is a prisoner inside the play he himself has composed. There you have it: the ninth prison is the play itself. (275)

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THE UNDEFINED SETTING. SPACE AND GENDER IN SHAKESPEARE'S CHRONICLE PLAYS

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Abstract: *The paper starts from the cultural and feminist theories which impose an image of early modern space projections as strictly segregated in terms of gender. Thus, while the public space is masculine, with very few exceptions, and populated with male professions and occupations, the private, domestic space is traditionally feminine gendered , characterized by intimacy and conviviality. Conventionally, this observation is true, but I argue that, in the case of Shakespeare's historical plays, the usual gender-genre continuum, highly applicable in the reading of the comedies and romances, is interrupted. Here, space, in the usual historical settings, is permeated with a cross-gender contamination. If, in Henry V or Richard III, the settings are presented consecutively (the all-male battlefield and then the mixed gender royal palace, respectively, the palace and then the battlefield), in King John, the battle and the siege of Angiers is represented symbolically not only by the single combat between male soldiers, but also as the verbal duel between two queens.*
Keywords: *chronicle plays, gender, private, public, segregation, space.*

1. Introduction

Privacy is a concept and a reality which begins to emerge in England and Western Europe during the early modernity. There are mainly three ways in which historians have accounted for the rising of privacy and the acknowledgement, in the collective imagination, of the existence of a private space. First of all, in *A History of Private Life*, *Passions of the Renaissance* (Chartier 1989), Philippe Ariès and Georges Duby define private life as an elusive term, because "private" and "public" were not opposed, but areas with fluid boundaries. In its early days, the private realm was a familiar world in which people took care of, but also surveilled each other. The emergence of individualism was, in Ariès' view, the cause of the separation between the public and the private sphere. Secondly, Catherine Belsey (2001) speaks about achange in people's attitude about family and family life. After the dynastic model of the Middle Ages, after the childless Tudors and the scandals about the legitimacy of Henry VIII's offspring, Belsey looks at the nuclear family presented by the first Stuart monarch as a new phenomenon, replicated by Shakespeare himself in the parents, sons and daughters of the late romances.Last but not least,the most conspicuous event is the emergence of a fresh conception about material life, a different organization of daily habits and events. Utility is now doubled by the desideratum of sophistication and taste, insignia of the family's or the individual's socio-economic position and private values. Indebted to new directions of research in cultural history, Lena Cowen Orlin (2009) presents the rituals of work and leisure, production and consumption, sociability and comfort as instantiations of a different mentality about private life in early modern England, applicable not only to the visible elites, but also to the less visible common men and women.

2. Privacy and femininity

Corinne S. Abate (2003: 2) distinguishes, among manifestations of privacy, "a subculture of femaleness". The public and the private, in the Middle Ages and early modern times, could be regarded as segregated in terms of gender. While men, with their professions and duties, have free access to the public space, women, limited to the activities and responsibilities of the household, are naturally expected to identify with the private sphere. The activities and rituals associated with the two spheres are similarly divided. Men are conventionally caughtin environments related to war, politics, trading and farming; women, residents of a secluded world, often regarded as intimate or spiritual, are pictured indulging in activities like sewing, nursing, cooking, caring for the children and the sick, praying and writing. Discussing privacy and domesticity in early modern England, Abate characterizes day-to-day female experience as unstructured and fluid, supported by the objects-symbols of the household and by informal networks of companionship and sisterhood. The dominant feature of the feminine private space is isolation, which can be interpreted both in positive and in negative terms. On the one hand, it is a shelter, the private sphere thus gaining a sort of sacredness, a secret, intangible universe of natural happenings and ritual gestures. The woman's quarters are places where the norms of patriarchy are blocked out. Like her mind and inner life, the woman's room is described, in the literature of the time, as impenetrable, literally as well as metaphorically. The female domestic setting, therefore, calls for the unofficial installation of a different order, without male knowledge or attention. This apparent advantage could, however, turn against the residents, as isolation is, more often than not, synonymous with confinement. There are quite a few Tudor plays, including Shakespeare's *The Taming of the Shrew* or Thomas Heywood's *A Woman Killed with Kindness*, in which the private female space is the medium where punitive practices can be applied, in a process of turning the woman, with a Foucaultian term, into a docile body. Domesticity is a hiding place, but also an arena of surveillance and control.

Confinement also implies the rituals associated with maternity. Pregnancy is rarely displayed as such in the Tudor playhouse or written literature, so maternity is usually referred to as an exotic phenomenon, emotionally charged, an oddity that fascinated and embarrassed at the same time. Gail McMurray Gibson (1999: 8-9) summarizes this perception thus: "neither the private parts of the female childbearing body nor the domestic space in which an intimate community of women presided at the labour of childbirth and the ritual postpartum confinement or lying-in was fit object for the male gaze". In folklore, devotional or medical literature, when birth is mentioned, the space associated with it is hermetically closed, taboo, hidden, entirely feminine gendered.

In the early modern performance, the physical aspect of maternity is achieved through a process of amplification, something that, interestingly, is reserved to the presentation of public personae in pageants, processions, official portraiture. Augmentation in the public arena can be achieved with the help of body language, clothes and accessories. Queen Elizabeth I is a good example of a woman who transgresses the private sphere as a monarch and imposes herself as public figure through various strategies of amplification,in portraits and public processions, increasing the volume of her physical presence with oversized wigs and collars, platformshigh above ground level, dominating the group of men standing at her side. Amplification is a political strategy, so it can be argued that

the enhancement provided by the pregnant female body on the stage might have the same purpose. Temporary holder of a privileged position, the pregnant woman is featured, in fiction, with the help of the same strategies employed for public personae in real life. This visual technique is called "doubling" in Kathryn M. Moncrief and Kathryn R. McPherson's (2007: 47) study on maternity which illustrates it with John Webster's *The Duchess of Malfi* and Shakespeare's *The Winter's Tale*. As a woman of high rank, the Duchess of Malfi's pregnancy is interpreted as a process of public amplification, the common metaphor of the ruler's two bodies (the physical one and the one symbolizing the state) being applicable, though, to the woman, because her"doubling" implies the temporary cohabitation of two bodies in one.

3. Women's private lives in the public setting of historical plays

In the previous paragraphs, I have acknowledged the fact that the early modern space is segregated and gendered. This separation is conventionally applicable to Shakespeare's plays, where the connection between genre and gender is commonplace.While the comedies are the ideal province of female heroines, young, beautiful and tender, tragedies are the arena of male ambitions and rivalries, with the women, mere pawns, receding into the background. I would like to argue that, in the case of Shakespeare's historical plays, the usual gender-genre continuum is interrupted, because here, space is permeated, and a cross-gender contamination takes place. The plays selected for analysis are *King John, Henry V* and *Richard III*, the first – more obscure, the other two – the best known Shakespearean histories. If, in *Henry V* or *Richard III*, the settings are presented consecutively (the all-male battlefield and the mixed gender royal palace), in *King John*, the battle and the siege of Angiers are represented symbolically not only by the single combat between male soldiers, but also as the verbal duel between two queens.

The conventional characterization of chronicle plays should be similar to that of the tragedies, since official history is enacted and recorded by men. Also in quantitative terms, chronicle plays focus on the public personae of history's male protagonists – their speeches, political decisions, the battles in which they fought. More recently, however, a shift of focus from the mainstream approaches of history as a patriarchal narrative has determined chroniclers, fiction writers, critics and theorists to wonder whether a tale about the role played by women in the making of history would be rewarding. Feminist biographers of English queens, like PhilippaGregory (2011), Helen Castor (2011), KavitaMudan Finn (2012), Alison Weir (1999), Arlene Okerlund (2009) agree that the female consorts were absent from the records of their time, because the documents, reports, treaties recorded public events, so the women, even those of the highest rank, excluded from formal political power and military service, were not primary actors worth mentioning. The interests of medieval chroniclers were different from those of modern historians, scholars today looking at the history of women both as a group and as individuals. Despite these gaps, the queens' lives are recorded in the biographies – albeit fragmentary – offered by Shakespeare's historical plays. Reading the minor details, or even between the lines, we can find important information about the aristocratic women's existence, their court life, about marriage and loyalty, social mobility, and survival. The biographies written by the above-mentioned historians shed new light on the role the female consorts played in mapping a coherent early modern mentality about queenship in England.

A discussion of female figures in Shakespeare's chronicle plays cannot be carried outside the connection with the figure and omnipresence of Queen Elizabeth I, even if Tudor historiography paid relatively little attention to the English consorts of the past. These queens were often dismissed or, when given attention, presented in a negative light, as women with unnatural ambitions, foreigners (Eleanor of Aquitaine or Margaret of Anjou), upstarts and hypocrites (Elizabeth Woodville), vengeful matriarchs (Duchess Cecily of York). Generally hidden from history and present only in the background of historical plays, the consorts do play a role in offering an indirect commentary on the conventional division of space, with its socio-political importance, and in the projection of agency, reserved not only for men. Such plays as *King John, Henry V, Richard III* can be read as arenas in which masculinity and femininity are subtly alternated, in which the queens – extras both in the economy of the play and in official historical records – mitigate or enhance the gravity of the plot.

4. The contamination of male territory – queens on the battlefield in *King John*

In *King John*, which dramatizes, among other things, the spectacular political career Eleanor of Aquitaine had in the latter part of her life, as advisor of her son John and kingmaker, the female consort appears as a ruthless conqueror, ready to sacrifice two innocent victims (a young widow-her daughter-in-law- and an orphaned boy, her grandson) for a military goal. The formidable queen is contrasted with the young and ambitious Constance of Brittany, mother of Arthur, who is caught in the middle of a feud and ultimately sacrificed. Eleanor knows that, in fact, Arthur's claim to the throne is stronger than her son's, but is ready to ignore the issues of legitimacy. Their rivalry is consumed far from the confines of the household, unconventionally, on the battlefield, where the mothers choose not to be mere passive witnesses of the events, but to intervene in them. In the dialogue between the two female characters, Shakespeare imagines two strong women, each of them doing their maternal duty and defending their sons' right, but their confrontation is presented as a grotesque argument between two scolds and shrews, who forget their place and mission in the world. Not only do they abandon their natural environment and appear on the battlefield at the men's side, but they forget about all the principles of female decorum, by speaking too much and too loudly.

Their argument is presented in sheer contrast with the official, formal proceedings of the battle of Angiers, taking the form of strategic negotiations between the leaders of the belligerent camps and the representatives of the besieged fortress. King John, King Philip and the spokesman of the citizens "sell" and "buy" a peace treaty at the gates. "The first citizen", a character working like a synecdoche (standingalone for the entire city), is often employed by Shakespeare in mass scenes, for obvious reasons that have to do with the efficiency of the *miseen scene*. As a matter of fact, the singular confrontation between the representatives of each camp is not only a stage device, but a strategy advised by military theory. A battle can be described as a solemn mutual agreement and a ritual in which customs and gestures are performed, well known and accepted by both parties, consolidated by a long tradition. Talking about war as one of the essential "games" that has been played in history, Johan Huizinga (1977: 159) lists, among the martial rituals, military campaigns alongside festive competitions and single combats. Indeed, wars often take this third form, the single combat having various acknowledged

functions: an oracle, foretelling the result of the battle, frequently regarded as a divine sign; a replacement of the collective confrontation, proving the superiority of one army over the other, in a concise, life-saving way; a symbolic trial, in which the legal representatives of the injured parties engage in a process of conflict resolution. The real and symbolic importance of the single combat is also validated by its recurrent representation in visual arts. A painting almost contemporary with Shakespeare's original performances is Diego Velázquez's *The Surrender of Breda* (1634), where the military confrontation and the resolution of the battle are reduced to an exchange of gestures between the leading men. Body language and posture explain the superiority of one against the other: the surrendering Dutch general is taking a bow, while the Spanish victor is putting a hand on his enemy's shoulder.

To affirm that war is a ritualized game is the same as to say that battles are mere performances, a subtle *mise en abyme* employed by Shakespeare in *King John*. The Bastard is a commentator of thebattle scene:

> By heaven, these scroyles of Angiers flout you, kings,
> And stand securely on their battlements
> As in a theatre, whence they gape and point
> At your industrious scenes and acts of death. (II.1.373-376)

The power of the two rivals, King John and King Philip, is histrionic; they seem to be partners in acting, exchanging lines, just as the two queens are bickering with each other. The victims of the siege are no less than spectators in a competition of rhetoric. The regular single combats are transformed into an exceptional two-fold verbal duel. As the kings dispute matters of legitimacy under the walls, with hundreds of witnesses, the queensargue noisily on the same topic, the drama of the confrontation degenerating thus into a farce. Transgressing both their role and their space, the consorts renounce their domesticity in order to give more strength to the confrontation – in quantitative terms – but also to render the righteousness of the battle more ambiguous.

5. The port of Mars and the alcove in *Henry V*

In the Prologue of *Henry V*, the Chorus summarizes the monarch's genius, anticipating his success in fighting as well as in talking people into action:

> O for a muse of fire, that would ascend
> The brightest heaven of invention, –
> A kingdom for a stage, princes to act,
> And monarchs to behold the swelling scene! (Prologue, 1-4)

Henry V is the ultimate Shakespearean play about war and fighting: the king is the archetypal military hero, a talented and dutiful soldier, patriot, politician and orator. His victory at Agincourt has remained, in historical records, an example of strategy and organization and, in collective memory, a reason for national pride, often evoked when the people's morale had to be boosted. In reality, the battle was won due to the presence of a unique military corps, the longbowmen, who defeated the French cavalry, stuck in the mud of the battlefield on a rainy October morning. But the day acquired legendary proportions because the English army, outnumbered, tired and in low spirits after a long and tedious campaign, was not eager to face the well-trained, confident and well-fed Frenchmen. The miracle of

Henry's victory is justified, in the play, by divine intervention, as the battle is announced to take place on a religious holiday, Saint Crispin's Day. But the exemplary character of this event and its protagonist makes the Chorus search for the ideal staging, "of a playhouse expanded from a wooden O to kingdom-sized proportions" (Hapgood 1995: 15). The spectacular, dramatic quality of the battle is anticipated by the king's exhortative speeches to his soldiers, evidence of his magnetism, often paraphrased by politicians and military leaders in future generations. The first oration, uttered before the siege of Harfleur, promises the soldiers that their ordeal will not last much longer ("Once more unto the breach, dear friends, once more", III.1.1). The second oration, before the battle of Agincourt, promises the soldiers a reward more precious than the spoils of war, a spiritual kinship with their leader, an eternal brotherhood ("We few, we happy few, we band of brothers. / For he today that sheds his blood with me / Shall be my brother", IV.2.60-62).The "swelling" of the scene refers to the expansiveness of the king's territorial ambitions, but also to his overwhelming presence as a charismatic leader, who literally fills and conquers the public space in which he makes an appearance, assuming, indeed "the port of Mars". As a public figure, he steps down from the pedestal, presenting himself as a tangible legend. On the night before the battle, he puts on the disguise of a common man and mingles with his vassals, thus proving that his talks about fellowship are not only empty words. The play thus implies a downward movement, a leveling of position (in social and in physical terms), the general's secret recipe for victory in battle.

The downward movement captured in this public scene is replicated in the domestic scene in which Henry meets his bride, the French princess Katherine of Valois. But here, Henry's stepping down is discontinuous from his rhetorical and military strategy, the wooer, his armour and sword aside, being ill at ease and minoritarian. The public space of the battlefield and the great rhetorical effort made by the charismatic leader contrast with the private space, the alcove and the enclosed garden, in which Henry, abandoning his public persona, is suddenly stripped of the heroic aura, with comic effects. It appears that Henry V is far less convincing in private than he is in public, making a poorer impression as a lover than as a soldier. After the spectacular defeat of the French army, the next encounter between the English king and the French, historically circumscribing the peace negotiations at the Treaty of Troyes, is condensed in the private scene in which Katherine of Valois is presented to him. Being left alone by the French queen and emissaries, Henry is once again outnumbered, this time by French women, Katherine being accompanied by her lady-in-waiting and translator. Neither betrothed speaks the other's language well, but Catherine seems to win the verbal exchange and to have an advantage over Henry, because she can switch from one code to another, as she is helped by another woman, and, with her French, feminine charm, she recognizes the comic of the situation more readily than the embarrassed Englishman. Last but not least, she is safe on familiar ground, in her own domestic universe, where the warrior is an outsider. Both this scene and the scene in Act III when Katherine is taught the language of the enemy can be regarded as moments of comic relief. They form a sharp contrast especially with the ominous darkness conveyed to the warfare by the presence of the Chorus.

6. *Richard III* alone against the world

In *Richard III*, the private and the public are mixed when women appear on the arena as a joint force against the arch-villain. In the last play of the first

tetralogy on the Wars of the Roses, Shakespeare conveniently brings together all the queen consorts who, in fact, were in conflict, some of them being no longer alive at the historical moment indicated by the plot. The playwright resorts to this artistic license in order to amplify Richard's negative character and to elicit unanimous negative reactions in his audiences. Margaret of Anjou, widow of Henry VI, has the most masculine ambitions of all consorts, having led the war on behalf of her husband, her son and the entire Lancaster family. In *Henry VI-3*, in fact, all the cruelty of war seems to be embodied in Margaret, who rules, heads an army, and ordersbrutal executions- a true agent on the most public of the arenas. In *Richard III,* she is given a purely domestic and private space, being presented as a wailing queen, who deplores, helpless and passive, within the confines of the royal palace, the results of men's actions outside.

Better known as wife of Edward IV and mother of the Princes in the tower, a woman having experienced great tragedy and loss (twice widowed, her sons killed), Elizabeth Woodville has the biography of a great fighter – she resisted twice in sanctuary with her daughters and she displayed unprecedented social mobility (a commoner, she married well above her status). Marian iconography and demonic accusations flow into each other in *Henry VI* -3, where, her hair let down, a picture of despair and vulnerability, Elizabeth Woodville waits for King Edward together with her two small boys, the widow in distress asking for the king and man's support and winning both by magic. Though their marriage was one of love, Shakespeare chooses to present their union as incongruous and morganatic, scorned by Edward's friends and enemies alike. Other female consorts and matriarchs disapprove of her vanity and the wicked charms that caught the king: "Poor painted queen, vain flourish of my fortune!/ Whystrew'st thou sugar on that bottled spider?" (says Margaret in *Richard III,* I.3.241-242). However, in the same play, she is made to join forces with her female rival, an unlikely feminine alliance against a common male enemy.

The third "wailing queen", in the scene in which an all-feminine curse is directed against Richard, was, in fact, no queen at all. Duchess Cecily, nicknamed the York Matriarch, was as formidable a woman as Eleanor of Aquitaine several centuries before, although she did not enjoy Eleanor's fame and reputation. Mother of two kings, great-grandmother of the Tudors, her 11 children and their numerous offspring are proof of how successful she was as a consort of the Duke of York. She played an important role in family alliances and decision-makings, in the administration of the northern territories, being dubbed for that "the Proud Cis". Shakespeare chooses to present her, in *Richard III*, not as an administrative or political genius, but as the most vulnerable of the vulnerable, an old woman, a widow and grandmother, in the company of her orphaned grandchildren, a powerful and tragic family picture. Mourning in the private quarters of the palace, she redirects her energy, once spent on public affairs, to scold her son together with theother royal women. Although enemies, Margaret, Elizabeth, and the Duchess speak in one voice when they predict the usurper's demise and Richmond's messianic arrival. If, individually, the effect of their words may be minimal, together, as an ominous ancient chorus, uttering implacable sentences, the women achieve as much as swords on the battlefield: "Queen Elizabeth: My words are dull. Oh, quicken them with thine!/ Queen Margaret: Thy woes will make them sharp, and pierce like mine" (IV.4.124-125). The Duchess' role is the most private, in the sense that, not only is she shown in the company of children, borrowing the static properties of the domestic objects around her, but she also speaks of the

memory of the utterly feminine act, birthgiving, when she deplores having brought her youngest son, now a monster, into this world. The two scenes in which all the women are united against one man are strategically placed before the two most important moments in Richard's biography: the moment when he proclaims himself king and the battle of Bosworth, when he is defeated by Richmond, the future Henry VII.

If three women join forces to curse one man, this man is always presented as standing alone against everybody else, whether it is the women at home, the citizens of London who need persuading to accept him as king, or the soldiers who need encouraging to follow him in battle. Richard appears first in front of the citizens of London, to announce his claim to the crown, a process in which visualization is essential. The watchers see the central body (Richard's) in front of them, framed by two bishops and holding a Bible in his hands. These symbols are meant to amplify his presence and authorize his public persona, but, at the same time, they make the event look more like an election campaign than as a solemn medieval ritual in which the Salic Law is applied, the next rightful king being hailed after the death of his predecessor. Interestingly, though, Richard is shown standing alone in front of the citizens, as King John and King Philip were standing at the gates of Angiers in *King John*. Even if he seems equally empowered, our historical knowledge of the events prompts us to see his public figure as losing all real and symbolic power. Recent revisionist history has indicated that the last Plantagenet king was grossly slandered by Tudor historiography, the exaggerated negative light in which he was shown by chroniclers and playwrights (Thomas More and Shakespeare among them) serving the purpose of giving more legitimacy to the Tudors' claim to the English throne (Jones 2014). Ricardian scholars had advanced the hypothesis that the monarch was not as villainous and as ugly as we see him on the Elizabethan stage, long before his body was finally found, five centuries after the battle of Bosworth, in the ruins of an old priory in 2012 (Carson et al. 2014). The archaeological findings have revealed that Richard was not hunchbacked and lame, but, more importantly, that he had been murdered with a lethal blow on the back of his head, his corpse had been mutilated beyond recognition and buried hastily with no coffin, in a secret place.

Consequently, Richard standing alone against everybody takes a more serious overtone than the mere technicality of the performance. Alone against the three wailing queens (one of them his own mother), alone in front of the citizens of London (who make him king but then are eager to forget him and kneel in front of a new ruler), Richard also remains alone in the final act of the play. His oration to the soldiers before the battle doesn't take the exemplary solemnity the exhortation had in *Henry V* and also shows him lonely against an army which is about to betray him and fight under Henry Tudor's flags. At the climax of the battle scene, his confrontation with Richmond is not the ritualized single combat, fair and customary, but a hopeless charge that ends in slaughter. Knowing that the historical figure was actually robbed of the right that was his by divine appointment, the permanent solitude the king is exposed to, in both private and public scenes, rings a sad note.

7. Conclusion

The paper started from the cultural and feminist theories which capitalize on the projections of early modern space as strictly segregated in terms of gender.

Thus, while the public space is masculine, with very few exceptions, and populated with male professions and priorities, the private, domestic space is traditionally feminine gendered, characterized by an intimacy or, conversely, a conviviality which belong to the female spectrum by definition. While conventionally this observation is true, I argued that, in the case of Shakespeare's historical plays, the usual gender-genre continuum is interrupted. Since history is public by definition and historical plays are meant to be fiction deriving from public records, a shift of focus towards privacy can be considered rewarding, because it includes "herstory", female actors behind the scenes, but also because it presents the male protagonists in a less schematic, more nuanced and humanized manner.

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NO PERFECT HEROES. REVISITING THE HEROIC IDEAL IN MANGA SHAKESPEARE *JULIUS CAESAR*

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Abstract: *In recent years manga has become a widely appreciated form of graphic adaptation of Shakespeare's highly complex works into pop culture. Domesticated in the western world, manga adaptations of Shakespearean plays make them more accessible to younger generations and offer readers a sense of immediacy that the written text alone cannot challenge. This paper explores the ways in which two western manga transmediations of Shakespeare's* Julius Caesar *offer several (conflicting) perspectives on what makes a man a hero, while also playing with black/darkness and white/light and numerous shades of grey. Heroic conventions and virtues such as dignity and honour, courage and bravery, self-discipline and social responsibility are revised not only by Shakespeare himself, but also by the manga artists in agreement with the medium's requirements and with their own understanding of the heroic.*
Keywords: *hero, Julius Caesar, manga, Shakespeare, virtue*

1. Introduction

1.1. What makes a hero?

Although the concept of hero has changed over generations, it is still generally associated with masculinity, bravery, and admiration (cf. *Oxford Dictionary* 2019), courage and outstanding achievements (cf. *Cambridge Dictionary* 2019), (semi-)divine origin, nobility of purpose, risk-taking and sacrifice for others (cf. *The Free Dictionary* 2019). In short, the hero is an ideal man who is other-oriented and willing to sacrifice for a higher cause.

Historically, there are two main approaches to heroism before Shakespeare's time (cf. Norman 2003). For the classical age, the works of Plato, Aristotle and Marcus Aurelius postulate that heroism is the privilege of the few, who are of noble birth – either royal or divine – as well as virtuous, gathering together a series of outstanding characteristics such as courage, pride, honour, justice and magnificence. The classical hero performs extraordinary deeds, fights for honour and glory, undergoes physical suffering, and dies an unusual death in combat. Most importantly, however, the classical hero also has a tragic flaw that will eventually lead to his downfall. On the other hand, the Middle Ages transmute the hero into the Christian knight, who is of common birth but high morals, chaste and loyal, obedient to codes of conduct and chivalry. For the medieval knight, battle is an ongoing test of valour and manhood, as well as proof of his abidance by higher principles.

Taking us on a historical journey through the characteristics of the ideal man – a precursor of the heroic model – from the Greek and Roman times up to Shakespeare's Renaissance, Marta Gibinska (2019) records as crucial traits dignity

(first mentioned by Cicero), stoicism, reason (as part of the Christian ideal that man was "made in God's image"), as well as military or political virtues (demonstrated on the battlefield or in the public arena such as courage and bravery, high-mindedness).

1.2. What is a hero in manga?

Japanese manga (and anime too, for that matter) – which has soared in the latter half of the 20th century in Japan with the works produced by such skilled artists as Osamu Tezuka – focuses not only on the male or female hero/protagonist's actions, but more so on his/her motivation, commitment to the cause, and altruism (Levi 1998: 69-70). Tracing the Japanese influence on modern American superheroes, Antonia Levi (1998: 70-71) explains how Tezuka brought a significant update to the modern hero, who is no longer 'pure' (i.e. easily categorizable and, consequently, bidimensional), but complex, flawed, and subject to moral ambiguity. In other words, we may talk of a return to Aristotle's concept of the tragic hero, whose "dignity is located in spiritual and physical courage", but whose high-mindedness or greatness is put to the test (Gibinska 2019).

In the Japanese tradition, heroism is separate from ideology and victory. In both manga and anime, heroism is internal; heroes must be honest and selfless even though their cause turns hopeless (Levi 1998: 72). What matters most is the purity of the hero's heart and intentions. Furthermore, Levi (1998: 72-76) also identifies three types of male heroes in Japanese manga and anime: predictably, there are warrior heroes who selflessly fight for a good cause, and ordinary heroes whose heroism lies in their remaining true to themselves, the focus being more on their efforts and commitment to the task rather than the prestige associated with its importance or success; finally, the most complex of all is the enemy-hero, whose actions may contradict the purity of his motives and who embodies a more extreme form of the hero's flaw, which encourages complex emotional responses in readers (Levi 1998:76).

Scholars have paid increasing attention to manga in recent years, not just as a new medium of adaptation of canonical texts, but more as a global phenomenon, arguing for the domestication (or appropriation) of manga in the western world (cf. Brienza 2015: 3). Manga adaptations of Shakespeare's plays have caught the interests of aficionados not only of highbrow literature, but also of pop culture, coming to represent the newest form of (literally) showing Shakespeare and making his work approachable for the younger generations, who prefer a more immediate visual experience to ordinary text reading and who are less patient to go through the whole process presupposed by attending a live theatre performance (buying a ticket, queuing to enter the theatre, watching the play for two or three hours sometimes without intermission).

What this paper does is explore the different perspectives on heroism in Shakespeare's *Julius Caesar*, as they are conveyed in two manga transmediations, more specifically *Manga Shakespeare: Julius Caesar*, a British version edited and abridged by Richard Appignanesi, and *Shakespeare's Julius Caesar. The Manga Edition*, an American version coordinated by Adam Sexton, both of which were published in 2008 and are part of larger series. In short, the focus will be divided between Shakespeare's double approach to this complex notion and the more contemporary visual imagery, derived from the manga artists' understanding of the heroic.

2. Shakespeare's (counter-)heroes

William Shakespeare is known to play with such complex notions as 'hero' and 'heroism', on which he offers different – if not conflicting – perspectives. Investigating Shakespeare's deconstruction of the Renaissance ideal of man, Marta Gibinska (2019) argues that the Shakespearean hero falls short of the ideal man, since neither his "socially noble status", nor his "outstanding military achievements" "guarantee [his] dignity, or nobility of spirit, or enhanced intelligence, or elevated moral understanding." Discussing examples from various tragedies and Roman plays, Gibinska further explains that what the outstanding Shakespearean characters show is "*some* greatness rather than a complete set of virtues" (my emphasis), which is then tested through their actions, while the actual discourse tests the concept of heroism as an ideal.

Before proceeding to the analysis of Shakespeare's heroic examples in the Roman play *Julius Caesar*, let us first consider what a Roman hero is all about. Examining the concept of 'Romanness' in Shakespearean texts, Coppélia Kahn (1997: 14-15) identified "virtus" as its prime component, whose achievement both defines and drives the masculine hero; this hero tests his masculinity against a male rival whom he emulates first "by imitating [him] as a mirror-image of an ideal self, and [then] by competing against [this rival] with the aim of excelling and dominating" (idem: 15). Romanness thus comes to be associated with a set of virtues that include masculinity, rivalry, courage, honour, and – in *Julius Caesar* – republicanism too, read as "the political philosophy of Roman aristocracy" (Chernaik 2011: 80).

Deriving from the Roman code of honour, suicide was, for Shakespeare's audience, another core constituent of Romanness (Kahn 1997, Braden 2014), which relied on the ideology of masculinity. Investigating the ethics of suicide for the English Renaissance audience, Braden (2014: 42-43) argues that a significant distinction should be made: on the one hand, there are heroic suicides (read as noble, honourable deaths in the Roman tradition), which are defiant in tone, can be paralleled to self-martyrdom and occur *on* stage, while, on the other hand, there are suicides as acts of despair and self-destruction that usually occur *off* stage. This "virtue in the face of death" (idem: 48) demonstrates a greatness of the soul which the noble suicide involves, and made Romans almost enviable to Christians; moreover, it is also one of the reasons why suicide appears in Shakespeare's Roman plays repeatedly, memorably, and with unusual rigour (idem: 37).

Shakespeare's *Julius Caesar* makes no exception to the arguments above, singling out no less than three outstanding characters – Brutus, Caesar, Mark Antony –, all of whom eventually do not measure up to the heroic ideal. Although the actual word "hero" never appears in the play, the concept is associated with other key terms such as "Roman" (used 17 times), "noble" (and its variants "nobly" and "noblest", 43 times), and "honour(s)" or "honourable" (34 times).

Warren Chernaik (2011: 79) writes that, throughout the play, the word "'Roman' is a highly charged term, implying possession of moral qualities – constancy, fidelity, perseverance, self-discipline, respect for tradition, a sense of honour – or a claim that others lack such qualities." The overall implicature is that the term "Roman" comes just shy of equating "hero". Also, when Brutus meets the other conspirators to make plans (II.1), he lists the Roman qualities, which include truthfulness to one's word, honour, and freedom. The implication of his speech is that the conspirators' cause is just, their motivations honest, disinterested and bent on the welfare of the larger community, "the good of Rome" (III.2.1580).

Of the three examples of heroes mentioned above, Brutus is the most obvious one, as he initially demonstrates both a gentle nature and high-mindedness, i.e. purity of purpose. Although both Caesar and Mark Antony provide counter examples of heroism, it is Brutus as a manga hero who represents the main focus of this paper. His integrity and social nobility are highlighted through the many uses of the adjective "noble", associated either with his actual name (10 times), or with a noun describing family or social ties: "noble brother" or "noble master".

The analysis is divided into three key scenes that always present him in relation to a foil character/hero. First, Brutus's soliloquy in II.1 explores his nobility of heart and intelligence in contrast to Caesar's, as Brutus questions both Caesar's ambition to become emperor and – much like Macbeth – his own reasons to kill Caesar. The soliloquy emphasises the situation, which has come to alarm others, by which Caesar wants to be more than just a man. In I.2, Cassius compares Caesar to a proud and triumphant Colossus, whose greatness leaves no room for others' and for whom the known world is no longer enough: "he doth bestride the narrow world/ Like a Colossus, and we petty men/ Walk under his huge legs and peep about/ To find ourselves dishonourable graves" (I.2.226-229). This graphic image provides an emotional insight into the fears that Caesar's dictatorship poses to the Roman way of life and suggests the necessity of action. Moreover, Casca's account of Caesar's refusal of the crown as a play-act, followed by Caesar's offering his own throat/life to the populace, emphasises "Caesar's adopt[ion] of the classic posture of the selfless hero offering his life to his people, only for them to assure him that he must live." (Roe 2004: 174-175)

Second, Brutus's speech to the crowd in III.2 (in contrast to Mark Antony's) constructs Brutus as a hero at the peak of his glory, as he publicly acknowledges his murder of Caesar in order to save the Republic of Rome. On the discursive level, Shakespeare provides here two perspectives on the heroic: on the one hand, Brutus presents himself to the people as a hero who has managed to save his noble ideal – the preservation of the republic – but on the other hand, in order to achieve that, he commits murder. For him, one man's death means freedom for the many, which he favours above personal friendship and loyalty, but which will also entail his downfall. Like Caesar, Brutus too offers his life to the people, only to be reassured that he is vital to the common good. Nevertheless, he demonstrates a "lack of tactical awareness" (Roe 2004: 182) by first sparing Mark Antony and then, just as the crowd openly appreciates his exploit and offers him the crown, by allowing Antony to speak on Caesar's behalf. Casting himself as a heroic avenger, Antony highlights the brutality of the murder, swinging the crowd over to his side in a "rhetorical triumph" (idem: 181) over Brutus. Antony's success is 'rewarded' with the mob's frenzy and bloodlust, resulting in the immediate murder of Cinna the poet.

Finally, Brutus's suicide and subsequent public praise in V.5 (in contrast to his wife Portia's in act IV) present his death as noble and heroic, the last act of defiance, as he does not want to be paraded around Rome like a defeated loser: "I shall have glory by this losing day/ More than Octavius and Mark Antony/ By this vile conquest shall attain unto" (V.5.2714-2716). Although Brutus is guilty of murder, his cause remains just, and even his former enemies (Mark Antony and Octavius) eventually regard him as "the noblest Roman of them all" (V.5.2754); in other words, Brutus's condition can be summarized as "paradoxical", "both noble and doomed" (Roe 2004: 182). In contrast to his wife Portia, whose suicide by swallowing fire is briefly reported and easily dismissed, Brutus commits suicide by

proxy, in the sense that he requests a minor soldier Strato to hold his sword while he runs into it.

It is also noteworthy – albeit outside the scope of the present paper – to mention here that recent criticism (cf. Tronicke 2018: 54-55) has interpreted Portia as Brutus's heroic female counterpart, who chooses to wound herself (cf. her thigh injury mentioned in II.1.928) in order to prove not only her stoicism, but also her inner 'warrior' by association with the two powerful male figures in her life, i.e. her father and her husband; in short, Portia's self-inflicted wound and later suicide also connote noble, heroic Romanness.

3. The manga versions of *Julius Caesar*

A few words should be said about the ways in which the manga transmediations approach the play. In terms of setting, the American version (*Shakespeare's Julius Caesar. The Manga Edition*) is more faithful to the original, keeping the plot in ancient Rome, where the characters wear simple tunics and/or togas. The frames are regular and rectangular, which generally suggests the readers' emotional detachment from the plot. The occasional irregular panels, or a character's hand reaching out of the frame, convey a break in the rhythm and an invitation to the reader to share the character's drama. Comparatively, the British version (*Manga Shakespeare: Julius Caesar*) recontextualises the plot, moving it to a more futuristic, martial metropolis, where men wear military outfits made up of trousers and long jackets, and accessorised with helmets, goggles and fire weapons; the characters travel by motorcycles and there are helicopters monitoring the crowds. Unlike in the American version, here the frames are mostly irregular in size and shape, which conveys a variety of emotions, pulling the reader directly into the characters' turmoil.

Although drawn in black and white – as is the manga tradition – these transmediations are contrasted visually not just through the drawing styles used, but also through the range of dark shades used. Whereas the American version features a wide range of greys that set out the occasional whites and blacks, the British manga more clearly contrasts light/white with darkness/black, suggesting the characters' ambivalence, their (re)positionings on one or the other side of virtue, honour, and morality. Furthermore, in terms of the text and image complementarity, in the American version the text features only minor cuts and seems to compete with the images for page space, whereas in the British version, the text is much abridged, allowing the images to 'speak' more.

The cover of the American version captures in a nutshell the dramatic moment of Caesar's assassination, which gives the play its bipartite form. Caesar's distress is obvious as he falls backwards, a bloody knife in the middle of his back, his red right arm reaching towards the gloating face of Cassius flanked by Brutus, whose face is hidden behind his knife-holding hands, and one other determined and gloating conspirator. To the right, two more knife blades seem to be coming straight from the reader's fingers as s/he holds the book to read it, making him an accessory to the murder.

Contrastingly, the British version focuses on the visual metaphor of a crucified-like colossus, which reappears four times throughout the manga: firstly, as a graphic representation of Cassius's verbal comment; secondly, as Caesar's celebratory statue at the moment of the crown offering in Casca's account; thirdly, in Calpurnia's dream of people bathing their hands in Caesar's blood; and finally,

on the last page, the face of the crucified colossus is just slightly altered to represent Octavius as the new Caesar. Fascinating (although ambivalent) additions are, on the one hand, the visual references to Christ's crucifixion, which casts Caesar as a martyr rather than the ambitious tyrant the conspirators construct him to be, and on the other hand, the serpents winding on the statue's arms, suggestive at the same time of Caesar's ambition, which would lead to the destruction of the republic, but also of the conspiracy.

3.1. "A son of Rome" (I.2.264). Brutus's soliloquy (II.1)

Before starting the actual analysis, a few words should be said about Brutus's appearance. The American manga presents him as a tall thin man with short hair and a stubble beard; he wears a simple grey tunic tied with string at the waist, an image which suggests simplicity and reminds readers of a martyr, a Christ-like character. By contrast, the British manga shows Brutus as a warrior, whose face is weather-beaten and scarred and whose outfit recalls a military uniform, over which he wears a belted ankle-long trench coat, with many pockets and distinguishing symbols such as spangles or a stylized skull.

The scene is covered by the American version in one page divided into four frames, creating an overall impression of detachment because of the macros (large frames) and monos (frames featuring one character) used. The speech bubbles mostly cascade into one another, suggesting the fluidity of the character's thoughts and the conclusion that Caesar needs to be killed. By comparison, the British version covers the scene in two pages split into eight frames, of which two are macros and the others are close-ups of either Brutus or the serpent he refers to. The general feeling is that of immersion into Brutus's innermost thoughts, experiencing with him the tension before a crucial decision-making moment.

Below is a summary of the scene as it is rendered in the two manga transmediations.

<table>
<tr><th colspan="2">American version: Shakespeare's Julius Caesar. The Manga Edition (2008:35, emphasis as in the original)</th><th colspan="2">British version: Manga Shakespeare: Julius Caesar (2008:46-47)</th></tr>
<tr><td rowspan="2">Frame 1</td><td rowspan="2">Brutus (standing in his garden, his right hand pensively lifted to his mouth, while his left hand is raised in a protective gesture to his stomach): It must be by his death – and for my part, I know no personal cause to spurn at him, but for the general:
He would be crowned.
How that might change his nature – there's the question. It is the bright day that brings forth the adder, and that craves wary walking.</td><td>Frame 1</td><td>Brutus (absent from the frame; close-up on a hissing serpent): It must be by his death.</td></tr>
<tr><td>Frame 2</td><td>Brutus (still absent from frame; close-up on the hissing serpent's head): He would be crowned.
How that might change his nature, there's the question.</td></tr>
<tr><td>Frame 2</td><td>(heavy clouds are gathered over the top of Brutus's house)</td><td>Frame 3</td><td>Brutus (still absent from the frame; extreme close-up on the serpent's eye): It is the bright day that brings forth the adder.</td></tr>
</table>

Frame 3	Brutus (eyes tightly shut, arms crossed over his chest as if in pain): Crown him that, and then I grant we put a *sting* in him that at his will he may do danger with. And therefore…	Frame 4	(macro frame of Brutus standing in an open door; there are cracks in the wall next to it) Brutus: Crown him? Then, I grant, we put a sting in him.
Frame 4	Brutus (unnerved, half-rising from near a climbing plant, seems to have noticed something disturbing underneath): …Think him as a *serpent's egg*, which, hatched, would, as his kind, grow mischievous… …and *kill him in the shell*.	Frame 5	(low-key macro frame of Brutus who looks as if bending towards the dark silhouette of the serpent) Brutus: To speak truth of Caesar, I have not known when his affections swayed more than his reason.
		Frame 6	(close-up on a serpent's egg)
		Frame 7	(close-up on the serpent's egg as it hatches; Brutus's speech bubble expands over this and the previous frame) Brutus: But think him as a serpent's egg, which hatched would grow mischievous – and kill him in the shell.
		Frame 8	(larger, aerial frame of Brutus crouching and holding his head with both hands)

In terms of words, the American version italicizes keywords in Brutus's soliloquy, which are meant to summarize his train of thought. By contrast, the British manga retains the essential sentences of the inner argument, indicative of cold reasoning, which are then complemented by the representation of evil, i.e. the serpent and its egg.

It must also be mentioned that, in the American manga, the character's inner turmoil is shown externally by the cloudy sky in frame two, while the serpent is not visually present but merely suggested by Brutus's scared face in the last frame. Brutus's possible sight of an adder hiding under the lily becomes a visual metaphor linking this character to another famous Shakespearean murderer in the making, Macbeth. As if following a piece of advice that Lady Macbeth would urge onto her husband, Brutus will from now on act "like the innocent flower but be the serpent under't" (*Macbeth*, I.5.421), 'biting' a friend who has trusted him.

Comparatively, the British version emphasizes the atmosphere of tension and threatening evil with three frames focused on the hissing serpent against a blank background. The only frame depicting some background is the fourth one, showing Brutus in a doorframe. The fissures in the wall are symbolic of Brutus's faulty judgment: his reasoning (much like Macbeth's before killing Duncan) cannot find sufficient cause for murder other than ambition. Two more frames (5 and 8), showing Brutus first in a low-key and then in an aerial frame, both times askew,

further contribute to this mistaken reasoning. Brutus's crouching position in the last frame vividly shows his inner despair and the difficulty in making his decision.

Moreover, the soliloquy is enriched by added symbolism, such as the lily flowers in the American version, and the actual serpent in the British manga. Whereas the lily stands for Brutus's purity of purpose, his overriding principle of "good for all", the serpent is a graphic representation not only of Caesar's ambition, or the murderous thought nascent in Brutus's mind, but also a vilification of Caesar himself as evil incarnate.

3.2. Mark Antony, "a limb of Caesar" (II.1.785)

When Antony reappears in III.1 (after a brief intervention in I.2), he provides an alternative to Brutus's heroism not just in terms of physical appearance, but also as moral stance. In the American manga (Shakespeare, Sexton and Park 2008: 80), Antony reenters the stage dressed in a senator's robe and toga, commanding attention and deference, but his outfit changes dramatically once he notices Caesar's body: he becomes a Hollywood-like hero, showing off his muscular body in nothing else but a simple white skirt and metal wrist cuffs. Antony's skimpy outfit calls to mind the image of an individualized gladiator, i.e. a handsome victor in the arena, embodying the essential qualities that make a combat hero, such as strength, courage and honour. This is assimilated to our contemporary obsession with superheroes through the loincloth that seems to expand behind him, like Superman's cape, which – together with his body posture and arms position – showcase his outrage and demand the reader/viewer's full attention.

By contrast, the British version (Shakespeare, Appignanesi and Mustashrik 2008: 97) keeps Antony's individual identity hidden (his face is not visible to readers), letting his public role of soldier take centre stage; he is the military hero characterized by strength, prowess and bravery. Antony carries four swords on his back, while the visor meant to protect his eyes is always in place, suggesting that he is always on guard and ready to fight. Unlike in the American manga, where he is shown standing scandalized at Caesar's murder, the British manga has us first see Antony kneeling beside the body of Caesar, mourning a leader killed in an unheroic, demeaning way, far from the battlefield. Although Antony offers himself up for murder, in a sort of self-martyrdom (similar to Caesar before him, and to Brutus afterwards), the overall impression is that he is gradually constructing himself into an avenger, whose heroic mission is to punish Caesar's butchers. "[T]he limb of Caesar" (II.1.785) will launch his revenge with the speech given at Caesar's funeral.

It is also noteworthy that the British manga makes the scene of Caesar's murder relevant in two ways: it not only leads to Brutus's "losing all greatness" (Gibinska 2019) and becoming an enemy-hero (cf. Levi 1998: 76), whose high-mindedness and purity of motive are contrasted by the means chosen to achieve the goal, but it also changes the readers' perception of Caesar (Shakespeare, Appignanesi and Mustashrik 2008: 105). Before he was slain, Caesar seemed to have animalistic features (looking like a horned man), but readers now realize that he had been wearing a crown of sorts all along; this horned crown symbolizes at the same time Caesar's unnatural ambition to become emperor and the fact that he was already behaving like a dictator (having symbolically crowned himself), which only comes to justify Casca's perception of the public crown offer. Moreover, the bloody improvised crown, abandoned in the Senate hall next to a blood-stained

sword, also recalls Christ's thorn crown and visually suggests that Caesar too was wrongfully sacrificed.

