interlitteraria

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Time, Narrative Sequence and Causality

MARINA GRISHAKOVA

Time and causality are linguistic constructs that call into existence specific lingual realities. They are also philosophical concepts that configure relations between narration and world models on which its interpretation depends. The works on narrative time abound; less attention has been paid to narrative causality, however. In 1997, Brian Richardson had every reason to bewail the lack of research in this area (Richardson 1997: 14). Since then, a number of books and articles, discussing both linguistic-rhetorical aspects of narrative causality and its philosophical meanings, have partially filled the lacunae (see e.g. Carroll 2001; Kern 2004; Kafalenos 2006). The studies of fictional worlds where fate, providence, determinism, chance or other kinds of causal agency play a significant role (e.g. in Zola's, Conrad's, Faulkner's, A. Bely's novels) inevitably touch upon the concepts of time and causality as part of the intellectual history. Nevertheless, the meanings of these concepts as well as their application to the study of fiction are still to be clarified.

I shall start from Roland Barthes' much cited and much debated dictum on "the confusion of consecution and consequentiality, what comes *after* being read in narrative as what is *caused by*; the narrative in this case would be a systematic application of the logical error condemned by Scholasticism in the formula *post hoc, ergo propter hoc*, which might well be the motto of Fate, of which the narrative is in fact merely the "language"" (Barthes 1994: 108). In Brian Richardson's opinion, Barthes erroneously equates causality with narrative sequence. However, there are at least three problematic issues that interweave in Barthes' dictum. First, the concept of causality that evokes various interpretations; second, the sequence of

real or fictional actions or events to which the concept of causality is applied; and, finally, the notion of time and chronological order (antecedence or subsequence).

Richardson's definition of causality highlights *change* as the main indicator of causal connection: cause is a condition that occasions change in the course of events (Richardson 1997: 36). However, change as a symptom of causal connection may be either part of a recurrent pattern or a singular event. Many natural phenomena are manifestations of recurrent or predictable causal patterns ("a stone thrown in the air falls down"), whereas intentional processes, incited by human will, are less predictable (they may actualize a cluster of possible scripts or scenarios of behavior) or unpredictable, singular. Unpredictable effects of causation are used in jokes, anecdotes and aphorisms, such as, for instance, a widely known Liverpool joke: "An Irishman, an Italian and a Liverpudlian approach Jesus for healing. The Irishman is blind, the Italian has a withered arm and a Liverpudlian walks on crunches. Jesus touches the Irishman – and the latter regains his sight, he touches the Italian – and the arm functions again. Yet when he is about to touch the Liverpudlian, the latter jumps back and exclaims: "Don't touch me! I'm on disability benefit!"". The very effect of this anecdote depends on the subversion of the causal chain typical of miracle stories: "touch – recovery". In the natural world, the very regularity of certain events, as well as relation of antecedence-subsequence or their simultaneity (in time) and contiguity (in space), allows establishing causal connection, though the latter may remain invisible for the observer. Correlation suggests causation, though it is not a sufficient condition for it.

The very notion of "change" is context-sensitive. Causation connects not only events, but processes and states of affairs. Bertrand Russell introduced the concept of the "causal line" to highlight the eventual character of long-term causal changes. The causal line may be described as a transformation or metamorphosis rather than a radical change. One phenomenon may be caused by two or more independent or mutually dependent interfering factors: it is often difficult or impossible to detect causality. From this perspective, causal connection may be considered as the way we represent the world rather than a feature of the world itself. It is a type of mental connection that relates facts, i.e. data of human consciousness

projected onto the reality, rather than events of the physical reality: "causality is not part of the perceptual level of experience but part of the interpretive level", or, in other words, "causality is not part of events as experienced, but only of events as described" (Adams 1989: 151).

A sequence of events may be "naturalized" as causal, even if the relation of causality is probabilistic or hypothetical. As Bastiaan van Fraasen puts it, "this is precisely the point where the rupture between the modern view of material, physical reality and the categories of the personal becomes visible. We can see such internal relations between events when the events are intentional, i.e. when the acts are characterizible in terms of intention involved. But we are unable to find intentionality in the world of physics: the regularities described by physics are simply the patterns in which events occur" (van Fraasen 1991). Projected causality is often fallacious, yet serves as a natural means to explain away or making sense of occurrences unavailable for testing or investigation. This is the case with narrative causality: the genuine significance of objects and events introduced early in the story does not become clear until later on or remains ambiguous and obscure in principle.