3.3 "[B]ut that I loved Rome more" (III.2.1555-1556). Brutus's speech to the crowd

Having already made a tactical mistake in sparing Antony, Brutus is about to make another. The second scene of Act III contrasts these heroes in terms of rhetorical skills, with the obvious triumph of Mark Antony. The American manga covers the speech in two pages only and 12 frames (of which macros of the crowd dominate), whereas the British version allocates it 16 frames (constantly shifting between Brutus's high and the crowd's low perspective) spreading over five pages. Below is a summary of Brutus's speech as it is depicted in the two manga transmediations.

<table>
<tr><td colspan="2">American version: Shakespeare's Julius Caesar. The Manga Edition (2008:86-87, emphasis as in the original)</td><td colspan="2">British version: Manga Shakespeare: Julius Caesar (2008:109-113)</td></tr>
<tr><td>Frame 1</td><td>(a small close-up of Brutus's head as he addresses the crowd)
Brutus: Romans, countrymen and lovers! Hear me for my cause, and be silent that you may hear.</td><td>Frame 1</td><td>Brutus (close-up on his determined face): Romans, countrymen! Hear me for my cause why Brutus rose against Caesar.
This is my answer.</td></tr>
<tr><td rowspan="3">Frame 2</td><td rowspan="3">(the previous frame overlaps with this macro frame of the Senate house and its steps, a large crowd gathered in front; Brutus's small figure, surrounded by five other senators in the middle of the steps)
Brutus: If there be any in this assembly, any dear friend of Caesar's, to him I say that Brutus' love to Caesar was no less than his. If then that friend demand why Brutus rose against Caesar, this is my answer:
Not that I loved Caesar less, but that I loved Rome more.
Had you rather Caesar were living, and die all slaves, than that Caesar were dead, to live all free men?
As Caesar loved me, I weep for him –as he was fortunate, I rejoice at it--</td><td>Frame 2</td><td>(aerial macro of the colossus being pulled down by helicopters with the help of ropes)
Brutus: Not that I loved Caesar less, but that I loved Rome more.
Had you rather Caesar were living, and die all slaves, than that Caesar were dead, to live all free men?</td></tr>
<tr><td>Frame 3</td><td>(aerial view of the crumbled colossus, several people cheering, confetti flying around)</td></tr>
<tr><td>Frame 4</td><td>(large frame of Brutus, his left hand raised as a victor's, addressing a large crowd from a high vantage point)
Brutus: As Caesar was valiant, I honour him; but as he was ambitious, I slew him.
Who is here so vile that will not love his country?
If any, speak, for him have I offended.</td></tr>
<tr><td>Frame 3</td><td>(close-up of Brutus in profile, his left hand over his heart, his right hand large, half extended front and sideways, towards the reader)
Brutus: As he was valiant, I honor him –but, as he was ambitious, I slew him.</td><td>Frame 5</td><td>(close-up on two people in the crowd: a man's painted face as he shouts, a woman's smiling face as she holds her hands in front of her mouth as if in prayer)
A woman (joined by other voices in the crowd): None, Brutus, none!</td></tr>
</table>

Frame 4	(aerial macro frame of some people in the crowd, their faces confused) Brutus's voice: There is *tears* for his love, *joy* for his fortune, *honor* for his valor –and *death* for his ambition.	Frame 6	(extreme close-up on half of Brutus's face next to Antony walking in front of Caesar's coffin pushed by a servant) Brutus: Then none have I offended.
Frame 5	(larger frame of people in the crowd, looking upwards in surprise) Brutus's voice: Who is here so *base* that would be a bondman? If any, speak – for him have I offended. Who is here so *rude* that would not be a Roman? If any, speak – for him have I offended.	Frame 7	(macro frame of the stone vantage point with Brutus, Caesar and Antony on top, surrounded by the crowd) Brutus: Here comes his body, mourned by Mark Antony, who had no hand in his death.
Frame 6	(close-up of Cassius's gloating face in semi-profile) Brutus's voice: Who is here so *vile* that will not love his country? If any, speak – for him have I offended. I pause for a reply.	Frame 8	(close-up of Brutus's and Mark Antony's lower faces and chests; Brutus holds up his dagger; behind Antony, the servant is arranging the coffin) Brutus: I have the same dagger for myself, when it shall please my country to need my death.
Frame 7	(macro frame of the crowd; extreme close-up of two faces in the foreground) The crowd (shouting passionately): **None, Brutus, none!**	Frame 9	(low-key macro frame of dark arms reaching towards the white pedestal where Brutus stands; banners being waved)
Frame 8	(macro frame of Brutus on the steps, his arms half spread to mark his speech; in the background Antony and a servant carry in Caesar's body) Brutus: Then none have I offended. *I* have done no more to *Caesar* than *you* shall do to *Brutus*. Here comes his body, mourned by Mark Antony – who, though he had no hand in his death, shall receive the benefit of his dying, a place in the commonwealth – as which of you shall not? With this I depart – that, as I slew my best lover for the good of Rome, I have the same dagger for myself, when it shall please my country to need my death.	Frame 10	(large frame of the sun shining over a rough sea) The crowd: Live, Brutus! Live!
		Frame 11	(close-up on a shouting man's half face in semi-profile) Bring him with triumph home!
		Frame 12	(close-up on another man's face, half-smiling, his eyes covered by sunglasses) Give him a statue with his ancestors!
		Frame 13	(close-up of an androgynous human, his eyes covered with aviator's goggles, as he looks upwards and to the left) Let him be Caesar!
Frame 9	(macro frame of Brutus in close-up, the forum pillars, the crowd and the Senate house in the background) The crowd: **Live, Brutus! Live, live!**	Frame 14	(macro frame of Brutus, Antony, the servant and Caesar's coffin drawn as dark silhouettes on the vantage point

Frame 10	(macro frame of the people in the crowd shouting imploringly, their speech bubbles raising into the previous frame above) First citizen: Bring him with triumph home unto his house! Second citizen: Give him a statue with his ancestors! Third citizen: Let *him* be Caesar!		against a windy/turbulent background) Brutus (his arms spread outside, in a crucified-like position, his speech bubble overlapping with the next frame): Good countrymen, for my sake, stay here with Antony, and grace his speech which Antony, by our permission, is allowed to make. I do entreat you, not a man depart, save I alone, till Antony have spoke.
Frame 11	(larger frame of Brutus and Mark Antony; Brutus's right hand gestures towards the crowd frame next to it, while his left hand is on Antony's shoulder, introducing the next speaker) Brutus: Good countrymen, let me depart alone – and, for my sake, stay here with Antony.	Frame 15	(frame almost identical as above, but there is more distance from the viewer, as Brutus leaves, his arm raised in goodbye)
		Frame 16	(same frame as above, showing Brutus moving away from Antony, the servant and Caesar's coffin)

In terms of language, the American manga again emphasizes words that are in sharp contrast both in Brutus's characterization of Caesar (e.g. living vs. dead, valiant vs. ambitious) and in the description of true and free Romans (e.g. base, rude, and vile). An intruding frame here shows us an evil and gloating Cassius as orchestrator, just as Brutus – the spokesperson for the cause – pauses so people can absorb the impact of his words. Moreover, the crowd's verbal reactions to Brutus's questions are bolded to make the short replies stand out even more and to firmly reassure him of the righteousness of the act.

As regards the British version, it again reduces the speech to the core of Brutus's argument and lets the images fill in the blanks. A key moment here is the demolishing of the colossus representing Caesar, just as Brutus begins his speech. Visually, the fall of the would-be-dictator's statue foreshadows the crumbling of Brutus's ideal of freedom and republicanism that will follow a mere few minutes afterwards, once Antony is given the floor. Overall, the most exciting aspect of the scene is that the frames constantly change perspective (aerial or high-key vs. low-key) and move from Brutus to specific faces of people in the crowd, whereas the crowd itself – shown only from above – is a dark mass gathered around a thick pedestal-like pillar from which Brutus speaks.

In terms of clothing and general demeanour, the American version renders Brutus as a Christ-like figure, in his simple string-tied tunic, his arms outstretched towards the crowd in a rather apologetic gesture, as he defends his love of Rome over friendship and the Romans' freedom over tyranny. Contrastingly, the British manga shows Brutus as a tough rebel/soldier, whose open long trench coat suggests he is opening his heart to the people, while his raised arm in the victor position casts him as 'the hero of the day', much deserving the heroic treatment suggested by several in the crowd: a triumphant return home, a statue, as well as the title of Caesar. Another key frame here (number nine above) plays on the self-martyrdom offer (the third one in the play) which Brutus now makes to the crowd and which the manga artist turns into a visual metaphor: the low-key frame brings the

viewer/reader in the middle of the crowd, as many arms reach out towards Brutus high up on the pedestal that looks like a sword blade. This frame again foreshadows the change in Brutus's situation as Antony is allowed to speak.

3.4. "The noblest Roman of them all." (V.5.2754) Brutus's suicide (V.5)

Suicide is meant to provide Brutus with the honourable, heroic death he could not get in battle; it is his way of preserving virtue and proving himself a true Roman. However, in contrast to his wife Portia's suicide, Brutus needs another man's assistance. I would like to argue that Strato's presence is meant to validate Brutus's death as honourable and heroic, since he will be able to later inform Mark Antony and Octavius about it. Whereas a woman's death (be it by suicide or not) may not be relevant in the public space, a man's witnessed suicide testifies to his (Roman) virtues, such as honour, courage, and nobility. Furthermore, Strato is representative of the entire Roman population to whom Brutus previously offered his life in a symbolic act to legitimize his cause and action.

The American manga pays a lot of attention to this moment, rendering it in minute detail over eight pages and 32 frames (mostly extreme close-ups of Brutus's body parts and only three macros that highlight the intensity of the moment). Moreover, out of these many frames, only three include speech bubbles conveying the verbal exchange between Brutus and Strato, while the rest focus on Brutus preparing to make his request (four frames), Strato's hesitation (eight frames), Brutus's running into the sword (ten frames) and his subsequent death (eight frames). The British version, by contrast, depicts the scene in only two pages divided into seven frames (three larger ones and four close-ups, of which one allows readers access into Brutus's thoughts, as he breathes his last breath).

Below is a summary of the scene as it is rendered in the two manga transmediations.

American version: *Shakespeare's Julius Caesar. The Manga Edition* (2008:166-173)		British version*: Manga Shakespeare: Julius Caesar* (2008:200-201)	
Frames1-3	(forming a triptych, these three frames show a clos-up of Brutus's chest, dressed like a Roman soldier, as he prepares to pull the sword from its scabbard; the frame to the left shows a young and surprised Strato, his left arm raised to his chest, his right reaching towards Brutus; the frame to the right is an extreme close-up on Brutus's left hand clenched on the hilt of the sword; the background in all three is a starry night sky)	Frame 1	(close-up on the head of child-like Strato, his eyes covered by a cloth, and Brutus's upper body as he holds the knife in front of Strato; the background suggests turbulent wind or smoke) Brutus: I prithee, Strato, stay thou, by thy lord… Hold my sword, and turn away thy face, while I do run upon it.

Frames 4-11	F4 (extreme close-up on the central decoration of Brutus's chest armour) F5 (close-up of Strato's face looking sideways, as if trying to get out of an awkward situation) F6 (close-up of Brutus's right leg standing still in a grassy field while Strato's legs begin to move away) F7 (close-up of Brutus's right leg standing still as in the previous frame) F8 (close-up of Brutus's right leg standing still, while Strato's legs return close by) F9 (larger frame showing in close-up an imploring Brutus turning to speak to a disbelieving Strato; the background is a starry night sky) F10 (close-up of Strato's disbelieving face in semi-profile against the night sky) F11 (close-up of Strato's face looking down and to his right, as if asking for forgiveness; dark background)	Frame 2	(macro frame of Strato, his eyes covered by a bloody cloth (he seems to have lost his right eye), his teeth clenched, as he holds the dagger with both hands, while Brutus walks away, his back stiff) Strato: Fare you well, my lord. Brutus: Farewell, good Strato.
Frame 12	(close-up of Brutus's face looking downwards at Strato in the previous frame; dark background) Brutus: I prithee, Strato, stay thou by thy lord. Thy art a fellow of a good respect – hold then my sword, and turn away thy face, while I do run upon it. Wilt thou, Strato?	Frame 3	(macro frame of Brutus half hugging Strato, the blade having almost completely come out of his back, blood spluttering around; Brutus's fingers are clenched, his face sad and disappointed)
Frame 13	(larger frame, showing in close-up Strato's hands hesitantly holding the sword hilt, while Brutus's hands hold the tip of the sword; dark background) Strato: Give me your hand first. Fare you well, my lord. Brutus: Farewell, good Strato.	Frame 4	(extreme close-up of Brutus's scarred face in profile from the left, looking down as if to the frame underneath, his eyes sad) Brutus: Caesar, now be still. I killed not thee with half so good a will.

Frames 14-23	F14 (large frame of Brutus holding Strato's left hand with both of his, while Strato holds the sword with his right hand and looks in shock at his officer; white background) F15 (extreme macro frame covering two pages, showing Brutus from behind in semi-profile, as his body is pierced by the sword held by Strato, who looks sideways, open-mouthed with shock; blood splutters from Brutus's back and ~~occupies~~ takes the centre of the second page) F16 (close-up of a grassy field and a few blades of grass) F17 (close-up of the same grassy field as before, but blood dripping onto it) F18 (close-up of Strato's shocked face in semi-profile, Brutus's hand on his left shoulder) F19 (close-up of Brutus's sweaty face, looking determinedly ahead as he is about to fall) F20 (larger frame of Brutus's body, his arms moving towards his chest, his face contorted as if with laughter rather than pain; dark starry sky background) F21 (similar larger frame of Brutus as he begins to fall, three flames rising out of his head, his eyes round with astonishment) F22 (larger frame of Brutus falling, his face is no longer visible, his right hand reaching out towards the reader) F23 (larger frame of shocked Strato trying to hold Brutus's collapsing body)	Frame 5	(close-up of Portia's smiling face, her eyes bright, as if welcoming him; windy background)
Frame 24	(extreme close-up of Brutus's face from above, his eyes rolling back) Brutus: Caesar, now be still. I killed not thee with half so good a will.	Frame 6	(similar to frame 4 above; extreme close-up on Brutus's scarred face in profile, his eyes closed, his lips rounded, similar to his wife's above)

Frames 25-32	F25 (close-up of three white lilies and two hands reaching to pick them up) F26 (large frame, showing in close up a sketch of Brutus's face, his eyes rolled back, no mouth) F27 (large frame of Strato laying Brutus down on the grass, the sword stuck in the ground to the left) F28 (close-up of Strato's hand closing Brutus's eyes) F29 (close-up of Brutus's mouthless face) F30 (close-up of Brutus's upper body, his hands crossed over his chest and sword) F31 (close-up of Strato's hand placing a laurel wreath on Brutus's head) F32 (close-up of Brutus's head with the laurel wreath)	Frame 7	(macro frame of Brutus's body lying on the ground, face down, the top of his head towards the readers, his right arm reaching towards the reader; stars surround his corpse)

In addition to the number of frames depicting the scene, the most significant differences between the two mangas lie in the imagery used. Whereas the British version renders the scene in the daylight, the American manga has the scene occur at night, under a starry sky, in sharp contrast to Caesar's murder in daytime, with only the largest macro of Brutus running into the sword against a blank background.

Although Brutus invokes Caesar's spirit as he dies, both transmediations downgrade in different ways Brutus's honourable suicide, meant as a final act of defiance against Antony and Octavius. The American manga challenges Brutus's role as hero by providing two consecutive and contrasting perspectives: a silly, parodic one and a more traditionally heroic one. Thus, frame 26 depicts a silly sketch of Brutus's face as he breathes his final breath, eyes rolling backwards and no visible mouth. It is significant that two subsequent frames (31 and 32 above) show Brutus crowned with a laurel wreath, while another frame (30) depicts him like the tomb effigy of a knight: his hands crossed over his sword lying on his chest like a symbolic cross. Classic symbols of heroism, both the laurel wreath and the tomb effigy come in sharp contrast with the sketched, parodic death mask frame on the previous page, in a visual representation of the conflicting perspectives on Brutus's role as enemy-hero. Moreover, frame 25, showing three white lilies and two hands reaching to pick them up, may suggest the purity of Brutus's motive as well as (Christian) virtue. It is also important that the last five frames feature a mouthless Brutus, suggesting that his Romanness – and ultimately his glory – depend on those who will tell his story.

Contrastingly, the British version associates Brutus with Portia (and her own suicide for that matter), which feminizes him, causing him to lose some (if not all) greatness. Feminisation occurs not only by association, but also by Brutus's borrowing facial features from Portia's frame: his scarred cheek sharply contrasts with her full round lips that seem copied onto his face. The last frame of Brutus's corpse reaching as if out of the page seems not only an imploring gesture (of

forgiveness? help? welcome?) addressed to Portia, but also a dramatic farewell to his lost ideal as well as to the viewer/reader. It is also compelling that the body is surrounded by stars, simultaneously indicative of the shattering of Brutus's highest ideal and of the hero-worthy funeral he is 'rewarded' with.

4. Conclusion

Caesar, Antony, and Brutus, all take turns posing as classical heroes, offering their lives to others in symbolic self-martyrdom, meant to validate their respective causes: the crown, revenge, freedom. Starting out as the most obvious Roman hero, with "the common good of all" at heart, noble Brutus turns into an enemy-hero once he becomes a murderer. His victor's speech and heroic treatment that the crowd initially wants to grant him are challenged once Mark Antony manipulates the masses into regarding Caesar's killers not as honourable heroes of the republic, but as cold-blooded butchers of a beloved leader. Aiming to avenge this brutal death, Antony constructs himself as a counter-hero – or another enemy-hero – whose goal is to set things right again, irrespective of the means. Although it is Antony who orchestrates Caesar's revenge, his heroic mission is frustrated by Brutus's suicide.

If Shakespeare once again demonstrates that human nature is complex, that there are no perfect heroes, both manga transmediations analysed here further add to his conflicting perspectives on heroism. Whereas Shakespeare challenges the heroic ideal particularly by contrasting Brutus and Antony, their motives and actions, the mangas further engage it visually, either by caricature or by feminization, particularly in relation to Brutus. Despite this, however, Octavius and Antony – the heroes who save the day by repairing a wrong done to Rome – can afford to be generous and grant Brutus honours befitting "the noblest Roman", thus ultimately acknowledging his overarching Romanness and high-mindedness. In short, it may be said that heroism is an ideal towards which all men aspire but in relation to which they are found wanting.

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THE BEAUTY OF THE WORLD AND THE QUINTESSENCE OF DUST: SHAKESPEARE'S DECONSTRUCTION OF THE RENAISSANCE IDEAL OF MAN

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Abstract: *The Renaissance ideal of man is an amalgamation of ancient Roman ideals with the Judeo-Christian traditions of both Greek and Latin Fathers, the medieval and renaissance Neo-platonic concepts and humanist ideals. The central concept is the dignity of man, but it touches on all aspects of individual characteristics and social functions, inevitably concerning first of all governors and princes in their responsibilities for their subjects. Human rationality and moral astuteness were seen as guaranteed by God in the act of creation, and therefore treated as inalienable human qualities and ineluctable human duties. A short review of ideas on human ideal from Cicero to Ficino and Pico della Mirandola prepares the ground for a definition of the Renaissance Ideal which then is dissected and anatomised in the Shakespearean characters of Hamlet, King Lear and Macbeth. It is argued that the discursive method of character presentation allows Shakespeare to question all aspects of the 'ideal' and yet offer a persuasive vision of a human being, a long shot from Leonardo's Vitruvian Man, and yet not less capable to be truly great: neither the beauty of the world nor the quintessence of dust.*

Key words: *ancient, medieval and renaissance human ideals, hero, tragic hero, Shakespeare's tragic characters*

1. Introduction

The Renaissance ideal of man inevitably brings to mind Leonardo's famous drawing. Inspired by Vitruvius' description of man as the principal source of proportion, Leonardo represents a human figure as a symbol of the essential symmetry not only of the human body, but also of the universe as a whole. Leonardo knew, and illustrated, a treatise on mathematics by Luca Pacioli called *Divina proportione* (1509) (Green 2018). The book had a wide impact, well beyond mathematical circles; Leonardo's drawing clearly applies geometrically the divine proportion to man and to his position in the universe, and thus creates a visual representation of the Renaissance ideal.

Hamlet's words well attest to it. One might say, they provide one of the best descriptions of the ideal represented by Leonardo:

> What piece of work is a man, how noble in reason, how infinite in faculties, in form and moving how express and admirable, in action how like an angel, in apprehension how like a god: the beauty of the world, the paragon of animals. (II.2. 301-307)

Human reason and divine apprehension (mathematics, geometry, theology) meet here with the ethical and aesthetical ideals and form one ideal composition, the divine creation. Divine, because created by God in the image of God.

Leonardo's symmetrical and clearly geometrical concept of the ideal man in universe and Hamlet's verbal presentation thereof have behind them a long, complex, and complicated history of ideas concerning man in European thought, which is well worth looking into.

The first value of the ideal man is dignity.

1.1. The dignity of man

Undoubtedly, the humanist idea of the ideal Man is firmly based on Cicero's formulation of 'the dignity of man' (*De officiis,* I.) as the most striking line of division between man and animals. *Dignitas,* as a Latin rhetorical and political term, meant a high political rank, or social position, or moral qualities associated with them. Cicero enriches the term with connotations of general worthiness, which the Renaissance happily accepted. For Cicero the most emphasized virtue to be sought by man was *decorum*; the most important component of Ciceronian 'dignity' was moral rectitude:

> In no other particular are we farther removed from the nature of beasts; for we admit that they may have courage (horses and lions, for example); but we do not admit that they have justice, equity, and goodness; for they are not endowed with reason or speech. (*De officiis*, I.50)

Moral rectitude demands the true greatness of spirit, which is demonstrated in man's actions:

> true and philosophic greatness of spirit regards the moral goodness to which nature most aspires as consisting in deeds, not in fame. (idem: I.65)

Cicero, as said above, builds the ideal on the idea of propriety, *prepon, decorum*:

> Propriety is that which harmonizes with man's superiority in those respects in which his nature differs from that of the rest of the animal creation. (…) propriety (…) harmonizes with nature, in the sense that it manifestly embraces temperance and self-control, together with a certain deportment such as becomes a gentleman. (idem: I.96)

The stress on *decorum* concerns both the external looks and the mental and spiritual properties of man; propriety depends on the harmonious symmetry of everything together:

> as physical beauty with harmonious symmetry of the limbs engages the attention and delights the eye, for the very reason that all the parts combine in harmony and grace, so this propriety, which shines out in our conduct, engages the approbation of our fellow-men by the order, consistency, and self-control it imposes upon every word and deed. (idem: I.98)

One more important feature of Ciceronian divagations is the distinction between qualities that are general and those which are individual. In other words, Cicero constructs a model for everybody to strive to get equal to, and, at the same time, allows for the individual and unique character of a human being to achieve individual and unique perfection:

> We must realize also that we are invested by Nature with two characters, as it were**: one of these is universal, arising from the fact of our being all alike endowed with reason and with that superiority which lifts us above the brute**. From this all morality and propriety are derived, and upon it depends the rational method of ascertaining our duty. **The other character is the one that is assigned to individuals in particular.** (idem: I.107) (…)
> **Everybody, however, must resolutely hold fast to his own peculiar gifts**, in so far as they are peculiar only and not vicious, in order that propriety, which is the object of our inquiry, may the more easily be secured.(…) nothing is proper that "goes against the grain," as the saying is - that is, if it is in direct opposition to one's natural genius. (idem: I.110; *emphasis mine*)

It is well known that Cicero's idea of the dignity of man had a direct and powerful influence on Renaissance humanist treatises. The rational powers, the stress on spiritual strength and moral rectitude, bound with the idea of beauty and harmony as indispensable elements of the ideal, as well as the individual distinctions of 'natural genius' are to be found many centuries later at the very centre of *studia humanitas* – the liberal arts.

1.2. The Christian ideal

The Middle Ages foregrounded the Christian ideal which had been blended with the ancient line of thinking already in the works of the Greek and Latin Fathers. The idea of man's similitude to biblical God went along the Platonic idea of 'assimilation', as Gregory of Nyssa teaches: by seeing and knowing God in oneself, one becomes like God. That particular practice of virtue and purification was a model for the successive schools of Christian Neoplatonism.

The treatise of Nemesius of Emesa, *De natura hominis* (late 4th century AD), contains a passage which points straight to Renaissance, although originating from other than Ciceronian tradition:

> Man crosses the mighty deep, contemplates the range of the heavens, notes the motion, position, and size of the stars, and reaps a harvest from both land and sea, learns all kinds of knowledge, gains skill in arts, pursues scientific inquiry (IV. 254-255)

The metaphysical contemplation of God's mysteries allows for the experience and rational study of the physical universe. Thus the full conception of the ideal man is defined. The sacred and secular goals of man as proposed by Nemesius anticipate the Renaissance idea of the dignity of man.

The Latin Fathers generally incorporated the concept of human dignity into their model. St. Augustine saw the image of rather than similitude to God in man's three faculties: of mind (memory), of intellect, and of the will to love. (*De De Trinitate*, Book XV).This model of man 'in the image of God', and the story of the fall of the ideal and recovery of the divine image through Christ, became the backbone of the medieval ideal representation of man, possessing the dignity of God's creation in the writings of all the most important authors of the time, like Peter Abelard, Hugh of St. Victor or Peter Lombard.

Although the theme of the dignity of man had a complex history in classical and Christian antiquity and in the Latin Middle Ages, it had not become central to any clearly defined literary form, neither had it been represented as an internally consistent set of ideas. This was the task left to humanism and Renaissance literature.

2. **Humanist ideas**

One of the key figures of Italian humanism is Petrarch (1304-1374) with his ideal of the *viri illustres*: great men of high civic or military achievement to be attained through emulation of, among others, Roman heroes, i.e., with the pursuit of glory or fame. Like with many of his contemporaries, the purpose of his *De viri illustribus* was essentially didactic and moralistic. His never finished project contained biographies of figures from ancient history and myths as well as from the Bible, in order to illustrate moral virtues, beauty, and Ciceronian dignity; however, with an interesting shift of emphasis: Cicero had warned against empty ambition and pursuit of fame for the fame's sake. Petrarch turns to the stories of great men to often emphasize heroic virtues, which suggest a military or political (or both) heroic exploits. In this way, the hero creeps into the model of an ideal man. (cf. Mommsen 1952)

The humanist movement naturally held up a strong conviction that the rhetoric, poetry, history, and philosophy of Greece or Rome were not in conflict with Christianity. The theme of the dignity of man became a genuine blend of classical and Christian ideas. The very notion of "dignity" involved the question of man's relative status in the Christian universe, but, at the same time, demonstrated the perfection of both man and the world. The moral aspect allowed for an emphasis on individual achievement in action as well as on inner moral worth as manifested outwardly by virtue. The religious renewal of faith, combined with a secular renewal of self-confidence in the ability to act morally and perform socially worthy actions, was exemplified by the actions of virtuous pagans and Christian saints. A particularly good example of that fusion of the ancient and Christian ideals was the belief in standing firm and virtuous in the midst of the blows of Fortune; that stoic position was understood as the restoration of man's inner spiritual dignity against the universe governed by chance and mutability.

Thus, in the theological and philosophical perspective, man's dignity was seen to be derived from the character and purpose of God's creation, from which proceeded man's position and role in the universe. In the historical and existential perspective, man's dignity was seen as coming from his individual actions and participation in social life in this world, which were the source of his earthly fame and greatness, as well as proof of his contributions to culture. The ideal of dignified man acquired a wide range of senses, on the one hand as a felicitous fusion of apparently conflicting elements, on the other, however, open to examination and interpretation, which could follow varied paths of Neoplatonism and Aristotelism, as exemplified in the Italian authors of the 14th and 15th centuries.

Leonardo Bruni (1370-1444), in his *Isagogue of Moral Philosophy* stressed the individual aspect of the ideal, following the ideas of Cicero. According to Bruni, the good man must live and act well by following his reason and finding his own excellence and ability to act best. He relies on himself alone. He is able to gain knowledge of an almost infinite number of things, because he partakes of the Divine Mind. (*The Humanism of Leonardo Bruni* 1987: 267 ff.)

Marsilio Ficino (1433-1499), another extremely influential thinker, saw man as the very centre of the universe; endowed with reason, man could transcend the universal hierarchy of creation and approach in freedom and creativity the state of divinity itself. Thus man's deeds and achievements in this world got in Ficino's thought an extremely elevated position. (cf. Kristeller 1964: 31-121)

Giovanni Pico della Mirandola's (1463-1494) is valued for the best expression of man's dignity in his *Oration* of 1486. "The Dignity of Man", delivered by him in 1486 at Rome when he was only twenty-four years old, is the most succinct expression of the Renaissance mind. It is an exegesis of Genesis 1-26, in which he argues for the limitless dignity of man contained in his deification in the six days of creation. Man for him was only a little lower than the angels, a being capable of descending to unclean depths, indeed, but also having it within his power to become godlike. Man's intellectual faculty is the spirit, the spark of God, which raises Man above all the rest of creation and makes him distinct in kind from all other living creatures. Pico puts his ideas into the mouth of God speaking to Adam on the day of his becoming:

> We have made you a creature neither of heaven nor of earth, neither mortal nor immortal, in order that you may, as the free and proud shaper of your own being, fashion yourself in the form you may prefer. It will be in your power to descend to the lower, brutish forms of life; you will be able, through your own decision, to rise again to the superior orders whose life is divine. (Pico 1956: 7-8)

This was the essence of humanism, which spread out of Italy unto the whole of Europe. The influence of Italian humanism on European Renaissance of the 16th century was extremely strong and lasting, reaching its culmination, certainly in England, in Erasmus and Sir Thomas More.

Erasmus earned his living as a teacher for only a few years, but education remained a lifelong interest and a central theme in his writings. Erasmus embraced wholeheartedly the humanistic belief in an individual's capacity for self-improvement and made it the foundation of his ideas on education, which should help raising human beings above the level of brute animals. He expressed confidence in the potential of human beings for self-improvement, a corollary of his acceptance of free will. He believed in the preponderance of nurture over nature. Stressing the role of reason, Erasmus asks:

> "Is it not to live according to reason? This is why he is called a rational being, and this is what sets him apart from animals. And what is the most harmful influence upon man? Surely it is ignorance". (1974: 312)

Thomas More translated *The Life of Pico* and, towards the end, added his own free version of Pico's twelve weapons of spiritual battle. Two concern the dignity of man and are worth quoting. More's free version attests to his embracing Pico's ideals:

> THE NATURE AND DIGNITY OF MAN.
> Remember how God hath made the reasonable Like unto his image and figure, And for the suffered pains intolerable That he for angel never would endure. Regard O man thine excellent nature: Thou that with angel art made to been equal, For very shame be not the devil's thrall.
>
> THE PEACE OF A GOOD MIND.
> Why lovest thou so this brittle world's joy: Take all the mirth, take all the fantasies, Take every game, take every wanton toy, Take every sport that man can thee devise: And among them all on warrantise Thou shalt no pleasure comparable find To th'inward gladness of a virtuous mind. (*The Life*, p.66)

The developments of the 16th century added a new impact and sides to the debate on the dignity of man and generally on the concept of the ideal. The reformation and Catholic Reform ensured naturally the divine aspect of the ideal, adding with impetus a list of shortcomings of the human nature which led man to his downfall. Yet, it is worth noting that the theology of the Reformers put stress on the dignity of man. Calvin argued in his *Institutes of the Christian Religion* (1.15.) that every person had an inalienable dignity because it was given by the creator. (Katts 2017; Vorster 2010: 197-201)

3. The hero and the tragic hero

The perusal of the ideas on the dignity of man is naturally connected with the idea of heroism and hero. Our direct attention will be focused on the latter and lead us to the concept of the tragic hero.

Dictionary definitions of the word 'hero' endow him with attributes which put the ideas of the ideal man and of the hero on equal footing. 'Hero' is defined as "A person who is admired for their courage, outstanding achievements, or noble qualities", with such synonyms as *brave man, champion, man of courage, man of honour, victor, lionheart, warrior* and *knight* (Oxford dictionaries). The Merriam Webster dictionary adds such descriptions as *man of superhuman qualities, of semi-divine origin, a person admired for achievements and noble qualities*; also *one who shows great courage*. Both dictionaries include literary definitions of the leading character of outstanding characteristics. What is absent from these definitions is the historical dimension of the concept; a warrior and a knight may not mean the same in different cultures and different times.

The hero of a heroic poem must possess at least some of these qualities which, as we can see, contain the warranty of his dignity and prowess. The chivalric hero of a medieval romance will be judged first and foremost as to his loyalty whether to his lord, his lady, or God.

Formulating his famous definition of the tragic hero, Aristotle referred to the tragedies of his time. Hero in ancient Greece meant a person who faced adversity and danger, demonstrating great courage. The culture which depended on the military exploits of great leaders looked for the ideal of man in warriors and located their dignity in spiritual and physical courage. Aristotle's famous definition of the tragic hero takes it for granted that his tragic flaw or *hamartia* would be meaningless, if the ideal were not assumed. In other words, a tragic hero must be a hero, otherwise his fall would be meaningless. By hanging his definition of the tragic hero on the necessary confrontation of the downfall, whether due to fate, or his own mistake, or to any other social reason, Aristotle extends the heroic qualities to other than military situations, but makes of courage and rectitude the *sine qua non* conditions of tragic heroism. Courage and moral rectitude guarantee that the character's downfall will be the heroic moment which saves him, in spite of his error of judgment. If it were not for the nobility of spirit, courage and honour, no pity could be raised and no *catharsis* would be achieved. Thus, in the concept of the tragic hero a specific *aporia* is located: the ideal is not fully ideal, yet, the downfall of that flawed ideal, when courageously accepted, would ensure that the ideal is not negated; quite the opposite, the catastrophe ensures the elevation of the ideal.

Such problematic reading of the Aristotelian tragic hero is further complicated by the sinuous and many layered concept of the ideal man on the one

hand, and, on the other, by the model of tragedy that had the strongest influence on Elizabethan playwrights, namely, by the tragedies of Seneca, where the protagonist was of noble birth, but otherwise his dignity and courage focused on the revenge, possibly cruel, thorough, bloody, and blinded by passion. (Campbell 1979: 70) A very far shot from the dignified ideal - either of the Ciceronian or the Christian tradition.

Neither is it close to the Aristotelian definition: the Senecan revenger agrees to his downfall blinded by the passion of revenge, which questions the noble courage of a hero facing his downfall. Tragic heroes were expected to be in control of their actions, although they could have their ability to reason destroyed or blocked by something horrible or unforeseen occurring in their lives, invoking too much passion. When one is overcome with passion, one's ability to think or act rationally or reasonably is erased: passions are evil if they are not governed by reason (ibid.) The Senecan revenger is deeply hurt and that may open the gate to unrestrained passion, but not to pity, and hardly to a proper *catharsis*. A Senecan revenger is a tragic character, but hardly a hero. All this becomes evident when closer attention is paid to Shakespeare's Titus.

Titus is an unquestionable military hero: his exploits for Rome wrap him in the military fame of a superman. Everybody looks up to him as a paragon of manly virtues. When the whirlpool of military, political and personal hatred and revenges draws him in, however, he is unable to behave rationally, stay distanced or patient or noble or courageous; it is hardly possible to point out his error, which he might nobly recognize at the critical moment. Instead, he falls into a mad trance, in which he methodically plans his revenge and becomes as cruel a perpetrator as any other in the play. He is a victim who becomes a criminal. If he excites pity, it is only so far as he is a victim. His criminal revenge cannot lead to any cleansing. This early tragedy exhibits Shakespeare's debt to Seneca and to the Elizabethan tragedy in the Senecan tradition. And it is a lesson that what we, with such ease, define as a tragic hero is not a single and continuous phenomenon, therefore, applying automatically the Aristotelian measuring rod may lead us astray.

To look for a Shakespearean tragic hero we would have to examine his mature tragedies from *Julius Caesar* to *Coriolanus*.

In what follows, some Shakespearean tragic heroes will be examined against the Renaissance ideal of man, the Aristotelian definition of the tragic hero and the Christian acceptance of the perfection of man including his fall and redemption. The questions I want to deal with are how Shakespeare deals with the aporetic quality of the concept of tragic hero; what is the essence of his tragedy and what quality of heroism in man is at stake. What and how much of the perfect creature is left in Shakespeare's heroes.

4. The instability of Shakespeare's tragic hero

My first contention is that the texts of Shakespeare's tragedies open conflicting points of view on the idea of the hero as an embodiment of the ideal man. One quality is stable: Shakespeare's leading characters are of noble status: they are either of royal blood like Hamlet, or kings, like Lear, or military generals of aristocratic origin, like Macbeth and Coriolanus, or military heroes, like Othello, or outstanding citizens, like Brutus. However, a socially noble status, as we have seen, does not guarantee the dignity, or nobility of spirit, or enhanced intelligence, or elevated moral understanding. Neither would an outstanding military

achievement guarantee any of the necessary qualities to designate someone to the position of an ideal man. In short, each of the outstanding Shakespearean characters demonstrates some greatness rather than a complete set of virtues, and even that little greatness that they have is put to test. The test consists partly in their actions – and that will be the Aristotelian aspect of the idea of tragedy rather than of heroism. Much more interesting is the inherent discursive quality of drama which tests the idea of the hero as an ideal. Conflicting points of view are the essence of Shakespearean drama, not just in the formula of the characters' conflicting positions, but also in the formula of the privileged position of the spectator/reader who knows/witnesses 'all', while the characters are left with limited knowledge and understanding.

An illustration in point is to be found in *Hamlet*. The famous lament of Ophelia on Hamlet offers a lot:

> O, what a noble mind is here o'erthrown!
> The courtier's, soldier's, scholar's, eye, tongue, sword;
> The expectancy and rose of the fair state,
> The glass of fashion and the mould of form,
> The observed of all observers, quite, quite down!
> And I, of ladies most deject and wretched,
> That suck'd the honey of his music vows,
> Now see that noble and most sovereign reason,
> Like sweet bells jangled, out of tune and harsh;
> That unmatch'd form and feature of blown youth
> Blasted with ecstasy: (III.1.)

We are here well into the middle of the play and have seen enough of Hamlet, to understand that the "unmatch'd form and feature of blown youth", "the glass of fashion and the mould of form", "the expectancy and rose of the fair state" and "the observed of all observers" are descriptions of the Renaissance ideal, though not necessarily of Hamlet. Indeed, all eyes are on him, but few observe him as an ideal. Ophelia certainly is one of those observers, but how can we trust a girl in love who "suck'd the honey of his music vows", when we have just witnessed Hamlet's violent attack on her: the music was harsh, there was no honey in his words which might convince us as to the sweetness of his vows. As to other observers who see in him a sweet prince, like Horatio, and are also loyal to him, their loyalty places them in opposition to Claudius and his party: yet, they are abused by Hamlet and they voice their resistance to his unmerited distrust, as in I.5.:

> **HAMLET**
> There's ne'er a villain dwelling in all Denmark
> But he's an arrant knave.
> **HORATIO**
> **There needs no ghost, my lord, come from the grave**
> **To tell us this.**
> **HAMLET**
> Why, right; you are i' the right;
> And so, without more circumstance at all,
> I hold it fit that we shake hands and part:
> You, as your business and desire shall point you;
> For every man has business and desire,

Such as it is; and for mine own poor part,
Look you, I'll go pray.
HORATIO
These are but wild and whirling words, my lord. (*emphasis mine*)

Neither Horatio nor Ophelia see and hear of Hamlet what we do. His speeches and soliloquies display certain moral astuteness and a degree of rationality, but, at the same time, suggest disgust with the world, distrust in people, death-wish and hatred. If the death of his father and the hasty remarriage of his mother are the circumstances which jerk him out of his noble intelligence and limit his rationality, while the hatred towards Claudius is his strongest passion, we are indeed facing a slave of passions, but that in no way does this give Hamlet heroic qualities. We may then try to judge his honesty, directness and stoic patience in view of death, as displayed in the famous 'mourning' speech, delivered in front of the whole court in I.2.:

Seems, madam! nay it is; I know not 'seems'.
'Tis not alone my inky cloak, good mother,
Nor customary suits of solemn black,
Nor windy suspiration of forced breath,
No, nor the fruitful river in the eye,
Nor the dejected 'havior of the visage,
Together with all forms, moods, shapes of grief,
That can denote me truly: these indeed seem,
For they are actions that a man might play:
But I have that within which passeth show;
These but the trappings and the suits of woe.

Yet, the theatricality of this speech suggests a performance which gains a doubly ironic strength in view of Hamlet's later words of praise, bestowed on the actor who is able to cry on the fate of Hecuba, and yet – "what's Hecuba to him or he to Hecuba" – it is only an effective show. Indeed, much in Hamlet's behaviour is a performance which might be described as "for nothing", no matter how firmly he insists that he has a passion "which passeth show".

Many of his actions can certainly be ascribed to a Machiavellan model. The idea of putting on "the antic disposition" is a clever plan to deceive the enemy and gain the advantage, as the tradition of revenge tragedy seems to dictate. Yet, on every occasion, he takes the opportunity to display his contempt, as in the encounters with Polonius, Rosencrantz and Guilderstern, and Osric. All these encounters display his quick wit, employed in snubbing and mortifying those he cannot stand. That again is a far cry from heroic virtues, and certainly not a dignified behaviour worth an ideal.

His intelligence and determination are shown in the way he defends his own life when sent to England. But again, it is not a defence carried out in all fairness: forging a royal letter and sending Rosencrantz and Guilderstern to certain death shows more cunning and cold bloodedness than fair play and chivalry which one would expect from an ideal prince.

Hamlet's actions do not make him the harmonious and dignified perfection of a divine creature. He has a noble mind, but it does not help him in facing the world nobly. His courage we do not doubt and his fencing skills are outstanding; he has moments of greatness in the duel with Laertes, but is he a hero? a Renaissance

ideal? He is indisputably a tragic figure, because he has little chance, if any, to survive in 'the time out of joint'. His only virtue is that he tries, his tragic flaw is that he does not know how.

If not a hero then, not a Renaissance ideal prince, Hamlet certainly is not "a quintessence of dust" either. In between the positive and the negative absolutes, there stands in front of us a human being that faces his tragic predicament, in the final tragic combination of noble acceptance of his fate and noble forgiveness towards Leartes on the one hand, and passionate hatred concentrated on the revenge on Claudius, on the other.

King Lear is another tragic hero who deserves a discussion here. The absolute monarch occupies the position which demands acceptance of his right to unerring judgement, noble motivation and highly moral actions, which would ascribe to him the necessary nobility and dignity. But, as we know, the lightest opposition to his wishes puts him out, to the degree that he loses the ability to think and act rationally. The opposition of Cordelia and Kent questions the quality of his reasons and the nobility of his aims. His tyrannical rather than dignified position is clearly attested by his own words:

To Cordelia:
Here I disclaim all my paternal care,
Propinquity and property of blood,
And as a stranger to my heart and me
Hold thee, from this, for ever.

To Kent:
turn thy hated back
Upon our kingdom: if, on the tenth day following,
Thy banish'd trunk be found in our dominions,
The moment is thy death. (I.1.)

The behaviour of Goneril and Regan corroborates the diagnosis: Lear behaves irrationally, draws conclusions on false premises in which he blindly believes, and shows himself to be a most unsuitable king and the blindest of fathers; in short, he is not in the position of the dignified ideal which he believes he is. The curses he hurls at Goneril and Regan when he faces his utter defeat exhibit both the tyrannical streak in his character and an utter helplessness: both a far cry from a heroic acceptance of fate.

Blasts and fogs upon thee!
The untented woundings of a father's curse
Pierce every sense about thee! (I. 4.)

You nimble lightnings, dart your blinding flames
Into her scornful eyes! Infect her beauty,
You fen-suck'd fogs, drawn by the powerful sun,
To fall and blast her pride! (II. 4.)

Cordelia and Kent's unquestionable loyalty and love lead to the discovery not of a hero, not of an ideal man and master: we become gradually conscious that, under the hypocritical layers of kingship, there is a human being who must discover his identity, his quintessence of humanity, by going through total

deprivation, by becoming an "unaccommodated man". Only then, in his total destitution and nakedness, does he discover – and obtain in our eyes – the wisdom, the harmony and the beauty, the "truth" of the Vitruvian man. Lear becomes the tragic hero when he appears to the world in the most unheroic manner. The *aporia* of the tragic hero is perhaps here illustrated and answered, as in no other work of art.

Finally, the tragic hero and the crime. Brutus and Macbeth. In *Julius Caesar*, Shakespeare seems to offer us the first sketch of that impossible error whereby the hero becomes a killer. Brutus is noble, dignified, of high moral standards; his ideals are equally noble: he stands on guard of the Republic of Rome and is truly and honestly anxious to defend his ideal. He hesitates and weighs his decision thoroughly and honestly, because he loves and admires Caesar. He does not act for his own gain, he kills Caesar to save Rome. Nothing in the text suggests ironical ambiguity about his greatness. That bloody act is the beginning of his own destruction; in the end he accepts his defeat in a heroic way by committing suicide. If not in any other play, here it seems we get the Aristotelian tragic hero, who pays honourably for his error of judgement, and whose death brings *catharsis* through the feeling of loss, and waste, and pity. Yet, I would argue that, by the very structure of the play, Shakespeare questions this unshakeable ideal. The murder of Caesar takes place in the middle of the play – the definitely highest moment of tension puts the other half of action as if in defence. The funeral speeches of Brutus and Antony, like a duel, end in the defeat of Brutus' idea of a righteous act of killing. The development of political events puts Rome in danger and emphasizes the futility of that act, transforming it into a political crime. Once this becomes clear, no greatness can be attached to Brutus. He tries to defend it by his own death, but the transformation of the Republic of Rome into an imperial state is the final condemnation of his "rash act". A noble hero commits an unforgivable crime against life and against his highest ideals.

Brutus is a character taken straight from Plutarch's *Parallel Lives* (in 1579, Sir Thomas North published an English translation of *Plutarch's Lives*.), and is not much changed by the playwright. But this relatively early tragedy (1599/60), contemporary with *Hamlet*, must have set an idea for the tragic figure of a crime perpetrator; a complication which found its embodiment in the figure of Macbeth.

Macbeth enters the stage in the glory of a real hero. We hear of his military exploits and of his loyalty to Duncan long before we see him. The golden opinion in which he is dressed seems to be much more than a costume. The "valiant cousin" and "worthy gentleman", as the king calls him, walks in glory of his courage and is rewarded with a new title for the defence of the kingdom.

The description of his dedication in the battle in I.2. makes him into a real hero:

> brave Macbeth – well he deserves that name –l
> Disdaining fortune, with his brandish'd steel,
> Which smok'd with bloody execution,
> Like valour's minion carv'd out his passage
> Till he faced the slave

When Macbeth learns of his new title, he protests modestly, while his best friend Banquo suggests that he is not used to such honour:

> New honors come upon him,
> Like our strange garments, cleave not to their mould
> But with the aid of use. (I.3.)

That heroic portrait is, however, undermined from the very beginning. The Captain's description contains a parallel description of the traitor MacDonwald, who does not come out as less heroic, or less cruel and bloodthirsty. Macbeth's "brandish'd steel which smok'ed with bloody execution" is not much different from "merciless MacDonwald" in killing left and right. The only title to his valiant virtues is that he fights for Duncan, and it is Duncan who praises him as a hero. That highly subjective judgment relative to the interest of the king deconstructs Macbeth's heroism: one must wonder how objective and ideal that portrait of the hero is.

The subsequent events put to test his valour. Macbeth in private reveals no heroic or ideal qualities. In reaction to the Witches' words, he remains silent, to the extent that Banquo thinks he is afraid "of the words that sound so fair". His reaction to the unexpected title of the Thane of Cawdor is also reserved to silence, which Shakespeare decides to open for the audience/readers. We have access to his thoughts by the convention of the aside and witness not only his confusion, but also his fear and "a murderous thought":

> ……. This soliciting
> Cannot be ill, cannot be good: if ill,
> Why hath it given me earnest of success,
> Commencing in a truth? I am thane of Cawdor:
> If good, why do I yield to that suggestion
> Whose horrid image doth unfix my hair
> And make my seated heart knock at my ribs,
> Against the use of nature? Present fears
> Are less than horrible imaginings:
> My thought, whose murder yet is but fantastical,
> Shakes so my single state of man that function
> Is smother'd in surmise, and nothing is
> But what is not. (I.3.)

The moral confusion becomes clear in the famous soliloquy opening I.7., beginning

> If it were done when 'tis done, then 'twere well
> It were done quickly:

Macbeth comes to think of all the reasons for which he must not kill: Duncan is his king, his kin, and a good man. There lacks one main and only commandment which forbids homicide: "Thou shalt not kill". The reasoning is founded on fear: how not to be found when the crime is committed. So when he announces Lady Macbeth that "We will proceed no further in this business", we are not surprised that she is able to make him change his mind, by appealing to his manly vanity:

> When you durst do it, then you were a man;
> And, to be more than what you were, you would
> Be so much more the man. (I.7.)

Macbeth is not a hero (although he is a warrior); he lacks in everything that one can expect from a Renaissance ideal. His ambition is combined with moral

cowardice, his reasoning follows happily the line of solid alibi suggested by Lady Macbeth, his dignity wears thin, as thin as the coat of golden opinion. Therefore, his decision to murder Duncan, even in spite of the arguments he voices, cannot be classified as an error of judgement of the otherwise noble and dignified figure.

Can we claim any greatness for him then? I believe we can, though not along the Aristotelian recipe. Macbeth faces his fall at the moment he kills. He fully understands the inevitability and irrevocability of the moment. Somewhat like Mephistophilis in Marlowe's play, he knows that *this is hell, nor am I out of it*. And he never is out of it, he continues to deceive, lie, and have people murdered cynically, in cold blood, and out of fear. His villainy does not make us pity him. There is no *catharsis* in his fate. Yet, Macbeth, bravely and with full understanding, examines his conscience and comes to know his iniquity, the depth of his depravity, the baseness of his fear, and the despair of not being able to reverse anything. His understanding is profound and it is this profound moral recognition of himself that is the saving grace of Macbeth. The feeling of waste is obvious: this man could have been a hero, but was unable to reach even to the lowest rung of the ladder leading to laurels.

5. Conclusion

What then is left of the Aristotelian tragic hero, of the Ciceronian ideal of dignity and decorum, of the Christian image or likeness of God? All the patterns of the human ideal in the dramatic representations in Shakespeare's plays are deconstructed and force us to reinterpret the hero and the ideal into a human figure. Perhaps we should look once again at the Vitruvian man. We can still see the harmony of the body, the physical strength of the muscles, and the fantastic control over them reassuring us of the controlling mind; we can still see the metaphor of the strength of human intellect and its epistemic potential in the elegant solution of the geometric harmony of the spheres. We can still see God's perfect creation, the *omphalos* of the world.

Yet, do we not also see a human being limited by his body and by the world in which he is inscribed? A misguided creature who deems himself to be free and perfect, to possess heroic virtues and absolute dignity, while in reality his position is threatened by the turning circle of time and the four walls of square materiality? Rather than look at Shakespeare's great tragic characters from the romantic vantage point and see their greatness, we would perhaps see more and better if, with the background of the history of ideas about man, we shall make the effort to understand the quintessence of dust, with specks of the dust's nobility. Although we are endowed with reason and speech, we are not necessarily far removed from beasts (*pace* Cicero!). "Man crosses the mighty deep, contemplates the range of the heavens", to quote Nemesius (1955: IV, 254), yet as easily destroys the harmony of the universe by propensity to evil. It is in man's power "to descend to the lower, brutish forms of life" as Pico suggests, but against Pico's optimism, it is in man's power not to "rise again to the superior orders". Indeed, "our dignity is inalienable because it is given by the creator", as Calvin suggests, but, as Shakespeare demonstrates, that dignity is a heavy load on our shoulders, so we willingly toss it away feeling heroically great. And become tragically small.

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CARNIVAL, FRIENDSHIP AND A BEAUTIFUL DEATH: TOWARDS A REAPPRAISAL OF *TIMON OF ATHENS*

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Abstract*: This arguably collaborative play has occupied a mostly marginal position in the Shakespearean canon and has been regarded as an aesthetically non-finite product, perhaps symptomatic for a moment of professional/personal crisis. The present study aims to help redress this negative interpretational verdict and offer a contemporary re-appraisal of the play, from a deconstructionist perspective.*
Keywords*: carnival, death, deconstruction, friendship, Shakespeare.*

1. Introduction

> The *bricoleur*, says Levi-Strauss, is someone who uses 'the means at hand', that is, the instruments he finds at his disposition around him, those which are already there, which had not been especially conceived with an eye to the operation for which they are to be used and to which one tries by trial and error to adapt them, not hesitating to change them whenever it appears necessary, or to try several of them at once, even if their form and their origin are heterogenous - and so forth. There is therefore a critique of language in the form of *bricolage*, and it has even been said that *bricolage* is critical language itself [...] If one calls *bricolage* the necessity of borrowing one's concepts from the text of a heritage which is more or less coherent or ruined, it must be said that every discourse is *bricoleur*. (Derrida 1970: 6)

With these thoughts in mind – that is with Derrida, quoting and evaluating Levi-Strauss who amasses mythological systems, dissecting them so as to build the thrust of the argument, which can be later on dismantled in the creative manner of a *savage mind* perpetually starved for knowledge – I will suggest in the present study three possible directions of deconstructionist investigation that can render a (hopefully) fresh re-appraisal of Shakespeare's *Timon of Athens*. Or, for the sake of reinforcing my unorthodox method of analysis, should I accept Timon's double parentage and count Middleton in the equation as well? (see Kane 2016). It appears to me that a play frequently labelled as hybrid, unpolished and rough can be fruitfully approached via the practice of (de)constructionist reading and interpretation, in view of its own 'problematic' career in the field of contemporary literary theories.

At this point, allow me to define my objectives. They consist of the examination of an assemblage of the three concepts mentioned in the title, i.e carnival with its derivative 'carnivalesque', friend/friendship, and beautiful death, which, in my reading, are deeply inserted and intertwined in the substance of the text and enable a deconstructionist re-appraisal. I will therefore divide my essay

into three parts, and clarify now, at this early stage, that they will be uneven in size and that the central part, the one dedicated to the discussion of friends/friendship, will be my chosen focus.

2. carnival /carnivalesque

In *Rabelais and His World*, Bakhtin (1984: 275) repeatedly mentions the various "carnivalesque aspects" of Shakespeare's drama, which covers "images of the material body lower stratum, of ambivalent obscenities, and of popular banquet scenes." The Russian critic also notices that "the logic of crownings and uncrownings in direct or indirect form, organizes the serious elements also" (ibid.). In the present reading, Bakhtin's assessment reinforces the argument of the mixture of genres characteristic of Shakespeare. The interrelation between Body, Bawdy and Banquet – the three B-s, which pave the way towards the C of the Carnival/Carnivalesque, are the three Bakhtinian categories whose presence in *Timon of Athens* is sustained by the plot texture and the various types of interactions between the characters. However, as I will argue further on, the 'carnivalesque' in Shakespeare both supports the Bakhtinian category and questions its final function, that of regeneration as the final outcome of the temporary upheaval at the level of the status-quo.

Soellner (1979: 3), one of the few defenders of this much maligned play, embarks on its analysis by noticing the casual (yet, preternaturally ill-omened) exchange between two characters: "How goes the world?" asks the Poet, at which the Painter answers: "It wears, sir, as it grows" (I.1.). The doom is here, the end is near, although still indiscernible, and we are succinctly reminded that there is no permanence to a world whose time is, we know it all too well, "out of joint". Perchance, the implacable fate of humanity as a whole can but temporarily be kept at bay, or at least softened by the energies of the carnival, which generously hosts laughter, togetherness, and a fraternal spirit. The first banquet scene in its baroque opulence suggests precisely this: since no one can escape the "wearing" of the world with its consequential unravelling of humanity, the end might as well come in style, with friends around and merriment at hand. In the following lines, the same Poet and Painter are the first characters who reach a consensus on the inevitable collapse of Timon's world (as much as the Elizabethans'); the ample explanations that the Poet provides about his latest work – ironically dedicated to Timon as a patron of the arts - mention Fortune "in her shift and change of mood", always in the habit of castigating "her late beloved", at which moment "all his dependants,/Which labour'd after him to the mountain's top/Even on their knees and hands, let him slip down,/Not one accompanying his declining foot" (I.1. 88-90). The Bakhtinian "logic of crownings and uncrownings" (very similar to the Elizabethan world view, or closer to our age, Kott's idea of the "Grand Mechanism" (1974)) is at work here and marks both the 'ludic' and the 'serious', as poignant features of this strange play. In the Poet's panegyric, self-described as "A thing slipp'd idly from me" (I.1.23), the fall of the house of Timon can be simultaneously doubted – why would anyone take seriously the ramblings of an idle mind? – and, accepted as certainty, aesthetically veiled, but ultimately truth spoken (written) to power – how can anyone *not* take seriously a man who although benefiting from Timon's boundless generosity nevertheless has the integrity to counsel his patron?

By gathering arts, commerce and rank under his roof, Timon, I suggest, rules over an alternate court, a topos of combined pleasure and authority

originating in an apparently infinite fortune, set apart from the seat of real power, the Senate, and challenging in its celebration of the "material body principle" the abstract sovereignty of the establishment. Significantly, in Act I, a servant announces "certain nobles of the Senate newly alighted" (I.2.169-171), wishing to see Timon and be included in the banquet, but we do not hear more from them in this introductory part; we can only conclude that the two alternative seats of power do not and cannot collude. This alternative court involves bodies who devour both food and bawdy jokes. The churlish philosopher Apemantus is actually a defective, thoroughly unsympathetic Fool, whose professed misanthropy anticipates and will later on be surpassed by Timon's. He is cordially detested for his acid remarks, which point out that the guests parasitically feed of the host, and he indulges in coarse puns underlying the gross materiality (as sexuality) of what he sees as a tainted world, and all the other guests, both enveloped in and nourishing Timon's magnanimity for personal benefits, perceive as regenerating and carefree. He laments the "number of men" who "eat Timon and he sees'em not" (I.2.41) and "all the madness" in the way "he cheers them up to it" (I.2.44), and he distances himself from the sycophants around Timon, by claiming that "I eat not lords" (I.1.232), while ladies do, and thus "come by great bellies" (I.1.234). Apemantus' openly pornographic statement read through Bakhtin's concept of the carnivalesque is an illustration of degradation from high to low, of abuse and mockery, typical of the topsy-turvy world of the carnival, which gleefully erases common courtesy norms. As McLoughlin (1996: 6) states:

> The language of the marketplace was the medium of expression during festivals. Such language appeared in comic verbal compositions or parodies, and colloquial forms of speech, sometimes called Billingsgate. Billingsgate was the fish market existing at that particular gate to the city of London where ambivalent praise and abuse were incorporated into language with freedom of familiarity and absence of hierarchy. Instead of following logic to arrive at any truth, the carnivalesque is driven by the appetites of the body and arrives at its brand of truth by means that challenge logic.

Apemantus' remarks are pure samples of Billingsgate; his words, which denigrate both sexual passion and romantic love, are restricted to what Bakhtin (1984: 319) designated as "the body that fecundates and is fecundated, that gives birth and is born, devours and is devoured, drinks, defecates, is sick and dying". Apemantus' derogatory remarks actually anticipate the later appearance of the prostitutes in the play, to whom Timon gives gold, on the condition that they spread sexual disease in Athens. As previously mentioned, this first banquet scene breathes a general sense of gaiety, *joie de vivre*, and conviviality pertaining to the season of the carnival, when spirits are high, tongues are free, and voracious appetites are pampered – in this case, by Timon, the benevolent New King. To provide even more earthly delight to this celebration of the body, the Masque of Ladies ending the first banquet feature Cupid, who introduces "the five best Senses" that "Acknowledge thee their patron" (I.1.117-118) and "Amazons, with lutes in their hands, dancing and playing" (I.1.126-127). This entrance only *seems* to add new layers to what Knight (qtd. in Soellner 1979: 13) called "an earthly paradise with a magnificent erotic display". In reality, as Bakhtin astutely reminds us, the mask is actually "the essence of the grotesque" (1984: 40); its effectiveness relies on the conversion of the fearful into the funny, analogue to carnival death, in which the hideous becomes humorous. In the play, Cupid/Eros calls to mind

Thanatos, i.e., Timon's end, whereas the noble masque Amazons will leave the scene to prostitutes in Act IV.

The carnival laughter, as Bakhtin (1984: 66) points out, has a "deep philosophical meaning" affording "one of the essential truths concerning the world", "when the world is seen anew, no less (and perhaps more) profoundly than when seen from the serious standpoint". The philosopher Apemantus, the Poet, and the faithful steward Flavius are the three choric commentators sanctioned by the banquet scene, privileged to utter, in Bakhtin's words, "essential truths concerning the world" (ibid). In this case, the world primarily refers to Timon's world which, amidst generalized merriment, is essentially on the brink of collapse, although the more generalising meaning is inescapable. Thus, the Shakespearean text, while sustaining the conceptualization of the world as carnivalesque, undermines one of the most significant functions of the carnival, the regenerative one, and comes to emphasize its very opposite, as will be shown further on.

3. Friend(ship)

Derrida (2004: 353) starts his essay entitled *Politics of Friendship* with the oracular: "O, my friends, there is no friend." Then he proceeds to clarify that this is actually one of those apocryphal assertions (he quotes Montaigne, who claims to be quoting Aristotle), a "saying whose origin seems to lose itself in the origins of time immemorial" (ibid.), part of "the chain of this citation of a citation" (idem: 354.), or as Eliade (1959: 70) would put it, a phrase dating since "*ab origine*, *in illo tempore"*. In *Human, All Too Human*, Nietzsche opposes the lack of friends to an even more catastrophic scenario, a "*cat'apostrophe*" (Derrida 2004: 358): "Enemies, there are no enemies! Cry I, the living madman" (Nietzsche qtd in Derrida 2004: 357), and this, in Derrida's argument anticipates a political dimension to the strictly personal reading of friendship. Stimulated by this creative conflict between apocrypha and its ulterior re-visitations, my own reading of *Timon of Athens* will emphasise personal friendship, but will also mention its political undertones and interrogate their creative collocation in making or destroying meaning.

Undeniably, the play is put in motion by the complex manner in which friendship is perceived, sustained, unravelled and appraised by various characters. Timon's generosity in his capacity of both friend to his peers and patron of the arts, his magnanimity that prevents the imprisonment of Ventidius for unpaid debts, his decision to help a servant marry the girl of his choice and assuage the pecuniary claims of her enraged father, earn him the reputation of a deity above "Plutus, the god of gold", who is "but his steward" (I.1.279) and of "the noblest mind…that ever govern'd man" (I.1.282-3). I would, nevertheless, draw attention to the long prose paragraph (prose as in 'prosaic'?) which details Timon's own vision of friends/friendship and which, far from being a simplistic, unsophisticated fantasy, questions the obliteration of the self, and casts a different light on the purely altruistic reasons for his open house. In this context, when one of the Lords wonders about and wishes for the opportunity for reciprocation – of gifts, favours, hospitality – Timon's extended definition of friendship is downright Rule-utilitarian and pragmatic. Therefore, he envisages a future in which he "shall have much help from you", rhetorically wonders: "How had you been my friends else?", honestly stipulates that the "charitable title" distinguishes them "from thousands", and "confirm" them, because he chose to tell "more of you to myself than you can

with modesty speak in your own behalf"; increasingly, his retorts appeal to the hopefully shared knowledge of the implied (and desirable) reifying of friendship: "O, you gods, think I, what need we have any friends if we should ne'er have use for 'em", and of the joy and "comfort" "to have so many like brothers commanding one another's fortunes"; in the end his somewhat utilitarian appeal takes on an emotionally overwhelming tone: "Mine eyes cannot hold out water, methinks" (I.1.83-103).

A fascinating play of significations is at work in this passage and I will attempt to unravel them in view of my chosen concept. At first sight, Timon's lines appear to support the description of the relationship between him and his many guests as one "founded on utility" (and this is the case for concord as a *political* friendship; cf. *Eud* 1242 a b)" according to Derrida (2004: 360), who summarizes Aristotle; at the same time, it is also a friendship based "on pleasure, an unstable friendship found particularly among young people" (ibid.). Pleasure, of course, lies at the very heart of the carnival/carnivalesque; but the carnival also redirects the political towards the margins, with Timon's household providing an alternative centre of power to the Senate, precisely because it relies on his friends as allies. Timon is no Coriolanus, though, or not yet Coriolanus; the value he places on friendship is not yet of a bellicose nature and his (in)famous misanthropy is yet to come, although the signs are near and clear. Although downright utilitarian and pragmatic, Timon's ebullient characterization of friendship also appears to consider the role of virtue in establishing it. Again Derrida (2004: 359), in summarizing Aristotle, points out that virtue-based friendship is "reserved for man because it implies the faculty of deliberation (*bouleusis*), which belongs neither to animals nor to God". Timon obviously has virtue as a species of self-virtue in mind, as a force that informs his careful selection of friends, since he elevated their status by telling "more of you to myself than you can with modesty speak in your own behalf" (I.2.94-96). The implication is clear: only a virtuous man can distinguish virtue in others.

Finally, but not less significantly, Timon's words can be read as a desperate plea for the infinite extension of a shared meaning of friendship, which he both hopes for and deeply doubts; hence the tear, hence the fear. We remember the apocryphal appeal: "Oh, my friends, there is no friend". Timon's address to the Lords is similar in that, to employ Derrida's (2004: 367) words: "it makes a sign towards the future: be my friends, for I love or will love you […] listen to me, be sensitive to my cry, understand and be compassionate, I am asking for your sympathy and consensus, become the friends to whom I aspire". Even if you now are only imperfect friends (one remembers the "imperfect speakers" who toyed with Macbeth's search for the absolute truth), maybe, if you listen to my passionate plea, we can all reach the state of the Aristotelian *homonoia,* thinking alike, being one in thought.

If the three types of friendship (virtue-based, pleasure-based and equality-based) are illustrated in this prose passage, there is also a fourth one, albeit not mentioned here but in a previous scene, which implies superiority: "The friendship of a divine being for a man, of a governor for the governed, of a father for his son, of a husband for his wife, is another kind of friendship, says Aristotle, and they also differ among each other, implying no absolute reciprocity" (Derrida 2004: 360). In *Timon*, the protagonist pays the debts of Ventidius and enables his servant Lucilius to marry his beloved by actually paying off her father. These are both cases in point that sustain the rapport of subordination/superiority in friendship

and, in the present reading, they confess to a fortunate, meticulous, albeit unintended, illustration of the Aristotelian taxonomies in Shakespeare (and Middleton's) play.

However, as I will argue further on, and as Derrida first mentions when re-visiting Aristotle, the superiority in friendship is best illustrated by a relationship involving a divine being and a man. Before explaining my interest in the possibility of such a friendship – its desirability is extremely relevant to my discussion –, I will make a most necessary detour by quoting Derrida, who quotes Favorinus, who quotes Diogenes Laertes, who reportedly quotes Aristotle. This chain of quotations as deconstructive technique sits well with this collaborative play; after all, we can never be sure that what we quote is Shakespeare's text (or Middleton's) although this indeterminate paternity of particular, or indeed any lines, is characteristic of Shakespeare's oeuvre as a whole. Now, back to Derrida:

> People reproached him for having given alms to a scoundrel: he answered […] 'I did not give to the individual but to the man'. People asked him how one ought to conduct himself with one's friends: 'As we would like to see them conduct themselves towards us.' He defined justice as a virtue of the soul which makes us give to each according to his own merit […] Favorinus says, finally, (*Memoirs*, book II) that he loved to exclaim: 'O, my friends, there is no (true) friend.' And one can in fact find this sentence in the seventh book of the *Ethics.* (Aristotle 1925, 1.462-5, qtd. in Derrida 2004: 360).

The above quotation introduces the concept of 'justice' as 'meritocracy', as another vital factor for the forging of true friendship. In the play, Apemantus grasps the lack of 'justice' and reciprocity in the friendships that the protagonist establishes and cautions Timon repeatedly, albeit in a counter effective manner, which I briefly discussed in the previous section. Nonetheless, Timon appears to reserve a different meaning for 'justice' as 'meritocracy'; we may get a better understanding of his boundless munificence if we see it as an attempt at true friendship, the type that is meant to supersede the particular and aim for the universal. One of the reasons why this late play lacks prestige in the Shakespearean canon is Timon's propensity for extreme behaviour, as if Lear, Leontes and Prospero were epitomes of decorum, restraint and moderation. We find the dramatic shift in Timon's attitude from all world-embracing to all world-hating rather forced, implausible and inadequate, lacking in verisimilitude. That may be the case, but when read with an eye to the depiction of friendship and its many kinds, nuances and embodiments, *Timon*/Timon (the play and the character) is strangely satisfying in that the protagonist's self-imposed banishment appears to resonate with his deepest desire, paradoxically nurtured precisely at the time when he is least alone. A life led in absolute solitude, far from the madding crowd, may actually be, as I suggest, the real aim of Timon's extreme behaviour, which becomes apparent at a very close reading via a deconstructionist lens. Seen from this angle, Timon, as the temporary New King of the alternative, carnivalesque court/world that I proposed in the previous section, also "wears, sir, as it grows".

According to Derrida (2004: 361), the true, perfect or complete friendship that Aristotle talks about, (the *prote philia* in the *Eudemian Ethics*, *teleia philia* in the *Nichomachean Ethics*) is in fact "an *arché*, or a *telos*, toward which one must strive even if one never attains it"; its inaccessibility is not only a matter of the "conceivable *telos*", but a matter of inconceivability "in its very essence and thus in its *telos*". In other words, there are two impediments to the existence of friendship

as *telos*; one of them is related to the existence of a conceivable but unreachable *telos*, the other refers to the *telos*, preserving its inaccessibility "because it is unreachable and inconceivable because it is contradictory in itself." (ibid.) This inaccessibility would actually translate as "a prohibitive bar within the very concept of friendship", a contradiction in terms because it implies two irreconcilable positions: "on the one hand, one must want the greatest good for one's friend – and thus that he became a god"; at the same time, Derrida claims: "one cannot want this" (361), for reasons that he (and I) will explain later on.

To return to the play: Timon's bounteousness knows no limits; the pale pretence at reciprocating coming from his 'friends' does, in fact, by pointing to the superior value of Timon's gifts and their increased frequency, but expose their stratagem of perpetuating and reinforcing the said generosity. In gifting a bay courser to one of the Lords, on the basis of his having "lik'd it" (I.1.209), in weighing "my friends' affection with my own" (I.1.215), Timon's idea of friendship only appears to rely on equality and mutuality between him and his companions. Yet, his next passionate remarks imply something quite different: "…'tis not enough to give; Methinks I could deal kingdoms to my friends/And ne'er be *weary*." (I.1.220, emphasis added). This noble thought appears to expose the flaw in Timon's conceptualization of friendship, seen as giving beyond the possibilities of reciprocating. However, we may still wonder whether *he* also expects kingdoms in return. This latter, lingering point of possible dispute is inspired by his previous: ""O, what a precious comfort 'tis to have so many like brothers commanding one another's fortunes!" (I.1.83-103). Read via Derrida, Timon's self-appraisal of boundless – albeit as yet hypothetical – generosity, announces both a quest for the *telos* of perfect friendship, and an affirmation of its impossibility and undesirability. This remark alone, then, heralds Timon's liberation from the bondage of the circle of flatterers and sycophants around him, whom he had always seen in their true light, but whom he felt compelled to entertain in his carnivalesque court, albeit always with a view towards their merciless exposure.

Derrida (2004: 361) – following Aristotle – reiterates that there are three main reasons why one should not want the greatest good for one's friend, one should not, in other words, want one's friend to become a god. The first reason refers to the erased possibility of "friendship with God by virtue of his difference or his separation (*Nich.* 1159 a), but also because of the absence of a common measure for proportional equality between God and myself; *So one cannot want God for a friend*". Timon's dealing kingdoms to his friends, this hypothetical scenario of unheard of magnanimity – even by his standards – can elevate the status of the recipients of his generosity to the point where the distance thus induced would prevent any rapport between them and annihilate the very motivation of giving, friendship itself. The second reason is that, according to Aristotle quoted by Derrida, friendship "commands me to love the other as he is, by desiring that he remain as he is and do so according to "his nature as man (1159 a)"; "Friendship is again, in its origin and its end, in its first sense and in its full realization, *what is proper to man.* So one cannot want to deify a friend" (ibid). This added ontological dimension of the second reason for the undesirability of elevating one's friend's status to that of a divine being problematizes Timon's friendship(s); one wonders, were his friends to become deities, especially deities of his own making, where would such an impossible friendship, in human terms, leave him?

The third reason, which Derrida (2004: 361-362) calls the "doubtless most radical reason", is that the "man of friendship, as a man of virtue, ought to resemble God", but "God has no need of friends; he thinks himself and not anything else; the *noesis noeseos*, the thought of thought […] has nothing to do with friendship because it has nothing to do with the other"; moreover, Derrida (ibid.) (via Aristotle) claims, and Timon might have agreed, that "perfect or true friendship, that of the just and virtuous man who wants to resemble God, thus tends towards this divine *autarkeia* which can easily do without the other and thus has no relationship to friendship, any more than it does to the death of the other". Apemantus' Grace, carefully inserted in Act I, is a clear example: "Immortal gods, I crave no self;/ I pry for no man than myself./ Grant I may never prove so fond/ To trust man on his oath or bond,/ Or a harlot for her weeping,/ Or a dog that seems a-sleeping,/ Or a keeper with my freedom,/ Or my friends, if I should need'em" (I.1.160-67). The philosopher's words resonate with Derrida's (2004: 362) comments on the "logic of a divine cogito; I think, therefore I think myself and I suffice for myself, there is no (need of the) other". Although these lines that claim the utter redundancy of the other in such an unequivocal manner are uttered by the churlish philosopher, they are actually enacted by Timon all throughout his self-imposed exile and towards a (beautiful) death that he arranges for himself.

4. A beautiful death/ In lieu of conclusion

In *Derrida from Now On*, Naas (2008: 170) reminds us that "since Plato's Menexenus, or since the funeral oration of Pericles that Plato parodies in this dialogue, politics would seem to be related to, or founded in, mourning"; further on, he remarks a "rhetoric of mourning" mentioned by Lyotard, which, "in the Athenian context, for example, tries to complete or else foreclose mourning by lifting death up, sublating it in the fulfilment and glory of the ''beautiful death". Inspired by these reminders, and a set of preliminary questions that made their way into the final section of my analysis, I will briefly examine the end of Timon (as both play and character) and the way it relates to the issues of beautiful death/ mourning/ politics.

Does Timon's death bring concord in the city of Athens? Does this death signify a corollary of the events in the play – few as they are – and does it transform the event of the disappearance of one man into something essential and perchance, beautiful? Can/should this death be mourned? What are we to make of the simultaneity of the wish for anonymity in death and the wish for eternal recognition, as engraved – by who? – on Timon's tomb-stone? The epitaph(s) run like this: "Here lies a wretched corse, of wretched soul bereft:/ Seek not my name: a plague consume you wicked/ Caitliffs left!/ here lie I, Timon; who, alive, all living men did hate:/ Pass by and curse thy fill, but pass and stay/ not here that gait" (V.4.69-74). The words inscribed on Timon's tombstone are highly contradictory, if read via Derrida's concept of the gaze of the other. That makes the act of mourning, according to Derrida, at once necessary and impossible, necessary insofar as the work of mourning involves incorporating the friend, coming to terms with his or her death within ourselves, and impossible insofar as the singularity of the friend, that which must be incorporated, the gaze that first calls us to be responsible, always exceeds our subjectivity and our capacity to make the other our own. In my reading, the very existence of the two funerary engravings both provokes and undermines the act of mourning, given its ambivalence, the conflict between Timon as Everyman and Timon as Timon.

At first sight, it appears that Timon's death, assessed politically, achieves what Shakespearean deaths usually do: unity in place of discord, order in place of chaos, and a much needed reconciliation between forsworn former enemies. Alcibiade's decides to spare the city of Athens and condemn only a few of Timon's enemies as if they were his own (one wonders which ones, particularly?), provided that justice is done according "to your public laws/ At heaviest answer" (V.5.60). This happy political ending, nevertheless, is at best ambivalent, at worst a prediction of never-ending conflicts. On the one hand, the general envisages that the memory of "noble Timon" will endure "hereafter more" (V.5.80), on the other, he reinstates conflict, contradiction and discord, sucking at the very heart of human experience: "Make war breed peace, make peace stint/war, make each/Prescribe to other, as each other's *leech*" (V.5.83-84, emphasis added). Nevertheless, Timon's willed end suggests to me the idea that he suffered no "wrong" although we may be tempted to think so, if overtaken by an empathy surge. Lyotard (1988: 5) elucidates the 'wrong' as "a damage accompanied by the loss of the means to prove the damage", if "the victim is deprived of life, or of all his liberties, or of the freedom to make his or her ideas public, or simply of the right to testify to the damage", or "if the testifying phrase is itself deprived of authority". This definition clearly situates Timon outside the sphere of those wronged by authority; in the wilderness that he selected as a setting for the last part of his life, there is no authority but his, in an uncanny echoing of the carnivalesque court whose centre he was at the beginning of the play. He is, to the very end, his own witness and although he claims to have become a "wretched corse of wretched soul bereft" (V.4.70**)**, the materiality of this final testimony, as well as the personal choice to die in solitude, far from the madding crowd, as it were, reinforce the absolute authority of his epitaph, the palpable result of his implacable will. This, therefore, is what may be called a "beautiful death". In Derrida's (2006: 117) words (on Lyotard), which I am borrowing here to support my reading of Timon's end:

> This beautiful death, I would say, in the end, does not take place, for the very reasons that it has, or pretends to keep some sense, directed as it is by an end that goes beyond it, by an economy, be it that of sacrifice – 'Die in order that…' and you shall not die. And Lyotard concludes: 'Such is the Athenian "beautiful death", trading the finite for the infinite, the eschaton for the thelos, for the "Die so as not to die"'.

That would clearly resonate with the very beginning of the play, where we first learn that this world "wears, Sir, as it grows" and it would also suggest that Timon's death, far from being simply tragic, is more than anything else, aesthetic, meaningful, and coherent.

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THE SPECTRAL OTHER OR THE SELF: JUSTICE IN *RICHARD III*

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Abstract: *Shakespearean tragedies have featured villains who inspired in-depth criticism, especially when paired with the themes of justice and revenge. King Richard III is one of the most famous cases in point. The present study will suggest a re-reading of the tragedy from an ethical perspective, with references to selected works of Emmanuel Levinas and Hannah Arendt. In this context, the villainy of Richard III will be re-assessed, and his author's understanding of justice will be examined, in the light of the two different philosophical approaches; the focus will be placed on the exploration of Richard's relationship with the other(s) and with himself.*

Keywords: *Arendt, ethics, justice, Levinas, Richard III, Shakespeare, villains*

1. Introduction: face to face ethics

> Face to face with the other within a glance and a speech which both maintain distance and interrupt all totalities, this being-together as separation precedes or exceeds society, collectivity, community. Levinas calls it religion. It opens ethics. The ethical relation is a religious relation (*Difficile liberté* [hereafter *DL*]). Not *a* religion, but *the* religion, the religiosity of the religious." (Derrida 2005: 119)

This is how Jacques Derrida describes Emmanuel Levinas's understanding of ethics which poses justice in the face-to-face relationship with the Other. For him, ethics is prior to all other branches of philosophy, specifically prior to ontology- that is ethics is πρώτη φιλοσοφία. Levinas is the philosopher who, similarly to other peers of his, had an almost 'utilitarian' interest in Shakespeare's tragedies. At the heart of many of them lies the concept of "justice". According to Levinas, justice is only possible in the face to face relationship with the Other. Hannah Arendt, on the other hand, puts this in a more secular form by locating the possibility of justice in the 'two-in-one' internal dialogue, in the intercourse between "me and myself". This paper will offer a reading of *Richard III* in the light of Levinas's and Arendt's conflicting approaches to the possibility of justice, with a special focus on King Richard's questioning of the self.

The most prominent aspect of Levinas's philosophy is the privileged position he grants to ethics. Despite being relatively faithful to Husserl in terms of phenomenology and having studied Heideggerian ontology intensely, Levinas criticizes his two most influencing predecessors together with all antecedents in Western philosophy, which "has most often been an ontology" (Levinas 1979: 43). For Levinas, the Other is reduced to a phenomenon in a substantially phenomenological approach:

> If the fundamental axiom of phenomenology is the intentionality thesis, namely that all thought is fundamentally characterized by being directed towards its various matters, then Levinas's big idea about the ethical relation to the other person is not phenomenological, because the other is not given as a matter for thought or reflection. (Critchley, Bernasconi 2004: 8)

Ontology, on the other hand, is a philosophy of power and injustice, according to Levinas, by posing being before the existents (Levinas 1979: 46); being is reduced to the comprehension of Being or to a relation of knowledge in Heideggerian ontology (idem: 45). Additionally, it poses freedom before justice:

> To affirm the priority of Being over *existents* is to already decide the essence of philosophy; it is to subordinate the relation with *someone*, who is an existent, (the ethical relation) to a relation with the *Being of existents*, which, impersonal, permits the apprehension, the domination of existents (a relationship of knowing), subordinates justice to freedom. (Levinas 1979: 45)

Thus, ontology as first philosophy becomes prior to metaphysics and ethics. "Being before the existent, ontology before metaphysics, is freedom (be it the freedom of theory) before justice" (idem: 47). In both phenomenology and ontology, the existent is reduced to knowing via the medium which is *I*. In order to comprehend the other, the *I* reduces the Other to sameness. For Levinas this violence of knowing excludes the being of the other, as if allergic to the Other. Therefore, Levinas calls philosophy an "egology" (idem: 44). Despite its claim to overcome this possessive power of the ego, Heideggerian philosophy also fails to establish a just and ethical relation with the other, since it subordinates the relation with the Other to the relation with Being (an ontological relation). For Levinas, this "leads inevitably to another power, to imperialist domination, to tyranny". (idem: 47)

In *Totality and Infinity*, Levinas explains his aim as an effort to put forward an ethical relation with the Other, which is "a non-allergic relation with alterity construed in discourse in the society of the I with the Other – language and goodness", which is justice (ibid.). This relationship with the Other is ethics and it is attained in the conversation that inaugurates with the Other's disclosing or expressing themselves via the face. For Levinas, the Other is absolutely exterior to the text or the object examined and this exteriority does not dissolve in the *I*, in the process of conversation, as does in cognition.

The *I* is separated from totality in the *chez soi* ('bei sich' or 'at home with oneself') and the other existents in totality do not disturb this solitude of the self (Levinas 1979: 33). Yet the Other, which is metaphysically desired and intended, is different. It is a movement from "chez soi" toward an "alien outside-of oneself (hors-de-soi)" (ibid.). The alterity of other existents, which are, in an Heideggerian sense, ready-at-hand or *vorhanden* for usage (i.e. the table, the house, the food) can be absorbed in the identity of the *I. I* is the thinker or the possessor of these realities. There is no ethical relation of the *I* with those existents, therefore they are various realities in the totality that do not disturb the homeliness of the *I*.

The desire for the Other or the metaphysical desire is not based on the needs of an *I*. It is beyond need. It is pure desire for an absolute Other, which can never be satisfied. It does not intend any satisfaction. "The metaphysical desire has another intention; it desires beyond everything that can simply complete it. It is like

goodness – the Desired does not fulfil it, but deepens it" (Levinas 1979: 34). This Desire is produced by the idea of the infinite which is the absolutely other. For Levinas, the infinite is the transcendent or the Stranger. "Infinity is characteristic of a transcendent being as transcendent; the Infinite is the absolutely other"; therefore, thinking the Stranger "is different from thinking an object" since it would mean "the possession of the object" (idem: 49). The relationship of the same with the Other - metaphysics is guided by the difference between the traditional idea of subject-object relationship (or objectivity) and the relationship with exteriority, which is transcendent. In this relationship, the same and the Other ('autrui') "do not form a totality and is produced within the general economy of being only as proceeding from the *I* to the Other, as a face to face" (idem: 39) within conversation:

> Conversation, from the very fact that it maintains the distance between me and the Other, the radical separation asserted in transcendence which prevents the reconstitution of totality, cannot renounce the egoism of its existence; but the very fact of being in a conversation consists in recognizing in the Other a right over this egoism, and hence justifying oneself. (Levinas 1979: 40)

The face of the Other expresses itself in itself. The same does not absolve the face of the Other in his own homeliness, yet creates a unique intentionality, without any attempt to internalize. The alterity of the Other does not threaten the identity of the *I*, but adds to it. That is how Levinas locates the foundational condition of ethics, as a relationship.

In his essay *There is: Existence without Existents,* Levinas defines *there is* ('il y a') as an impersonal form, as in *it rains*. According to him, being is what remains (Levinas 1989: 31) as a nocturnal space. It is mostly felt at night, which is the total exclusion of light and where there is no discourse, no relationship with the Other. The remnant is *il y a* ('there is') and it is horror. In contradiction with Heidegger's idea of anxiety, which is "Being-towards-death" (Heidegger 1962: 310), horror is depersonalization: "In horror, a subject is stripped of his subjectivity, of his power to have private existence. The subject is depersonalized, and this is the impossibility of death" (Levinas 1989: 33). For Levinas, existence is inescapable and murder or killing, like dying, "is to seek an escape from being, to go where freedom and negation operate" (ibid.). Levinas explains this with reference to *Macbeth*:

> Horror is the event of being which returns in the heart of this negation, as though nothing had happened. 'And that', says Macbeth, 'is more strange than the crime itself'. In the nothingness which a crime creates, a being is condensed to the point of suffocation and draws consciousness out of its 'retreat'. A corpse is horrible; it already bears in itself its own phantom, it presages its return. The haunting spectre, the phantom, constitutes the very element of horror. (Levinas 1989: 33)

For Levinas, the ghost is what remains from existents, it is pure being without beings and cannot be escaped, as Macbeth cannot escape from the ghost of Banquo. To follow Levinas's idea of murder as an escape from existence, in the absence of a proper ethical relationship, might provide us with an ethical-ontological reading of the controversial villainy of Richard of Gloucester in Shakespeare's *King Richard III*, in comparison with Arendt's conception of conscience.

2. The face of the tyrant?

"Pathologically narcissistic and supremely arrogant" (Greenblatt 2018: 53) and fitting in the pattern of tyrants with his "ugliness and misshapen body" (idem: 55): this is how Stephen Greenblatt describes Richard in his very recently published work *Tyrant: Shakespeare on Politics*. He discusses Richard's villainy in relation with his deformity. Greenblatt puts emphasis on the cultural conception of Shakespeare's time, which considers physical deformity as a sign or a symptom of an evil personality. According to Greenblatt's reading, Shakespeare is opposing this cultural conception in his own way, by posing this deformity "as the root condition of his psychopathology" (idem: 57). It is already mostly debated among critics that the "villainy" of Richard III is based on Thomas More's account as much as on the Tudors' propaganda, which, at first, seems to have inspired Shakespeare's tragedy. Indeed, Shakespeare's account of Richard "is not the straight-forward anti-Ricardian Tudor propaganda" (Keenan 2017: 24). The villainy of Richard as depicted by Shakespeare is more complex and confusing. It is not surprising for Shakespeare's readers to find out that the character is not *one-dimensional*. On the contrary, Shakespeare creates at least one multi-layered persona in each play, who is situated on the limits and thresholds of different human conditions (i.e. Hamlet, Coriolanus, Titus Andronicus, etc.). Therefore, it is still Shakespeare and his characters we bear in mind, while we are thinking about the ethical, the good and the evil.

Hannah Arendt's now famous paradigm 'banality of evil', construed specifically on the Eichmann case, continues questioning the evil in Richard III, in her lecture *Thinking and Moral Considerations*:

> Is evildoing, not just the sins of omission but the sins of commission, possible in the absence of not merely "base motives" (as the law calls it) but of any motives at all, any particular prompting of interest or volition? Is wickedness, however we may define it, this being "determined to prove a villain", *not* a necessary condition for evil-doing? (Arendt 2000: 418)

Arendt focuses on Socratic and Platonic conceptions of evil-doing and the idea of conscience, compares the villainy of Richard with "real-criminals" (Arendt 2000: 418), such as Eichmann. Accordingly, she places Richard as a character on the threshold of villainy. Arendt points out that conscience is derived from consciousness and is formed via thinking – not pure philosophical or theoretical thinking, as in Western metaphysics, but thinking about particulars and particular instances. Recalling the Socratic daimon, Arendt opposes the proposition which presupposes that every person would do good as long as they know. For her, the specific kind of thinking that forms consciousness or conscience is not related to knowledge. Conscience should, as Arendt (2000: 438) suggests, guide us before the act, however "the sad truth of the matter is that most evil is done by people who never made up their mind to be either bad or good". Arendt's most significant observation regarding the Nazi experience and Eichmann's trial is that those who committed the crimes had no arguments or reasoning for their acts. This absence of consideration and total obedience to the regime demonstrated that criminals did not have consciousness or conscience. Arendt explains that consciousness is to know oneself and it automatically creates a duality of subject-object relationship. It means to have oneself as the object of recognition and a party in discourse:

> We call *consciousness* (literally, "to know with myself") the curious fact that in a sense I also am for myself, though I hardly appear to me, which indicates that the Socratic "being-one" is not so unproblematic as it seems; I am not only for others but for myself, and in this latter case, I clearly am not just one. A difference is inserted into my Oneness. (Arendt 2000: 441)

According to Arendt, consciousness is not identical to thinking, but thinking produces the difference which is given in consciousness. This difference allows the subject an interior otherness and an intercourse. A dialogue, which is the condition of friendship, is possible because of this difference. Arendt reminds us about the Socratic proposition that being wronged is better than doing wrong and asks: "It is better for you to suffer than to do wrong because you can remain the friend of the sufferer; who would want to be the friend of and have to live with a murderer?" (Arendt 2000: 442) Arendt's answer to this question is that not even a murderer can be willing to live with a murderer, and possibly the internal dialogue of a murderer is best exemplified by Shakespeare in the voice of Richard III, as he wakes up from his nightmare:

> What do I fear? Myself? There's none else by.
> Richard loves Richard, that is, I am I.
> Is there a murderer here? No, Yes, I am.
> Then fly! What, from myself? Great Reason why?
> Lest I revenge. What, myself upon myself?
> O, no. Alas I rather hate myself,
> For hateful deeds committed by myself.
> I am a villain. Yet I lie, I am not. (V.3.182-191)

Arendt reads this conflicting character Shakespeare created for Richard III as a man who contradicts himself because of his consciousness, despite the fact that he attributes "conscience" to cowards. This type of conscience is conceived by Arendt as something that can be separated from oneself and can therefore be avoided until one is left alone with oneself, as in the case of Richard. On the other hand, the banal criminal has no cognition of the intercourse between a person and his/her own self that allows him/ her to question his/her doing, and will never be disturbed by internal confrontation. This person who never participates in the internal dialogue is, according to Arendt, even more dangerous:

> We were here not concerned with wickedness, with which religion and literature have tried to come to terms, but with evil; not with sin and the great villains who became the negative heroes in literature and usually acted out of envy and resentment, but with the non-wicked everybody who has no special motives and for this reason is capable of *infinite* evil; unlike the villain, he never meets his midnight disaster. (Arendt 2000: 445)

Richard apparently meets his midnight disaster through a nightmare full of ghosts. Calling Richard a tyrant, Greenblatt reads Clarence's dream as a sign of Richard's tyrannical power, penetrating both the mind and the body. He suggests that the "tyrant has the power to make nightmares real" (Greenblatt 2018: 73) and this is true: Richard has the uncanny ability to make his own nightmare real. Greenblatt (2018: 103) indicates that Richard confronts himself only at the end of the play, whereas Macbeth is haunted by "personal defilement" from the

beginning. Yet it might be said that Richard's nightmare started long ago, as he knows he will do wrong since the beginning, when he admits being "determined to prove a villain" (I.1.30). He does not promise to become one, but to prove what he already is. As a villain, Richard does not lie, at least not to the audience; in that he resembles Coriolanus, who could not lie to the tribunes and remained "true to himself, which is to say, true to his upbringing" (Greenblatt 2018: 168).