As Genette pointed out in his classical analysis of *Remembrance of Things Past,* chronology and causality do not deplete the opportunities of sequencing. Narrative sequencing often depends on contingency, thematic kinship, hierarchization and supralinear connection. Causal connections and temporal ordering are most often underdetermined, particularly in fictional narratives. Even the realistic narratives supply only partial information on the sequencing and causality of events:

> The reader expects a certain vagueness and takes it in stride, is quite willing to conceive of the events as determinately ordered somehow within the merely indicated outline – but the narrator, trading on his innocence, may return to those events later in his narration and reveal a hidden significance that undoes our compliance (van Fraasen 1991: 11).

Despite the partial and underdetermined character of causality, the "prototypical" narrative sequence is not causally irrelevant, however. As philosopher Noël Carroll observes, practices that subvert or

disrupt causality "themselves must presuppose something like the ordinary concept of narrative in order to negate it" (Carroll 2001: 36). Even if causality is weak and underdetermined, it guides the process of reading (listening) and forehsadows future patterns that may emerge from the pre-story (or "ante-narrative", in David Boje's terms). It incites expectation of certain consequences that earlier events might produce (or, if they have no consequences, their non-consequentiality acquires negative, apophatic significance, as is the case of the "Chekhov's gun" that must, but does not always fire at the end of the play). In Noël Carroll's formulation, "the earlier event is at least a necessary and indispensable contribution to a sufficient, though nonnecessary condition for the occurrence of the relevant later event." Earlier events make later events casually possible, though the causal connection is often deferred or obscured. There-fore both factors (time and causality) have certain foundational value in the definition of narrative sequence. They are also interrelated in the natural world. Though critics tend to be skeptical about Barthes' analogy between causality and chronological order, philosophers often argue that time is enmeshed with causality: "The direction of time is to be defined in terms of the direction of causation" (Tooley 2000: 31).

In sum, Barthes is not altogether wrong while pointing to the interlinkage of temporal ordering, causation and sequencing (narra-tive, not discursive sequencing) as the basis of narrative teleology and calling the narrative "the language of Fate". Propp, Todorov and Barthes cataloged certain types of narrative sequences characterized by more or less stable temporal ordering and relation of causation between their components ("if x, then y..."). However, Barthes envisaged also the opportunity of meaningful subversion and dis-ruption of this teleology, introducing three kinds of functions (nuclei, catalyzers and indices) that involve different types of sequencing and defining the nuclei as the "moments of risk" in narrative. In practice, narrative causality and ordering are flexible and variegated enough to exclude causal determinism, the latter being the main target of Barthes' critique. Barthes' dictum should be read in the context of 20th century skepticism about deterministic world models, be they theological, based on the notion of providence, or scientific, based on the notion of mechanic causality; separation of "subjective" and "objective" time as well as natural and intentional causality. In the

same vein, Jonathan Culler, drawing on Nietzsche's and Paul de Man's work, argues that the temporal order of causation is reversed in narrative (Culler 1980). According to Culler, the causal structure is a result of the tropological operation, when effect precedes and thus "produces" the cause by means of the tropological transfer of meaning in the course of narration and interpretation. Culler's critics (for instance, John R. Searle) argue that Culler conflates the cause with its epistemic origins (eventually uncovered knowledge and interpretation), therefore his arguments do not deconstruct the natural causality. Culler's argument, however, as well as the Barthesian one, is to be understood as an attempt to oppose perspectival, agent-centered, intentional causality to the natural world of casual determinism. Culler's model plot (Oidipus) exemplifies the tragedy of human struggle against the blind determinism of (super)natural causality.

Chronology and causality serve as epitomes of necessity, determinism and order. However, any "tellable" story represents disturbances that break the predictable, ordinary course of events and manifests tension between intentional (subjective) and natural (objective) causality. Naturalization of temporal order and causality turns chance into a pre-determined fact: a casual fact acquires the meaning of destiny. Intentional causality may epitomize a revolt against destiny or pseudo-natural sequence. As a result of the "backward" interpretive movement, facts and events of the story are restructured and assume a new, retrospective significance.