3. Conclusion

There could be, obviously, many social, political, or psychological explanations offered for Shakespeare's depiction of Richard's wickedness and there is no banality in it in the Arendtian sense. Richard has his internal dialogue, a two-in-one contradiction, as Shakespeare portrays him. He has self-consciousness before and after his deeds, as much as he has self-justified goals, namely to get the throne. Yet none of these are sufficient for us to understand why Richard III felt that he was destined to be a villain, although he was well aware of the ethical implications of his wickedness. There was no absence of thinking, as Arendt would say. Therefore, I will suggest going back to Levinas, after a short recapitulation of the above.

Greenblatt (2018: 92) suggests that the ghosts in Richard's dream "stand for the conscience he conspicuously lacks" and they represent his "self-loathing". It has already been discussed that Richard was conscious enough to contradict himself, however he failed in building the conscience which could have prevented his criminal deeds. The reason behind this failure might be the absence of another intercourse. Although he had an inner relationship with himself, he had no relationship with the Other, in terms of responsibility. The difference created in Richard's self is not present in his relationship with others. Herein, I will not use the Other as in a theological sense, but as an obligation to recognize the exteriority and difference of Others. This obligation arises in Levinas with the face-to-face relation with the Other. In a more Heideggerian-Aristotelian point of view, it comes from the necessity of being-with-others, from Logos (*zoon logon ekhon/ zoon-politikon*). There is a fundamental defect in Richard's being-with-others. The basis of this malfunction might be his physical condition, which interrupted or prevented the occurrence of a proper face-to-face relationship. I will not offer a psychoanalytical reading, and yet it is necessary to mention, considering his flawed, imperfect body, that probably his mother, as the first Other, might not have built a decent relationship with him in his childhood. His face, which is supposed to be his opening to the outside world, is disturbed. Being well aware of his bodily defects, Shakespeare's Richard is incapable of a face-to-face relationship, which is a form of ethics, according to Levinas. The desire for the Other in Richard is directed solely towards the throne. His self-loathing and his will to accede to power lead him to have one aim in life: that of gaining the absolute authority which will allow him to rule over the others and take them into his disturbed sameness, instead of participating in "alterity". Furthermore, his self-disgust can also be considered as a motive for his proving a villain, a murderer. Trapped on the threshold between existence and non-existence, Richard kills in a vain attempt to break away and dissolve into nothingness. In addition, for him there is no face of the Other that would prevent him from doing so; it is the face of the Other which "expresses" the "moral impossibility of annihilating" (Levinas 1979: 232).

Finally, Richard fails to feel responsible for others. Throughout the play there is absolutely no evidence that there is somebody Richard cares about, in contrast with other villains, such as Macbeth, Tamora, or Lear. Apart from his will to rule, he does not care for himself, either. He is self-destructive. Shakespeare does not let his audience know more about the Duke of Gloucester, but leaves an ocean of possibilities to speculate on. It is certain that Richard was determined to prove a villain, but was Shakespeare as determined to prove him to be a villain?

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COMPARATIVE ANALYSIS OF TRAGIC ELEMENTS IN THOMAS HARDY'S *TESS OF THE D'URBERVILLES* AND ROMAN POLANSKI'S *TESS*

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***Abstract**: Starting from the evident interest that Thomas Hardy's novel Tess of the d'Urbervilles has inspired in the film and TV industry throughout the twentieth and twenty-first centuries, this paper centers on the comparison between Hardy's novel and its film adaptation in 1979 by Roman Polanski; more specifically on the aspects of tragedy found in Hardy's nineteenth-century novel and the manner in which they are included in the structure of Polanski's film. The paper tackles the functional features of the elements of tragedy such as the strict logical and structural organization of plot, the heroine's hybris and fatal flaw, as well as Hardy's view of Tess as "a perfect specimen of a womankind", and examines the ways in which the film, which can be seen as generally truthful to the original, conveys a subtly different understanding of Tess's character and fate.*
***Keywords**: film adaptation, hamartia, hybris, tragedy, Victorian novel*

1. Introduction

Seen from one of the numerous viewpoints, *Tess of the d'Urbervilles*, a novel written in 1891, can be said to centre on the tragic fate of the novel's heroine, Tess Durbeyfield. In Scott Elledge's preface to the third *Norton Critical Edition* of *Tess of the d'Urbervilles,* which partly discusses the reception of the novel directly upon its publication, special attention is paid to the opposing standpoints and the ways the novel was perceived at the time it was written. While, for some critics, *Tess of the d'Urbervilles* was the best novel that Hardy had ever produced, an unsigned notice in *The Saturday Review* described it as "an unpleasant story" told "in a very unpleasant way" (Greenslade 2013: 28). In his introduction to *Bloom's Modern Critical Views: Thomas Hardy*, Harold Bloom (2010: 12) perceives the novel as having moments of vision that correlate with modern times. The contemporary relevance of the tragedy of one of literature's most famous fallen women, who is deemed by her maker "a perfect specimen of womankind", is also shown in Roman Polanski's interest in turning the novel into a film in 1979. His film adaptation, entitled *Tess*, with Nastassja Kinski in the leading role, was nominated and awarded numerous prizes. At the 38th Golden Globe Awards, Nastassja Kinski won the Golden Globe for New Star of the Year, and the film received the Golden Globe for Best Foreign Film. At the 53rd Academy Awards, *Tess* won the Best Art Direction, Cinematography, and Costume Design awards and was also nominated for Best Director, Best Original Score, and Best Picture. At the 5th César Awards, the film won the Best Director, Best Cinematography and Best Film awards. The adaptation, made almost a century after Hardy had written the novel, can be generally seen as truthful, "a sensitive, intelligent screen

treatment" that "has that infrequent quality of combining fidelity and beauty" ("Tess", *Variety*). Colin MacCabe (2014) calls the adaptation "(t)he Truest Tess", perceiving it as one of the finest examples of the new form of adaptation. "Fidelity to the source text became, for the first time in the Western tradition, an important aesthetic goal", says MacCabe (2014), with the director using "the resources of the cinema to intensify the themes and concerns of the source in ways that no literary text could accomplish". In this use of cinematic resources, MacCabe (2014) sees the film director's "willingness to alter and invent to deepen" the vision of the novel's author. Nevertheless, this paper argues that the novel's structure, based on the tight cause-and-effect concatenation of seemingly banal events, that creates an intense atmosphere of tragedy and imminence of the heroine's inglorious end, is not translated into the film in all its complexity. Moreover, the paper explores the tragic elements contained in the strictly logical and structural organization of plot, the heroine's hybris and fatal flaw, as well as Hardy's view of Tess as "a perfect specimen of a womankind" (Elledge 1991: x), and examines the ways in which the film, which can be seen as generally truthful to the original, conveys a subtly different understanding of the fall of Hardy's perfect woman.

2. Religious and social aspects in *Tess of the d'Urbervilles*

The layered structure of Hardy's *Tess of the d'Urbervilles* features several different aspects of the novel, each consisting of oppositions reflected both in Tess's character and her social and cultural context. MacCabe (2014) points to Tess's ruin as "due as much to her class as her gender" and "the double standard of Victorian life that required virginity in a woman as a condition of marriage, but permitted a man his visits to the brothel". The religious aspect of the novel represents the clash between the natural, almost pagan life of rural England at the end of the nineteenth century on the one hand, and the rigid Anglican Christianity of Victorian England of the same period, on the other hand. Harvey (2003: 85) remarks a more scathing attack on contemporary religion in "Tess of the d'Urbervilles" than in earlier novels, citing the examples of Angel's clerical father who, although "a good man", is dogmatic, as well as of the character of vicar, who does not allow Tess's baby Sorrow to have a Christian burial. Harvey (2003: 12) sees the general crisis of religious faith that went hand in hand with Darwin's theory of evolutionary struggle for existence as compatible with Hardy's fatalistic temperament. Kucich also identifies the influence of Darwinian theory in Hardy's novels in the individual's ruin brought about by circumstances devoid of any order or meaning, in the presence of myriad "cruelties of chance", which all "emphasize historical accident – in conformity with Darwinian theory":

> In Tess of the d'Urbervilles (1891), to cite perhaps the most poignant instance, Angel Clare tragically misses an opportunity to meet the innocent Tess at a May Day dance long before she is despoiled by Alec d'Urberville; and, later, Tess's confession is regrettably – perhaps fatally – delayed when she accidentally slips her letter to Angel under the carpet at the threshold of his lodgings. (Kucich 2002: 130)

In the world ruled by the law of the survival of the fittest, Hardy's characters inhabit "a universe oblivious to humanity" (Harvey 2003: 199), and this is where, in Hardy's work, the religious concerns of the time blend with the social ones. King (1978: 67) observes that Hardy "shows the misery caused by changing

economic and social pressures, arising out of humanity's indifference to itself", out of "man's tragically persistent inhumanity to man". With no after life, a better, socially more just world was to be established with "an alternative moral and ethical system to that of Christianity" at its core, "combining service to others, compromise, and loving-kindness (Hardy's phrase)", in other words a society in which conventional religion had to be replaced by a "religion of humanity" and the survival of the fittest to be alleviated by a conscious effort at social improvement (Harvey 2003: 14-15).

The social aspect provides insight into a sharp, even grotesque gap between the social classes and backgrounds, reflected in "a picture of the English countryside as the effects of industrialization begin to destroy its centuries-old way of life" (MacCabe 2014). This gap is ironically hinted at in the novel's title; in the entire novel, Tess's surname is Durbeyfield, a peasant surname of a poor family that stems from the once noble surname d'Urbervilles, while only in the novel's title is Tess named "d'Urbervilles". The ancient surname in the title ("*of d'Urbervilles*") is coined in a pleonastic manner, since it comprises two Norman genitives, one deriving from the English language, and the other one from French. The transformation of the noble d'Urbervilles into the common Darbeyfield is ironic and indicative as well: the surname d'Urbervilles contains the French noun "ville" ("city") with an upper-class, urban connotation, whereas in the surname Darbeyfield, the "ville" is changed into the English noun "field", connoting the lower-class rural reality of Tess's family. One of the key ironic oppositions encountered, which are numerous in the text, is the narrator's referring to Tess as Durbeyfield. Durbeyfield is the peasant variation of the surname d'Urbervilles, although she descends from the noble d'Urbervilles. On the other hand, Alec, who belongs to the newly rich, is referred to as d'Urbervilles, although his original surname is Stoke and he adopts d'Urbervilles only after purchasing the title. Tess's character is a sort of synthesis of the social and cultural oppositions (pagan/ Christian, Christian/ Darwinian, rural/ urban, peasant/ aristocratic) that clash dramatically in the building of her character, accompanied all along by a premonition of the impossibility of a positive, optimistic resolution.

Tragedy in the Victorian novel shifts the focus from man's relationship with the Gods and his fate to the tectonic changes in contemporary society and the individual's place in it, "suffering having now a merely human scale", and embodying "elements of realism, satire and comedy" (Harvey 2003: 146). Tragedy had to "come to terms with the methods of realism" in the Victorian novel, while a realist writer had to "endow mundane material with aesthetic and symbolic values without falsifying its nature" (King 1978: 50), all the while relating it "to whatever is unchanging and ubiquitous" (idem: 64), so as to meet the requirements that tragedy entails. Perhaps the best definition of Hardy's accomplishment in making the social code one of the key elements of Victorian tragedy is Ain-Krupa's (2010: 113) summary of Polanski's film: "Tess is a story about the nuances of fate and the misfortune that often accompanies sudden monetary and social gain". Newton (2008: 66) points out that "a character like Tess in *Tess of the d'Urbervilles* (1891) can be said to be both a victim of social forces and fated to be destroyed by some intrinsic recalcitrance that exists in the world." In other words, social codes combined with Fate bring about the protagonists' downfall in the Victorian novel.

The novel provides a cyclic structure of the passage of time, from Tess's youth all the way to her death, symbolically conveyed by the change of seasons and the changes in nature that happen in the process:

> The natural world of these novels is experienced both as a physical, and as a supernatural, influence. Its changes reflect forces that impinge on the individual's life at all levels. ... The changing seasons in Hardy's novels express the omnipotent rhythm of flux and reflux. ... Hardy uses Nature as part of the symbolic structure in a way that isolates the character in opposition to the natural world. (King 1978: 61)

If we analyze the passage of time and the events placed at particular times of the year, we will see that the events such as the ceremonial celebration honouring the pagan goddess Cerealia, then Tess's leaving for the dairy where she again meets Angel Clare and Tess's execution are all set in the month of May, signifying both the beginnings and the ends of particular phases of Tess's life. The periods in which the events in Tess's life are of the highest emotional intensity, such as Alec's courting and sexual advances, motherhood, love, and psychological breakdowns in her relationship with Angel, all happen during the summer months of different years. The climaxes of those periods, such as the unfortunate loss of virginity as the result of Alec's insistence, the death of Tess's baby, the acceptance to marry Angel without a confession regarding her previous life, occur at the end of summers, during autumns and at the beginning of winters. Although "(t)he imagery of the film depicts the cyclical quality of the ever-changing seasons, the milking of the cows, the harvesting of the wheat" (Ain-Krupa 2010: 113-114), Polanski's film does not use the symbolism of nature and passage of time strictly in this manner. Still, the cinematography of the film, the effects produced by the images of the nature, climate and surroundings of Tess's Wessex that symbolize her psychological states can be characterized as consistent to Hardy's vision of Tess's character, as well as the temporal and spatial context.

3. Cause and effect in Tess's fall: hybris and hamartia

Both Hardy's and Polanski's Tess are a dynamic fusion of various historical, social and cultural influences. Tess is a pagan, aristocrat, and Victorian woman at the same time: pagan in her nature and temperament, aristocrat not so much by ancestry as by natural grace that stands in opposition to her direct environment, and finally, Tess is conditioned to be a Victorian in the society she is part of. The pagan and aristocratic traits come from the times that are not hers and are not in harmony with the Victorian norms and Anglican cannons which function in Tess's immediate surroundings. The clashes of these influences are unavoidable and incessant, destructive at the moments of Tess's Victorian, moralizing hybris, e.g. just before the sexual intercourse with Alec d'Urbervilles. This event is Tess's "infamous tragic error or *hamartia*" (King 1978: 4) that will prove fatal for her future life. King (ibid) talks about the tragic error or *hamartia* when discussing the Aristotelian concept of tragic hero, remarking that "Aristotle seems to have meant by this simply a mistake, making the hero's fate logical and convincing, but not necessarily just." In the scene after the dance, when Tess falls out with one of the peasant girls with whom she is going back home and scornfully rejects the girl's insinuations about her potentially sinful relationship with Alec, Tess exibits the hybris of a Victorian: "Indeed then – I shall not fight! […] and if I had known you was of that sort, I wouldn't have so let myself down as to come with such a whorage as this is!" (Hardy 1991: 52) This display is immediately followed by the description of her decision to still leave with Alec:

> At almost any other moment of her life she would have refused such proffered aid and company, as she had refused them several times before; and now the loneliness

> would not of itself have forced here to do otherwise. But coming as the invitation did at the particular juncture when fear and indignation […] she abandoned herself to her impulse (idem: 52-53)

A similar conflict of natural and socially conditioned impulses is also found in the feelings that Tess has for her new-born baby, "that intrusive creature, that bastard gift of shameless Nature who respects not the social law" (idem: 75), whom she, on the other hand, kisses and caresses "violently […] some dozens of times, as if she could never leave off, the child crying at the vehemence of an onset which strangely combined passionateness with contempt" (idem: 70). Tess's feelings for the child are ambivalent, her motherly love collides with the rejection and self-condemnation conditioned by social and religious norms and rules. The importance of Tess's internal conflict is reflected in the scene that Polanski quite truthfully takes over from the book, when Tess makes a cross for the dead, unbaptised baby in the middle of the night, sticks it into the grave, and brings flowers in a white marmalade jar.

Polanski, however, chooses to leave out certain events the symbolic value of which is of great importance in Hardy's novel. Although the death scene of the horse entrusted to Tess by her parents is the first death scene in the novel and one of the key ones in the sequence of scenes that build up an atmosphere indicating a tragic end, that scene is left out from the film. The point in the novel at which Tess sets out on a journey instead of her father, who, due to his drinking, is not able to go, and during which the nature that surrounds her takes her to the dimension of the unreal, is simultaneously the point in which Tess's destiny meets the history of society, as well as the history of her family and herself:

> The mute procession past her shoulders of trees and hedges became attached to fantastic scenes outside reality, and the occasional heave of the wind became the sigh of some immense sad soul, conterminous with the universe in space, and with history in time … The pointed shaft of the cart had entered the breast of the unhappy Prince like a sword, and from the wound his life's blood was spouting in a stream, and falling with a hiss into the road. (idem: 21-22)

The image of the horse is present in the film and can be linked to a certain extent to the symbolism attached to it in the novel. In the novel, the chain of sacrifices begins with the death of the horse, and it ends with the death of Tess, and as Tess is (unintentionally) responsible for the death of the horse, she is also responsible for murdering Alec. In the film, the "Seduction or Rape" scene between Tess and Alec takes place in a forest, as it is also the case in the novel, however with an additional detail – the moment she loses control of herself due to Alec's relentless advances, Tess pushes Alec off the horse. Tess's reaction results in blood gushing from the back of Alec's head, as a premonition of Alec's death at Tess's hand. Although the film does not make a direct allusion to a significant detail in the novel that refers to the curse of d'Urbervilles, the scene in which Tess uncontrollably pushes Alec off the horse, as she will uncontrollably kill him in the end, can be directly linked to the curse of Tess's family. In the novel, it is Alec who recounts the story of the curse of the D'Urbervilles to Tess. The event that started the curse was the rape of a peasant woman that Tess's ancestor, a noble d'Urbervilles, committed in a carriage, which ended in murder. This episode brings us back to the naming of characters, where Tess's surname is Durbeyfield and Alec's, who is originally a Stoke, is d'Urbervilles. Ironically, in the context of the

past, which is ever-present in Tess's situation, such naming points to the presence and repetitiveness of past events that haunt Tess, but with inversed roles: just like once Tess's ancestor, a true d'Urbervilles, brought a curse upon his family by raping a defenceless girl, Alec, a fake d'Urbervilles, takes Tess's virginity and thus continues with the same pattern of behaviour, founded exclusively on male power, and not on social and class background.

For what are called the "contemplative parts" of the novel, where the narrator comments and gives his personal judgment of the characters' behaviour and the progression of the plot, Hardy claimed that "he had not wished to persuade his readers to a point of view, but only to present from his point of view an accurate account of what he had observed" (Elledge 1991: xii). However, it must be observed that Hardy's "accurate account", ironically enough, verges on biased, even sentimental compassion with the misfortunes of his heroine. King (1978: 5) remarks that, although tragedy should excite pity and fear, the nineteenth-century novel "excited too much pity, destroying the tension necessary to tragedy". The sub-title of *Tess of the d'Urbervilles* is *A Pure Woman*, and Hardy's view of what a "pure woman" is provoked a great deal of polemic at the time when the novel came out, to which Hardy responded:

> Respecting the subtitle … I may add that it was appended at the last moment, after reading the final proofs, as being the estimate left in the candid mind of the heroine's character – an estimate that nobody would be likely to dispute. It was disputed more than anything else in the book. *Melius fuerat non scribere*. But there it stands. (Hardy 2005: 1006)

Hardy's argument was that, in the interpretation of the novel's sub-title, to derive "chaste", with the connotation of virginity and moral virtue, from "pure" was forced and artificial. For Hardy, the quality that the word "pure" holds in the context of the novel's heroine applies to Tess as "an almost standard woman" (Hardy 1991: 71) and someone who "would have been called a fine creature" (idem: 77); the author considers Tess as a pure woman in the sense of "a perfect specimen of womankind" (Elledge 1991: x). King (1978: 33) points out that "[b]ecause the odds against her are so great, Tess remains innocent, 'a pure woman', although the mother of an illegitimate child, and a murderess". Having in mind such an attitude presented by the author, certain differences can be identified between Hardy's Tess as "a perfect specimen of womankind" and Polanski's Tess. The novel, in accordance with Victorian conventions of novel writing, does not go into specifics regarding the sexual intercourse that takes place between Tess and Alec. Polanski's film, on the other hand, according to MacCabe, takes the novel's story further, by developing it in the treatment of sex. The scene implies that Alec takes advantage of Tess's moment of weakness when she allows him to approach her, but when she tries to retreat at the last moment, it is already too late – Alec takes her moment of weakness as consent. However, the following scenes in the film convey a different, or, at least, more complex insight into Tess's mood after the fatal act, in comparison to the one we find in the novel. After the ambiguous seduction/rape takes place, the scene that follows shows Tess with an innocent smile on her face as an expression of momentary joy over a hat that she receives from Alec as a present. The next scene shows the two in a boat where we notice Tess in a completely different, melancholic, and sombre mood, as an expression of the subsequent understanding of her situation. The sexual intercourse with Alec happens to Hardy's "pure" Tess out of innocent ignorance, but in the case of

Polanski's "pure" Tess, it is a moment of weakness of an "everywoman", an error that anyone who is, in the final instance, simply human is susceptible to; this is why Tess does not immediately perceive the intimacy with Alec as a fatal flaw. Such treatment of Tess's downfall, which implies Tess's *hamartia* of bringing herself into the situation where she can be ill-used and giving in to Alec, at least for a moment, adds up to the tragedy of her final downfall in the film.

While Hardy's Tess is lifted to a very high pedestal of martyrdom, the film shows a much higher degree of irritation in both male characters caused by Tess's submissiveness and passive sufferance. The examples for that are Angel's reaction to Tess's confession about her past, as well as Alec's reaction when they meet again and when he becomes aware of Tess's motherhood and her decision not to tell him. In her powerless misery, only for short moments does a survival instinct, awkward and unconstructive, rise to the surface, and her final reactions can be summarized in a sentence directed to Alec in the film: "Go on, hit me. Once a victim, always a victim". The powerless misery of Hardy's characters has been subject to criticism; R.H. Hutton, (qtd in King 1978) sees Hardy's tragedy as "carefully limited to gloom" and fatalism of Tess's rural England community, giving us "the measure of human miserableness, rather than of human grief" that is essential for inspiring pity and fear in the reader as well as giving poetical enjoyment. "Tragedy is almost impossible to people who feel and act as if they were puppets of a sort of fate" says Hutton (qtd. in King 1978: 7), which is exactly what Tess's character, "in which there is everything to be endured, nothing to be done" (idem: 9), is like. A Victorian tragedy heroine, "(d)enied the traditional rhetoric of the tragic hero", is "burdened with a terrible isolation" (idem: 54) due to her inability to communicate. This flaw, according to King, does not signify the absence of feeling, but is rooted in the poverty and general deprivation caused by social class injustice, which Tess feels as a sort of fate, definite and irreversible.

Still, it appears that in Polanski's modern adaptation, both Alec and Angel demand that Tess should accept her weaknesses with more self-respect, and less Victorian self-pity and self-punishment. In the film, this "deficiency" of Tess's emotional and mental frame provokes a heightened tone and angry reactions in Angel ("How can you be so simple? [...] You are not my servant, you are my wife!"), while those parts of the novel are written in a calmer, more sentimental tone.

In the film, Alec verbally mistreats her over her inability to articulate herself. Alec reacts similarly, when he, for example, objects to Tess's behaviour in a way that cannot be found in the novel, but that can be seen as crucial for the understanding of Tess's character in the film:

> You wear your ridiculous pride like a hair shirt! And you put me even more in the wrong than I was … What is this strange temptation that misery holds for you? ... There's a point beyond which obstinacy becomes stupidity.

The sentimental representation of Tess and Angel's love in the novel is accompanied by a significant level of irony that found its way into the film. Aside from numerous scenes in which, for instance, cows are lowing and insects are buzzing and crawling over the film's protagonists in the moments of most passionate outbursts of emotions, perhaps the best example of irony is the scene in which Angel throws himself into Tess's arms while she is milking a cow (Hardy 1991: 118-119). Compared to the novel, the transitions that concern the love story between Tess and Angel seem too abrupt in the film. Tess and Angel's relationship

is the one where the absence of a narrator is felt the most in Polanski's adaptation. In the novel, Tess's doubts are much more present and dramatic, creating the image of an insecure and tortured heroine, whose struggle with herself evokes sentimental pathos, while the situation is in a certain way simplified in the film, maintaining the logic of the more modern adaptation of Tess's character. The scene in the film in which she, realizing that Angel has not read her confession letter, makes the final decision to keep quiet about her previous "sins", is one of the segments in which, cinematographically, the harmonious tonality of the film is interrupted. The moment when Tess climbs to Angel's chambers and takes away the letter from his sight, she, and the entire scene, is blinded by the sunlight, to the point that Tess becomes invisible for a moment. Then, hiding the letter in her bosom, she descends to the ground, where the tonality suddenly changes and becomes drastically darker and drearier. The change of light is used here as a metaphor for Tess's decision to take the risk and to believe, at least for a moment, in the possibility of a happy ending, with an abrupt change of tonality as an omen of the unfavourable closure of the story.

Tess's story, both in the novel and the film, begins and ends with pagan omens: it begins with a pagan ceremony, and Tess's executors capture her at the pagan monument, Stonehenge. The film does not show Tess's execution, but only the scene in which they take her to her death, while not more than an inscription is displayed on the screen: "Tess of the d'Urbervilles was hanged in the city of Wintoncester, aforetime capital of Wessex". The cyclic progression of events is again revealed, since Tess is caught in a pagan temple, executed in the ancient capital from the times of her ancestor Pagan d'Urbervilles, from whom her curse begins, and ends in her death. The last sentence in the film contains the pleonastic name from Hardy's novel, Tess of d'Urbervilles, since, branded with that name and all that it signifies, she is doomed to ill fate. Tess's pursuers reach her at Stonehenge, which is "Older than the ages, older than the d'Urbervilles", where she is, in the final run, only Tess, without the surname, ancestry and social confinements, sacrificed in a pagan temple of the sun.

4. Conclusion

Polanski's choice not to include in the film some of the arguably most important segments of the novel's plot, such as the death of the Durbeyfields' horse, Tess baptizing her dying child, Tess and Angel's honeymoon in the castle of the ancient d'Urbervilles, as well as Angel's ironic consent to fulfill Tess's last wish and stay with her sister after her death (the sister who is the same as her, just not "wicked") banalize Hardy's story to a considerable extent. These events in the novel contribute greatly to the tight cause-and-effect concatenation in the story, while Angel's decision to stay with Tess's sister, who is not "wicked", illustrates "the absence of any distancing or ennobling formal beauty" that deprives readers of the aesthetic pleasure of wholeness, thus suggesting that it is "life, not death, that is tragic" (King 1978: 10-13). Tess's story in the film lacks the element of fatality, one of the chief components of the novel, emanating from a complex concatenation of various events, motives and influences that are intertwined masterfully in the novel. On the other hand, although Polanski misses the chance to inflict a more critical blow on the false morality of Tess's rural community, the social and cultural context that sees her as a morally inadequate woman, and, finally, the heroine's sentimental martyrdom, his adaptation provides the possibility of a different perception of Tess's character. Both in the novel and in the film, we

encounter Tess's observation "It's all vanity", which comes to her when she is all alone in the woods, abandoned and unhappy, at the moment of illumination. It seems that Polanski's version of Tess's story, apart from Alec's, Angel's, and her parents' vanity, places a focus on the possible existence of her own vanity as well, on her refusal or inability to come to terms with her own and other people's mistakes and human frailties, resulting from the imperfections of human nature. Polansky's film poses the question whether Tess's tragedy is really entirely a matter of an evil force that cannot be circumvented, pushing Tess to her doom; or whether it is more of a cultural and social matter, and also one of the irony of Tess's passive obstinacy and acceptance of her own guilt and "wickedness". It appears that Tess's fatal flaw in Polanski's film lies more in her inability to come to terms with her imperfections than in her moral downfall, linked either to her virginity loss or in the "hereditary quality" that the narrator points out in the novel. In that respect, in the light of the question asked by Alec d'Urbervilles in the film: "What is this strange temptation that misery holds for you?", the questions that are further raised are in what way and to what extent a modern reader of the novel and spectator of the film can empathize with Tess, and how problematic Hardy's vision of a "pure woman", i.e. the vision of Tess as "a perfect specimen of womankind", proves itself to be.

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TRANSATLANTIC EXCHANGES: THE RISE OF THE EARLY AMERICAN NOVEL*

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Abstract*: The present article aims to provide a revisionist approach to the early American novel by considering the relation between English models and American imitations, on the one hand, and transatlantic cultural exchanges, on the other, which have contributed to the rise of an autonomous literature whose development was inextricably linked to the founding of the nation. Although the early American novel was a generic extension predicated on eighteenth-century English prototypes, I claim that it struggled to find its own voice in a republic in which novels, along with other fictional material, were deemed as public property and common knowledge, two major prerequisites of Republicanism understood as civic humanism.*

Keywords*: early American novel, imitation, nation, revisionism, transatlantic exchanges*

1. Introduction

The claim that the eighteenth-century English novel emerged as an unstable generic category, whose production, publication and consumption went hand in hand with socio-economic factors and, most notably, with the rise of middle-class individualism, has long been the staple of literary criticism engaged in tracing its origins. Attuned to what was new and factual, or to "news" of all sorts, the novel as a bastard genre blurred the boundaries between fact and fiction, acquiring the status of "an ambiguous form – a factual fiction which denied its fictionality and produced in its readers a characteristic uncertainty or ambivalence as to whether they were reading something true or false" (Davis 1983: 36). Cannibalising various forms of fiction, such as sermons, spiritual biographies, diaries, autobiographies, letters, journalism, history and travel books, the English novel further endorsed its generic instability because of its arch enemy, i.e. romance, a generic term used interchangeably with the word "novel" up until the end of the eighteenth century, when the latter became an institutionalised literary form, with a well-configured reading public. By the same token, on the other side of the Atlantic, the early American novel, an imitation of English models, sought to find its own form and literary legitimisation "by its perpetual reassessment and reconstitution of romance within the novel form" (Chase 1957: viii). Although the inchoate form of the American novel evolved, much like in England, in tandem with an ever-growing literary marketplace, it was radically different from its European counterpart, in that the novel of post-revolutionary America was "the genre most attuned to the

* Research for this paper was carried out with support from Grant no. 10520, provided by the Research Institute of the University of Bucharest (ICUB), 1 October 2018 - 30 September 2019.

social order of the future" (Gilmore 1994: 620). As a critical mouthpiece of a nation in the making, the early American novel has generally been considered a locus of socio-political controversies and contradictions, rather than unity and homogeneity. As Richard Chase has pertinently observed,

> the American novel has usually seemed content to explore, rather than to appropriate and civilize, the remarkable and in some ways unexampled territories of life in the New World and to reflect its anomalies and dilemmas. It has not wanted to build an imperium but merely to discover a new place and a new state of mind. (Chase 1957: 5)

Chase's remark is of paramount importance, because it unveils the crucial role that the early American novel has played in shaping the cultural identity of the new nation, on the one hand, and in underlining the innovative potential of American authors, on the other. As a field of study obliterated by the American Romantic generation of the New Transcendentalists of the 1830's spearheaded by Ralph Waldo Emerson, the early American novel earned its well-deserved place in the history and canon of American literature in the 1980's, when literary critics acknowledged the fact that the novel of the American republic was able to unravel "anomalies" and "dilemmas" that ran counter to an "imperium" that allegedly highlighted the historically-embedded unity of American culture prior to the Revolutionary Years.

In what follows I shall take Chase's remark as the starting point of my argument, in order to demonstrate that, unlike its English, and European, counterpart that was mostly concerned with the crystallisation of generic features, derived from a body of variegated fictional narratives, the early American novel was deeply preoccupied with juxtaposing its formal characteristics with the question of national formation. Notwithstanding the fact that the early American novel emerged as an imitation of English novels, I would like to challenge Jeffrey Rubin-Dorsky's idea that the novel of the republic is a recent invention. According to him,

> the works usually labeled as early American novels do not look anything like the conception most people have of the novel. Their characters are abstractions, hardly ever realized in any complex psychological way; their plots are mechanical, often clumsy and ill contrived; their "modes of experience" are anything but "everyday." In the modern sense of the term, the one we live with experientially, none of these books are novels at all, perhaps more like sermons or fables. (Dorsky 1991:10)

Whereas Dorsky's argument is judicious to the extent that the novel as a generic category sought to find its own formal and structural voice in the first years after the Revolution, it fails to admit that the American novel of the republic, as hybrid as the English one, needed to answer a multitude of pressing questions related to the remapping of national boundaries and, furthermore, to a type of historiography which mentions such a vast body of fiction only in passing until the 1980's. Contrary to such a view, I argue that the early American novel indisputably contributed to the forging of American cultural identity in the formative years by promoting a sense of national *qua* Republican consciousness, which viewed literature as a cultural artefact shared by the whole community. Thus, I side with Michael Warner (1990: 122), who contends that "when persons are said to possess literature in republican America, they are credited with citizenship rather than

private culture", the latter being the exclusive preserve of a Romantic paradigm predicated on interiority and self-fulfilment. Inextricably linked to England in terms of influence and trade, the early American novel was a cultural ambassador that actively promoted transatlantic exchanges in a cosmopolitan Atlantic world, in which "genres traverse seas and oceans, pass through parts and across ethnic frontiers, national boundaries, and local distinctions of gender and class, to weave their circuitous way over diverse linguistic and cultural territories" (Bannet and Manning 2012: 6). In a nutshell, far from being "more like sermons and fables", as Dorsky suggests, the novel of the post-colonial America accommodated multifarious ways of experience, which, be they problematic or unusual, were the result of a cosmopolitan network of exchanges.

2. Transatlantic exchanges

As an unstable genre in search of a limpid form, the English novel crossed the Atlantic under the guise of prose narratives and fictional histories with a pedagogical and entertaining function alike. Perceived as stories based on fact, their aim was to influence the American readers' perception of the everyday experience in the Atlantic world. In her groundbreaking study titled *Revolution and the Word: The Rise of the Novel in America*, Cathy Davidson calls attention to the elusive generic status of such fictions, which, for lucrative reasons, passed for novels, in spite of the latter's potential to pervert public taste and, ultimately, to undermine political authority:

> Publishers, booksellers, and lending libraries could all promote their business by indiscriminately applying the label *novel* to the commodity they dispensed. Yet the censure of the form, emanating from the pulpit and the press, remain potent enough so that, until well into the nineteenth century, virtually every American novel somewhere in its preface or its plot defended itself against the charge that it *was* a novel, either by defining itself differently ("Founded In *Truth*") or by redefining the genre tautologically as all those things it was presumed not to be – moral, truthful, educational, and so forth. (Davidson 1986: 40; original emphasis).

Posing as outstanding figures in the early American book trade, publishers, booksellers and printers were immigrants from Britain and Ireland, the two most reputed centres which exported most books to America. Circulating as reprints of British authors, both fictional and non-fictional reading materials told stories about migration, danger, captivity, war, settlement and freedom in the Atlantic world. Conversely, eighteenth-century British fiction showed a vivid interest in the Atlantic world, much as it did for Oriental romances. Enmeshed in a "transatlantic literary interaction" (Bannet 2011: 2), a substantial number of transatlantic novel-like narratives were penned either by American writers like Benjamin Franklin, James Ralph and Cotton Mather or by authors who lived on both sides of the Atlantic, such as Charlotte Lennox, Olaudah Equiano, Susannah Rowson, John Davis and Tobias Smollett.

However, the intense transatlantic exchange of print materials enabled Britain to have the upper hand, since British authors were regarded as barometers of literary culture in the Anglophone space. Although New York, Boston and Philadelphia gradually became important book trade and publishing hubs, they could not disseminate reading materials across the nation. This aspect speaks

volumes of national culture as an incomplete project. To quote J. Gerald Kennedy and Leland S. Person (2014: 2), the sparse distribution of print materials "created provincial enclaves, each projecting a version of regional history and experience as ostensibly 'national'". The range of national micro-histories, which accounts for the motley American cultural landscape, enables us to understand the formal oddities of the early novel, given the lack of some prominent publishing centres and authoritative literary magazines. Concurrently, this lack was responsible for the diversity of forms and literary experiments that had already been in place before the Revolutionary Era. Nevertheless, this provincial background was counterpoised by Americans' appetite for both British and European cultural models, which caused American writers to doubt that a national literary tradition could ever be created. It was only after the War of 1812 between the United States and Great Britain that "the project of constructing an American cultural identity separate from that of Britain became a US national obsession" (Kennedy and Person 2014: 3). It made Washington Irving and James Fennimore Cooper rise to prominence and urged Noah Webster to write in a letter to the Connecticut representative John Canfield that "America must be as independent in *literature* as in *politics*, as famous for *arts* as for *arms*" (Warfel 1953: 4; original emphasis). Despite such nationalist impulses, a strong relation with British culture still prevailed on the East Coast of the Atlantic, particularly in New York, where booksellers and reviewers remained faithful to the English novelistic tradition. Thus, the constant process of cultural exchange and negotiation between England and America turned into an act of cultural appropriation of novels and other genres, which were assimilated by American printers during the Revolutionary Years. Borrowing the phrase "native fabrication" or "literary manufacture" of books employed by the Scottish printer Robert Bell, who migrated to Philadelphia in 1768, Bannet (2011: 3) explains that they are

> more useful terms than "piracy" or "the reprint trade" because they highlight the fact that, during the eighteenth century, texts were often altered, reworded, epitomized, re-compiled, renamed, adapted, repositioned, reinterpreted, re-contextualized or reframed, in the course of reprinting and embodiment in different material books.

These practices set the tone for claims to American cultural independence, as long as the reinterpretation and refashioning of multiple genres, the novel included, was predicated on the circulation of stories on both sides of the Atlantic, since stories were fictional accounts of life and experience, "which change a little from retelling to retelling and are not bound to any particular form of words" (Bannet 2011: 3). Furthermore, the foregoing practices bring the idea of property into question. In a context in which American booksellers and publishers were making painstaking efforts to support national cultural independence, they were forced, however, to reprint English books for financial reasons, especially because the latter proved to be extremely profitable in the absence of an international copyright law. According to Kennedy and Person (2014: 4), these infelicitous circumstances "reveal both the obstacles that complicated the production of American novels and the developments in print technology, book manufacturing, transportation, and commercial distribution that spurred domestic novelists".

Although the endeavour to promote cultural nationalism may have seemed quixotic until the 1820's, the reprinting of reading materials and, most notably, novels, shows that the forging of an autonomous American culture should be read

in parallel with the idea of nation formation. More specifically, the broad swathe of republished novels allowed various local populations to imagine themselves as belonging to a coherent nation. It is precisely in this fragmented context that the novel became a vehicle for scrutinising the republic, contesting its much promised democratic project or highlighting its weaknesses and flaws. Rejected and lambasted not only because it was a threat to high-brow culture, but also because it became the critical mouthpiece of a time when "disturbing questions (witness the Constitutional debates) about the limits of liberty and the role of authority in a republic were very much at issue" (Davidson 1986: 41), the early American novel questioned the ascendancy of democracy, displaying social inequality, as well as race and gender injustices. It was the genre that sparked fears of "mobocracy on both the cultural and political level" (ibid.). Ultimately, the early American novel became part of the Republican ethos of public *qua* shared property and responded to different ideologies that made up the "literary commons" (Bannet 2011: 9) of post-revolutionary America. This communal perspective, utterly dismissed by the Romantic generation of writers, helps us understand why the early American novel really matters, when read appropriately in the socio-political context of the Revolutionary Years. It reveals both a fractured American cultural identity that claimed to be homogenous and a literary genre that was as amorphous as the nation itself.

3. The novel and the nation

In 1852, Ralph Waldo Emerson characterised the formative years of the American nation as a culturally barren land, claiming that "from 1790 to 1820, there was not a book, a speech, a conversation, or a thought in the State" (Orth and Ferguson 1977: 115). Emerson's drastic and unjustified revisionism left a legacy until the 1980's, when scholars like Cathy Davidson set out to revaluate the early novel and to examine the genre in terms of cultural singularity. Davidson (1986: viii) argues that "there were no indigenous novels before the American Revolution. What we have is a genre emerging within a culture precisely as that culture attempts to define itself". By correlating the rise of the novel with the rise of the nation, Davidson reads the novelistic genre beyond the limits of literary criticism and practice, proposing an ethnographic approach, "instead of merely postulating another history in the more simplistic sense of a 'dated' history" (1986: viii).

Gradually turned into a fully-fledged field of study included in university curricula and anthologies of American literature thanks to scholarship that dissociated early American fiction from historiography and historical documents, the novel has been rightfully placed and interpreted in the context of nation formation. Similarly to Davidson's approach, Leonard Tennenhouse, for instance, refutes an analysis of the early American novel based on what Fredric Jameson (1981: 2) calls the "master narrative". Tennenhouse (2006-2007: 5) considers that the understanding of history as a narrative based on facts which reveal truths opposed to fiction is of a recent date and, therefore, inapplicable to the study of most novels written in the early republic: "To privilege this category [history] where there were neither modern nations nor narratives recounting their development […] is to substitute our own ideology for the one we ought to be discovering in the fiction of the early republic". Echoing Davis's "factual fictions" (1983: 36), Tennenhouse's (2006-2007: 6) approach combines narratives taken as fictions with narratives based on fact, in order to uphold "the possibility that the

texts may not fit any preconceived notion of what story an American novel must tell". I claim that this point of view has the merit of accurately retrieving the instability of both narrative and nation in the novels of the post-Revolutionary Era.

The "master narrative" employed by modern historiography, which explains the neglect of post-revolutionary fiction, has strengthened the idea of a lack of aesthetic value, of a post-revolutionary literary tradition and, consequently, of a revision of "the progressive narrative of nation formation" (Tennenhouse 2006-2007: 7). For example, Updike Underhill, Royall Tyler's main character in *The Algerine Captive*, extols the growth of literacy among ordinary Americans, bemoaning, at the same time, "the change in public taste," which was conducive to the circulation of books "meant to amuse, rather than instruct" (Tyler 1802: vii). Being a fervent supporter of innovation in the republic, Underhill lambastes the noxious influence of the imported English novel on the American readers, warning that "while so many books are vended, they are not of our own manufacture" and that "novels, being the picture of the times, the New England reader is insensibly taught to admire the levity, and often the vices, of the parent country" (idem: ix). Although the narrator opposes transatlantic imports, he points to a vivid interest in reading fiction about American life and experience. However, Tyler aims to reprocess various types of fiction, such as novels, romances and travel narratives, in order to write a novel meant to be taken both as American and trans-national literature. In fact, Tyler subtly offers readers a cross-cultural perspective upheld by "continual references to the world beyond America and ample narrations of international travel" (Hanlon 2011: 125). *The Algerine Captive* is thus a telling example of a novel which, like sundry others written between 1780 and 1800, reveals that the borders of the nation are fluid and that the routes of exchange and travel are inextricably linked to the trans-Atlantic world. By extension, the early American novel depicts an emerging nation understood as a nexus of different parts held together by the national creed, *e pluribus unum*.

With the literary subsumed to social utility, the early American novel was the product of a historical formation dominated by republicanism and an agrarian economy. Republicanism was a replica of civic humanism, a credo upheld in the first decades of the 18th century in England by the Earl of Shaftesbury and understood as the subordination of private interest to the good and welfare of the community. Benjamin Rush (1786), one of the signers of the Declaration of Independence, formulated the following imperative: "Let our pupil be taught that he does not belong to himself, but that he is public property". By extension, early American literature, particularly the novel, played a pivotal role not only instructing the citizens of the republic, but also in forging a cultural milieu dominated by public virtue. In the words of Michael Warner (1990: 150), the American writers' novels "are answerable to the standards of virtue. And they imagine the readers of their publications as participants in public discourse rather than as private consumers of luxury goods". Such is the case of William Hill Brown's *The Power of Sympathy* (1789) and Hannah Foster's *The Coquette* (1797). Both novels claim to be founded on real events and throw into relief their practical and pedagogical value. In addition, much like most early American fiction, they circulated as common property and "even the appearance of a story in someone else's novel did not preclude its being recycled in a later work of fiction" (Gilmore 1994: 545). Generally considered fictional histories, novels of this kind fictionalized the history of the times by providing readers with scenes of life in the Atlantic world. Also, the novel's adherence to factuality and truth was a Puritan

prerequisite for simplicity. The narrative as public property and common knowledge placed the early American novels in the socio- political context of a pre-industrial republic, shaped by civic humanist values.

Notwithstanding the republican *qua* civic humanist mission of novels before 1820, American authors could hardly exercise any influence on their fellows. Yet they did take part in forming national consciousness, since the rise of the early American novel coincided with the Constitutional Convention of 1787. Not only politically, but also fictionally constructed, American identity was the result of a nexus of conceptualizations of nationalism formulated by geographically variegated communities which, according to Benedict Anderson (1991: 49), imagine the nation "because the members of even the smallest nation will never know most of their fellow-members, meet them, or even hear of them, yet in the minds of each lives the image of their communion". In this light, the early American novel emerged as a genre that reflected the composite nature of the republic, within which equality and freedom were praised, questioned or harshly critiqued.

4. Conclusion

The novel of the early republic determines us to revisit and rethink Emerson's ideal by taking into account the fact that it emerged as a result of transatlantic cultural exchanges and was shaped by both European prototypes and pressing American political issues. It was a radically unstable form, mingling fiction, travel books, letters, journalism, diaries, spiritual autobiographies and epistolary conventions together. As Paul Giles (2011: 34) has shown, the novel as a hybrid genre "coalesced with a historical era in which geographic boundaries were being reconceptualised and the limits of empire and nation radically redrawn". Noah Webster's plea for an original literature was nothing but a proleptic statement rather than an accurate description of the cultural state of affairs at the end of the Revolutionary War. Of course, the Romantic generation's endeavour to lay the foundations of a specifically American literature involved the appropriation and reconfiguration of the past centred upon the idea of the Atlantic as a contested discursive space. The juxtaposition of the American novel with American cultural identity was an ambitious enterprise, advocated by a burgeoning national consciousness centred on common knowledge, but circumscribed by the volatile quality of the novel as a genre and by the shifting boundaries of the nation itself.

Ultimately, the novel of the early republic urges us to revise the critical scholarship on the topic of the early American novel dismissed as non-literature, and to reassess it for its civic humanist goals that have been conducive to future standards of aesthetic mastery.

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CHANGING LANGUAGES

IDIOMATIC CALQUES:
THE CASE OF ENGLISH-LEXIFIER CREOLES

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Abstract: *The diagnostic features of English-lexifier pidgins and creoles (Baker 1999, Baker and Huber 2001, Avram 2004) include phrases and compounds believed to be calques after various substrate languages (Parkvall and Baker 2012). The present paper discusses issues such as: what counts as a calque, given the multilingual situations typical of pidgin and creole genesis; the identification of the sources of calques; the possibility of multiple etymologies; the distinction between direct and indirect calques. It then assesses the relevance of idiomatic calques for the Relexification Hypothesis as well as for establishing historical-linguistic relationships among the various English-lexifier pidgins and creoles.*
Keywords: *English creoles, idiomatic calques, relexification, substrate, universals*

1. Introduction

1.1. Aims

Idiomatic calques after African languages play a prominent role in pidgin and creole studies and are relevant to: (i) the so-called "Relexification Hypothesis" (e.g. Alleyne 1980, Lefebvre 1998, 2001, Lumsden 1999; see also Winford 2005, 2008); (ii) establishing a comprehensive inventory of diagnostic features of Atlantic English-lexifier pidgins and creoles (e.g. Hancock 1969); (iii) shedding light on the historical-linguistic relationships among English-lexifier pidgins and creoles (Baker 1999, Baker and Huber 2001).

The present paper is an overview of the complex issues involved and outlines some of the implications of the findings for pidgin and creole linguistics.

1.2. Calques

According to Crystal (2008: 64), a "calque" is "a type of borrowing, where the morpheme constituents of the borrowed word or phrase are translated item by item into equivalent morphemes in the new language". In the entry "loan", Crystal (2008: 286) also mentions "loan translations (where the morphemes in the borrowed word are translated item by item". Haspelmath and Tadmor (2009: 39) formulate a similar definition: "A calque (or loan translation) is a complex lexical unit (either a single word or a fixed phrasal expression) that was created by an item-by-item translation of the (complex) source unit". These are examples of "strong" definitions, since calques also include partial translations, as in the example given by Holm (1988: 86): "German *Wolkenkratzer* (literally 'cloud-scraper') is a partial translation of English *skyscraper*".

Several authors have highlighted the occurrence of calques after African substrate languages in Atlantic pidgin and creole languages. Alleyne (1980: 114),

for instance, writes that "the historical development […] has been in terms of a substitution, massive and rapid […] of West African lexemes by English […] lexemes. According to Holm (1988: 86), "there is considerable evidence that the calquing of words and phrases was a major factor in the genesis of the Atlantic creoles".

1.3. Relexifixation

For the proponents of the so-called "Relexification Hypothesis", relexification is one of the main cognitive processes involved in pidgin or creole genesis. Lefebvre (1998: 16) defines relexification as "a mental process that builds new lexical entries by copying the lexical entries of an already established lexicon and replacing their phonological representations with representations derived from another language".

In pidgin or creole genesis, relexification is said to proceed as follows: speakers of a substrate language take a lexical entry from their language, with its syntactic and semantic properties, and replace its phonological representation with that of a semantically related item from the lexifier language. Therefore, the syntactic and semantic properties of the original item in the substrate language are maintained. In potential calques, then, the words are etymologically derived from the lexifier language, but their syntax and semantics are presumably as in the African substrate languages.

1.4. Diagnostic features of English pidgins and creoles

In the intended sense in the present paper, diagnostic features are "significant phonological, lexical, or grammatical deviations from, or innovations to, varieties of British English – since British English was the major input in the restructuring process" (Baker and Huber 2001: 163).

The diagnostic features suggested by Baker and Huber (2001: 197-204) are divided into three groups: Atlantic, world-wide, and Pacific. Atlantic features are recorded in at least two Atlantic English-lexifier pidgins and creoles; world-wide features are attested in at least one Atlantic and one Pacific variety; Pacific features are found only in Pacific varieties.

The diagnostic-feature approach is not limited to synchronic attestations; it takes into account features recorded at any time in the history English pidgins and creoles, although some of these may have fallen out of use.

1.5. Varieties considered

The present paper is concerned with Atlantic English-lexifier pidgins and creoles: spoken in West Africa, in the Caribbean, Central America, and South America. Reference is also made to Atlantic French-, Portuguese- and Spanish-lexifier creoles, if sharing (at least in part) the substrate languages.

The data from English-lexifier pidgins and creoles are from Hancock (1969), Baker (1999), Baker and Huber (2001), Parkvall and Baker (2012), Avram (2017a). Additional data are from Allsopp (1996), Avram (2004, 2012, 2013b, 2015, 2016a, 2016b, 2018a, 2018b).

For French-, Portuguese-, and Spanish-lexifier creoles, the data are from Baker (1993), Parkvall and Baker (2012), and Avram (2017b).

2. Potential calques considered

The 23 forms discussed in what follows are the most frequently attested putative calques after African substrate languages. The analysis is restricted to compounds and phrases which are bimorphemic. The reasons for this option are twofold. First, as noted by Holm (1988: 86), "two-morpheme calques are more readily identified". Haspelmath and Tadmor (2009: 39) also write that "the most frequently cited examples of calques are compounds". Secondly, Alleyne (1980: 114) claims that, in West African languages, "many lexemes [exhibit] a labeling pattern whereby objects are named in terms of an association between two primary named objects"; a similar point is made point is made Farquharson (2007) with reference to the derivational morphology of creoles.

The following four structural types are considered: (i) noun + noun / noun + preposition + noun; (ii) adjective + noun / noun + adjective; (iii) numeral + noun; (iv) verb + noun / noun + verb. The labels and meanings are as in the main sources consulted (Hancock 1969, Baker 1999, Baker and Huber 2001, Parkvall and Baker 2012, Farquharson 2015).

The structural type noun + noun / noun + preposition + noun is represented by the forms listed below:

(1)
a. DOOR + MOUTH 'threshold, doorway'
b. EYE + SKIN 'eyelid'
c. EYE + WATER 'tears'
d. FOOT + FINGER / FINGER + FOOT / FINGER + PREPOSITION + FOOT 'toe'
e. GOAT + MOUTH 'one who predicts unfortunate events or threatens 'evil'
f. GOD + HORSE 'praying mantis'
g. MAMMY + WATER / WATER + MAMMY 'water spirit'
h. MOUTH + WATER 'saliva'
i. NOSE + HOLE 'nostril'

The following are illustrative of the structural type adjective + noun / noun + adjective:

(2)
a. BAD + EYE 'evil eye'
b. BAD + HEAD 'forgetful; stupid'
c. BAD + MOUTH 'to speak ill of; to curse'
d. BIG + EYE 'greed(y)'
e. DAY + CLEAN / DAY + CLEAR 'daybreak'
f. DRY + EYE 'bold'
g. HARD + EARS / EARS + HARD 'stubborn'
h. HARD + HAIR 'tightly curled hair'
i. HARD + HEAD / HEAD + HARD 'stubborn'
j. SWEET + EYE 'tender glances'
k. SWEET + MOUTH 'flattery; flatterer'

One form belongs to the structural type:

(3) ONE + TIME 'at once, right now, immediately'

Finally, two forms represent the structural type verb + noun / noun + verb:

(4)
a. CUT + EYE ‘to glance scornfully at someone’
b. GET + BELLY ‘to be(come) pregnant’

3. Distribution in English-lexifier pidgins and creoles

Listed below, under (5) through (27), are the 23 potential calques and the Atlantic English-lexifier varieties in which these are attested:

(5) BAD + EYE ‘evil eye’

a. Belize, Guyana (Parkvall and Baker 2012: 233); Grenada, Krio, St Vincent, Tobago, Trinidad (Avram 2017a: 7)
b. Ndyuka *ogii ain*, Saramaccan *ógi-wójo*, Sranan *ogri-ai* (Avram, own corpus), where *ogii* / *ógi* / *ogri* ‘bad’ < English *ugly*
c. Grenada *maldʒo*, St Vincent *maldʒo*, Tobago *maldʒo*, Trinidad *maldʒo* (Parkvall and Baker 2012: 233)

(6) BAD + HEAD ‘forgetful; stupid’

Bahamas (Parkvall and Baker 2012); Barbados, Guyana, Jamaica, Montserrat, St Kitts, St Lucia, St Vincent, Turks and Caicos (Avram 2017a: 7-8)

(7) BAD + MOUTH ‘to speak ill of; to curse’

Barbados, Gullah (Baker and Huber 2001); Jamaica (Parkvall and Baker 2012); Antigua, Bahamas, Belize, Gullah, St Vincent, Trinidad and Tobago, Virgin Islands (Avram 2017a: 8), West Africa (Avram 2016b: 57)

(8) BIG + EYE ‘greed(y)’

Jamaica, Krio, Suriname, West Africa (Baker and Huber 2001); Bahamas, Gullah, Guyana, Trinidad (Parkvall and Baker 2012); Antigua, Belize, Cayman Islands, Grenada, Limón, Miskito Coast, St Vincent, Virgin Islands (Avram 2017a: 8)

(9) CUT + EYE ‘to glance scornfully at someone’

Bahamas, Belize, Jamaica, Krio, Saramaccan, Sranan, St Kitts, Trinidad (Parkvall and Baker 2012); Grenada (Avram 2017a: 8)

(10) DAY + CLEAN / DAY + CLEAR ‘daybreak’

a. Barbados, Gullah, Jamaica, Krio, West Africa (Baker and Huber 2001); Bahamas, Guyana, Tobago, Trinidad (Parkvall and Baker 2012: 235); Antigua, Bay Islands, Grenada, Limón, Miskito Coast, Virgin Islands (Avram 2017a: 9)
b. Dominica *ʒuvɛ*, Tobago *ʒuvɛ*, Trinidad *ʒuvɛ* (Parkvall and Baker 2012: 235)

(11)DOOR + MOUTH ‘threshold, doorway’

Gullah, Jamaica, Krio, Suriname, West Africa (Baker and Huber 2001:198); Bahamas, Guyana (Parkvall and Baker 2012: 235-236); Antigua, Bay Islands, Belize, Grenada, Limón, Miskito Coast, St Vincent, Suriname, Trinidad, Virgin Islands (Avram 2017a: 9)

(12) DRY + EYE ‘bold’

Jamaica, Krio, Suriname, West Africa (Baker and Huber 2001: 236); Bahamas, Belize (Avram 2017a: 9-10)

(13) EYE + SKIN ‘eyelid’

a. Bahamas, Jamaica, Krio (Parkvall and Baker 2012: 237); Limón, Miskito Coast (Avram 2017a: 10)
b. Sranan *ai-buba* (Avram, own corpus), where *buba* means ‘skin’

(14) EYE + WATER ‘tears’

Gullah, Jamaica, Krio, Suriname (Baker and Huber 2001: 198); Antigua, Bahamas, Belize, Tobago (Parkvall and Baker 2012: 237); Cayman Islands, Limón, Miskito Coast, Providencia, St Vincent, Trinidad, Virgin Islands (Avram 2017a: 10)

(15) FOOT + FINGER / FINGER + FOOT / FINGER + PREPOSITION + FOOT ‘toe’

a. Trinidad *foot finger* (Parkvall and Baker 2012: 237); Sranan *futu finga* (Avram, own corpus)
b. Cameroon *fiŋga-fut* (Parkvall and Baker 2012: 237)
c. Nigeria *finga fo̱r leg* lit. ‘finger of leg’, Saramaccan *finga u futu* lit. ‘finger of foot’ (Avram, own corpus)

(16) GET + BELLY ‘to be(come) pregnant’

a. Bahamas *get beli*, Krio *gɛt bɛlɛ* (Parkvall and Baker 2012: 238); Belize *ga / geh / kech beli*, Fernando Po *gɛt bɛ̀lɛ́*, Nigeria *get bele* (Avram 2017a: 11)
b. Jamaica *ha’ belly* lit. ‘to have belly’ (Avram, own corpus)
c. Ndyuka *teke bee* lit. ‘to take belly’, Saramaccan *dë ku ëë* lit. ‘to be with belly, Sranan *kisi bere* lit. ‘to get belly’ (Avram, own corpus)

(17) GOAT + MOUTH ‘one who predicts unfortunate events or threatens evil’

Jamaica, St Kitts (Parkvall and Baker 2012); Barbados, Belize, Grenada, Limón, Miskito Coast, St Vincent, Trinidad and Tobago, Virgin Islands (Avram 2017a: 11)

(18) GOD + HORSE ‘praying mantis’

Jamaica, Trinidad (Parkvall and Baker 2012: 238); Barbados, Grenada, Krio (Avram 2017a: 11)

(19) HARD + EARS / EARS + HARD 'stubborn'

a. Jamaica (Parkvall and Baker 2012: 239); Bahamas, Barbados, Belize, Dominica, Grenada, Limón, Miskito Coast, Nevis, Providencia, St Vincent (Avram 2017a: 12)
b. Jamaica, Carriacou, Guyana, Trinidad (Parkvall and Baker 2012); Belize (Avram 2017a: 12)

(20) HARD + HAIR 'tightly curled hair'

Bahamas (Parkvall and Baker 2012:239); Barbados, Belize, Grenada, Guyana, Trinidad (Avram 2017a: 12)

(21) HARD + HEAD / HEAD + HARD 'stubborn'

a. Bahamas, Belize, Dominica, Grenada, Guyana, Nevis, Trinidad (Parkvall and Baker 2012:239); Barbados, Montserrat, St Kitts, St Lucia, Turks and Caicos (Avram 2017a: 12)
b. Bahamas, Guyana (Parkvall and Baker 2012)

(22) MAMMY + WATER / WATER + MAMMY 'water spirit'

a. Krio, Cameroon (Parkvall and Baker 2012: 240); Nigeria (Avram 2017a: 13)
b. Suriname *watramama* (Parkvall and Baker 2012: 240)
c. Grenada *mama-dlo*/*mama glo*, Guyana *water-mama*, St Lucia *mama dlo*, Trinidad *mama dlo* (Parkvall and Baker 2012: 240)

(23) MOUTH + WATER 'saliva'

Suriname, Jamaica (Baker and Huber 2001: 199); Belize, Limón, Miskito Coast, St Vincent, Tobago, Trinidad, West Africa (Avram, own corpus)

(24) NOSE + HOLE 'nostril'

Suriname, Barbados, Jamaica, Krio, West Africa (Baker and Huber 2012:199); Antigua (Avram 2016a: 190), Bahamas (Avram 2013b: 138), Belize (Avram 2018b: 102), Grenada (Avram 2014: 6)

(25) ONE + TIME 'at once, right away, immediately'

a. Bahamas, Ghana, Gullah, Guyana, Cameroon, Fernando Po, Jamaica, Nigeria (Parkvall and Baker 2012: 242); Bay Islands, Cayman Islands, Grenada, Limón, Miskito Coast (Avram 2017a: 14), Ndyuka, Sranan (Avram, own corpus)
b. Saramaccan *wantewante* lit. 'one time one time', Sranan *wantewante* lit. 'one time one time' (Avram, own corpus)

(26)SWEET + EYE ‘tender glances’

Trinidad, the Caribbean in general (Parkvall and Baker 2012: 244); Grenada, Krio (Avram 2017a: 16)

(27) SWEET + MOUTH ‘flattery; flatterer’

Suriname, Barbados, St Kitts, Jamaica, Gullah, Krio, West Africa (Baker and Huber 2001: 244); Bahamas, Guyana, Trinidad (Baker and Huber 2012: 200); Antigua, Belize, Grenada, St Kitts, St Vincent, Virgin Islands (Avram 2017a: 16)

4. Sources of calques

4.1. Unknown source

On currently available evidence, the source of four of the forms presented in section 3 is unknown:

(28)

a. GOAT + MOUTH ‘one who predicts unfortunate events or threatens evil’
b. MAMMY + WATER ‘water spirit’
c. ONE + TIME ‘at once, right now, immediately’
d. SWEET + EYE ‘tender glances’

Such situations may simply reflect inadequate documentation of the potential substrate languages.

4.2. Single source

For the forms listed below, a single source language has been identified so far:

(29) BAD + HEAD ‘forgetful; stupid’

Cf. Yoruba *ori kò dara* lit. ‘head not good’ (Parkvall and Baker 2012: 233).

(30) CUT + EYE ‘to glance scornfully’

Cf. Igbo *a wa la anya!* lit. ‘Don’t cut eye!’ ‘Don’t be rude!’ (Allsopp 1998:184).

(31) GET + BELLY ‘be(come) pregnant’

Cf. Fon *mɔ̀xò* lit. ‘get belly’ (Avram, own corpus)

(32) GOD + HORSE ‘praying mantis’

Cf. Hausua *dokin Allah* ‘horse God’ (Parkvall and Baker 2012: 238), Farquharson (2015)

Two caveats need to be briefly addressed. First, as put by Arends et al. (1995: 100) in their discussion of the so-called "Cafeteria Principle", i.e. the conception whereby in language mixing features are taken from different sources, by analogy with someone choosing items in a cafeteria. Indeed, a danger lies in the fact that "to demonstrate influence from particular West African languages", one may be tempted to search "until some more or less plausible correspondence is found" (Arends et al. 1995: 100). Second, except for the rare cases when an African language is known to have played a disproportionate role in the formation of a pidgin or creole, it is extremely unlikely that a form attested in a single substrate language may be the source for calques found in several varieties.

4.3. Multiple sources

The case for calques modelled on African languages is strengthened if more than one potential source language is identified, as for the following forms:

(33) BAD + MOUTH 'to speak ill of; to curse'

Cf. Igbo *ọnụ ojo* lit.'mouth bad', Malinke *da jugu* lit. 'bad mouth', Vai *da nyama* lit. 'bad mouth', Yoruba *ẹnun buburu* lit. 'mouth bad' (Alleyne 1980: 116, Allsopp 1996: 67, Parkvall and Baker 2012: 233)

(34) BIG + EYE 'greed(y)'

Cf. Igbo *anya uku* lit. 'eye big', Twi *ani bra* lit. 'eye big', Yoruba *o□unlà* lit. 'eye great' (Alleyne 1980: 116, Allsopp 1996: 99, Bartens 1996: 130, Parkvall and Baker 2012: 233, Avram, own corpus)

(35) DOOR + MOUTH 'threshold, doorway'

Cf. Igbo *ọnụ zọ* lit. 'mouth door' = 'doorway', Nupe *émi-gbako* lit. 'mouth door' = 'threshold' (Allsopp 1996: 200)

(36) MOUTH + WATER 'saliva'

Cf. Igbo *ọnụ mili* lit. 'mouth water' = 'spittle', Mandinka *da-ʤi* lit. 'mouth water' = 'saliva' (Allsopp 1996: 392)

(37) SWEET + MOUTH 'flattery; flatterer'

Cf. Ewe *numevivi* lit. 'mouth in sweet', Gã *ŋa ŋõ* lit. 'sweet mouth', Igbo *ọnụ suso* 'mouth sweet', Twi *ano yɛ dɛ* lit. 'mouth is sweet' 'flatterer', Vai *da kiŋa* lit. 'mouth sweet', Yoruba *ɛnũ didũ* lit. 'mouth sweet' (Alleyne 1980: 116, Allsopp 1996: 542, Bartens 1996: 129, Parkvall and Baker 2012: 244).

However, here again several caveats should be raised. Arends et al. (1995: 100) state that "because of the huge numbers of different languages in West Africa, it is simply a matter of chance that […] some apparent correspondences will be found". Also, the homogeneity of the substrate is quite important: the more homogeneous the substrate is, the more likely it is to have had an impact on the pidgin or creole (see also Arends et al. 1995: 101). Finally, as noted by Parkvall

and Baker (2012: 232), "calques from West Africa are frequently attributable to two or more languages which are not even […] related although spoken in adjoining areas", hence "this does not necessarily provide a clear indication of the language of [their] origin".

4.4. Multiple sources from the entire slave-exporting area

Parkvall (2000: 113) writes that "in some cases where there is reason to suspect a true semantic Africanism, one quickly discovers that it is common to African languages throughout the once slave-exporting area".

A case in point is DAY + CLEAN 'daybreak'. Parkvall (2000: 114) observes that: "*day clean* for 'dawn', found in most Atlantic ECs [= English creoles], and at least Lesser Antillean FC [= French creoles]" has similar counterparts "in at least Wolof, Malinke, Yoruba and Bantu languages […] together representing almost the entire stretch of coast from which Africans were transported to the New World" (see section 7). Some possible sources are indicated below:

(38) DAY + CLEAN 'daybreak'

Cf. Malinke *dugu jɛra* lit. 'the day has become clean' = 'it has dawned', Wolof *bər busɛt* lit. 'day clean', Yoruba *ojú mọ* lit. 'the day has become clean' = 'it has dawned' (Parkvall and Baker 2012: 235)

4.5. *Sprachbund* features

Some putative calques after African languages may also be illustrative of an African *Sprachbund* (Gilman 1986, Parkvall 2000). In this respect, Parkvall (2000: 114) concludes that, in pidgin and creole linguistics, "many a researcher […] is content when having found a pan-African feature in his pet substrate, disregarding the fact that the feature in question is an areal one". Consider a first example of what may be an African *Sprachbund* feature:

(39) EYE + WATER 'tears'

Cf. Igbo *anya mmiri* lit. 'eye water', Kishikongo *maza ma-mesu* lit. 'water from eyes', Malinke *njɛ-ʤi* lit. 'eye water', Mandingo *ngaja* lit. 'eye water', Twi *ani suo* lit. 'eye water', Yoruba *omi oʤu* lit. 'water eye' (Allsopp 1996: 221, Bartens 1996: 129, Parkvall and Baker 2012: 237).

Further evidence is provided by structurally identical compounds recorded in two Arabic-lexifier creoles, Juba Arabic, spoken in South Sudan, and (Ki-)Nubi, spoken in Kenya and Uganda:

(40) Juba Arabic *móyo éna* lit. 'water eye', (Ki-)Nubi *moya éena* lit. 'water eye' (Holm 2000: 104, Avram 2003: 35, in press, Nakao 2012: 137).

Cf. Acholi *pig-waŋ* lit. 'water eye', Belanda Bor *fi waŋ* lit. 'water eye', Dinka *piu nyin* lit. 'water eyes', Luo *pi wɔŋ* lit. 'water eye', Päri *pii-nyiŋ* lit. 'water eyes', Shilluk *pi nyiŋ* lit. 'water eyes' (Nakao 2012: 137, Avram in press)

Consider also the following example:

(41) EYE + SKIN ‘eyelid’

Cf. Fongbe *nùkùn fló* lit. ‘eye skin’, Igbo *anya ahü* lit. ‘eye skin’ Yoruba *awɔ ti o bo oʤu* lit. ‘skin which covers eye’ (Parkvall and Baker 2012: 237, Avram, own corpus)

A structurally identical compound is also attested in Turku, an Arabic-lexifier pidgin, formerly spoken in Chad:

(42) Turku *faroua henn* lit. ‘skin eye’ (Avram 2019: 19).

Cf. Fulfulde *laral gite* lit. ‘skin eye’, Ngambaye *ndāŕ-kùm* lit. ‘skin eye’ (Avram 2019: 19).

A third potential illustration of an African areal feature is provided below:

(43) HARD + HEAD / HEAD + HARD ‘stubborn’

Cf. Ewe *sétàme* lit. ‘hard head in’, Fon *tà-mɛ̀-sién-tɔ́* lit. ‘head in hard AGENTIVE’, Igbo *isi ke* lit. ‘head hard’, ‘Twi *tiri muden* lit. ‘head hard’ (Allsopp 1996: 284, Parkvall and Baker 2012: 239)

Again, a structurally identical compound is also found in Turku:

(44) Turku *rass gohoui* lit. ‘head hard’ (Avram 2019: 20).

Cf. Fulfulde *sattugol hoore* lit. ‘be strong head’, stubborn’, Hausa *táurí-n kâi* lit. ‘hardness-of head’ ‘stubborn’, Kanuri *kalâ cíbbua* lit. ‘head strong-having’ ‘stubborn’, Ngambaye *dɔ́-ngàn̄g* lit. ‘hard head’ ‘stubbornness’, Sango *(tî) ngangü-li* lit. ‘(of) hard head’ ‘stubborn’, Sar *dɔ́-ngàn̄g* lit. ‘hard head’ ‘stubborness’ (Avram 2019: 20)

5. Circumstantial evidence

The case for calques after African languages is further strengthened if structurally identical forms, with identical meanings, are found in other Atlantic varieties, e.g. French-, Portuguese- and Spanish-lexifier creoles, known to have (at least in part) the same substrate languages. Consider the examples under (45) through (59):

(45) BAD + HEAD ‘forgetful; stupid’

French-lexifier creole: Guadeloupe *tèt pa byen* (Avram in 2017b: 36)

(46) BIG + EYE ‘greed(y)’

a. French-lexifier creoles: Gudeloupe *gwã zje*, Haiti *gwo je* (Parkvall and Baker 2012: 233)
b. Portuguese-lexifier creole: São Tomé *wê-glosu / wê-gôdô* (Avram 2017b: 36)

(47) CUT + EYE 'to glance scornfully'

a. French-lexifier creole: Haiti *kup je* (Parkvall and Baker 2012: 235)
b. Spanish-lexifier creole: Papiamentu: *kòrta un wowo* (Avram 2017b: 37)

(48) DAY + CLEAN / DAY + CLEAR 'daybreak'

French-lexifier creoles: Dominica *jouvè*, Grenada *jouvé*, Guadeloupe *jou rouwè*, Haiti *jou louvri*, Martinique *jou ouvè*, St Lucia *jou ouvè* (Avram 2017b: 38)

(49) EYE + SKIN 'eyelid.

French-lexifier creoles: Haiti *po je* (Parkvall and Baker 2012: 237); Dominica *lapo zyé*, Guadeloupe *po-a-zyé*, Guiana *lapo-wèy*, Louisiana *lapo zye*, Martinique *lapo zyé*, St Lucia *lapo zyè*, Trinidad *lapeau ziex* (Avram 2017b: 41)

(50) EYE + WATER 'tear'

a. French-lexifier creoles: Dominica *glo zje*, Guiana *dlo wej*, Haiti *dlo zye* (Parkvall and Baker 2012: 237); Guadeloupe *dlo zyé*, Karipuna *dlo uei*, Martinique *dlo-zié*, St Lucia *dlo zyé*, Trinidad *dleau ziex* (Avram 2017b: 42)
b. Portuguese-lexifier creoles: Annobon: *a d ɔʤo*, Cape Verde *agul oʤu* / *agu di oʤu*; São Tomé *awa we* (Parkvall and Baker 2012: 237); Angolar *awa wê*; Guinea-Bissau *iagu na udju*, Príncipe *aua wê* (Avram 2017b: 42)
c. Spanish-lexifier creole: Papiamentu: *awa di wowo* (Avram 2017b: 42)

(51) GET + BELLY 'to be(come) pregnant

a. French-lexifier creoles: Haiti *gẽ gwo vãt* (Parkvall and Baker 2012: 238); Louisiana *gen en gro vont*, Martinique *i gwo bouden*, St Lucia *go bouden* (Avram 2017b: 44)
b. Portuguese-lexifier creoles: Guinea-Bissau *teŋ barriga* (Parkvall and Baker 2012: 238; Angolar *tha ki beega*, Príncipe *sa ku bega* (Avram 2017b: 44)
c. Spanish-lexifier creole: Papiamentu *kué barika* (Avram 2017b: 44)

(52) GOAT + MOUTH 'one who predicts unfortunate events or threatens evil'

French-lexifier creoles: Dominica *buʃ kabwit*, Haiti *buʃ kabrit* (Parkvall and Baker 2012:238); Guadeloupe *gèl-a-kabrit*, Guiana *bouchkabrit* / *djolkabrit* (Avram 2017b:45), where *gèl* and *djol* < French *guele* 'mouth of an animal'

(53) GOD + HORSE 'praying mantis'

French-lexifier creoles: Dominica *ʃuval bõdje*, St Lucia *ʃuval bõdje* (Parkvall and Baker 2012: 238); Guadeloupe *chouval-a-bondyé*, Guiana *chouval bondjé*, Karipuna *xuval bõdje*, Martinique *chouval bondyé* (Avram 2017b: 46)

(54) HARD + EARS / EARS + HARD ‘stubborn’

a. French-lexifier creoles: Haiti *zorɛj di* (Parkvall and Baker 2012: 39); Dominica *zòwèy di* (Avram 2017b: 46)
b. Spanish-lexifier creole: Papiamentu *orea duru* (Avram 2017b: 46)

(55) HARD + HAIR ‘tightly curled hair’

a. French-lexifier creoles: Haiti *ʃeve rɛd* (Parkvall and Baker 2012: 239); Guadeloupe *chive rèd*, Martinique *chive red* (Avram 2017b: 46)
b. Spanish-lexifier creole: Papiamentu *kabej duru* (Parkvall and Baker 2012: 239)

(56) MAMMY + WATER / WATER + MAMMY ‘water spirit’

French-lexifier creoles: St Lucia *mama dlo*, Trinidad *mama dlo* (Parkvall and Baker 2012: 240); Grenada *mamadjo* / *mama dlo* / *mama glo*, Guadeloupe *manman-dlo*, Guiana *manman-dilo*, Karipuna *mãmã dlo*, Martinique *manman dlo* (Avram 2017b: 48)

(57) ONE + TIME ‘at once, right now, immediately’

a. French-lexifier creoles: Haiti *jõ ʃwe* (Parkvall and Baker 2012: 242); Guadeloupe *onfwa* (Avram 2017b: 50)
b. Portuguese-lexifier creoles: Angolar *ũa vêi*, Cape Verde *d’um bés*, Guinea Bissau *na um bias* (Avram 2017b: 50)

(58) SWEET + EYE ‘tender glances’
a. French-lexifier creoles: Dominica *zyé dou*, Guadeloupe *zyé dou*, Guiana *zyé dou*, Louisiana *ye dou*, St Lucia FC: *zyé dou* (Avram 2017b: 53)
b. Spanish-lexifier creole: Papiamentu: *wowo dushi* (Avram 2017b: 53)

(59) SWEET + MOUTH ‘flattery; flatterer’

a. French-lexifier creoles: Haiti *buʃ dus* (Parkvall and Baker 2012: 244); Trinidad: *bouche-doû*, Louisiana *labouch dou* (Avram 2017b: 54)
b. Portuguese-lexifier creole: São Tomé *boka-doxi* (Avram 2017b: 54)
c. Spanish-lexifier creole: Papiamentu *boka dushi* (Avram 2017b: 54)

As can be seen, 15 of the compounds and phrases under discussion have structurally similar equivalents in at least one group of creoles with a lexifier language other than English.

6. Misleading circumstantial evidence

A methodological issue which needs to be addressed is that potential calques after African languages should not be traceable to the lexifier language. If identical forms are found in the lexifier language, these should be regarded as retentions, rather than calques. Consider the following example:

(60) BAD + EYE ‘evil eye’

a. French-lexifier creoles: Haiti *move lèy* / *move je*, St Lucia *move zié*, Trinidad *malzie* (Avram 2017b: 36)
b. Portuguese-lexifier creole: Cape Verde *ma ôdju*, São Tomé *wê-bluku* (Avram 2017b: 36)
c. Spanish-lexifier creole: Papiamentu *mal wowo* (Avram 2017b: 36)

The forms in French-, Portuguese- and Spanish-lexifier creoles may be traced to the lexifier language: French *mal d'œil*, *mal d'yeux*, *mauvais œil*, Portuguese *mau olho*, Spanish *mal (de) ojo*, all meaning 'evil eye' (see also Allsopp 1996: 364). Grenada *maldʒo*, St Vincent *maldʒo*, Tobago *maldʒo*, Trinidad *maldʒo* are clearly borrowings from the locally spoken French-lexifier varieties (see section 3). It follows that only the forms attested in Belize, Guyana, Ndyuka, Saramaccan and Sranan may be calques after African languages, since English cannot be the source.

Parkvall and Baker 2012: 237) include the forms reproduced below in their list of potential idiomatic calques:

(61) FOOT + FINGER / FINGER + FOOT / FINGER + PREPOSITION + FOOT 'toe'

a. French-lexifier creole: Mauritius *ledwa lipye* (Parkvall and Baker 2012: 237)
b. Portuguese-lexifier creole: Príncipe *ʊdɛ́du ɔpɛ́* (Parkvall and Baker 2012: 237)

Parkvall and Baker (2012: 237, f.n. 1) write that "in Mauritius […] *ledwa lipye* is arguably a calque of French *doigt du pied* but does not derive directly from the latter", but they adduce no arguments in support of this claim. However, the forms found in Mauritius and Príncipe need not be traced to African sources, since these are found in their lexifier languages: vernacular French *doigt du pied*, Portuguese *dedo do pé*, both 'toe'. Moreover, another lexifier language of Atlantic creoles, Spanish, also has such a form: *dedo del pie* 'toe' These facts would account for the occurrence of these compounds in several other French-, Portuguese and Spanish-lexifier varieties:

(62)

a. French-lexifier creoles: Guiana *dwèt pye*, Haiti *dwèt pye*, Martinique *dwet pié* (APiCS Online -113 'Finger' and 'toe', Avram 2017b: 43)
b. Portuguese-lexifier creoles: Cape Verde *dedu-pé* / *dedu-l pé* / *dedu di pé*, Guinea-Bissau *dedu di pe*, São Tomé *dedu d'ope* (Avram 2017b: 43-44)
c. Spanish-lexifier creoles: Palenquero *lelo ri pe*, Papiamentu *dede di pia* (APiCS Online -113 'Finger' and 'toe', Avram 2017b: 44)

It can therefore be concluded that FOOT + FINGER / FINGER + FOOT / FINGER + PREPOSITION + FOOT forms may be calques after African languages only in English-lexifier pidgins and creoles: first, English cannot be the source; second, the pidgins spoken in Cameroon and Nigerian are still in contact with West African languages; third, in Saramaccan and Sranan, the contribution of these languages is higher than in other Atlantic varieties.

Consider also the case below:

(63) HARD + HEAD / HEAD + HARD ‘stubborn’

a. French-lexifier creoles: Haiti *tɛt di* (Parkvall and Baker 2012: 239); Dominica *tèt di*, Karipuna *tét du*, Louisiana *latet dir*, St Lucia *tèt di* (Avram 2017b: 47)

b. Portuguese-lexifier creoles: Cape Verde *kabesa rixu*, Guinea-Bissau *risu kabesa* (Avram 2017b: 47)

c. Spanish-lexifier creole: Papiamentu *kabes duru* (Avram 2017b: 47)

The forms in French-, Portuguese- and Spanish-lexifier creoles can all be traced to the lexifier language: French *tête dure*, Portuguese *cabeça dura*, Spanish *cabeza dura*, all ‘stubborn’. However, their equivalents in Bahamas, Barbados, Belize, Montserrat, Nevis, Turks and Caicos may be calques after African languages.

One last case is a compound which figures among the “secure loan translations” in Farquharson (2015):

(64) NOSE + HOLE ‘nostril’

a. French-lexifier creoles: Guadeloupe *trou-à-nen* lit. ‘hole of nose’, Haiti *trou nen* lit. ‘hole nose’, St Lucia *twou né* lit. ‘hole nose’ (Avram, own corpus)

b. Spanish-lexifier creole: Papiamentu *buraku di nanishi* lit. ‘hole of nose’ (Avram, own corpus)

The forms attested in French-lexifier creoles can be traced to vernacular French *trou du nez*. The Papiamentu form may be a calque after African languages. However, it cannot serve as circumstantial evidence for an African origin of the compounds recorded in English-lexifier creoles. These need not be traced to African sources, contra Baker and Huber (2001: 207), given that they reflect the most widespread term for ‘nostril’ in English dialects, as seen in the entries “NOSE” in Wright (1903: 299) and “nose-holes” in Upton et al. (1994: 278).

To conclude, some apparent calques after African languages may turn out to be retentions from the lexifier language in other varieties.

7. Indirect calques

In several territories in the Caribbean – Dominica, Grenada, St Lucia, St Vincent, Trinidad – French-lexifier creoles preceded the emergence of English-lexifier varieties. Unsurprisingly, potential idiomatic calques occurring in the latter have equivalents in the former.

In Grenada, St Vincent and Trinidad, BAD + EYE ‘evil eye’ may be a calque after the local French-lexifier varieties, in which they may be retentions from French (Avram 2017a: 17, 2018a: 126). Note that this form coexists alongside *mal□o*, derived etymologically from French.

In Trinidad DAY + CLEAN / CLEAR ‘daybreak’ (Avram 2017a: 17), EYE + WATER ‘tears’ and SWEET + MOUTH ‘flattery; flatterer’ may be modelled on the local French-lexifier creole forms.

In both Grenada and Trinidad forms structurally similar to GOD + HORSE ‘praying mantis’ are also attested in the local French-lexifier creoles. Hence, these might arguably be traced to the local French-lexifier variety (Avram 2017a: 18, 2018a: 126).

In both Dominica and St Lucia, HARD + HEAD / HEAD + HARD ‘stubborn’ corresponds to the structurally similar form *tèt di* recorded in the local French-lexifier varieties

In Dominica, HARD + EARS ‘stubborn’ has the counterpart *zòwèy di* in the local French-lexifier creole.

Summing up, the above forms may be calques after the local French-lexifier varieties.

8. Transplanted creoles

As is well known, several English-lexifier Atlantic creoles did not emerge in the territories in which they are currently spoken. For instance, as shown by Parkvall (2000: 125), “the English-lexifier creoles of Dominica, St Lucia, Grenada, St Vincent, Trinidad and Tobago […] are all late developments (late 18th century onwards)”, which “seem to represent koinés with varying proportions of Barbadian and Leewards influences”. Similarly, Limón Creole is a form of Jamaica Creole transplanted to Costa Rica in the 1870s (Holm 1989: 484). Other varieties historically related to Jamaica Creole include those spoken in the Bay Islands, Belize, the Cayman Islands, on the Miskito Coast, and in Providencia (Bartens and Farquharson 2012).

Consequently, calques may also have been transplanted, i.e. they are not necessarily independent developments *in situ*, modelled on African languages (Avram 2017a: 19-20). These include the following forms: BAD + EYE ‘evil eye’; BIG + EYE ‘greed(y)’; DAY + CLEAN / CLEAR ‘daybreak’; DOOR + MOUTH ‘threshold, doorway’; DRY + EYE ‘bold’; EYE + WATER ‘tear’; GOAT + MOUTH ‘one who predicts unfortunate events or threatens’; HARD + EARS ‘stubborn’; ONE + TIME ‘at once, right now, immediately’; SWEET + MOUTH ‘flattery; flatterer’

9. Different substrates, identical outcomes

The following forms are listed by Baker and Huber (2001) among the Atlantic features: BIG + EYE ‘greed(y)’; EYE + WATER ‘tear’; SWEET + MOUTH ‘flattery; flatterer’. However, these forms are also found in Pacific varieties: BIG + EYE ‘greed(y)’ in Torres Strait Creole, EYE + WATER ‘tear’ in Tok Pisin, SWEET + MOUTH ‘flattery’ in Bislama. Hence, these are world-wide features of English-lexifier pidgins and creoles (Avram 2004: 101, own corpus).

Baker and Huber (2001: 204) include SALT + WATER ‘sea; coastal’ among the Pacific features. This form is also attested in (at least) six Atlantic varieties: Jamaica, Sranan (Avram 2004: 97), Antigua (Avram 2016a: 196), Bahamas (2013b: 143), St Vincent (Avram 2015: 125), Trinidad (Avram 2012: 19). Consequently, it should be reclassified as a world-wide feature.

Such distributional facts are illustrative of the possibility of different substrate languages – African (for Atlantic varieties), Aboriginal (for Torres Strait), Melanesian and Papuan (for Tok Pisin), Melanesian (for Bislama) – producing identical outcomes, i.e. the structurally identical forms in English-lexifier pidgins and creoles are calques modelled on different substrate languages.

10. Universals of pidginization

As shown by several researchers (e.g. Cassidy 1971, Allsopp 1980, Hancock 1980, Parkvall 2000: 113), one of the immediate necessities of a creole is to expand the reduced lexicon of the pidgin out of which it developed. Under these

circumstances, "compounds may have resulted from a universal strategy for expanding a pidgin vocabulary to fill lexical gaps" (Holm 2000: 104). *Mutatis mutandis*, this also holds for phrases: some putative calques might be universals of pidginization, and "an indirect manifestation of former Pidginhood" (Parkvall 2000: 113), i.e. prior to creolization. Parkvall (2000: 113) comments as follows on EYE + WATER 'tears': "for people struggling to communicate the notion 'tears' in a multilingual contact situation, what more promising course should they adopt", i.e. "a combination of 'eye' and 'water'?"

Consider next the role of linguistic universals. Universals of pidginization presuppose compliance with universals identified in the literature on linguistic typology. Moravcsik (2013: 34) suggests the following absolute/unrestricted universal: "If words for a part of the upper body and a part of the lower are in a derivational relationship, the upper-body term is the base". Hence, if a language does not have a word for 'toe', it derives it from 'finger', i.e. FOOT + FINGER / FINGER + (OF) + FOOT 'toe' is typologically consistent, whereas *HAND + TOE / TOE + (OF) + HAND' is predicted not to occur. The prediction is borne out by the forms found in English-lexifier pidgins and creoles.

As is well known, pidgins generally favour transparency over opacity. The equivalents in English of many compounds and phrases occurring in the English-lexifier pidgins and creoles, e.g. *bold*, *stubborn*, *tear*, *toe*, are morphologically opaque. Not surprisingly, in pidgins, such morphologically opaque words are typically replaced by lexicalized, semantically transparent compounds and phrases (Parkvall 2000: 113, Avram 2004: 102).

Morphologically opaque words in English would have been less salient and less likely to be of use in the multilingual contact situation. These are replaced in pidgins and creoles by a compound or a phrase consisting of more frequent words, already known to the non-anglophone participants in the contact situation.

Consider, finally, the part played by metaphors. According to Cassidy (1971: 215), "some metaphors […] are so obvious that they may be expected to turn up" in the lexicon of pidgins. Likely candidates include EYE + EATER 'tears', MOUTH + WATER 'saliva', SALT + WATER 'sea; coastal', SWEET + MOUTH 'flattery; flatterer' (see also Parkvall 2000: 113, Avram 2004: 103).

11. Conclusion

One obvious finding is that "what you see is not always what you get" and that, in a number of cases, calques after African languages may exist "only in the eyes of the beholder".

Importantly, the possibility of a "conspiracy of factors" should not be disregarded. Likely combinations of factors might include the following: universals of pidginization + calques after African languages: in the multilingual contact situation, "what would have been a calque for some participants would have been a lexical innovation for others" (Parkvall and Baker 2012: 232); universals of pidginization + calques after African languages + retentions from the lexifier language; calques after African languages + retentions from the lexifier language.

The Relexification hypothesis should be amended to account for two situations: "first-degree" relexification, i.e. compounds and phrases which are direct calques after African languages; "second-degree" relexification, i.e. compounds and phrases modelled on other creoles, in which these are direct calques after African languages

Transplanted calques, while providing evidence for historical-linguistic relationships among various English-lexifier creoles, cannot serve as indicators of the lexical contribution of substrate languages (for a similar point with respect to loanwords from African languages see Bartens and Farquharson 2012: 190).

Finally, caution needs to be exercised when using putative calques as evidence of historical-linguistic relationships between the various Atlantic English-lexifier pidgins and creoles, given that, as put by Cassidy (1971: 215), some apparent calques may be "the outcome of coincidence or 'reinvention'" and "some coincidences need not indicate historical relationship".

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OF MICE AND WOMEN:
TRANSLATING FOR DUAL READERSHIPS

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Abstract: *The aim of this paper is to discuss the translator's decisions in the Spanish version of two plays by Romanian-born American writer Domnica Radulescu, which were conditioned by the presumed target readership duality (mainly Spanish, but also Romanian, first and second-generation diaspora). The first part of the analysis is based on Marco's (2004) model, revealing a high degree of translator's intervention in the culturemes' referential and informative frames. The second part of the analysis delves into imagological categories (ethnotype, image) and their inherence in the translator's decisions. This paper advocates scholarly observation of authors' and translators' priorities in contexts implying different imagological frames of host and diasporic target readerships.*
Keywords: *cultureme, dual readership, imagology, migration, theatre translation*

1. Aims and background

Diasporic identities are permanently re-constructed in literary works written by ectopic authors and translated by diaspora translators for host societies and sometimes for diaspora receivers. Vernier (2014) defined translingual writers as double self-translators in this 'renegotiation of the self' that migrants experience living as 'translated beings' between multiple cultures, languages and national identities. This paper approaches two theatrical texts, *Exile is my Home* and *The Virgins of Seville* by Domnica Radulescu, an American writer of Romanian origin, and their translation into Spanish. It addresses mainly the Spanish host society but also the Romanian diaspora (first and second generation). In these texts, the author takes the point of view of female refugees and immigrants, desperate mothers looking for lost sons, migrant workers and sex workers on the margins of society, women of all walks of life searching for a place to live, questioning and reinventing the notion of home. As the author confesses in an interview (Alexandru 2016: 10), "once uprooted from their initial birth place, my characters suffer from a spatial promiscuity, that is they move from place to place, country to country, and planet to planet in an almost demented drive to settle somewhere, yet always dissatisfied by something in each new place, and all the while being haunted by fragmented memories of an initial birth home that they were forced to leave". Radulescu's endings are utopian, with immigrants who are welcome and embraced in the 'totality of their individuality'.