There is, however, the third component besides the "subjective" and "objective" type of temporal ordering and causation. It was Bergson's work that introduced the notion of the subjective ("lived" or personal) time as an object of theoretical reflection at the turn of the 20th century. According to Paul Ricoeur, philosophy concentrated exclusively either on the objective, cosmological or universal, or subjective, phenomenological time. A synthesis of these two types of temporal organization, their "discordant concordance", is, according to Ricoeur, a practical function of literature. Fictional narrative provides a provisional resolution of time aporias. The third component missing in this schematics is social-historical time, where subjective and objective time intermix, where tension between the finitude of subjective time (death) and infinitude of social time is articulated.

The characteristics of necessity, recurrence and predictability are typical of natural causality as well as of the "naturalized" socio-historical causal connections, for instance, definite sequences of actions or events that repeat on the regular basis in definite contexts. There are prearranged stretches of public time (timetables, schedules, careers, life-courses) and rehearsed actions (e.g. ceremonies, rituals) that are naturalized as part of the social order. These stretches are socially preserved and transmitted. As Thomas Luckmann argues, social categories of time are superimposed more or less artificially on the elementary rhythms of inner time (Luckmann 1991). Therefore intentional causality and subjective time are to be tested not only against the background of natural or cosmological, but also against the background of social ordering.

As Husserl pointed out, time synthesis (the fusion of the actual phase of consciousness with retentions of the past and protentions of a coming phase) is continuous and automatic, not an intentional act. The intentional act of introspection may slow down or disrupt the synthesis. In his *Principles of Psychology*, William James defined the "present" as the metaphorical "saddle-back" between "no-more" and "yet-to-come" (two absences that are integrated into the present). James' definition introduces a sense of direction into the lived time. Disturbances in the integration process produce deviating time patterns: stagnation, dilation of time; disengagement from the "objective" time order; "falling back" or the reversal of time. Early in the 20th century, psychologists (Ribot, Janet, Minkowski) discovered a whole range of the peculiar pathological types of time ordering and demonstrated that time dissociation may lead to a radical alteration of the microstructure of experience. Pierre Janet had shown that the difficulty of constituting of the present is a cause of time dissociation and is accompanied by fabulation in certain psychopathological causes. Interestingly enough, for Janet, time dissociation and emancipation from the direct necessity of action is a cause of both artistic fabulation (such as Greek epics, whose authors neglected the rules of verisimilitude) and fabulation as a compensatory mechanism of a psychopathological disorder. For Janet, there is a difference in degree, not in kind, between these two phenomena (Janet 1928). Their common root is a difficulty in constituting of the present. From this point of view, fictional narrative neither provides a concordance of the discordances nor resolves the aporias of time. It

rather reproduces irreparable splits within the time order and surfaces imaginary take-off from the present.

What is important, is the fact that alternative patterns of time and causation are not just thematized, they are enacted as the elements of narrative dynamics and hermeneutics in fiction (cf. Robert Scholes' definition of literary fabulation as the experience of form). Potentially "pathological" types of temporal organization (the everlasting present, reversed time, the specious present) are rather usual in fiction.

Reversed time (*tempus reversus*) is always present in potentia in "temporal arts", i.e. literature, music and film. Here the narrative structure is a result of both prospective and retrospective ordering: the prospective as expectation and anticipation, the retrospective one as a flashback, inversed ordering of telling, imagining or remembering the events. Flashback as such does not subvert the temporal order. On the contrary, it is aimed at the restoration of the latter, filling the gaps and finding the missing links in the sequence of events. Yet the restoration of the temporal succession in flashback does not restore causation automatically: it produces the tendency for retrograde, interpretive motion within the chronological order.

A retrograde motion is implicitly present in V. Nabokov's novel *The Defence* published almost simultaneously with Minkowski's study of time dissociation and the effect of gravitation toward the past in schizophrenic consciousness. The protagonist of the novel, chess wunderkind Luzhin discovers a recurrent pattern of events in his life, goes mad and commits suicide as a sort of counter-move to disrupt fatalistic repetition. The reverse motion is represented as part of the narrative hermeneutics. Nabokov himself mentioned "retrograde analysis" as a modeling strategy of the novel. In "retrograde analysis", the chess problem solver is supposed to restore the logic of the game from a "back-cast study", the logic leading to the present board position (thus imitating the "backward" epistemic causality). One of the most astute and productive Nabokov scholars D. Barton Johnson finds this parallel irrelevant and deliberately misleading since a strict structural analogy is absent. Yet despite its absence, the implicit pattern of incomplete or partial return, together with the recurrent motif of retrospection and backward movement are sufficient reasons to consider the metaphor of "retrograde analysis" the basic hermeneutic figure of the novel. The retrograde motion is