Inspired by modern wars, the realities of immigration, displacements and traumatic experiences, *Exile Is My Home* focuses on the female sufferers of these realities, most often initiated and performed by patriarchal societies. As Domnica Radulescu herself recalls (Lecture at the University 'Jaume I de Castellón', entitled *Dream in a Suitcase*, July 2016), the two heroines echo the more realistic heroines from her novel *Country of Red Azaleas* (Radulescu 2016), Marija and Lara,

survivors of the Bosnian war, only in fantastical, at times carnivalesque style. *The Virgins of Seville* was inspired by a visit Radulescu paid to her son who was studying in Seville, where she was amazed by the number of hypostases of the Virgin Mary, as she confesses (Book launch, Castellón, November 2017):

> *The Virgins of Seville* was inspired by the obsessive abundance of streets carrying names of the Virgin in Seville and the overwhelming cult of the Virgin in that town. Equally so I was shocked by the multitudes of Romanian migrant workers in Seville and other Spanish cities, by the complementary reality of the Roma, both Spanish and Romanian. Harsher realities of the abundance of Romanian sex workers in Spain and Italy clashed in my imagination and created an amalgam of all these realities neutralizing and taking out both the negative or idealizing stereotypes – neither are the Virgins so virgin, being creations of male fantasy projected upon women, nor are the sex workers so depraved, being objects of male sexual fantasies but in reality human beings who made some hard choices – so I am de-sensationalizing these female figures. The reality of motherhood is also intensely present in both plays in tragic but also hopeful imagery and situations. Lina, Mina, Ramona all are strong mother figures but not idealized mother figures, they are women of action, picaresque heroines, fighters, but also whimsical, over the top at times, and at other times distracted and absent minded, adventurers. Through my heroines I am building my own feminist humanist utopias.

Both plays were written in 2014 and were translated into Spanish (Radulescu 2017) and several staged readings took place in Alicante (Teatro Principal; Centro 'Mario Benedetti'; Cursos de Verano 'Rafael Altamira' – University of Alicante) and Castellón (Institute for Feminist Studies 'Purificación Escribano'). In what follows, excerpts from both texts will be analysed from two perspectives: the concept of *culturemes* and the theoretical model of *auto-hetero-meta-image*, in the light of the recent scholarly convergences developed between imagology and Translation Studies.

2. The translation of culturemes in *Exile is my Home*

One of the translator's main preoccupations (in all genres, but especially in theatre translation) is to preserve the dramatic tension. In *Exile is my Home*, this tension arises not so much from the plot (absurd, weaved in extreme situations with even more absurd, unexpected solutions), as it does from human relationships, for instance, between the two heroines, Mina and Lina, born in uncertain lands with changing borders, somewhere in the Balkans. They had a son, who was kidnapped during the Bosnian war by organ thieves and was sold in America. The rapes and tortures which Mina and Lina underwent caused memory loss, even of motherhood, their most sacred memory. When they come across their own son, they fail to recognize him because they do not remember they ever had a son. The exercise of recalling the past is as traumatic as the motives of their amnesia. However, they go through this therapeutic process of retrieving memories in order to save their son from the 'Woman who eats hearts'. Dramatic tension also emerges from the manner they narrate their own selves. As in thrillers, terror comes from apparently peaceful, calm, idyllic images, such as the gentleness of a paper boat floating on a pond, which heralds misfortune here.

Of the many challenges such a text poses, I have chosen *culturemes* as a complex category to analyse, both from a translatological perspective, drawing on the translator's decisions and solutions bearing in mind a determinate reader, and

from a creative perspective, tackling the mother-son relationship in a diasporic context that acts as an intensifier, altering emotional impact and expectations on both sides (first and second-generation migrants) regarding each party's rights and duties.

A *cultureme* is, according to *The Encyclopedia of Semiotics* (Bouissac 2007), "any portion of cultural behaviour apprehended in signs of symbolic value that can be broken down into smaller units or amalgamated into larger ones". Its usage can be seen in cultural expressions, idioms, jokes, slogans, literature, religion, or folklore. This definition is challenged by Lungu Badea (2004: 35), who sees it as the smallest unit bearing cultural information, indivisible, otherwise the target readers' perception would be hindered. A detailed insight into the concept of 'cultural references' is offered by Mayoral (1999 - 2000). Whether they are called 'presuppositions' (Nida 1945), 'cultural items' (Newmark 1991), 'realia' (the Leipzig school), 'textual segments culturally marked' (Mayoral and Muñoz 1997) or 'specific cultural elements' (Franco 1996), 'culturemes' (Nord 1997) are increasingly used in translation studies in the late twentieth century to distinguish units with a strong cultural connotation likely to produce a translational gap.

In Coulthard's view (1992), the translator's first and major difficulty is the construction of a new ideal reader who, even on the same academic, professional and intellectual level as the original reader, will have significantly different textual expectations and cultural knowledge. Lvovskaia (2000: 50) refers to *culturemes* in terms of 'cultural intertextuality', encompassing non-coincidence in material and spiritual life as well as in verbal and non-verbal behaviour. Nord (1997: 34) explains the notion as follows: 'a social phenomenon of a culture X that is regarded as relevant by the members of this culture and, when compared with a corresponding social phenomenon in a culture Y, is found to be specific to culture X', while Molina (2006: 79) defines *culturemes* as verbal or para-verbal elements that possess a specific cultural load in one culture, likely to provoke a problem when in contact with another culture, to which Leppihalme (2010: 128) adds (as valuable information for analyses) the translation situation, the attitudes and even the ideology of the translator. According to Lungu Badea (2004: 69) *culturemes* are: monocultural (belonging mostly to one cultural context), relative (depending on participants' encyclopaedic knowledge and expectations) and autonomous (not relying on translators, who tend to blur them as meaningless in target languages). Katan (2004) sees *culturemes* not only as lexical and cultural gaps or lack of equivalents (*macho*, *glasnost*), but also culturally bound differences of connotation within the same notion (e.g. instances of political correctness). Three devices seem to prevail in Katan's view: generalisation (by using hyperonyms), omission /explicitation (to give access to implicitness), and distortion (a sort of zoom lens allowing focus on certain aspects). Prodan (2016) adopts a five-category classification of *culturemes* (natural context; cultural heritage; material culture; social culture; linguistic culture) in her analysis of translations of Catalan prose (novel and short-story) into Romanian between 1995 - 2010. But one of the most complete models is proposed by Marco (2004: 138) inspired by Hurtado, as a continuum from the lowest to the highest translator's intervention (and the consequent degree of rapprochement with the target reader). The balance between a maximum cultural characterization obeying original style and a minimum cultural characterization for the sake of comprehension on this continuum is given by the envisaged receiver. In Marco's model, strategies for coping with *culturemes* range from: *loan* (pure or domesticated); *literal translation*; *neutralisation* (through

description or generalisation / particularisation); *amplification / compression*; *intracultural adaptation* (in search of verisimilitude, to the extent of creation) and finally, *intercultural adaptation* (the highest degree of translator's intervention and of rapprochement with the target reader). Two non-dependant strategies (the very last and the very first action a translator considers) are *omission* as an extreme case of neutralisation and *coined equivalents*, as an option 'by default' which a translator checks before anything else. Marco (2004: 139) warns that the discussion on the translator's decisions regarding *culturemes* should go further and include two supplementary variables: the degree of 'culturality' that the solution itself acquires in the target language and the amount of information available to the translator compared to the initial information available to the original author. In what follows, Marco's model will be applied to an excerpt of the theatrical text *Exile is My Home* and its translation into Spanish.

In Act III (The Third Planet, Snow Planet, Snow White), we discover, at the same time as Lina and Mina do, that they have a son, Billy, whom they must save. He is now a talking heart because his body has been separated from his heart and is kept in a drawer by the 'Woman Who Eats Hearts' who is planning to devour him. In order to find him, among hundreds of other prisoner bodies, they must remember his name. This is the dialogue:

LINA: (*Quietly, just with large movements of her mouth.*) What's his name?	LINA: (*Sin voz, sólo moviendo la boca exageradamente para que lean sus labios.*) ¿Cómo se llama?
MINA: (*Also quietly.*) What?	MINA: (*También sin voz.*) ¿Qué?
LINA: What's his name? The name of the child?	LINA: ¿Cómo se llama? ¿Qué cómo se llama el niño?
MINA: (*Quietly, with silent stress on every syllable.*) I don't know.	MINA: (*Sin voz, pero vocalizando las sílabas.*) No lo sé.

During the crusade in which his mothers bravely engage to save him, and which can be easily compromised by a tiny detail such as his name, forgotten under trauma, Billy says:

CHORUS OF HEARTS MEMBER 4: My name is Billy, mamas! Billy, like in Billy goat.	CUARTO MIEMBRO DEL CORO DE CORAZONES: ¡Me llamo Billy, madres! Billy, como 'Billy el Niño'.

One possible choice for the translator was to recreate a childhood, happy-time-atmosphere through which Billy tried to trigger his mothers' flow of pre-war images and memories, and make them recall their life together, when he was being told fairy-tales (such as *The Three Billy Goats Gruff* in English, the famous Norwegian fairy-tale in Asbjornsen and Moe's collection, or *Capra cu trei iezi* [*The Goat and her three kids*] by Ion Creangă, in Romanian– most outstanding children's literature author – corresponding to the plot of *The Wolf and the Seven Young Goats* in Brothers Grimm's collection). For such a purpose, the translator might have come up with an *amplification* of the *cultureme* 'Billy goat' such as 'Billy, del cuento de los cabritillos' [Billy, from *The Three Billy Goats* fairy-tale] which would have:

(1) enlarged the reply to the detriment of performability;
(2) eliminated the hint of masculinity inherent in other connotations of 'Billy' and

(3) failed to reconstruct the original's humour based on polysemy: apart from denoting a male, the term also defines a kind of sexual act or a man who likes dating much younger women, and in Chicago (where Radulescu spent half of her exile), it is the name of a famous chain of taverns, founded by a Greek immigrant.

We do not know whether the playwright meant all these implicit elements to converge in order to add to the absurd, or just specifically one of them, but what is clear is that she wanted a striking, unexpected association concurring with the style of the play. *Amplification* is closer to the target end of Marco's continuum, denoting the translator's intervention, making her visible in the attempt to domesticate the cultureme, which, in turn, is based on cultural intertextuality, since it belongs to universal literature. The original Norwegian tale circulating in English since the mid-nineteenth century intermingles with the German tradition retrieved in Romanian by the end of the nineteen-hundreds, reducing the number of billy-goats from seven to three and preserving the tragic end, which in Spanish is played down. Interestingly, translations of *Capra cu trei iezi* into English do not use the term 'billy-goats', but 'kids', and Brothers Grimm's billy-goats are 'young goats', ignoring the masculinity or rather avoiding confusion with the Norwegian tale. Domnica Radulescu's cultureme is presumably a mixture of her childhood contact with Creangă's tale of murder and vengeance, her youthful study of children's literature as a philologist and her post-migration motherhood contact with the Norwegian story, which she probably read to her own sons. Aware of not being able to transfer this complex *cultureme*, the translator opted for what Marco called *intercultural adaptation*. Since the name 'Billy' (as a *dramatis persona*) was irreplaceable, then a familiar collocation for the Spanish audience containing this name had to be found. Although with violent, criminal connotations, 'Billy el Niño', seems to be not so far from the Romanian tale's violence, in which two of the three billy goats are devoured by the wolf and their skulls exhibited at the windows. Through this adaptation, irony and absurd are still triggered, only by different mechanisms. The reader is not taken to a childhood, idyllic atmosphere (with tales and paper boats floating on a pond from which Billy the child is brutally whisked) but to the surreal, grotesque situation in which a son must desperately resort to mnemotechnic strategies to make his point. This utterance (*My name is Billy, mamas! Billy, like in Billy goat*) entails an illocutionary force based on the complexity of the *cultureme* (triggering images from several traditions), and a perlocutionary effect (to make his own mothers recall his name, a question of life or death), based on the absurdity both of the nature and the necessity of the hint. Through this option (intercultural adaptation), the translator intensifies this perlocutionary effect by adding to the grotesque situation a supplementary connotation of criminality/youth/notoriety, inexistent in the original text. At the same time, the target reader is offered a different scenario, which no longer contains the fairy-tale, but a real criminal legend as a background for atrocities. The surprise-effect might be lower, but the balance is compensated by a reinforced semantic field. Ultimately, this option avoids interference with performability (not enlarging the reply), preserves the absurd and grotesque dimension of the scene and avoids the omission likely to impoverish target versions. Had the translation been done into Romanian, 'Billy the Kid' would have been appropriate for an older generation of theatre-goers, but maybe for youngsters, something like 'Billy, iedul cel mic' [Billy, the third little goat] would have been a better choice. However,

Spanish adult theatre-goers/ readers would be familiar with Billy the Kid, as they are with Al Capone or Bonnie and Clyde. Even to younger generations the name would ring a bell, because of a recent political debate and press reports on a baleful character nicknamed 'Billy el Niño', allegedly a torturer under Franco's dictatorship.

Through this option, the target reader should be rewarded with the expected poetic effects and amount of information. In Marco's model, both the translator's degree of intervention and the rapprochement with the intended receiver (a Spanish adult educated theatre-goer) are at their highest level. Regarding the degree of 'culturality' that this solution acquires in the target language, the Spanish version 'Billy el Niño' obviously deviates from the idyllic frame intended to clash with the abominable war crimes. However, these are presaged by the label (anthroponym + nickname). Original and translation, through different itineraries, reach the same effect and their 'culturality' is based on trans-national references. As for the information available to the translator compared to information available to the original author initially, the translation does not widen the spectrum, but replaces a childhood informative perimeter with an adult one.

3. The translation of ethnotypes in *The Virgins of Seville*

The Virgins of Seville is a fresh and dynamic approach to the diaspora experience, which offers profound insights into the lost and found identities of migration. The main character is an alter ego of the playwright, a Romanian born American mother, searching for Marcos, her son who left the States to recover his identity. But in Spain, the main destination of Romanian migration in the recent years, he becomes involved in drugs and crime. The Balkan mafias force him to work for them, while the huddle of Virgins (the Virgin of Silk, the Virgin of the Caves, the Virgin of Antigua, etc.) passively witness his decline, and on occasions sleep with him.

In Spain, Marcos discovers ethnotypes of Romanians, such as their "obsession with bread" and their "predisposition for begging and stealing". When the dramatic tension reaches its highest point and the characters have no escape, the author reveals that the whole story is a theatrical play and the characters (the desperate mother, the prostitutes who look like Virgins and are named after Virgins, the fugitive boy, the mafia thugs) are all immigrant actors in a street-show which disturbs the authorities and persuades the Mayor of Seville to have them arrested. However, they remind him of his electoral programme, manage to avoid prison, and even make him promise them a real stage, where they can put on the show. *The Virgins of Seville* poses the translator an ethical dilemma on whether to preserve the degree of intensity of the criticism or to smooth over some of the hard comments on either Romanian migrants or Spanish hosts.

Rather than the broader category of stereotypes, this analysis is concerned with its more specific variant, the *ethnotype*. Joep Leerssen (2016) defines ethnotypes as a stereotypical attribution of national, supra-national or ethnic characterization, responding not to an anthropological reality, but to an opposition between the *auto-image* and the *hetero-image*, i.e. between the Self and the Other. Like prejudice and stereotype, the ethnotype is promoted in times of tension and deflated in periods of stability. In Leersen's view, ethnotypes use rhetorical formulae and moral tropes (honesty, piety versus fanaticism, superstition) and are based on oppositions and on behavioural profiles (temperamental patterns or

psychological predispositions), obviously not drawn from historical constants, but from images and counter-images. The danger of ethnotypes is their ontological half-life and their diluted presence in texts. Leerssen warns that even if we have more than one frame for a nation, the active frame pushes the others into latency.

On the other hand, *meta-images* are neither 'auto' not 'hetero' images but the projection of something in between. In Chew's (2006: 180) view, 'stereotypes colour, to a large extent, not only our self-perception (our 'auto-image') via the image of the other (our 'hetero-image'), but determine for better and, regrettably, for worse our behaviour toward the other'. Leerssen (2007: 344) argues that the images nations form of each other involve an 'imputation of images' and the way a nation believes it is perceived constitutes a 'meta-image'. An illustration of this 'imputation of images' is the derogatory synecdoche coined by Romanian media in the mid-2000s homogenising the Romanian population in Spain as 'căp□unari' (strawberry harvesters) who were not aware of such a nickname. The number of Romanian migrants in Spain reached almost one million at that time and obviously, only a small part of them (women mostly) worked as strawberry harvesters in poor conditions, in the southern part of the country. This image of Romanian migrants was spread among the home population as the way their co-nationals were considered by Spaniards. In 2006, a group of representatives of the Romanian community on Spanish territory asked for rectification and elimination of the pejorative term 'căp□unar' in the Romanian media. They also argued that this image was actually a Romanian creation attributed to Spaniards. The press campaign coincided with the Romanian government calling upon diaspora to return home and contribute to the country's development.

If we consider the following example:

THE VIRGIN OF SILK: Yea, what is it with you and bread, you Romanians? Why are you the beggars of Europe, the vagabonds, the thieves of the European Union? And what's with your bread obsession?	LA VIRGEN DE LA SEDA: Seh, ¿qué os pasa a los rumanos con el pan? ¿Por qué mendigáis por Europa? ¿Por qué sois la chusma de la Unión Europea? ¿Y por qué esa obsesión por el pan?
RAMONA: Shut up you all! So, we are thieves, all right. So, we are OCD about bread, because we never had enough of it during the Communist dictatorship, big deal. […]	RAMONA: ¡Callaos todas! Vale, seremos ladrones, ¡y qué! Sufrimos trastorno obsesivo compulsivo con el pan porque nunca tuvimos suficiente durante la dictadura. […]

we observe that the translator opted for a modification strategy, aimed at reducing the impact of the alleged *meta-image* European host societies have of Romanians (as the beggars of Europe, the vagabonds and thieves of the EU). These labels have been gathered under 'chusma', which adds a note of humour, making the accusation more diffuse. At the same time, by choosing a different verbal tense (dubitative future: *seremos*), meant to cast doubt on Ramona's admission (*So, we are thieves all right*), the translator actually softens the *hetero-image* in the source text and also the original clash between the *hetero* (we are thieves) and the *auto-image* (but we are not to blame, dictatorship is).

Therefore, the conclusion to be drawn is that in this excerpt, the translator softens the *meta-image* (out of respect for the host society, which appears to be slightly more discriminatory in the original) and also softens the *hetero-image*,

a device meant to avoid offending the diaspora readership. By combining priorities from both models, the translator walks a tightrope between both sides' expectations and seeks to reconcile Tymoczko's (1999) idea of translation as a metonymic (substitution through a part/attribute of the whole) rather than metaphoric practice (substitution through analogy), which stems from the observation that translation is always partial because, as Jansen (2015: 166) summarizes, it construes its own image on the source text/culture with a view to target readers. The images 'perpetrated' by translators are in turn based on new metonymical relationships, encoding features of the receiving culture, exposing thereby its *auto-image*. This type of reconciliation, not in traditional terms (of faithfulness and to whom), but in terms of metonymy (Tymoczko 1999, Jansen 2015) might be one of the many strands of inquiry that the confluence of imagology and TS opens.

In translatological terms, the strategies employed in the example above were:

- *a transposition*; a verb ('¿Por qué *mendigáis* por Europa?' / 'why *do you beg* in Europe') is used instead of the noun 'the beggars of Europe', which seems to imply Romanians are the only holders of this title;
- *a modulation*; within the same semantic field, a hypernym is used to avoid the repetition of a stronger accusation. Thus, 'the vagabonds, the thieves of the EU' was translated as 'la chusma de la UE' (which means 'rabble', 'vulgar people', 'riffraff'). In fact, 'vagabond' meant in Romanian a 'good-for-nothing', an 'idler', 'someone who is a failure' (during the seventies and the eighties, when Radulescu fled the country), whereas in Spanish 'vagabundo' would have added a bohemian nuance to the image of a vagrant.

In Ramona's reply, the *auto-image* is reinforced (by toning down the *hetero-image*); she admits Romanians are thieves and bread-eaters, but softens the accusation by combining both images to attenuate gravity and put the blame on dictatorship. This *auto-image* is maintained by the translator. The *omission* of the specification 'Communist' seems to obey geographic rather than imagological reasons. Its presence might help young American readers to locate events in Eastern Europe, while it seems to be unnecessary for a Spanish audience, who refer to their own dictatorship as 'la dictadura' (the dictatorship), without adding 'fascist'. This omission is probably meant to create connivance with Spanish readership.

4. Conclusion

The translator's decisions when producing the Spanish version of two plays by the American writer of Romanian origin, Domnica Radulescu, are found to be conditioned by several variables related to the author's style and obsessions, but most significantly to the target readership/audience's duality (comprising both the Spanish host society and the Romanian diaspora, first and second-generation).

Excerpts from both plays have been analyzed in the light of two productive avenues of inquiry: the study of *culturemes*, starting from Marco's (2004) model as a continuum on which the degree of translator's intervention also reveals the rapprochement with receivers; and the imagological approach to translatology, starting from Leerssen's (2007, 2016) triadic model encompassing *auto/hetero/meta-image.*

Some of the findings show that, in the case of *Exile is my home*, translation difficulties were posed mainly by cultural elements or lexical-semantic units in

English that had no direct equivalent in Spanish. So, the translator's decisions had to do with the selection from among a repertoire of devices to resort to, including *adaptation* ('Billy el Niño'), with a change in the cultureme's assignment of genre from fantastic to real (criminality) and of informative scope from childhood to maturity, as we have seen in the example hereby discussed. These choices situate the translator's degree of intervention at its highest level. This is also true for the rapprochement with the intended receiver, whose effort to decode the clue is rewarded with a considerable amount of poetic effects – in this case, the absurd, reached differently in the target language as compared to the original.

The second part of the analysis focused on the imagological categories of *ethnotype* and *image* in the play *The Virgins of Seville* and their inherence in the translator's decisions. The original implication of this endeavor lies in approaching the dual readership/audience of translated (theatrical) texts and advocating scholarly observation of authors' and translators' priorities in contexts implying different imagological frames of host and diasporic target readerships.

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ANGER METAPHORS IN QUOTATIONS: A COGNITIVE SEMANTIC ANALYSIS

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Abstract*: The paper studies the language of anger in common people's passages on the internet site www.searchquotes.com/search/Anger. It investigates which anger metonymies and metaphors listed in Kövecses (1990, 2000) are exemplified in the corpus and finds that they occur in a relatively small number. However, it identifies several metonymies and metaphors that have not been identified before and constitute non-prototypical scenarios of anger.*
Keywords*: anger, emotion, metaphor, metonymy, non-prototypical/prototypical scenario*

1. Introduction

Cognitive semantic research has widely studied linguistic expressions of the concept of anger in American English (Lakoff 1987, Kövecses 1990 and 2000) and in a number of other languages including Chinese, Russian, Italian, Spanish, etc (e.g. Ning Yu 1995, Apresjan 1997, Deignan and Potter 2004, Ansah 2011, Esenova 2011, Ogarkova and Soriano 2014). The investigations have aimed to identify metaphors and metonymies depicting culture-specific and universal or near-universal details of emotion.

This paper* is part of a larger study of the language of the six basic emotions – anger, disgust, fear, happiness, sadness and surprise (Ekman et al. 1972) and focuses on figurative expressions referring to anger in passages published on the internet site www.searchquotes.com/search/Anger. It investigates the metaphors and metonymies of anger used by the authors of the passages and compares its findings to the list of metaphors and metonymies identified in Kövecses's *Emotion Concepts* (1990) and *Metaphor and Emotion* (2000). The paper also attempts to find out whether or not the corpus under consideration proves the centrality of the container metaphor and how the metaphors identified in the corpus fit in the prototypical scenario of anger.

2. Theoretical background

Anger is one of the six basic emotions (Ekman et al. 1972). It is a "strong feeling of displeasure and hostility" (Hornby 1989) especially in situations when one perceives some form of injustice or provocation, hurt or threat. An angry person often experiences certain physiological reactions such as an increased heart rate and blood pressure, has characteristic facial expressions (mainly frowning) and

* This work was supported in part by a Debrecen Reformed Theological University research grant.

certain thoughts to explain their verbal and behavioural reactions to "what has happened" and may become ready to do something about it in a very short while (Atkinson et al. 1997, Bányai 2013).

Kövecses has conducted extensive research of American English linguistic expressions of anger and claims that the language of anger contains a great amount of figurative expressions instantiating conceptual metonymies and metaphors (Kövecses 1990, 2000). The conceptual metonymies depict mostly the physiological reactions accompanying anger, which are usually relatively easily observable bodily reactions, facial expressions and behavioural reactions, while conceptual metaphors capture less easily observable subjective experiences (Wierzbicka 1999), which normally take place "inside the body and/or mind" of the angry person.

In relation to anger, Kövecses identifies metonymies conceptualizing the following physiological changes: the increase of body temperature, the increase of internal pressure, the change of colour in the face and neck area, physical agitation and interference with accurate perception. The metonymies (with one example of each) are given below:

> BODY HEAT STANDS FOR ANGER – Billy's a *hothead.*
> INTERNAL PRESSURE STANDS FOR ANGER – When I found out, I almost *burst a blood vessel.*
> REDNESS IN FACE AND NECK AREA STANDS FOR ANGER – He *was flushed with anger.*
> AGITATION STANDS FOR ANGER – She *was shaking with anger.*
> INTERFERENCE WITH ACCURATE PERCEPTION STANDS FOR ANGER – She was *blind with rage.* (Kövecses 1990:52)

Kövecses points out that the metonymies and their linguistic expressions present the bodily "basis of the most general metaphor for anger: ANGER IS HEAT" (Kövecses 1990: 52). He also claims that in our physical world the heat may apply to fluids or to solids and it brings about changes accordingly. In relation to anger, when the heat applies to fluids, "we get ANGER IS THE HEAT OF A FLUID IN A CONTAINER" (ibid.), whereas when it is applied to solids, "we get the version ANGER IS FIRE" (idem: 53). The first version of the metaphor is motivated by the heat, internal pressure, and agitation components of the anger experience, while the second version of the metaphor is motivated by the heat and redness components.

Kövecses (1990: 52-59) gives a detailed discussion of the metaphor ANGER IS THE HEAT OF A FLUID IN A CONTAINER, listing all the metaphorical entailments (and their ontological and epistemic correspondences), from WHEN THE INTENSITY OF ANGER INCREASES, THE FLUID RISES (e.g. *She could feel the gorge rising.*) up to WHEN A PERSON EXPLODES, WHAT WAS INSIDE HIM COMES OUT (e.g. She was having kittens.).

Furthermore, Kövecses supports the view that the metaphor ANGER IS THE HEAT OF A FLUID IN A CONTAINER is very central in the concept of anger, as our folk model of anger follows the event structure of what happens to a fluid that is heated in a container. In other words, the prototypical scenario (i.e. the folk model) of anger reveals the stages in which the events follow each other in a causal and temporal sequence, showing how anger comes into existence, how it proceeds towards its climax, and finally ceases to exist. The prototypical scenario of anger

consists of five stages: (1) offending event, (2) (the resulting) anger exists, (3) attempt at control, (4) loss of control, and (5) act of retribution (Kövecses 1990: 67-68).

Kövecses (2000: 21) summarizes all the metaphors of anger he identified in his previous studies:

> ANGER IS A HOT FLUID IN A CONTAINER: She is *boiling with* anger.
> ANGER IS FIRE: He's doing a *slow burn*. His anger is *smoldering.*
> ANGER IS INSANITY: The man was *insane with* rage.
> ANGER IS AN OPPONENT IN A STRUGGLE: I was *struggling with* my anger.
> ANGER IS A CAPTIVE ANIMAL: He *unleashed* his anger.
> ANGER IS A BURDEN: He *carries* his anger around *with* him.
> ANGRY BEHAVIOR IS AGGRESSIVE ANIMAL BEHAVIOR: Don't *snarl at* me!
> THE CAUSE OF ANGER IS TRESPASSING: Here I *draw the line.*
> THE CAUSE OF ANGER IS PHYSICAL ANNOYANCE: He's *a pain in the neck.*
> ANGER IS A NATURAL FORCE: It was a *stormy* meeting.
> AN ANGRY PERSON IS A FUNCTIONING MACHINE: That really *got* him *going.*
> ANGER IS A SOCIAL SUPERIOR: His actions were completely *governed* by anger.

Comparing the metaphors in *Emotion Concepts* (Kövecses 1990) and *Metaphor and Emotion* (Kövecses 2000), we find that the metaphor ANGER IS THE HEAT OF A FLUID IN A CONTAINER (for a detailed analysis, see Lakoff 1987: 383) is slightly changed for ANGER IS A HOT FLUID IN A CONTAINER, the metaphor ANGER IS A DANGEROUS ANIMAL is changed for ANGER IS A CAPTIVE ANIMAL. The HOT FLUID metaphor highlights the behaviour of an angry person in terms of the behaviour (i.e. change of state, dynamic character) of a hot fluid, whereas the HEAT OF A FLUID metaphor focuses purely on one physical feature of a fluid mapped onto the concept of an angry person. The use of the term *captive* in place of *dangerous* in the other pair of metaphors raises the question of what explains the change/ what makes the change necessary. This is difficult to answer because the example *He unleashed his anger* is taken from the list of examples under ANGER IS A DANGEROUS ANIMAL (Kövecses 1990: 62). My intuitive answer is that Kövecses has changed the adjective because the term *captive* probably connotes more closely with *unleashed* than with *dangerous* or a captive animal seems to be a specific type/subgroup of dangerous animals. Our everyday knowledge of animals suggests that a captive animal may be considered a dangerous animal (if it is a lion, for example), however, I assume that not all captive animals are implicitly thought of as dangerous (e.g. canaries or small parrots are not normally classified as dangerous).

The lists of metonymies and metaphors above show that the language of anger is very rich and well-elaborated, consequently it captures various aspects of the anger experience. The prototypical scenario of anger shows that the normal course of events is that after a period of anger intensification, the experiencer fails to control his/her anger and takes action in order to compensate for the offending event, by which s/he may do harm to another person/other people.

3. Corpus, hypotheses and research questions

I have built my corpus by selecting 150 passages on anger from the internet site www.searchquotes.com/search/Anger. The site consists of 79 subpages listing

quotations by a number of authors/contributors. I have selected passages from the first twenty pages of the site. I have applied two criteria for inclusion: (1) the passage should contain one of the terms *anger* or *angry* and (2) the passage should contain at least one phrase used in a figurative sense. (The passages are strings of (complex and/or compound) sentences and some of them contain more than one figurative expression.)

At the beginning of my investigation, my hypotheses were that:

(a) the corpus would reflect the centrality of the metaphor ANGER IS A HOT FLUID IN A CONTAINER,

(b) I would find a large number of metaphors and metonymies identified by Kövecses (1990, 2000), and

(c) several stages (perhaps all five stages) of the anger scenario would be exemplified in the corpus.

In order to find out whether or not my hypotheses were correct, I have paid attention to the following research questions:

(1) What metonymies and metaphors are instantiated in the corpus?

(2) What representation does each metaphor have in the corpus?

(3) How do the metonymies and metaphors identified in the corpus relate to the prototypical scenario of anger?

In the remainder of my paper, I will answer the three questions one by one, and check how my findings relate to my hypotheses.

3.1. What metonymies and metaphors are instantiated in the corpus?

In the corpus I have found 4 metonymies with 13 instantiations altogether, two of which capture behavioural reactions of an angry person and thus relate to the existence of anger, and the other two relate to ways of anger cessation.

The metonymy SHOUTING STANDS FOR ANGER has two instantiations:

(1) *When we get angry, we show it by shouting.*
(2) *The roar of an angry crowd is much louder than that of a lion.*

BEING OUT OF CONTROL STANDS FOR ANGER has one instantiation:

(3) *In fact, severe anger is a form of insanity. You are insane whenever you are not in control of your behaviour. Therefore, when you are angry and out of control, you are temporarily insane.*

CRYING STANDS FOR LETTING GO OF ANGER has three instantiations:

(4) *It's better to cry than to build up your anger inside, because your anger will hurt you and those around you, whilst your tears will flow through your soul and cleanse your heart*.

FORGIVING STANDS FOR LETTING GO OF ANGER has seven instantiations:

(5) *Learn to forgive, we live in an imperfect world and people will make mistakes. Let go of anger and resentment and hold onto forgiving and moving on*.

The first two examples speak for themselves.

The first sentence in example (3) is a linguistic expressions of the metaphor ANGER IS INSANITY (identified by Kövecses), while the other two sentences explicate its experiential basis. Example (4) is a complex string of images since it has several components including the metaphors THE BODY IS A CONTAINER FOR ANGER, ANGER IS A HARMFUL ENTITY, TEARS ARE A CLEANSING AGENT FOR THE SOUL AND HEART, THE SOUL/HEART IS A CONTAINER FOR ANGER. The cleansing of the soul and heart results in letting go of anger, which is metonymically referred to by crying. In the second sentence of example (5) the coordinating word *and* in the phrase *hold onto forgiving and moving on* helps to identify forgiving as a metonymic representation of letting go of anger.

The corpus contains 133 passages instantiating 8 metaphors. Table 1 below presents the metaphors with only one or two instantiations, due to paper length limits.

Metaphor	**Example**
ANGER IS A (POTENTIALLY) HARMFUL ENTITY	(6) Anger is a double-edged sword *and it generally cuts the one who yields it the deepest.*
ANGER IS A CONTROLLABLE ENTITY	(7) *Be strong enough* to control your anger *instead of letting it control you...*
ANGER IS A MANAGEABLE ENTITY	(8) *You may think* your only choices are to swallow your anger or throw it in someone's face, but there's a third option: You can just let it go, *and only when you do that is it really gone and you can move forward.*
ANGER IS AN ENTITY TO UTILIZE	(9) *Nobody makes you angry, you decide* to use anger as a response.
ANGER IS A FLUID/SUBSTANCE IN A CONTAINER	(10) *[a] Forgive those who lie or betray you, don't keep* a heart full of anger, *and allow your heart to heal for life holds so much more meaning.* *[b] Sometimes you need to take a few steps back to see things clearly. Never let your life become so filled with work, your mind become so crammed with worry, or* your heart become so jammed with old hurts or anger, *that there's no room left in them for fun, for awe, or for joy.*
ANGER IS AN ILLNESS/INSANITY	(11) *Don't hold on to* anger *and resentment it will build up inside of you and* fester like a sore, *to forgive is to move on and to heal you have to let go.*
ANGER IS AN OPPONENT	(12) *Just remember,* anger is always your enemy. *You must keep your emotions in check. The moment you lose control of them,* you lose the fight *every time.*
THE CAUSE OF ANGER IS ANNOYANCE	(13) [a] The ego *is your enemy, not your friend. It is the ego that* gives you wounds and hurts you. *It is the ego that* makes you *violent, angry, jealous, competitive. It is the ego that* is continuously comparing and feeling miserable. [b] *The* truth *shall make you free, but first it* shall make you angry.

Table 1. Anger metaphors in the corpus

The first metaphor, ANGER IS A (POTENTIALLY) HARMFUL ENTITY, captures our folk understanding that anger may cause problems, hurt the angry person and/or other people around and be dangerous or destructive or even prove to be an obstacle as in (14) *The greatest obstacles to inner peace are disturbing emotions such as anger, attachment, fear and suspicion*. People usually want to avoid getting very angry and all the problems that may follow, therefore the question of control is important, which is conceptualized in the metaphor ANGER IS A CONTROLLABLE ENTITY. Example (7) illustrates that the question of control is about the comparison between the strength of the experiencer and that of the emotion. A similar idea is expressed in ANGER IS A MANAGEABLE ENTITY, however, it does not focus on the strength or power of the experiencer, but rather on what choice s/he can make, as in (8). Once the experiencer is able to manage his/her anger, s/he is able to use the emotion for certain purposes, as in example (9) or in (15) *Some people use anger as motivation to make money, and to succeed, they make hatred a strength,* instantiating ANGER IS AN ENTITY TO UTILIZE.

I have compared the first four metaphors in Table 1 to Kövecses's list of metaphors presented in section 2 above and found that none of them have been identified by him. The next four metaphors in Table 1, however, are included in Kövecses's list. It must be noted that the container metaphor is only present in one version, in Kövecses (2000: 21), and it is combined with the heat metaphor. Examples (10a) and (10b) instantiate the container metaphor ANGER IS A FLUID/SUBSTANCE IN A CONTAINER. The phrase *allow your heart to heal* in (10a) is an instantiation of ANGER IS AN ILLNESS and presents the heart as the container of anger, whereas in (11) the body is the container of anger (cf. *anger ... will build up inside of you*) *and* the phrase *fester like a sore* instantiates the illness metaphor. In (12) the phrases *anger is always your enemy* and *you lose the fight* are instantiations of the metaphor ANGER IS AN OPPONENT (cf. Kövecses's more specific version of the same metaphor is ANGER IS AN OPPONENT IN A STRUGGLE). Kövecses identifies two causes of anger TRESPASSING and PHYSICAL ANNOYANCE. My corpus exemplifies different causes, such as the ego, truth, that is, rather abstract notions, as in (13a) and (13b), therefore I identify the metaphor without any specification: THE CAUSE OF ANGER IS ANNOYANCE.

3.2. What representation does each metaphor have in my corpus?

Table 2 below shows the number of instantiations of each metaphor I have identified in the previous section.

Metaphor	**Number of instantiations**
ANGER IS A (POTENTIALLY) HARMFUL ENTITY	43 (28.86%)
ANGER IS A CONTROLLABLE ENTITY	34 (22.82%)
ANGER IS A MANAGEABLE ENTITY	33 (22.15%)
ANGER IS AN ENTITY TO UTILIZE	13 (8.73%)
ANGER IS A FLUID/SUBSTANCE IN A CONTAINER	8 (5.37%)
ANGER IS AN ILLNESS/INSANITY	8 (5.37%)
ANGER IS AN OPPONENT	5 (3.35%)
THE CAUSE OF ANGER IS ANNOYANCE	5 (3.35%)

Table 2. Number of instantiations of anger metaphors in the corpus

The total number of metaphorical expressions is 149 in the 133 passages, the reason for this being that certain passages exemplify more than one conceptual metaphor. Table 2 shows that the first four metaphors, the ENTITY metaphors, constitute the overwhelming majority of the metaphor corpus**:** their total ratio is 87.56%. The number is rather significant and contrary to my expectations. The HARMFUL ENTITY metaphor alone outweighs all the other metaphors in the corpus. Furthermore, it is also unexpected that the CONTAINER metaphor, although instantiated in the corpus, has a very low representation, with only 8 instantiations altogether (4 examples of the metaphor ANGER IS A FLUID IN A CONTAINER, and 4 examples of the metaphor ANGER IS A SUBSTANCE IN A CONTAINER). It must be added that the metaphor ANGER IS HEAT (N.B. the bodily basis of the metaphor lies in the physiological reaction 'increased body heat') is not at all represented in the corpus, no matter how central it is in the prototypical concept of anger. The ILLNESS/INSANITY metaphor, as well as the OPPONENT and THE CAUSE OF ANGER IS ANNOYANCE metaphors have only a small number of instantiations.

All in all, the numbers indicate that aspects of anger that make it potentially harmful, controllable, manageable and utilizable have a high frequency and high salience, while anger seen as a fluid or substance in a container, anger as an illness, anger as an opponent or caused by some form of annoyance have a very low frequency and low salience (Langacker 1987). A possible explanation may be that the passages do not explicate or describe the details of what the experiencer actually feels in the emotional state of anger, but rather what unpleasant effects anger may have on them as well as what s/he can or should do to get over the unpleasant situation.

3.3. How do the metonymies and metaphors identified in my corpus relate to the prototypical scenario of anger?

As already pointed out in 3.1., I have identified four metonymies of anger: (a) SHOUTING STANDS FOR ANGER; (b) BEING OUT OF CONTROL STANDS FOR ANGER; (c) CRYING STANDS FOR LETTING GO OF ANGER; (d) FORGIVING STANDS FOR LETTING GO OF ANGER. Metonymy (a) depicts one of the behavioural reactions accompanying the state of anger, therefore it belongs to stage 2 in the anger scenario: anger exists. Metonymy (b) also depicts a behavioural reaction, but, because it focuses on the control aspect of the emotional situation, it must be related to stage 3: attempt at control. Depending on the intensity of the actual reactions, this metonymy may be related to stage 4, too, if the angry person loses control. Metonymies (c) and (d) capture two different ways of overcoming anger; however, neither includes an act of retribution, which is the prototypical ending of the prototypical anger scenario. Nonetheless, the two metonymies relate to the final stage of the anger scenario, which should be considered non-prototypical. I propose to call this non-prototypical stage 5 an 'act of letting go of anger', which conceptualizes an alternative and socially more acceptable ending of the anger scenario. (It must be noted that Kövecses (in Lakoff 1987: 401-405) describes several non-prototypical cases of anger and claims that the anger scenario may end with a "terminating event", as in *"When his daughter smiled at him, his anger disappeared"*, or anger may be given a "constructive use", as in *"Try to channel anger into something positive"*).

Of the 8 metaphors I have identified in my corpus, 4 are ENTITY metaphors: (A) ANGER IS A (POTENTIALLY) HARMFUL ENTITY; (B) ANGER IS A CONTROLLABLE ENTITY; (C) ANGER IS A MANAGEABLE ENTITY and (D) ANGER IS AN ENTITY TO UTILIZE, and the other 4 metaphors have been originally identified by Kövecses (1990): (E) ANGER IS A FLUID/SUBSTANCE IN A CONTAINER; (F) ANGER IS AN ILLNESS/INSANITY; (G) ANGER IS AN OPPONENT and (H) THE CAUSE OF ANGER IS ANNOYANCE. In very general terms, all the 8 metaphors can be related to stage 2 in the anger scenario: anger exists. Metaphors (C, D) and (G) are concerned with the control aspect of anger, therefore they may be related to stage 3: attempt at control. The attempt may fail or may succeed; however, the concepts 'anger is controllable' and 'anger is manageable' picture a successful ending of the scenario, that is, the scenario may terminate here, without a loss of control or an act of retribution. In other words, they refer to a further non-prototypical scenario of anger. Metaphor (F) seems to be close to the prototypical case of anger, in which the building up of anger mapped in terms of an illness or insanity may come to a climax. In the illness/insanity scenario, *Throwing tantrums when you don't get what you want* can be seen as an act of retribution which corresponds to stage 5. Finally, the container metaphor does not only relate to stage 2 (anger exists) but also serves as the empirical/bodily basis of the prototypical scenario of anger, as shown by Kövecses (1990).

4. Conclusion

In my corpus, I have found eight conceptual metaphors and four conceptual metonymies of anger. The four ENTITY metaphors (ANGER IS A POTENTIALLY HARMFUL/ CONTROLLABLE/ MANAGEABLE ENTITY, ANGER IS AN ENTITY TO UTILIZE) have 123 instantiations altogether, thus greatly outweighing the total number of instantiations of the other four metaphors (ANGER IS A FLUID/SUBSTANCE IN A CONTAINER; ANGER IS AN ILLNESS/INSANITY; ANGER IS AN OPPONENT and THE CAUSE OF ANGER IS ANNOYANCE). The findings mean that my first hypothesis about the centrality of the container metaphor cannot be proved in my corpus. Furthermore, my second hypothesis has not been given evidence either, because the four ENTITY metaphors have not been identified before, and only the four other metaphors exemplified in my corpus are listed in Kövecses's 1990 and 2000. Only two of the four metonymies (capturing behavioural reactions) SHOUTING and BEING OUT OF CONTROL STAND FOR ANGER have also been identified by Kövecses, while the other two metonymies conceptualizing non-prototypical endings of the anger scenario, CRYING and FORGIVING STAND FOR LETTING GO OF ANGER, have been newly identified in the present study.

I have found my third hypothesis true, since most metaphors and metonymies in my corpus are related to the second stage of the anger scenario, but the metonymies CRYING STANDS FOR LETTING GO OF ANGER and FORGIVING STANDS FOR LETTING GO OF ANGER, on the one hand, and all the ENTITY metaphors, on the other, are related to the final stage of the scenario and conceptualize a non-prototypical ending: the act of letting go of anger. On the other hand, the ENTITY metaphors, which are concerned with the control aspect of the anger experience, incorporate a potential alternative to stage 4 of Kövecses's

scenario, because, if they are successful, the situation terminates here without an act of retribution. Thus, such a course of events realizes another non-prototypical case of anger with a non-prototypical scenario.

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THE COMPLEXITY OF THE LANGUAGE OF TOURISM

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Abstract: *It is well-known that tourism, in the attempt to persuade, has a discourse of its own. Through the use of pictures, brochures and other media, the language of tourism attempts to lure people and control their decisions. Tourists bring their contribution to the ever-changing nature of this discourse through their travel experiences. This paper will attempt to analyse its complexity.*
Keywords: *advertising, features, language, tourism*

1. Introduction

Globalisation has led to unimaginable changes in all the fields of our society, such as science, economy, technology and even the service industry. The tourism industry has been deeply impacted by it, recording progress in all its aspects, including the language and communication approaches that nowadays follow new trends. It is a fact that all areas belonging to the service industry have developed a language of their own, with tourism being no exception to it. Apart from the strictly linguistic side of the tourism discourse, which tends to constantly undergo a multitude of alterations in order to please those who are in search for a travel adventure these days, its social and cultural elements are important to the same extent as they make the message accessible as well as familiar and appealing to a specific target audience.

Franklin and Crang (2001: 6) provide us with a depiction of how tourism affects and is affected by the society we live in:

> Tourism is no longer a specialist consumer product or mode of consumption: tourism has broken away from its beginnings as a relatively minor and ephemeral ritual of modern and national life to become a significant modality through which transnational modern life is organised.

Thus, tourism becomes a means of communication itself that may transcend national and cultural barriers, offering a mutual pattern of experiencing travel and culture or, better said, interculturality.

2. Scholarly perspectives on the language of tourism

According to Federici (2018: 106), there is a variety of languages of tourism and the concept gathers a variety of signs, symbols and tones. Being a wide field, there are countless text types belonging to it that ensure its effective functioning, such as tourism promotion materials in the media or online, and also those needed for the professional interaction which facilitates marketing. In addition to it, tourism is a word which encompasses several aspects, from travelling to cuisine, finding a place to stay, culture, and other entertainment alternatives.

Culture lies at the heart of the tourism discourse, which is why a lot of research is currently carried out on how this aspect together with the social one are

shaped and impacted by tourist interference and how they are perceived by those who experience them for the first time.

In this respect, Dann's (1996) work can be qualified as highly innovative, as it places the language of tourism in a category of specialised discourses which exists on its own, enjoying its own features and characteristics. Through his research, Dann (1996) has encouraged a lot of additional studies and has opened new perspectives on the linguistic and extra-linguistic aspects of this type of language. He argues that:

> (….) these verbal descriptions, along with their glossy displays of photographs and film footage, collectively constitute a very special type of communication, one which differs from other forms of human exchange since it represents the largest industry in the world-that of tourism. (Dann 1996: 1)

From here, we can only deduce that Dann (1996:1) sees the language of tourism as a modern way of communicating information and ideas for promotion purposes, a rhetoric which is also based on sharing values. He embraces a sociological manner of analysing this discourse, to reveal that it boasts a multitude of strategies and techniques, allowing it to be seen as autonomous.

MacCannell (2013) comes up with the idea of attaching semiotic interpretations to the different aspects of the tourism areas, which has also opened the way to additional research work on the same issue. For instance, Federici (2018: 108) states that there are strong reasons why semiotics is crucial in the building and interpretation of the tourism discourse:

> Due to the intangible nature of the tourism experience, signs and symbols assume a decisive importance for both hosts and guests, from souvenirs, to photographs taken of tourist sites, to travel brochures and advertisements, tourism presents plenty of signs and symbols. (Federici 2018: 108)

She (ibid.) also offers a meaningful description of the tourism text, by referring to its components and their role in mediating the message:

> The tourist text is made of verbal and visual elements which convey a specific theme (or more than one) for the advertised location offering a metaphorical portrait of the place through a precise lexical and iconic choice. The site is presented in many ways according to its features, as an authentic place, an adventurous landscape to be explored, a land of fun and so on.

Therefore, the language of tourism is indeed a very complex unit, where language becomes a facilitator which works together with the signs or it becomes a sign to capture the core of the advertising purpose. Sometimes, the images or symbols have the strength to convey more meaning than any words, which is crucial in the field of advertising, where people are overwhelmed by a wide range of choice and must be impacted immediately, so as not to avert their attention from what is suggested. For this particular reason, advertisers can make use of a variety of techniques that combine language and symbols from which themes specific to the tourism discourse emerge.

Cappelli (2006: 63) mentions the theme of euphoria (Dann 1996; Gotti 2006), giving some examples of linguistic devices employed to enliven it, such as positive adjectives (*extraordinary*, *great*) and words referring to positive quantities

(*amount*, *more*). Also, Federici (2018: 109) presents the theme of nostalgia, stating that the visual component becomes the tool used to represent the destination, which can also be utilized by the traveller to recall their experience. All the visual elements cover the need to feel the nostalgia and the endless search for authentic bits.

Interestingly enough, Culler (1981: 132) questions the true nature of the concept of authenticity, stating that "when it is marked as authentic it is mediated, a sign of itself, and hence lacks the authenticity of what is truly unspoiled, untouched by mediating cultural codes."

Supporting the idea that tourism has a discourse of its own, Gotti (2006) describes it as having the characteristics of a general language, while standing out as unique, due to some very specific characteristics, such as conciseness, monoreferentiality and emphatic language. He (2006: 23-26) explains that tourism has created a specific jargon, studded with phrases and acronyms like APEX ('Advanced Purchase Excursion Fare') or ETA ('estimated time of arrival'). These acronyms are accessible to professionals mainly, while other terms (*all inclusive, half-board, bed and breakfast*) have become widely known and used.

Calvi (2000: 37-38) identifies two major elements that make up the language of tourism and concludes, like many other scholars, that, due to its tone, characteristics, strategies, and lexicon, this discourse can be considered a language for specific purposes. The two elements are the thematic one and the communicative one. The former is related to specific matters, like tracing out topics and bringing them to the forefront of the advertising message, while the latter enables discursive and performative activities which contribute to shaping the message, so that it can meet the demands of specific typologies of tourists.

The multifaceted character of the language of tourism is emphasized by Federici (2018: 110), who describes it again, this time considering its many functions:

> The polyedric nature of the tourist text is clear when we look at the different textual typologies, which are primarily descriptive, that is to say, they present a place by outlining its characteristics, its positive aspects and qualities, the distinctive natural and cultural features (and the place is represented both verbally and visually). Texts are also largely persuasive, because the main aim is to convince tourists to choose that particular destination, and prescriptive, because they suggest how to reach the place, and various itineraries to follow once there. Texts are also narrative, because they narrate past and present events which make the place unique, public figures and historical characters who left traces in the place and for which it is recognized, folkloristic tales and first-hand accounts of local people living there.

All these functions have a great value for the advertising message, as they work separately or together to reach their final goal, which is that of selling a tourist product. When one of them fails to achieve its objective, the remaining ones will add strength to the message, striving to catch the eye by providing a more and more enticing output.

3. A few techniques used in the language of tourism promotion

In the following lines, I shall try to present some of the most popular techniques that can be identified when analysing the language of tourism, together

with some scholarly views on them. Ego-targeting, keying, contrasting, exoticising, comparing, poetic devices and humour are quite common as advertising techniques in all languages and cultures, but the extent to which they are used to achieve their purpose is influenced by each language and culture.

Dann (1996: 185) and Francesconi (2007: 103) argue that *ego-targeting* is a technique whose purpose is to induce the idea of speaking directly to one individual. The strategy aims at making the consumer feel special, as they will perceive the message as being addressed to them only.

Sulaiman and Wilson (2019: 25) also claim that *ego-targeting* has the potential to personalise the message and the tourist product, the reader being singled out from a great variety of others:

> The singling out of an individual from the crowd creates a connection between the reader and the tourist destination being promoted: it makes the reader feel as if the tourist destination is waiting only for him or her and that he or she is the only person in the world receiving special treatment. This in turn, is believed to increase the likelihood of turning the reader into an actual tourist.

The issue of self-centrism dominating the globalised world has made the creation of such a marketing technique necessary; it can be more or less effective, depending on how sensitive individual cultures are to it. In order to achieve it, some linguistic approaches need to be taken: direct questions, the use of the imperative, and the use of the informal register.

Mocini (2005: 158) puts forward the concept of *pseudo-dialogue* between the advertiser and the potential tourist, which creates the feeling of a friendly chat, abounding in first and second person pronouns. The second person pronoun *you* makes the readers feel that the message addresses them only, as the only ones invited to explore the tourist destination advertised. Also, the imperative mood is another feature of *ego-targeting*, suggesting a lot of energy and action, at the end of which a lot has been achieved or experienced:

> Readers are challenged through the use of imperatives (drive, ride, climb, swim, ski, explore, discover, etc.) which invite them to take part in experiences which promise them the fulfillment of their needs and wants: self-achievement, self-fulfilment and self-actualisation. (Sulaiman and Wilson 2019: 26)

While preparing to go on holiday, one might feel anxious about having to face unexpected challenges related to unknown places and people. Dann (1996: 16) and Mocini (2005: 160) argue that if used adequately, this technique can diminish this feeling, particularly through the linguistic strategies mentioned above, and will make the destination less frightening in the mind of the traveller.

Keying is a very frequently used technique in tourism advertising worldwide. The language of tourism promotion, irrespective of the culture in which it activates, will have to choose the right lexis to enhance the attributes of one place. Keywords are the tools used here to represent themes and empower the message.

The escape theme	The preservation theme/ The authenticity perspective	The novelty theme/ The strangerhood perspective	The fun theme/ The play perspective
escape, break, freedom, gateway, retreat, lost, redemption	untouched, unspoilt, natural, traditional, unchanging, timeless	different, unique, exotic, adventurous	amusing, luxury, indulgence

Table 1. Table showing Keywords (Sulaiman and Wilson 2019: 27)

As Sulaiman and Wilson (2019: 27) suggest, *keying* is done in a "highly euphoric, evaluative manner" with regard to highlighting or bringing out the best of the tourist product. They also argue that *keying* is a technique preferred in online advertising, where the message needs to catch the eye in an instant, as those who access it have an impatient manner of searching for information, quickly scrolling to find something that suits their needs.

Another technique used widely in tourism advertising is *contrasting*. Tourism promotion materials usually have a binary opposition (Sulaiman and Wilson 2019: 27) either at the lexical or at the ideational level, particularly to stress the difference of what a tourist destination can offer, compared to what one experiences on a daily basis.

you	crowd
ancient	modern
young	Old
frantic	Tranquil
stress	Relaxation
materialism	Spirituality
artificial	Authentic
life back home	routine daily activities
novelty	Excitement

Table 2. Table showing Contrasting (Sulaiman and Wilson 2019: 27)

As part of this technique, there is also the *temporal contrast* (Sulaiman and Wilson 2019: 27) opposing past and present or present and future whose purpose is to create the *time-travelling* effect and a promise for a better world.

Dann (1996: 183) presents another interesting concept - *exoticising*. This involves the use of foreign words in order to transfer the tourist to an exotic world by means of the stylistic impact created. The *strangerhood* dimension is achieved via the feeling of novelty these words bring to the message, making the readers feel they are about to access a unique and authentic place. *Ego-targeting* is somehow implied here, as, by using foreign words, the message seems to be addressed to a restricted category of people. Thus, a feeling of uniqueness is instilled in the reader, enhancing the persuasive potential of the tourist message, which will benefit greatly from this combination of techniques.

Nevertheless, Boyer and Viallon (1994: 46) warn about the danger of using *exoticising* excessively, as this will undoubtedly confuse and frustrate a reader with a reduced ability to decode the content of the message, making them feel excluded rather than included in whatever it promises.

Comparing (Dann 1996: 171-174) seems to be the exact opposite of *exoticising*, as, while the former is based on the idea of familiarity, the latter promotes strangeness and adds an exotic touch to the message. As Sulaiman and Wilson (2019: 28) suggest, this technique is used to control the amount of strangeness and novelty included in the tourism promotion material so as not to alarm readers. As a result, it is reduced and the potential of the destination advertised is increased.

Metaphors and similes are the stylistic devices used to activate this technique, which Sulaiman and Wilson (2019: 29) are fond of, as it makes potential tourists feel at home, while making them envisage the worth of the destination promoted by making use of the already-experienced worth of another destination.

Tourist promotion materials also abound in *poetic devices*, their use being another popular technique employed in this area of advertising. Alliteration, consonance and assonance are the most frequent, as through their rhythmic character, they ensure an easy assimilation of the message. Djafarova and Andersen (2008: 295) strongly support this by stating that *poetic devices* enhance "the appeal and memorability" of the tourist product. They also mention puns and metaphors as figures of speech, used together with alliteration, assonance and consonance to produce a stronger impact.

Last but not least in our exemplification of techniques used in tourism advertising comes *humour*, which, according to Sulaiman and Wilson (2019: 30), is meant to "create an element of surprise". They also refer to Pearce's (2009) research related to the purpose of humour:

> His research revealed that humour might have a three-part role to play in tourism promotion: to establish comfort level (particularly for those feeling anxious or slightly unsure of what is to come); to boost concentration and to connect tourists and their presenters. (Sulaiman and Wilson 2019: 30)

On interpreting the aforementioned statement, we understand that *humour* manages to help a potential tourist, coming from a reticent environment which cultivates precision rather than ambiguity, overcome the apprehension of experiencing the new. It also helps tourists to become aware of their role in tackling the travel event, but should be used wisely, as it risks estranging the message from a specific target audience due to its cultural impact.

Djafarova and Andersen (2008: 299 - 300) claim that *humour* also appeals to the public, as it makes them associate it with the fun character of experiencing travelling, and Sulaiman and Wilson (2019: 30) come up with an even more convincing argument for the success of *humour* as a technique to ensure the effectiveness of a tourism promotion material:

> (…) in today's world which is often overshadowed by troubled times and growing tension caused by adverse situations such as conflict and terrorism threats, humour has been proven to be valuable in reducing tourist anxiety about travel.

4. Analysing some language techniques used in TPM (a small corpus)

This section tries to assess the effectiveness of the techniques discussed above by analysing a small corpus with advertising content from tourist brochures. Thus, I will look at the linguistic strategies employed in the implementation of these techniques, which aim at informing as well as persuading potential tourists.

> (1) Are you ready to play at Holywell Bay? Ride, slide, splash and spin on over 20 exciting rides and attractions. Holywell Bay Fun Park caters for all ages and has something for everyone! (www.bestdaysoutcornwall.co.uk.)

The advertising message above presents a mixture of tourism advertising techniques: *ego-targeting* (the presence of 'you'), *keying* ("exciting"), and *poetic devices* (the presence of alliteration in "slide, splash and spin", and assonance in "play at Holywell Bay", "ride, slide"). As stated in the theoretical section, *ego-targeting* (opting for a second person pronoun here) manages to make the reader feel privileged, as the message sounds as if it were transmitted to them especially. Moreover, the use of "exciting" as one of the keywords sends us to Dann's (1996) play perspective, by constructing the discourse around the fun theme. The presence of keywords is a feature of *keying*, by means of which specific lexical items anticipate the expectations of tourists. Finally, alliteration and assonance create rhythm, which makes the message easy to remember and adds coherence to the text.

> (2) Climb the cobbled pathway up to the island's summit and discover its changing faces. Bronze age settlers, monks pilgrims and soldiers have all left their mark on the Mount. Seek out treasures from the Mount's past, from religious roots to times of siege and conflict and unravel the history of St Aubyn family who lived here since the 17th century. (https://www.stmichaelsmount.co.uk)

The St Michael's Mount advertising message is based on the *ego-targeting* technique through the presence of imperatives (*climb, seek out, unravel*), which convey a sense of active participation in the tourist activities resulting in learning new things and gaining experience through actual experiencing. In addition to this, we can identify the themes of nostalgia and euphoria ("treasures from the Mount's past", "religious roots", "times of siege", "unravel the history"), which are both part of Dann's (1996) authenticity perspective. The purpose here is to provide tourists with a longed-for feeling of authenticity, which is so often reflected in the language of tourism promotion.

> (3) You can find backdrops as varied as the Giant's Causeway to the White Cliffs of Dover. Try a spot of rockpooling and discover creatures galore. Or maybe you'll want to head a little further out and hit the waves by board or by boat. However far you venture though, you can soon find a cosy café to warm up in when you return. (nationaltrust.org.uk)

The third advertising fragment chosen as an example uses the comparing technique ("as varied as the Giant's Causeway") and the contrasting one ("however far you venture … you can find a cosy café"). The first technique reduces the tourists' anxiety and sense of the unfamiliar by comparing possible discoveries

during the travel to some familiar sights. The contrasting technique reinforces the potential of the tourist destination through an opposition at the ideational level (adventure vs. comfort). Finally, strategies belonging to the *ego-targeting* technique are present throughout the text (second person pronouns "you", imperatives "try, "discover" and contractions "you'll") to help create a relationship with the addressee and reduce the distance between the tourist and the place to be explored.

5. Conclusion

Generated with the help of several techniques that can be activated through linguistic and extra-linguistic strategies, the tourism discourse characteristics are mostly similar to those of the advertising discourse. Nevertheless, after having surveyed several scholarly views and theoretical notions on the language of tourism, I can conclude that tourism has indeed some specific features which greatly contribute to the construction of a discourse of its own.

For the effective use of these techniques, advertisers should carefully consider the socio-cultural background of the target audience, as their perception is influenced by it; that is why one approach may have a positive impact on certain categories of people, while failing to impress or, even worse, offending or scaring others. In addition, advertisers can make use of certain familiar themes, in order to offer information on the tourist destination in a succinct and stimulating manner that resonates with the target audience.

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CHRONOTOPIC IDENTITIES IN SELF-NARRATIVES AND DEDICATED WEB TEXTS: THE YOUNG ROMANIAN RETURNEE

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Abstract: *Ours is an exploratory study based on a thematic analysis of interviews and web texts of how young former diasporans, now returnees to Romania, construct a collective identity in self-narrative discourse, which is parallelled in dedicated Internet pages. Our primary cultural sociolinguistic focus is on young Romanian adults whose temporary or permanent repatriation has been mainly motivated by their intention to pursue their graduate or post-graduate studies in their country of origin. We aim to diagnose how this particular demographic displays the chronotopic self-awareness of belonging to a novel niche sociocultural segment in Romania, at a time affording them visibility and as particular personas engaged in particular types of social practice in a specific timespace (Blommaert and De Fina 2017). The inception of our investigation was marked by a preliminary observation that young returnees develop self-professed expectations and needs when confronted with the intercultural challenges of reimmersion and integration in the 'home' higher education system. It would appear that they harbor a predisposition for approaching 'specific' co-occurring themes in such semi-directed discourse as incidental to research designed interviews. We have also noted that the themes are partially replicated on webpages catering to the returnee communities of interest, with the associated Facebook pages functioning as veritable echo-chambers for the same. We, thus, claim that a focal identity is thematically constructed in discourse by, and in digital texts about, returnees, as underpinned by a particular set of language ideologies, transnational experiences and competences, and worldviews, in turn part of a piecemeal intersubjectivity.*

Keywords: *chronotopes, dedicated web text, family language policies, language ideology, self-narratives, sociocultural segment, returnee*

1. Introduction

While intended as a study reiterating how thematic discourse can be a liminal agency for constructing and negotiating (new) social identities (Jenkins 1986) or categorising (Zimmermann 1998), we hope that its findings will also contribute to the new strands of research on language and mobility. Our interest lies with how returnees manage their language resources and transnational experience for a swift reintegration in the domestic higher education system and the home country at large. The subjects of our study are mainly young Romanian adults, 20 to 30-odd year old, who are enrolled in under- and post-graduate studies, or are young professionals pursuing careers following their choice to return to their home country. As Romanian-born children, they are likely to have witnessed alternately some or all of the sociopolitical pitfalls following the demise of the communist regime in Romania at the end of 1989, most of which have triggered several waves of labour/professional and social emigration. Once child immigrants,

now young adult returnees, they have garnered transnational experiences and enriched worldviews, which understandingly sets them apart socioculturally from their stayee peers with less mobility and explicably more linear cultural and linguistic biographies. While this assertion anticipates our main hypothesis about returnees forming a (relatively) new sociocultural segment across the Romanian social landscape, it remains for us to determine how they self-acknowledge and, at times, even foreground this 'preferred' identity through themes taken up in situated discourse and narrowly-contextualised texts. To this end, we have chosen to also examine the self-narratives in semi-directed interviews and texts of dedicated web sites and their associated Facebook pages, created to help former young diasporans socialize, for the specific purpose of sharing their concerns, needs and interests as underpinned by a keenly felt sociocultural status. If only for the Facebook pages and the regular, ritual even, engagement that they prompt, and we could state the returnee 'issue' can be explored through a chronotopic lens: it is *the* social practice that profiles particular social personas in a particular timespace (Blommaert and De Fina 2017). Indeed, it is a time when the first generations of Romanian child immigrants are returning to their home country in critical numbers, enough to determine that this is a matter of reversed demographic mobility.

Our analysis covers preselected respondents' answers to a semi-structured questionnaire, interviews with some of the same, and mediated texts on websites recounting post-repatriation returnee stories and the interpersonal communication on the associated Facebook pages.

2. Profiling the young Romanian returnee

In order to establish the most 'telling' sociocultural traits of our informants and research subjects, whether current students enrolled in Romanian higher education, or *ex post-facto*, i.e. former child immigrants, now career people, who have opted to return 'home' and resume life here, we have identified three sub-categories: study-abroad students, immigrant learners, and sojourner transnationals. Although all fall under the 'returnee' umbrella term, each is quite distinctive and worth elaborating on. The first category is self-explanatory and refers to Romanian students who have spent one-to-variable periods of time studying abroad in mobility programmes. The second comprises the now young adults who emigrated as children alongside their families and were integrated in the host-country education system, before resuming temporary or permanent citizenship in the home country. Finally, the third category is formed by young Romanian people who have moved repeatedly between their home country and several host-countries.

The group, then, while delineated as homogenous for analytical reasons, in fact displays some diversity, which becomes even more apparent when tackling the clusters of language repertoires and language management skills acquired during their transnational experiences both under the family language policies (King and Fogle 2006; Blommaert 2018; Jaspers 2017; Spolsky 2004, 2007), and the national language policies of the host-country (enforced by the schooling system). Truth be told, several other factors contribute a multitude of shades to an apparently solid colour picture. While the parents' language management and practices in the home nexus have a bearing on the early linguistic biographies of returnees as well as enduring consequences, another important variable is the L2 learner's personality (Ożańska-Ponikwia and Dewaele 2012). Research has pointed out that (immigrant) individuals who are more outgoing and less reclusive are more likely to socialise

with the locals, and hence, avail themselves of more opportunities to practice and increase their proficiency in L2.

The language practices the parents have control over in an immigrant situation are motivated by varied intrinsic or extrinsic, macro- and micro-factors, such as language ideologies, personal beliefs, social-aspirational options and choices, or family structure and hierarchy, to name just a few and in a mixed order. And it is no surprise that most, if not all, returnees will capitalise on their rich langua-culture experiences which puts them at an advantage over the stayee students in a local university that is actively pursuing a policy of internationalising its studies.

3. Collecting and analysing returnee discourse and text

If avowedly qualitative, our study is based on a mixed methodology, as it has employed a questionnaire to collect direct answers and feed-backs from a preselected group of informants and conducted a number of interviews with the same for the confirmation and elaboration on the punctual findings collected from the questionnaire items. The findings were compared with the incidence and co-occurrence of certain themes in the webpage texts for and about returnees and their associated Facebook pages.

The questionnaire format was semi-structured, so designed as to elicit, mainly, on the one hand, the social and motivational substrata of one's return to one's home country and ensuing enrolment in tertiary education. On the other hand, the purpose was to investigate the returnees' self-perception of their language management abilities when and if confronted with intercultural issues in the local educational process. The respondents were pre-selected by asking our fellow colleagues to refer to us any such students they might have identified in their classes.

A two-section questionnaire was devised. Section 1 featured a set of preliminary questions intended to retrieve relevant social and biolinguistic information: date and place of birth, nationality, gender, linguistic repertoire components (L1 and all other SLs or FLs).

Section 2 comprised 13 items, intended to forage into the respondents' linguistic repertoires, language management skills and intercultural communication competences. The information deemed pertinent was the reasons given for returning to Romania, the swiftness or alternately the difficulty of reintegration in the 'local culture' at large, and the domestic academic environment, in particular. The latter aspect was further probed into through questions about the choice of the language of tuition: the alternatives were to study in their heritage language/mother tongue or in a widely spoken language (e.g. English, French, etc.) as part of the offer of the language of tuition portfolio. Several of the answers unveiled a keen perception of the cultural differences between the home versus ex-host education systems. Lastly, the remaining section of the survey sought to uncover the potential connections between pursuing a particular career and the preference to study for a degree in the domain in one's home-, rather than in the host-, country. The last item of the questionnaire encouraged free but relevant additional langua-culture comments that could point to issues left uncovered by the questionnaire designers, but were felt to be of essence by the respondent.

A total of 17 responses were collected. All respondents proved to be multilingual speakers, operating variably with a total of 11 languages: English,

French, Russian, Dutch, Japanese, Chinese, Italian, German, Spanish, and Hungarian, with Romanian and English common to all. Returnees were asked to provide further details concerning their stay (or stays) abroad, in terms of place, duration, number of relocations, and enrolment in various levels of formal education.

As regards the main reason provided by our informants for their decision to 'return home', the leading ones were study-related (enrolment in undergraduate, master's and/or doctoral programmes), often accompanied by the subsidiary need to reconnect with friends and family, followed at a tie by the decision to find employment or start a business, sheer curiosity, maladaptation to the host-culture, the urge to discover one's roots. However, we have to note that our pre-selection of informants may have determined the study-related reason to top the list.

The respondents' decision to return to their home country for the purpose of enrolling in higher education (7 for undergraduate programmes, 5 for master's degree, 2 for a doctoral degree, one for other reasons; two provided no answer whatsoever) was further motivated by the local universities' reputation and lower fees. Other reasons include maintaining a relationship with former Romanian professors, testing or fully experiencing the Romanian academic environment.

As regards the language of tuition, the majority chose an international language over their L1/heritage language (Romanian), for reasons that include previous learning experiences in a widely spoken language (Spanish), self-perception of being more academically proficient in the L2, or pressure into using a particular L2 for lack of options (one's alternative would have been one's L1/heritage language, that is, Romanian, but his/her command of the language made it ineffective for academic study).

Overall, a majority of the respondents found the process of reintegration in the Romanian academic system to have been easy, 33 per cent mentioned encountering some difficulties, and 13.3 per cent confessed to having found the entire process difficult. As a consequence, 10 respondents took the active decision of seeking help to overcome obstacles during reimmersion, both within and without the university. Only 1 in 10 respondents clearly stated that the cultural shock of returning had been overwhelming and that he has had to resort to varied strategies to ease the transition, including straightforward discussions with key people: professionals, educators, friends or family. One respondent even mentioned regularly working with a life coach for psychological support. The more self-reliant ones 'googled' the issues they encountered, socialised more with the locals, joined clubs and frequented cultural events. The ones who experienced a swift transition credited their 'past Romanian life' for the less stressful experience, while others simply took it head on as just another life experience.

When asked what their plans for the future were, 56 per cent answered that their agendas were to resume living abroad. The majority of those who did want to stay on felt hopeful that their acquired skills qualifications applied more to the local job context and they embraced the joint opportunity of rebonding with family and friends.

Lastly, in the open-ended section of the questionnaire, respondents contributed somewhat emotional comments about the educational challenges of (re)integration, some confessing to being intrigued or put off by what they perceived as a rather rigid overall academic system and a lack of teaching integrity.

3.1. Interviews

This second method of data collection focused on eliciting language attitudes and ideologies. Face-to-face interviews were conducted with three of the questionnaire respondents, on the topic: *How has the knowledge of multiple languages influenced your social and professional becoming?*, while a fourth was given in writing. The interviews were designed as loosely structured conversations on the interviewees' linguistic biographies relative to their immigration-return routes.

The respondents were asked to describe their study experiences in a foreign university environment and to point to similarities and differences when compared to their current enrolment in a Romanian (home) academic institution. The four respondents interviewed fell into the category of study-abroad students and displayed fairly developed coping strategies. The respondents possessed the emotional intelligence alongside the linguistic repertoires to navigate their new environment of choice. In all three cases, the education system of their host-country was felt to have matched their intellectual needs and academic expectations. A clear sense of growth was reported by all three returnees, the experience having benefited their subsequent academic and professional trajectories.

Conversely, however, a lack of social cohesion and student cooperation was perceived by all interviewees. A similar sense of social distance was felt within the student-abroad groups, with little availability for *extra mural* socialising. One respondent stated that being successful academically was a sought-after prize that engendered hostile relationships between competing students in an environment that promoted individual gain above all else. In conflict with his own internal belief system, the situation prompted this particular student to return home (to Romania) early for the dissertation write-up.

Furthermore, the subject of academia and its social mission, was another theme that came up during the interviews. It was felt that universities and faculties have an inherent ethical responsibility to teach students how to identify their needs and how to take action. Understanding that making mistakes is inherent to the learning process would be another. Assuming responsibility for one's work or mistakes would again greatly benefit not only the individual at human level, but one's ease of navigating more complex situations than the curated experience that universities provide.

Overall, although given the opportunity to stay on in the temporary host-country, apparently the interviewees' reasons for returning were social and emotional rather than career-oriented. The contexts encountered abroad were felt as being very useful in honing one's academic and intellectual skills, but for one particular interviewee they could not counteract the adjoining sense of not belonging.

The respondents were afforded free choice of expression both in the face-to-face interviews and in the written alternative, so as to allow the discursive emergence of terms, themes and temporally and spatially indexed self-referential labels. That would have allowed us to relate them to the texts *about* returnees. While not 'orthodox' narratives, the way the interviews were structured and conducted did allow for narrative-like and monologue-ish turns. Research on the topic of using narrative self-descriptions as a methodological tool of inquiry providing a perfect avenue for piecing together an accurate understanding of individual processes determining complex behaviours (Rooney et al. 2016) were taken into account. Additionally, these various tools of inquiry and the resulting data were cross-referenced with studies performed on intercultural communication

and an intersubjective approach to how individuals negotiate and manage the cultural scripts they help shape and not merely replicate automatically (Chiu et al. 2010: 483). In essence, both these approaches highlighted emerging 'returnee' themes related to the strategic coping mechanisms employed by the participants during the transition periods when leaving, and subsequently returning to, their home-country. Although diverse, these strategies clearly indicate the participants' sense of autonomy and direct rejection or adoption of the cultural values perceived as being inherent to both the Romanian culture and the host-culture. In fact, discrepancies between these partly internalised and partly co-created values provided for many respondents valid factors in opting to either return home or relocate abroad after a short respite.

Similar themes of self-reflection, self-awareness and autonomy come to surface in the written interview. A self-professed trilingual speaker who grew up in a Hungarian speaking household in Romania, the interviewee acknowledged the life-changing impact of mastering three different languages (Romanian, Hungarian and English) on his professional and personal trajectories. He only had to compare his early language evaluation school experiences with later linguistic trials. Not being proficient in Romanian during his early school years in Romania was a source of trouble for the respondent. He had been able to pass the written exams (the curriculum focused on developing writing abilities), but had difficulties in achieving fluency. As the language of tuition in his primary and secondary school years had been Hungarian, the respondent failed to pass the compulsory Romanian language oral fluency exam at the end of the 8th grade. That delayed his admission to his high school of choice, and he was forced to enroll in a vocational school instead: "I lost 1 year in the school system". Only after "studying hard" and re-sitting his exams, did the participant feel that he had managed to "get back on track" with his "intended trajectory".

Conversely, the respondent also detailed the manner in which languages played a key role in furthering his professional evolution. One was marked by his relocation to a graduate school in the US, where he forged "lifelong relationships and connections" with people from all over the world. Being fluent in three languages also provided the means to connect with fellow immigrant learners, making the interviewee feel, in his words, "at home". Therefore, finding speakers who share the same L1/heritage language or Lx, even if not frequently used in the 'foreign environment', can offer the speaker a taste of home. It is a sense of familiarity, augmenting one's emotional connection to the languages spoken and shared with other multilingual speakers (Dewaele 2004, Dewaele, Panicacci 2018), as well as reflecting speakers' emotional attachment to the various codes comprising their linguistic repertoire. In turn, it is specifically the different levels of emotional attachment to one's codes that can serve as an investigative tool in compiling one's stories of change. By retracing a map of these 'linguistic landmarks' and observing respondents' perception of language use in various instances throughout their lives, researchers may be offered a better glimpse of the chronotopic narratives informing individual dimensions of identity.

3.2. Dedicated webpage texts

Data about the returnees were collected indirectly as well, by retrieving information from publicly available (Social) Media outlets. The relatively recent iteration of digital 'hubs', such as the *Diaspocafe* Facebook page and the *Repatriot*

and *România Reconnect* webpages, dedicated to returning diasporans can perhaps be seen as a reparation to the Romanians who were forced socially and economically to emigrate after the fall of the communist regime due to the ill-managed transition of the fledgling Romanian democracy. The mediated returnee-related input and chronotopic discourse compile a set of stayee perceptions of returning diasporans against the backdrop of the local tropes and narratives concerning emigration. Quite revealing, the outlets highlight many returnee accounts of undergoing a period of transition not only upon leaving, but also upon returning. The mechanics of intersubjective culture are thus ever changing and require constant adaptation to different cultural scripts.

3.2.1. *România Reconnect*

România Reconnect is "a community initiative launched in Cluj-Napoca, Romania, for the reintegration of repatriates into the local ecosystem through dialogue". The webpage has an associated Facebook page for digital communication, a virtual locus congenial to socialising by sharing stories, which doubles the face-to-face interactional activities envisaged by the main project. Several 'takeaway' themes were noted by the participant observer as emerging both online and *in situ*, even as the *România Reconnect* project team worked on creating a close-knit social network for returning diasporans as a support system.

The overall story paints a picture of how Romanian tropes are perpetuated in the social media, and thus influence locals' and diasporans' perceptions of shared cultural scripts. As it turns out, most of them refer to the local environment falling short of expectations relative to social resources and support to both lifelong residents and returnees. The *status quo* is labelled as disappointing and is accompanied by a sense of hopelessness whether things will ever improve. Shared or individual trials and tribulations are contextualised and considered to be inherent to the wholesale Romanian identity and mannerisms against the cultural backdrop of the obviously detrimental, yet preferred, adagio: "It is what it is."

> (...) the values and beliefs that are perceived to be widespread in a culture are not necessarily the same values and beliefs that people in the culture endorse and vice versa. Moreover, individuals may act on behalf of the intersubjective reality even more than they act on their personal values and beliefs. (Chiu et al. 2010: 483).

Returning diasporans are keenly aware of the locality, rather than glocality, of these tropes and of their self-sustaining power after experiencing other cultural scripts. They point to how their community-oriented endeavours and civic sense built abroad clash with the passivity semantics of the local cultural scripts, when their own call-to-home was doubled by an earnest desire to prompt local sociocultural change. It is the feeling of disempowerment experienced by returnees that the *Diaspocafe* socialising events wish to counteract, in addition to the overt help offered for overcoming the culture-shock of returning home. When and if the decision to relocate re-emerges, the returnees are flexible in framing it either as repatriation failure or sheer cosmopolitanism. On the other hand, the home page of *Romania Reconnect* displays a blunt statement about the issue, from the perspective of its own declared lucrative goals:

> Cluj-Napoca is the second largest city in Romania, drawing many skilled Romanians who return from the diaspora to bring their expertise at home. But the reverse

> culture shock and the lack of adequate support from the local community makes many of them go back, robbing the community of their valuable contribution. (SOURCE: https://romaniareconnect.ro/).

The associated *Diaspocafe* Facebook page conversational menu encourages engagement through original contributions or follow-up discussions of the *Diaspocafe* face-to-face meetings. Seminal, sensitive themes recur and co-occur across the online-offline divide. The most incidental is the sense of not belonging**.** Most confess to having experienced it thrice: as an extra reason accompanying the main social, economic, or professional ones for initial emigration, not fully integrating as immigrants, and on their subsequent return to Romania. While this could signal, on an individual level, sheer maladaptation or the effect of dislocation, the frequency of the theme indicates a returnee syndrome.

3.2.2. The *Repatriot* success stories

Compared to the returnee 'issues' identified and addressed through lucrative goals by *România Reconnect*, the *Repatriot* webpage claims a different mission and focuses on curating success stories rather than on actual problem solving It is for the 'readers' to abstract the recipe to success, if need be.

When browsing some of these success stories, a singular set of recurrent themes stand out: many of the former diasporans, now self-sustained entrepreneurs back in their home country, feel that modern entrepreneurship should rid itself of the individualism characteristic of pre-capitalism. The majority of the local businessmen – returnees feel – still cling to it when they should join the practice of investing part of the profit or know-how effort in community social and cultural welfare. Indeed, some returnees' highlight this concern as a powerful and rewarding incentive to relocate to Romania.

All in all, the stories presented on the *Repatriot* page, after dwelling on the advantages of studying or working abroad, relate to an internalised feeling that having achieved financial, social or professional success, it is one's duty to return to the community left behind and initiate change. This, they feel, entails obliterating social inertia and obsolete mentalities, as well as sensitising the locals to the specific psycho-cultural traits (David 2015) that are detrimental to progress. The success stories can be said to provide additional evidence to the research findings that multilingualism, emotional intelligence and self-confidence (Dewaele 2004:100) are definitely assets and, as such, play an important role in achieving general success.

4. Conclusion

The thematic analysis of the self-narrative stretches within the interviews and of the texts of the dedicated webpages show that the preferred topics overlap to a major degree, especially if narrow-targeted and contextualised. Indeed, the interviewees were pre-selected and the webpages and their associated Facebook pages were/ are so designed as to 'clickbait' a particularly focal community. One that is often regarded by stayees as the exponent of transnational success and the repository of expertise, but is nevertheless in self-confessed need of emotional support for overcoming, paradoxically, the *intercultural* challenges or their apprehensions about returning home. Situated returnee identities are foregrounded within discursive situations and become salient when contrasted with the generic,

if stereotypical, stayee. The main vehicle is either first person accounts or third person rendering of post-repatriation evolution.

The 'stories', be they *by* current student returnees or *about ex post-facto* career people, are informed by a cluster of particular worldviews, mind sets, language ideologies, a history of mandatory language choices and practices (subject to the uprooting-reconnecting re-routing), and an avowed need for support to surpass the rehoming culture shock. They all seem to favour such support as may come in the form of close-knit social networking, or, at an extreme, of personal life-coaching, but also appear to lodge a keen duty to help change the local/home community that is felt to be lagging behind both economically, but mainly in terms of mentalities. Thus, the chronotopic self-narratives or third party accounts are instances of self- and other-categorisation in situated discourse and texts. However, the situated returnee identity appears to be transportable, as it permeates the majority of their social and professional actions. This, however, is a topic in need of further scientific exploration.

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DIGITAL METHODS IN TRANSLATION STUDIES: USING CORPUS DATA TO ASSESS TRAINEE TRANSLATIONS

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Abstract: *Student translator training has benefited greatly from the latest developments in digital research methods, mostly in the framework of corpus-based translation studies (CBTS). In the present paper, we will highlight the general usefulness of corpus-based processing tools (wordlists and concordancers) in assessing translation patterns emerging in the target texts produced by translation trainees. To that end, we focus on a synchronic monolingual corpus (TRAIN-EN) consisting of 46 Romanian-into-English translations (approx. 31.000 words) produced by third-year Romanian students enrolled in a BA translation-oriented program. The data interpretation integrates pedagogical considerations on the usefulness of digital methods to support the translation process and to decide upon research-based teaching interventions.*
Keywords*: corpus-based translation studies (CBTS), digital translation tools, Romanian-English translation corpus*

1. Introduction

Translation trainees are presented with a double competence-building task: mastering the languages into / from which they have to translate and navigating between linguistic resources that can assist them during the translation process. Both challenges may be addressed by actively and purposely resorting to digital technologies. It might seem redundant to draw attention on digital tools in an educational environment that has been adopting digitalisation at multiple levels (administration, research, teaching, evaluation, etc.). However, if the more and more poignant presence of such tools in this environment is unquestionable, their usefulness should not be taken for granted. The overwhelming amount of online resources can lead to an ineffective selection of helpful tools, applications and platforms to serve specific purposes, in well-defined contexts, translation included.

> […] one wonders how deep the understanding of the different tools and, above all, their impact on the translation process really can be […] to students of varying degrees of linguistic, technological, and translational competence, and more or less removed from translation practice and theory classes. (Austermuehl 2013: 330)

However, research can play a significant role in deciding upon the relevance of digital translation tools, especially now that "the working practices of translators have been changed beyond recognition in terms of the access to many different kinds of knowledge that are afforded by the infrastructure of the internet" (Cronin 2013: 8).

2. Corpus-based translation studies

2.1. Intersecting digital domains

The increase in number and diversity of digital tools has been taken advantage of in corpus linguistics (CL) studies that have flourished in the last decade of this century, with more and more cross-overs towards popular research areas, such as computer-assisted language learning (CALL), digital linguistics (DL), digital humanities (DH) and information and communication technology (ICT) for education. Nevertheless, translation studies (TS) seems to be one of the language-related disciplines where corpus linguistics has not yet reached its full potential. As Olohan (2004: 13) points out, most CL studies cover the following "topics within linguistics: lexical studies, grammar, semantics, pragmatics and discourse analysis, sociolinguistics, stylistics and text linguistics, historical linguistics, dialectology and variation studies and psycholinguistics", while the TS field has not been given a similar amount of attention, possibly on the grounds that translations "are not considered to represent language use, in English-speaking contexts, at least" (ibid.).

Corpus-based translation studies (CBTS) is the area of linguistics that has embraced the methodology of corpus linguistics for the investigation of phenomena involved in and resulting from the translation process. The recurrent form of corpus design used in CBTS is represented by parallel corpora, i.e. linguistic databases consisting of source texts and their corresponding target texts.

> Corpus-based translation research emerged in the late 1990s as a new area of research in the discipline of translation studies. It is informed by a specific area of linguistics known as corpus linguistics which involves the analysis of large corpora of authentic running text by means of computer software. Within linguistics, this methodology has revolutionised lexicographic practices and methods of language teaching. In translation studies, this kind of research involves using computerised corpora to study translation as a variety of language behaviour that merits attention in its own right. (Kruger 2002: 70)

Though the usefulness of corpus-based translation research has, at times, been associated with simplistic perceptions of translations as rigid transfers of texts from one language into another, numerous researchers have acknowledged the potential of looking beyond the linguistic parallelism between source and target texts in order to assess the degree of translation naturalness (Johansson 1998) or, on the contrary, the often dysfunctional discrepancies (Simard et al. 2000) between source and target versions.

2.2. CBTS applicability

The collection of large sets of linguistic data for computer-processed analyses can be beneficial to the TS research community in multiple ways. The applicability of CBTS ranges from sampling text translation phenomena in translation trainee groups to designing and applying complex artificial intelligence (AI) translation-predictive algorithms. While it is generally agreed that translation involves an array of skills that are not necessarily linguistic, among which cultural awareness and creative writing competences are frequently mentioned by the

literature in the field (e.g., Baker 1996, Willcox 2017), language competence is essential to a successful translator.

Considering that linguistic resources are now available at a click distance, it would be a mistake not to take advantage of them. In fact, TS professionals and researchers do make use of the web 2.0 potential – to which the concept of corpus is now central – in creative, personalized and service-based ways. Primarily, for translation purposes, corpora are used as:

a) support tools for online dictionaries. The functionality of numerous online dictionaries is based on corpora. For example, the interface of *Linguee* (https://www.linguee.com/, an extension of *Linguee.de* https://www.linguee.de/). a linguistic search engine, operates as a multi-option parallel corpus databank, with source - target text sentence alignments based on a dynamic corpus (see Fig. 1 below).

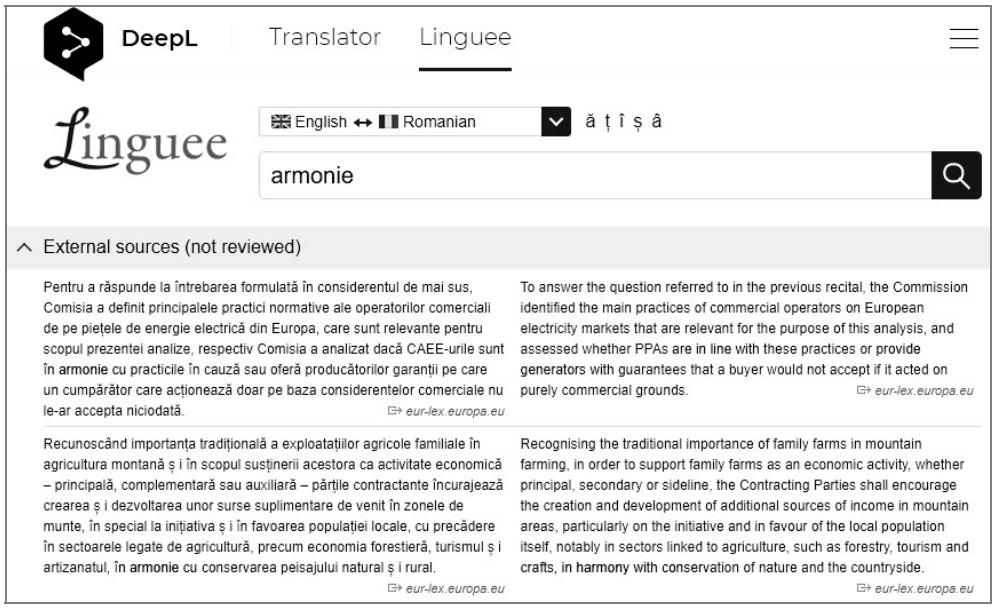


Figure 1. Source - target text alignment in *Linguee.com* (screenshot), for the Romanian search term *armonie* [harmony], language pair Romanian-English

The list of online tools (dictionaries, synonym finders, etc.) that use corpora for parallel concordances is currently expanding (for example, a list of online resources for multiple languages can be found at https://www.101languages.net/dictionaries/). For the English - Romanian pair of languages, *Glosbe.com*, *Linguee.com* and *WordReference.com*, all multilingual databanks, are among the reliable sources of their kind that translators may successfully resort to.

b) resources for Machine Translation (MT). Major preoccupations of both technology and research experts include the creation of tools that can assist

professional translators and common users to cope with the ever increasing amount of translations that require not only rapid task completion, but also precise terminology use.