realized in various forms: 1) escape and return to the old place; 2) the groping for the lost details of the past (e.g. the search for the "right door" of recollection after entering a wrong door in reality); 3) the involuntary return of the past; 4) the motif of entering or starting from the "other end". Thus, Luzhin senior's novel about a young chess genius, which starts from the end (the early death of the genius), serves as a *mise-en-abyme* for Nabokov's own text.

There is, finally, the steady complex of motifs of "turning away", "looking back", which creates a perspective of receding motion. The unfolding of the chain of motifs of backward motion culminates in the episode of Luzhin's suicide projected, as Alfred Appel has pointed out, on a still photo from Harold Lloyd's film "Safety Last" (1923), where Lloyd hangs on the wall of a skyscraper clinging to the clock hand of a huge clock (Appel 1974: 161). The episode refers to Luzhin's desire to "stop the clock of life, to suspend the game for good, to freeze". Time provides a false causation, where "chance mimics choice", disguising itself as destiny. Therefore stopping time would mean breaking the chain of false causality. In Nabokov's novel, time and natural causality formed by recurrent, repetitive patterns epitomize stasis, inertia and death.

Nabokov's strategy of "retrograde analysis" has been employed by Martin Amis in *Time's Arrow*. Written in 1991, Martin Amis' novel is a story of a German war criminal Dr. Tod Friendly told from the end to the beginning. This is a sample of philosophical-experimental fiction that discloses certain hidden aspects of narrative causality. Amis employs the technique of „antonymizing" (Chatman 2009) or reverse action (letters emerging from the dustbin or fire, milk given back to the milkman, etc.) to turn fictional time backwards. Both physical (the time of the diegetic world) and mental (the time of telling) time is reversed. The narrator is the disembodied mental "self", somehow unified with Tod's body, yet also separate. Chatman calls it "Soul": "Tod and Soul move in opposite temporal directions. For Tod the discourse moves backwards, from his death to his birth; for Soul, the movement is "forward into the past" [...] The implied reader is presented with two narratives – the narrative of Tod's life, and the narrative of Soul's effort to uncover and understand that life" (Chatman 2009: 41).

This type of narration is partially modeled upon Nabokov's novella *The Eye*. In Nabokov's story, the first-person narrator

commits suicide, yet his mental self lives on and creates the world anew. The self (the "I") has the function of the onlooker, witness, observer, i.e. the invisible "presence" or the mobile point of view in the world created, although it retains some traits of bodily presence, too. The other half of the "I" exists under Smurov's name as a "body" in the diegetic world. This other half is made visible by means of mirror reflections on the other characters' "surface". The "I" is the object of vision in the first part of the story and the subject of vision in the second part, where its alter ego Smurov is placed among the other characters. The "I" sees the self as the Other, yet this "visible side" is verbalized in the language of the other characters' experience. The narrator is, to use Mikhail Bakhtin's words, translated from the language of inner experience to the language of outward expression. The "I" (Eye) conducts an investigation, looking for the "real" Smurov among the multiple copies in other characters' minds. Partial fusion of the two halves occurs in the end.

Critics often describe technique of Amis' novel as a match to its content (the Auschwitz' "psychotically inversed world", the Nazis' inversed moral; the nostalgic wish to reverse time to make the past non-existent, see e.g. Sawyer 2002). However, the novel is not just an embodiment of a nostalgic wish to "turn clock backwards" to change the past. What is most interesting in Amis' novel is the reversal of the prospective and retrospective structuring: prospective structuring (chronology, telling the story) is turned backwards and retrospective (interpretive, hermeneutic) structuring is moving forward. Critics mention two basic effects of this strange structure: the absence of suspense or foreshadowing (on the diegetic level) and intensification (on the level of signification): "This strangeness makes mundane subjects interesting once again by somehow re-casting them so that the reader must work to understand them" (Chatman 2009: 50).