In a world where work processes have to run almost automatically, the translation field must adapt and be dynamic and innovative. Google grasped the importance of developing an application for translation support and started investing in Google Translate. Compared to its beginnings, in 2006, when random translations delivered humorous results, this machine translator is now a first choice for both novice and more advanced translators at least for the creation of a translation draft. "Parallel corpora are the fuel that Google Translate feed on, and 'statistical machine translation', of which Google Translate is the highest-profile example, is a great success story of language technology and the use of corpora" (Kilgarriff 2013: 91). Although the tool is perfectible, at least for the Romanian - English language pair (see two random examples: the English equivalent that Google Translate suggests for the Romanian *un metru de autostradă* [a meter of highway] is **a highway metro*, and that given for *fix două luni* [exactly two months] is **fixed two months*), its existence has opened the way for many MT projects and applications (Sin-wai 2015; Wang 2019).

Parallel corpora are cornerstones of translation memories which computer-assisted translation (CAT) tools other than Google Translate also rely on. With the impulse given by Google to the translation industry, a range of CAT tools have been offered to both freelance and translation companies in-house professionals so that they can now choose from SDL Trados Studio, MemoQ, Memosource, WordFast Pro, Smart CAT, Omega T, etc.

c) research instruments for translation training assessment and intervention. The result of a translation process is most often a written text, which can easily be included in a corpus to be used as an instrument for the assessment of future translations quality. What corpora can also do is to capture the amount of linguistic diversity and translation preferences in a larger group of translated versions. This way, not only may corpora aid in making highest-ranked translation options (also useful for probabilistic inferences in MT processes), but they may also be used to identify linguistic fluctuations signaling cultural shifts. In university training, the investigation of parallel texts corpora represents a simple and effective way of understanding the challenges that a certain group of students faces when dealing with a particular translation task, a fact that we attempt to offer proof for here.

3. Research method

In our study, we have used a corpus driven approach (Tognini-Bonelli 2001: 85): we compiled a corpus of target texts produced by translation trainees with the aim of focusing on the equivalence variants chosen both quantitatively (by performing a frequency analysis) and qualitatively (by performing a Romanian-English contrastive analysis). The identification, description and interpretation of these translation variants are illustrative of the patterns that Romanian translation students used in the case of a journalistic-genre translation task, but they may also cast light on Romanian-English translation challenges in a broader context.

In order to verify whether the translation patterns identified have prominent frequencies, we used the WordList and Concordance functions of the corpus search and analysis tools WordSmith (Scott 2012), LancsBox (Brezina et al. 2018) and

AntConc (Anthony 2019). The functions are integrated into software programs (licence-based for WordSmith, freely downloadable and available online for LancsBox AntConc) that can sustain searches within uploaded corpora. For word lists, the programs deliver frequency lists of individual words or lemmas (i.e. root forms), where highly frequent words and their percentages of use have been processed. Word lists can also be viewed alphabetically when target words need to be identified and their use patterns assessed. Concordance functions offer search options with different filters: simple item search, complex item search (using software-specific search query) as well as contextual patterns at the right (R) or left (L) position of the type/token.

3.1. Translation trainees' profile

The 46 students included in the study were enrolled, at the time of data collection (spring 2019), in the Applied Modern Languages BA program, at the Faculty of Letters, History and Theology of the West University of Timişoara, Romania. They were in the 3rd year of study (their last before graduation). Their professional experience had been gained mainly at the university (no student of the group had ever been employed as a translator), via theoretical courses and applied seminars in the methodology of translation, during which emphasis had been placed particularly on non-literary texts (in the field of medicine, law, business, technology, etc).

3.2. Task assignment

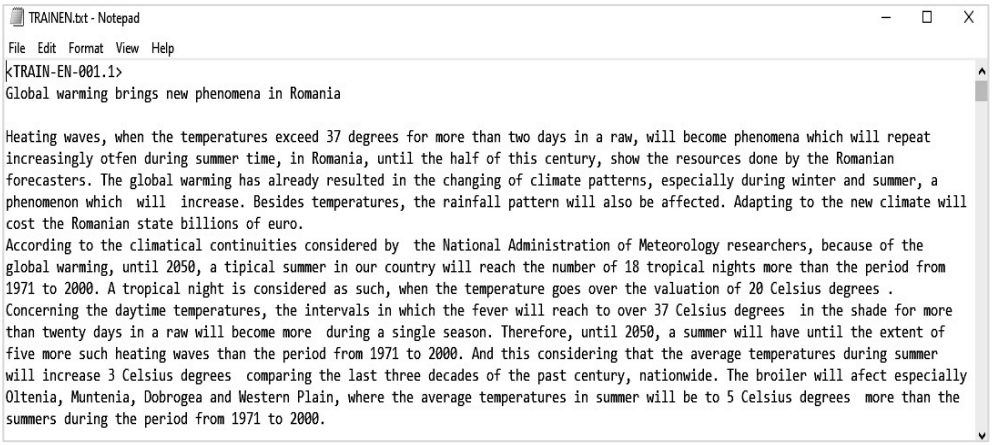
The students were asked to translate, from Romanian into English, a 707 word long newspaper article entitled *Încălzirea globală aduce noi fenomene meteo în România* [Global warming brings new weather phenomena to Romania], whose opening paragraph, offered here as a sample, reads:

> Valurile de căldură, atunci când temperaturile vor depăşi 37 de grade pentru mai mult de două zile consecutiv, vor deveni fenomene care se vor repeta din ce în ce mai des pe durata unei veri, în România, până la jumătatea acestui secol, arată studiile efectuate de meterorologii români. Încălzirea globală a dus deja la schimbarea tiparelor de climă, în special iarna şi vara, în ţara noastră, un fenomen care se va accentua. Pe lângă temperaturi, va fi afectat şi modelul de precipitaţii. Adaptarea la noua climă va costa statul român miliarde de euro.
> (https://jurnalul.antena3.ro/stiri/observator/)
> [When temperatures are higher than 37 C for more than two consecutive days, the heat waves will be more and more often recurrent during one summer season in Romania, by the mid of this century, studies by Romanian meteorologists reveal. Gobal warming has already led to a climate pattern change, especially in winter and summer in our country; this is a phenomenon which will become more and more accute. Besides temperatures, the rain patterns will also be affected. The adaptation to the new climate will cost the Romanian state billions of euros.]

They were allowed to do the task at home, to use whatever translation aids they felt useful (printed and online bilingual dictionaries, monolingual dictionaries, contextual dictionaries, samples of similar texts in English, etc.) and to spend as much time as they needed to edit their translations.

3.3. Corpus data and design

Several processing steps have been taken to compile the corpus: the creation of a repository of the 46 translation variants in their original format (.doc or .pdf), turning each of these variants into machine-readable texts (in our case, .txt), text code assignment and manual correction of text formatting errors. A sample of a text prepared for inclusion in the corpus is given in Figure 2 below.


TRAINEN.txt - Notepad

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<TRAIN-EN-001.1>
Global warming brings new phenomena in Romania

Heating waves, when the temperatures exceed 37 degrees for more than two days in a raw, will become phenomena which will repeat increasingly otfen during summer time, in Romania, until the half of this century, show the resources done by the Romanian forecasters. The global warming has already resulted in the changing of climate patterns, especially during winter and summer, a phenomenon which will increase. Besides temperatures, the rainfall pattern will also be affected. Adapting to the new climate will cost the Romanian state billions of euro.
According to the climatical continuities considered by the National Administration of Meteorology researchers, because of the global warming, until 2050, a tipical summer in our country will reach the number of 18 tropical nights more than the period from 1971 to 2000. A tropical night is considered as such, when the temperature goes over the valuation of 20 Celsius degrees .
Concerning the daytime temperatures, the intervals in which the fever will reach to over 37 Celsius degrees in the shade for more than twenty days in a raw will become more during a single season. Therefore, until 2050, a summer will have until the extent of five more such heating waves than the period from 1971 to 2000. And this considering that the average temperatures during summer will increase 3 Celsius degrees comparing the last three decades of the past century, nationwide. The broiler will afect especially Oltenia, Muntenia, Dobrogea and Western Plain, where the average temperatures in summer will be to 5 Celsius degrees more than the summers during the period from 1971 to 2000.

Figure 2. Sample of text format to be included in the TRAIN-EN corpus

The Corpus of Trainee Translations from Romanian into English (TRAIN-EN) amounts to a total of 31.146 words. All target-text versions have been aggregated in one single document where frequency analyses and free searches can be performed.

For example, one can get a quick overview of the solutions suggested by the students for the translation of the title:

> Global warming brings new phenomena in Romania (TRAIN-EN-001.1)
> Global warming brings new weather phenomena in Romania (TRAIN-EN-002.1)
> The global warming brings new phenomenons in Romania (TRAIN-EN-003.1)
> Global warming brings new meteorological phenomena to Romania (TRAIN-EN-007.1)

The corpus design also allows for a quick statistical assessment of successful translations. We do not take "successful" to have a very strict meaning here, rather, we take it to cover a wide variety of features that characterize a "good" translation, such as 'accuracy', 'equivalence' or 'fidelity' (Robinson 2012). We also deem the novice level of the student translators a relevant variable in our case study, which means that grammatical correctness and lexical accuracy are the main criteria considered for assessment, whereas linguistic refinement is, in our case, a desirable but not necessarily compulsory feature of the student translations.

4. Analysis. Translation difficulties demonstrated by the students

The analysis of the TRAIN-EN corpus has enabled us to draw data-supported conclusions on the trainee translation process. We performed our searches progressively, by looking at individual sentences and browsing through the translation solutions identified by the students, as extracted from the corpus. As the source text was informative, written in a rather neutral register, style did not constitute a translation problem. However, grammar and vocabulary did.

4.1. Grammatical difficulties

This type of difficulties arose in the area of both morphology and syntax. Those in the former category became evident starting with the very title of the article – the rate of translation accuracy in its case was around 70 percent: of the total of 46 translation variants: we assessed 32 as accurate (we excluded translations that were grammatically incorrect, omitted important information or used inaccurate lexical items).

The title brought to light a highly frequent challenge for the Romanian trainee translator: the use of the correct preposition after verbs ("to bring", in TRAIN-EN). It has been demonstrated in previous research that prepositions are among the most problematic grammar areas for the Romanian learners of English (eg. Chitez 2014, Pârlog 2009, 2010, Pungă and Pârlog 2015, Pungă 2017), together with the definite article, phrasal verbs, and the genitives, so this observation was not of particular novelty. Our findings show that students oscillated between "*to* Romania" (16 occurrences) and "*in* Romania" (16 occurrences) in their translations of the article title. *In* (1 occurrence) and *into* (7 occurrences) were the two choices made alternatively for the translation of "luate *în* calcul de cercetători" [taken *into* consideration by researchers]. Similarly, when investigating the translation versions of the Romanian phrase "un pericol *pentru* țara noastră" [a danger *for* our country], we could, again, notice that the students' choices alternated between *to* (5 occurrences) and *for* (14 occurrences), as can be seen in Figures 3 and 4 below:

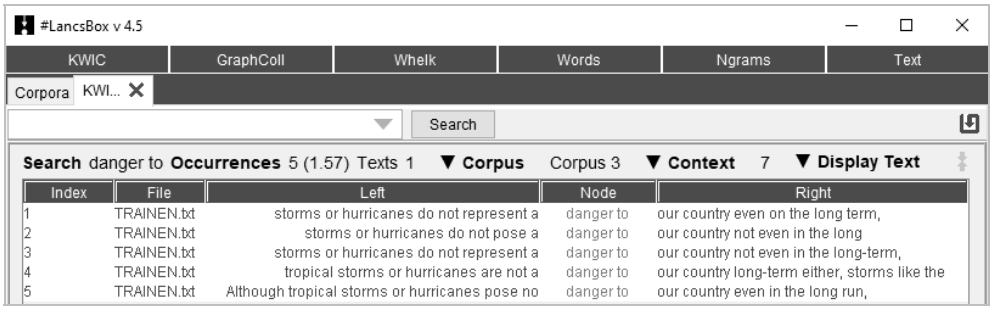

Figure 3. The preposition *to* as the equivalent of the Romanian preposition *pentru* in "un pericol *pentru* □ara noastră" (capture from LancsBox)

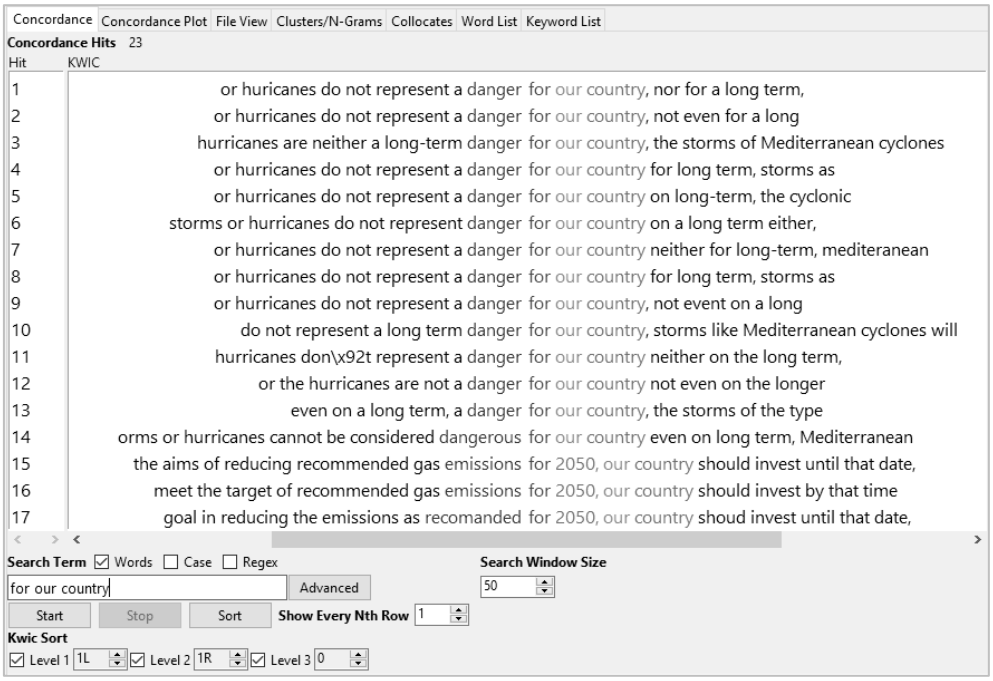

Figure 4. The preposition *for* as the equivalent of the Romanian preposition *pentru* in "un pericol *pentru* țara noastră" (capture from AntConc)

Apart from prepositions, in less numerous cases however, articles also pose difficulties to the translation trainees involved in our study: "*an* tropical night" for "*o* noapte tropicală" and "*an* usual summer" for "*o* vară tipică" stand proof for such difficulties. The employment of the English indefinite article in the form it specifically takes before words whose first sound is a vowel (which is not the case in the two examples above) may have been a problem experienced individually, rather than one shared by a group of students, since both mistakes were made by the same translator (the quantitative approach that can easily and quickly be taken by using a corpus analysis software clarifies the difference).

As far as syntax is concerned, we noticed, in one case, the incorrect use of a double subject – the noun filling the subject slot and its corresponding personal pronoun: "*an* tropical *night it* is considered […]" was one student's translation choice for "o noapte tropicală este considerată […]" [a tropical night is considered […]].

Word order was also in the category of syntax-related problems on which the students sometimes stumbled. On two occasions, they disregarded the fact that there are exceptions to the rule concerning the position of English attributes before their head nouns and that "degrees Celsius" is one such exception. As a consequence, the translation they offered for "grade Celsius" was "Celsius degrees" (35 occurrences; a clear case of overgeneralization). Another example is the position of the adverbial *also* within the word string "will affect also" (5 occurrences) instead of the correct form "will also affect" (29 occurrences) as solutions for the source string "va afecta *și*".

4.2. Lexical difficulties

Lexical difficulties had to do with the choice of the appropriate English equivalents for certain Romanian words.

For example, the combination of the noun "phenomena" with various adjectives in order to render the Romanian word "meteo" into English was a source of relevant information about the problems the students faced in the translation process at the vocabulary level. The lexical versatility of the trainees was put at a test especially considering the fact that dictionaries, online or traditional, do not seem to offer refined contextual synonyms. Four different English equivalents were employed (of which three were appropriate, but one – "unusual" – has nothing in common with "meteo") and there were as many as four cases of omission (a rather extreme solution to one's hesitation in choosing an equivalent):

new [weather] phenomena (31 texts)
new [meteorological] phenomena (9 texts)
new [0] phenomena (4 texts)
new [natural] phenomena (1 text)
[unusual] phenomena (1 text)

If "weather" and "meteorological" are interchangeable (partial) synonyms that may be employed as equivalents of "meteo", there were cases in our corpus when the inappropriate element in a (partial) synonymic series was employed: for example, though "în plus" may be translated as both "in addition" and "more", in "18 nopți tropicale în plus față de intervalul 1971 – 2000" [18 tropical nights more as compared to the 1971 – 2000 time span], the appropriate choice here is "more", underlining the idea of a comparative superiority, and not, as one student suggested, "in addition", which may work in a context where the idea of accumulation is highlighted.

The instance of "unusual" as the equivalent of "meteo" quoted above, i.e. an English word with no connection to its Romanian counterpart, was not an isolated one. Making the same kind of error, one of the students considered "continuities" to be an equivalent for "scenarii" [scenarios], while another one used "normal" for "ca atare" [as such].

Word-for-word translations (calques) of Romanian phrases in cases where these were not acceptable in English were also errors that our corpus analysis pointed out in the area of vocabulary: e.g., "18 nopți tropicale *în plus*" was translated by one of the students as "18 tropical nights *in plus*".

Words whose form was approximated most probably as a result of some but insufficient knowledge of the actual lexical items to be used also appeared as translation choices in our corpus: "valuation" was employed instead of "value" for "valoare" in "peste valoarea de 20 de grade Celsius" [above the 20 degrees Celsius value].

5. Conclusion and further considerations

Though it has offered only some examples of the difficulties that Romanian translation trainees may encounter when translating non-literary texts from Romanian into English, our analysis has hopefully demonstrated the usefulness of using CBTS methods in translator training: a clearer diagnosis of the challenges faced by the students may be reached and practical exercises may be designed to

address these challenges. In the present case study, by looking at the frequency of the equivalence choices that the group of translation trainees made, practical recommendations may be made regarding, for example, collocation options – at the lexical level, or the use of prepositions – at the grammatical level.

Using corpus methods to assess the quality of student translations can be correlated with further digital instruments useful to both teachers and researchers active in the TS field. First, what teachers can implement in their courses is offering access to or proposing digital resources for translation: digital linguistic databases (online corpora), online dictionaries based on parallel corpora, or machine translation platforms, whose functionality is supported by large linguistic databases. The motivational potential for using these instruments, on the students' side, is quite high, as in all cases when educational methods intersect with real-life interests (e.g., compare Google translation with classroom target texts corpus). They can also be of substantial help in the students' self-assessment of their work and of the progress they make, in that they play a role in supporting the learning process and improving the quality of the translation products. Another didactic strategy would be to integrate CBTS exercises in (especially) team work teaching scenarios. However, in this case, it is advisable that the students should have had previous minimum exposure to corpus linguistics (e.g. an introductory course, training sessions).

Acknowledgements
The corpus was processed with the help of the project ROGER team. ROGER is a corpus linguistics research project in progress at the Department of Modern Languages and Literatures of the West University of Timişoara, Romania, funded by the Swiss National Science Foundation (the PROMYS program).

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TRANSLATING LEGAL COLLOCATIONS

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Abstract: *The present paper focuses on legal collocations, with the expressed goal of identifying strategies to be successfully applied in translating legal collocations. The analysis is applied to a corpus of legal contracts.*
Keywords*: contracts, collocations, legal translation*

"The party of the first part hereinafter known as Jack
And the party of the second part hereinafter known as Jill
Ascended or caused to be ascended
An elevation undermined height and degree of slope
Hereinafter referred to as hill."

1. Introduction

In his book entitled *The Legal Guide to Mother Goose*, Don Sandburg (1978) rewrites the well-known line "Jack and Jill went up the hill" and, thus, ironically synthesises the essential characteristics of legal language: wordiness and redundancy, lengthy and complex sentences, conjoined phrases, unusual sentence structure, impersonal constructions, specific collocations, etc.

In analysing legal language, Tiersma (1999: 49-50) attempts to answer a great variety of questions among which: "Does legal language differ considerably from ordinary speech and writing? Do these differences enhance clarity and precision in communication, as lawyers typically claim, or detract from it? To what extent are translators affected by these features in their quest for legal precision and equivalence?"

The present paper focuses on one aspect only, legal collocations, with the expressed goal of identifying strategies to be successfully applied in translating legal collocations.

Linguists started to pay attention to combinations of words in the early '30s of the 20th century. "Harold Palmer's Second Interim Report on English Collocations highlighted the importance of collocation as a key to producing natural-sounding language, for anyone learning a foreign language" (Cowie 1999: 54-56). Thus, ever since, monolingual dictionaries have developed recording patterns which contain recurrent word combinations. This new trend in lexicography consisted in moving the focus from words to phrases and it was supported in the last two decades by the existence of large linguistic corpora and intelligent corpus-querying software, used to approach the matter more systematically.

Studies on collocation in applied linguistics, with a focus on Language for Special Purposes (LSP) set up a trend with remarkable representation (Sager, Dungworth and McDonald 1980, Howarth 1996, Nesselhauf 2003, Williams 2003, Cavalla 2008).

2. Theoretical issues

2.1. Collocations

2.1.1. Definitions

In English, like in many natural languages, there are numerous fixed, recognizable, non-idiomatic phrases and constructions. Such groups have been called differently by various linguists: recurrent combinations, fixed combinations, or collocations.

The definitions are numerous and varied. The *Frequency Based Approach* goes back to Firth (1957: 51), while the *Phraseological Approach* is favoured by researchers working in the field of lexicography such as Cowie (1981: 223), and Sinclair (1997: 170) (http://docplayer.net/20854045-Collocations-and-word-combinations-in-english).

Further studies concerning the subject have not managed yet to explain why certain words have a tendency to co-occur, while others do not. Ballard (2001: 108) defines collocation as a privileged relationship between words of different grammatical categories, while Delisle (2003: 31) considers these phenomena a common association between one and other lexical units.

Dictionaries as well as researchers provide further definitions to complete the meaning. For example:

"Collocation is a word or phrase that is often used with another word or phrase, in a way that sounds correct to people who have spoken the language all their lives, but might not be expected from the meaning" (*Cambridge English Dictionary* – https://dictionary.cambridge.org/dictionary/english/collocation).

"Collocation is a combination of words in a language that happens very often and more frequently than would happen by chance" (*Oxford Learner's Dictionary* online).

"Collocation is the concept of word co-occurrence, where certain words appear predictably next to or within a certain number of words from each other; the usual string considered is of four words to either side of the node word, sometimes known as a nine-word span" (Sinclair 1991: 121).

But probably the most comprehensive is this early definition by Halliday:

> Collocation is the syntagmatic association of lexical items, quantifiable, textually, as the probability that there will occur at n removes (a distance of n lexical items) from an item x, the items a, b, c... Any given item thus enters into a range of collocation, the items with which it is collocated being ranged from more to less probable. (Halliday 1961: 276)

When we speak about collocations, we might say that, just like birds, *'words of a feather usually stick together'*, since collocations are words which 'go together' and, furthermore, there is a degree of predictability in their association. In general, one word will 'call up' another word in the native speaker's mind. For example, native English speakers use the noun '*visit'* in association with the verb *'to pay'*, not with 'to make'.

Still, not all word associations are collocations. Thus, "*free combinations* consist of elements that are joined in accordance with the general rules of English syntax and freely allow substitution" (Benson et al. 1991: IX).

The English linguists were the first to introduce the term ‘collocation’, which in France was used for a long time to refer to the lexical units’ distribution and not to their associations.

2.1.2. Classification

Within collocations the relation which can be established can be of a syntactic nature (such as verb-object: ‘make’ and ‘decision’), of a lexical nature (antonymic), or there can be no linguistically defined relation between the components. A competent and proficient use of a language involves knowledge of collocations.

Because of the wide variety of collocations, they can have been classified in many ways, from all points of view: grammatically, lexically, semantically, and stylistically.

Still, Mona Baker (1992: 48) points out that:

> When two words collocate, the relationship can hold between all or several of their various forms, combined in any grammatically acceptable order. (…) On the other hand, it is often the case that words will collocate with other words in some of their forms but not in others. We *bend rules* in English, but we are unlikely to describe rules as *unbendable*. Instead, we often talk about rules being inflexible.

Some authors have extended the notion of collocation even further and included words that are strongly associated with each other, but do not necessarily occur in a common grammatical unit. In the present study, I have opted for an approach of collocations as grammatically bound elements that occur in a particular order and use, the terms' association and co-occurrence that is likely to be used in similar contexts.

Classifications, just like definitions, differ according to the criteria applied.

According to Benson et al. (1991), collocations fall into two major groups: *grammatical collocations* and *lexical collocations*.

“A grammatical collocation is a phrase consisting of a dominant word (noun, adjective, verb), and a preposition or grammatical structure such as infinitive or clause” (Benson et al. 1991: IX). Grammatical collocations are subclassified by Benson et al. (1991) into the following patterns: noun + preposition, noun + “to” infinitive, noun + “that” clause, preposition + noun, adjective + preposition, predicative adjective + “to” infinitive, adjective + “that” clause, verb patterns.

Similarly, the authors have designed a set of patterns to be applied to lexical collocations, which they describe as “normally not containing prepositions, infinitives and clauses” (idem: XXIV): verb meaning “creation” + noun, verb meaning “eradication” + noun, adjective + noun, noun + verb, $noun_1$ (classifier) + of + $noun_{2,}$ adverb + adjective, verb + adverb.

According to Carter (1998: 60), “lexical collocation is the co-occurrence of nouns, adjectives, verbs or adverbs, such as *strict rules* (rather than rigid), or *he pricked his finger* (rather than pierced or punctured)”.

A classification based on the semantic features of the components was explored by Cowie (1992), who considers that the number of words involved as well as the way they are involved can vary a great deal.

The combinatory behaviour of words determined another line of classifications, represented by Benson et al. (1991) and Aisenstadt (1981), who introduced the concept of *commutability restriction.*

The classes of collocations which are best represented in the analysed legal corpus are open, restricted, and bound collocations.

Open (or *common, irrelevant, unrestricted*) *collocations* (Cowie 1981) are combinations, of two or more words co-occurring together, where the components can freely recombine with other words. Each component is employed literally: e.g.: *issued shares, issued date, issued capital, issued licence, issued ticket*.

Restricted (or *close, fixed, frozen, unique,*) *collocations* (Aisenstadt 1981) are combinations of two or more words used in one of their regular, non-idiomatic meanings, along certain patterns. Usage and grammatical and semantic constraints restrict their substitution: e.g.: *shares of common stock*, *share market.*

Bound (or *habitual*) *collocations* form a category of transition between collocations and idioms. One element determines the selection of the other: e.g.: *a material fact, to foot the bill.*

2.2. Legal language and genres

One referential description and analysis of legal language features belongs to Peter Tiersma (1999). His declared aim is:

> to provide a relatively comprehensive description of legal English, including how it got to be the way that it is, its present characteristics, how lawyers use language in the courtroom, and the movement to reform it. The major theme running through the book is how well legal language functions as a means of communication. (http://www.languageandlaw.org/LEGALLANG.HTM)

The peculiarities of legal language revealed by Tiersma (1999) cover a large variety of linguistic aspects, including syntax and vocabulary. The legal discourse is, thus, characterized by Tiersma (1999), as containing "lengthy and complex sentences" with an "unusual structure", "wordiness and redundancy", "conjoined phrases", a specific "use of negation", "impersonal constructions", "legal archaisms", "formal and ritualistic terminology", all of which are meant to balance the tension between flexibility and precision. Out of the many features enumerated, the present study focuses only upon one feature of the legal lexicon: collocations.

Swales (1990) and Bhatia (1993) brought an important contribution to the theory and practice of specialized translation by defining the concept of *genre.* Based on it, Alcaraz Varo and Hughes (2002) identified the legal genres and subgenres, separating written legal genres from oral ones. Further, based on features like shared communicative function, similar macrostructure, similar discursive mode, common lexical and syntactic arrangement of the material and common socio-pragmatic conventions, they allotted genres to legal branches.

The present study analyses a genre with a highly conventional macrostructure and with a stable outline: the contract.

In today's world, the legal documents the vast majority of people are likely to be most familiar with are the contracts. Although oral contracts are *good in law*, we will restrict the analysis to the written one

In common speech, a contract is understood as an agreement made between two or more persons (the "parties" to the contract). In law, a contract is much more than such an agreement: it belongs to a class of acts called "acts in the law", i.e. acts having legal consequences in the intention of the parties. There must be present in the minds of those reaching the agreement the intention that,

if necessary, it shall be enforced in a court of law, or other legal consequences shall follow. Therefore, a contract is a "promise or a set of promises" (Owens 1995: 109), which the law will enforce.

Starting from the Law Dictionary definition, Šarčević (2000: 133-134) explains that "contracts are agreements between two or more parties to exchange performances in a given situation for a specific purpose and to establish the agreements that the parties have made and to fix their rights and duties in accordance with that agreement. The legal actions to be performed or not to be performed are set forth in the substantive provisions in the form of obligations, permissions, authorizations and prohibitions, all of which are enforceable by law".

Although, apparently, there is a freedom of form, contracts need to cover all the legal aspects involved and to answer the minimum requirements as follows. There must be an agreement between the two parties, there must be valuable consideration, the parties must intend their promises to be acted, the subject-matter of the contract must not be illegal, the contract must be freely entered into by both parties.

2.3. Legal translation

Legal translation has been an academic subject in the last decades and has attracted the attention of many theorists both in the field of law and in the field of translation. Harvey (2002: 177) cynically synthesises the results of these efforts:

> Bold claims have been made about legal translation. It has been described as a category in its own right (Weston 1991: 2, Gémar 1995b: 143-154, Garzone 2000: 395) and as "the ultimate linguistic challenge," combining the inventiveness of literary translation with the terminological precision of technical translation. (Cairns and McKeon 1995: 191, cf. Gémar 1995a: 9, Pelage 2000: 127)

Harvey (2002: 179) further considers that, according to some authors, "the special status of legal translation derives from the prescriptive nature of legal discourse, which gives rise to legal effects (Gémar 1995b: 144-145)".

Legal documents have been classified into prescriptive, descriptive and hybrid texts (Šarčević (2000: 11).

The contract is functionally a hybrid: on the one hand, it is binding on the parties involved, and, on the other hand, it offers information to any third party.

3. Analytical issues

3.1. The data

The corpus I have constructed for the present analysis is provided by a set of various agreements: sales-purchase, services, partnership, insurance and a football-player contract, all collected from online archives and lawyers' databases. There are five documents representative for their subgenres. They cover a total of 30 pages and contain 13378 words.

3.2. Methodology

My present endeavour can be seen both as a qualitative study of an exploratory nature and a quantitative one. Most social science researchers share the

view that, while in quantitative research one operates mainly with numbers, in qualitative research 'words' are favored. Legal translation is mainly about words and groups of words, but also about the frequency of their occurrence. Thus, the present study is an inductive analytical approach which is grounded in the data.

In the first stage, I established the frequency of the words occurring in the corpus. This was done with the help of the Simple Concordance Program 4.0.10. In the next stage, I identified high frequency keywords and I set the limit to 50 occurrences. Out of these, I separated the nouns and then I analysed their contextual occurrences with the help of the same software.

4. Analysis and findings

4.1. English legal collocations and their Romanian equivalents

The frequency analysis of the corpus revealed the words with most occurrences in the contracts, as seen below:

1186 the	538 of
432 or	396 to
393 and	270 in
184 any	179 company
171 a	157 be
155 by	137 as
116 will	112 for
103 with	98 is
90 that	85 not
80 such	78 on
78 other	76 has
75 shares	73 material
72 its	67 agreement
67 s	67 statement
64 no	64 registration
64 this	61 prospectus
60 under	57 are
57 placement	55 shall
54 act	53 have
51 all	51 seller

Since some words with high frequency cannot be collocationally restricted – *grammatical* or *form* words such as *the, of, or, to, and, in*, etc., were not under scrutiny here. Therefore, the lexical items which act as keywords according to my frequency analysis prove to be mostly nouns.

The language of the law is known to be made up of three basic types of vocabulary: technical, semi-technical, and non-technical. The purely technical terms are those that are used only in a legal context and have no application outside it. The semi-technical terms are “words and phrases from the common stock that have acquired additional meanings by a process of analogy in the specialist context of legal activity.” (Alcaraz, Hughes 2002:17). The largest group contains general vocabulary which has not lost its meaning in a particular specialist context.

My frequency analysis has proved that semi-technical terms have the most collocational occurrences. In what follows, I shall analyze the collocations built around the first three most frequent lexical units: *company*, *shares*, and *material*.

4.1.1. *Company*

This noun occurs 179 times in my corpus, but not all its occurrences form collocations. Some of these occurrences are displayed in the concordance excerpt below, where the row number in the corpus is marked on the left.

155 //S.C. Gyorghi S.A., a company organized and existing
311 a Delaware corporation (the "Company"), confirms its agreement
311 a Delaware limited liability company ("MLV"), as follows:
312 and Sale of Shares. The Company agrees that, from time
312 , that in no event shall the Company issue or sell through MLV
312 but unissued shares of the Company's Preferred Stock (the
312 sole responsibility of the Company and that MLV shall have
312 defined below) filed by the Company and declared effective
312 be construed as requiring the Company to use the Registration
313 to issue Preferred Stock./The Company has filed, in accordance
313 the " Exchange Act "). The Company will prepare a prospectus
313 to this Agreement. The Company will furnish to MLV, for
314 Supplement is filed by the Company with the Commission pursuant
315 Each time that the Company wishes to issue and sell
315 of the individuals from the Company set forth on Schedule
315 other individuals from the Company listed on such schedule

Being a semi-technical term, in contracts, a company represents a *party* and it acquires, thus, a personality which benefits of a "human" treatment. This allows it to combine with a great variety of verbs (the company *wishes, includes, facilitates, relies,* etc.), but most of these co-occurrences are figures of speech, like personifications, rather than collocations. These will not be treated as collocations, because *legal collocations* are defined as "particular lexical combinations found with some regularity in legal texts" (Alcaraz, Hughes, 2002: 167)

The noun *company* may be translated into Romanian as *companie, firmă, societate (comercială)*, but the official term used by the Romanian Registry of Commerce is *societate comercială.*

The analysis of the corpus has led to the identification of the following collocation patterns: verb + noun, adjective + noun, verb + by + noun, noun + verb, $noun_1$ + of + $noun_2$, noun's noun, noun + and + noun, with a clear dominance of the noun + verb/verbal phrase one. This shows the power of the referent to act in accordance with the provisions of the contract. The table below contains the distribution of the collocational patterns and their Romanian translations. The translated forms are those officially used in contracts and agreements and prove to be as stable as the English ones.

PATTERN	English collocation	Romanian equivalent
verb + noun	to assist the Company	a sprijini societatea
adjective + noun	public Company	societate publică
	a shell company	firmă fantomă
	investment company	firmă de investiții
verb + by + noun	payable by the Company	datorat de societate
	designated by the Company	desemnat de firmă
	filed by the Company	depus de societate

noun + verb	the Company confirms	societatea confirmă
	the Company agrees	societatea îşi exprimă acordul /este de acord
	the Company shall issue	societatea va elibera/elabora
	the Company set forth	societatea stabileşte
	the Company suspends or terminates	societatea va suspenda sau rezilia
	Company delivers	societatea livrează
	the Company acknowledges and agrees	societatea admite şi este de acord
	the Company represents and warrants	societatea reprezintă şi garantează
	the Company might engage	societatea se poate angaja
	the Company is not in compliance with	societatea nu este în conformitate cu
	the Company owns	societatea deține
	the Company has full legal right	societatea are drepturi legale depline
	the Company has conducted an infringement	societatea a comis o încălcare
	to cause the Company to issue or sell	să determine societatea să emită sau să vândă
$noun_1$ + of + $noun_2$	shares of the Company's	acțiunile societății
	assets of the Company	patrimoniul societății
	the capital stock of the Company	capitalul social al societății
	common stock of the Company	acțiunile ordinare ale societății
	long-term debt of the Company	datoria pe termen lung a societății
	binding agreement of the Company	acordul cu caracter obligatoriu al societății
	other securities of the Company	alte titluri de valoare ale societății
	property of the Company	proprietatea societății
	binding obligations of the Company	obligaţiile stricte ale societății
	financial officer of the Company	director financiar al societății
noun's noun	the Company's knowledge	cunoştințele societății
	the Company's board of directors	consiliul de administrație al societății
	the Company's issuance	emisiunile societății
	the Company's internal controls	controlul intern al societății

Table 1. Collocation patterns for COMPANY = societate/firmă/companie

4.1.2. *Shares*

The second in range according to its frequency, and also a semi-technical term, is the noun *shares*, with 75 occurrences, part of which are displayed in the concordance excerpt below.

192 4--Shares/Each Partner's Shares in the Partnership shall
192 by {method of determining Shares, such as making them proportional
312 /1. Issuance and Sale of Shares. The Company agrees that
312 through MLV, acting as agent, Shares (the "Shares") of the
312 as agent, shares (the "Shares") of the Company's 10.
312 through MLV such number of Shares that (a) exceeds the value
312 of authorized but unissued Shares of the Company's Preferred
312 Section 1 on the number of Shares issued and sold under this
312 The issuance and sale of Shares through MLV will be affected
313 offerings, including the Shares, and which incorporates
313 respect to this offering of Shares by MLV pursuant to this
313 Supplement, relating to the Shares. Except where the context
315 wishes to issue and sell Shares hereunder (each, a "Placement
315 the Parties) of the number of Shares (the "Placement Shares
315 of Shares (the "Placement Shares") to be issued, the type
315 t o be issued, the type of Shares, the time period during

Unlike the noun *company*, *shares* has a less varied context of occurrence, but is equally frequently modified by a noun, a verb or an adjective. The patterns are more reduced in number and they include verb + noun, adjective + noun, $noun_1$ + of + $noun_2$, noun's noun. *Shares* does not embody powerful entities, but, on the contrary, they are handled and manipulated in compliance with the provisions of the contract.

PATTERN	English collocation	Romanian equivalent
verb + noun	method of determining shares	metoda de evaluare a valorii acţiunilor
	to issue and sell shares	a emite şi a vinde acţiuni
	to acquire shares	a achiziţiona acţiuni
	to purchase any shares	a cumpăra acţiuni
adjective + noun	authorized shares	acţiuni autorizate
	unissued shares	acţiuni neemise
	placement shares	acţiuni de plasament
	transferable shares	acţiuni transferabile
	registered shares	acţiuni nominative
	outstanding shares	acţiuni în circulaţie
$noun_1$ + of + $noun_2$	issuance and sale of shares	emiterea şi vânzarea acţiunilor
	number of shares	numărul de acţiuni
	offer and sale of shares	oferta şi vânzarea de acţiuni
	shares of common stock	acţiuni ordinare
	shares of capital stock	acţiuni ale capitalului social
noun's noun	each partner's shares	acţiunile fiecărui partener

Table 2. Collocation patterns for SHARES = acţiuni

4.1.3. *Material*

Third in the frequency range is the word *material*, used in contracts both as a noun and as an adjective in its 73 occurrences. Unlike the previous two examples, it belongs to the general vocabulary and preserves its primary meaning in the context of contracts.

The concordance excerpt below contains part of its co-occurrences.

21	of INCOTERMS 2000/2.2. The Material's quantity will be determined
25	quality parameters for the Material making the object of the
26	present contract./2.4. The Material's quality is to be determined
26	specialists from ……. (the Material country of origin)./Annex
27	admitting or rejecting the Material.//2.5. The committee will
28	for the contracted Material stating a complete description
28	a complete description of the Material, quality specifications
34	the obligation to deliver the Material to the address indicated
44	5.1. The total value of the Material amounts to …… USD
45	The price, for each sort of Material is the one specified at
54	in order to protect the Material during transportation
55	means./7.2. In case the Materials do not require wrapping
56	kind of deliveries./7.3. For Materials requiring inner packing
56	usable when distributing the Material./7.4. The seller has the
57	obligation to transport the Material in containers./7.5. The

As a noun, *material* occurs in four distinct patterns: verb + noun, adjective + noun, $noun_1$ + of + $noun_2$, noun's noun; as an adjective, only in one: adjective + noun. Although there is no semantic change in its primary meaning, in the context of contracts, both the noun and the adjective *material* collocate with common verbs, creating what have been, earlier in this paper, defined as legal collocations (see Alcaraz, Hughes 2002: 167).

PATTERN	English collocation	Romanian equivalent
verb + noun	admitting the material	admițând materialul
	rejecting the material	refuzând materialul
	to deliver the material	a livra materialul
	to protect the material	a proteja materialul
	distributing the material	distribuind materialul
	to transport the material	a transporta materialul
	to take over the material	a prelua materialul
	to store the material	a depozita materialul
adjective + noun	the contracted material	materialul contractat
$noun_1$ + of + $noun_2$	description of the material	descrierea materialului
	value of the material	valoarea materialului
	sort of material	felul materialului
	weight of the material	greutatea materialului
	control and reception of material	controlul și recepția materialului
	property of the material	proprietatea materialului
noun's noun	The material's quantity	cantitatea de material
	The material's quality	calitatea materialului

Table 3. Collocation patterns for the noun MATERIAL = material

PATTERN	English collocation	Romanian equivalent
adjective + noun	in all material respects	sub toate aspectele semnificative
	a material fact	fapt material
	material liabilities	răspundere materială
	material obligations	obligații materiale
	a material adverse effect	efecte materiale adverse
	material loss	prejudiciu material
	material interference	interferență materială
	material information	informații semnificative

Table 4. Collocation patterns for the adjective MATERIAL = material

4.2. Strategies in translating legal collocations

The challenge in translating occurrences of collocation, fixed expressions, metaphors and idioms consists in achieving equivalence above word level (Baker 1992: 46), as well as reducing translation loss to an acceptable minimum.

When dealing with the lexico-semantic format of a specialized text, a translator should focus on the appropriate semantic and terminological field. In most of the situations, words do not occur in the company of other words at random, since any language imposes some restrictions. This is the reason why collocations and expressions that are specific to the legal language must receive special attention from the translator. Legal collocations represent a challenge, partly because of the connotative traps they might hide, and partly because of their expected technical transparency.

The analysed data revealed that the procedures used in translation do not display a great variety. The translation of legal collocations aims at obtaining both functional and formal equivalence. *'Functional Equivalence'* means using a referent in the target language (TL) culture whose function is similar to that of the source language (SL) referent, and *'Formal Equivalence'* or *'linguistic equivalence'* means a 'word-for-word' translation.

Of the procedures applied in translating legal collocations, four are mostly favoured. One is the*'through-translation'*, known also as *'calque'* or *'loan translation'* and described by Newmark (1988: 84) as "the literal translation of common collocations, names of organizations and components of compounds". For example:

to acquire shares	*a achiziționa acțiuni*
to purchase any shares to de	*a cumpăra acțiuni*

'Shifts or transpositions' involve a grammatical change in the process of translating from SL into TL; for instance, (i) the change from singular to plural, (ii) the change required when a specific SL structure does not exist in the TL, (iii) the change of an SL verb to some other TL part of speech, the change of a SL noun phrase to a TL noun, and so forth. (Newmark 1988: 86). For example:

outstanding shares	*acțiuni în circulație*
investment company	*firmă de investiții*
assets of the Company	*patrimoniul societății*
long-term debt of the Company	*datoria pe termen lung a societății*

'Modulation' occurs when the translator reproduces the message of the original text in the TL text in conformity with the current norms of the TL, since the SL and the TL may appear dissimilar in terms of perspective. (Newmark 1988: 88). For example:

a shell company	*firmă fantomă*
in all material respects	*sub toate aspectele semnificative*

'Recognized translation' occurs when the translator "normally uses the official or the generally accepted translation of any institutional term" (Newmark 1988: 89). This is often materialized in the existance of two-way repertoires of lexical equivalents in the field of law to which legal translators are strongly advised to resort.

5. Conclusion

Collocations have made the object of study for many linguists, as there are no frontiers in the employment of these units. In every natural language, there are words which have a certain tendency to co-occur, words we normally refer to as being arbitrarily recurrent. These units, widely known as collocations, are on the one hand, general phenomena, but on the other hand they make the distinct mark of each language.

Legal language is highly formal, this characteristic being the expression of the formality of the legal process itself. Thus, unlike in everyday language, in the legal discourse nothing can be taken for granted and every significant detail must be stated explicitly. This is the source of the rich phraseology it contains, collocations included. One may notice that "in many cases, the common, everyday meaning provides hints at the specialized sense, but care should be taken by translators when suggesting equivalent terms, since (…) field-specific vocabulary is fixed and, consequently, translating it does not allow the freedom of choice sometimes possible when translating non-professional, general texts" (Pungă, Pârlog 2017: 257).

The translation of legal collocations requires, besides the common translation skills, good knowledge of the legal concepts and a degree of familiarity with their interconnecting mechanism.

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Cambridge Dictionary: https://dictionary.cambridge.org/dictionary/english/collocation
Oxford Learners' Dictionary:
https://www.oxfordlearnersdictionaries.com/definition/english/collocation
Collocations: http://docplayer.net/20854045-Collocations-and-word-combinations-in-english
http://www.languageandlaw.org/LEGALLANG.HTM

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