The causal connection is preserved in the novel, yet the backward movement of telling the story reveals that causality is a fact of interpretation without any supporting natural order or determination. Occultation of causality is accompanied by loosening of apparently natural connections and principal indeterminacy of relational meanings. Amis' experimental text demonstrates that time and causality are hypotheses, resulting from human predisposition to conceive events as causally linked to minimize indeterminacy and reader's

(listener's) compliance with author's intention to present a story as determinate. The narrative, in which retrospective and prospective structuring have changed places, lacks ready-made frames of interpretation: it demands a steady additional effort to understand and restore its meanings.

If Nabokov's and Amis' novels de-naturalize causality of mundane routine experience or pseudo-natural causality of the Western tradition of prophetic discourse and "gravitation to the future" inherent in it.

The triangle of main characters (Catherine, Simon, and Luke) reincarnates in each part of the trilogy ("In the Machine," "Children's Crusade," and "Like Beauty") to enter the alienating world of new technologies or even to metamorphose into biorobotic beings. The first story takes place in New York of the 1870s, the age of industrialization and industrial accidents. 12-year-old Lucas, whose brother was sucked into a factory machine and crushed by it, believes that machines are inhabited by the spirits of the dead. The boy's compulsion to spout Walt Whitman's verse looks like a desperate attempt of exorcism. In the second story, the female protagonist, police psychologist Cat (Catherine) Martin takes phone threats for the New York police department. Two terrorist attacks are committed by child suicide-bombers, both of whom call Cat before detonating. In both cases the child terrorist embraces his victim before blowing himself up. Finally, Cat herself turns out to be the potential victim of the third suicide-bomber, but she manages to dissuade the kid from his mission. The boy reminds her of her dead son, and, guided by this half-conscious projection, she takes the kid, boards the train and leaves the city in the hope to provide a happier life for him. The boy, who is initially nameless, takes the name of Cat's perished son Luke. The "family" frame (with its deepest archetypal meanings) and the tradition of American transcendentalism (Walt Whitman's understanding of love as self-annihilation, "absorption") becomes associated with the mortal mission and pre-programmed consciousness of the "crusaders".

The third part of the trilogy ("Like Beauty") forms a "strange loop" in respect to the first two. The voice of Whitman belongs to the visionary Luke in the first part, the suicide bomber who appropriates Luke's name in the second part, and, with a slight shift, to the "simulo" (replicant) Simon who is programmed to recite

Whitman's poetry in the third part. What might be perceived as a prophetic message becomes associated with the machine, automatic non-human transmission, which sheds retrospective ominous light on Luke's identity in the first and second part of the novel. When poetry becomes a "common language," a stereotype, it may be used for manipulative and destructive purposes. Walt Whitman himself becomes a "ghost in the machine", whose utopian and optimistic messages haunt the world, but are in sharp contrast with the gloomy environment inhabited by characters, who seem unable to understand the sense of these messages. The first story, that may be interpreted as a promise of freedom for humankind at the dawn of the Industrial Revolution, already comprises sinister symptoms of future degeneration and reversed prophecy: "Walt said that the dead turned into grass, but there was no grass where they'd buried Simon" (Cunningham 2006: 3).

Retrospective interpretation and "retrograde analysis" proceeding from an effect to its presumable causes do not aim at replacing the natural causality, as Culler's critics suspect: they rather aim at discovering another, hidden, "tropological" order of meanings behind the natural causality and narrative sequence. It is easy to notice that the notion of "intentional causality" is used here in the extended sense, not only as a combination of intentional stance and physical action, but also as a combination of intentional stance and its mental outcome, e.g. interpretation. I find David Herman's understanding of interpretative work as intentional creation of the storyworld on the basis of a textual blueprint particularly productive: "…textual designs are a blueprint for creating the storyworld whose immersive potential hinges on an interpreter's adoption of an intentional stance toward the textual blueprint, which would otherwise remain a vacuous, non-referring assemblage of symbolic representations" (Herman 250). The interpretative work requires (from both the character and the reader) the ability of "reading against the grain" of destiny, natural casuality and narrative sequence.

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Kultur als Differenzierung: Die Funktion der Klöpfgeißel-Geschichte in Thomas Manns *Doktor Faustus*

LIISA STEINBY

I

Beim Erscheinen von Thomas Manns Roman *Doktor Faustus* (1947) wußte das Publikum auf den Deutschland-Roman des größten deutschen Exilautors zu warten. Schon die ersten Leser lasen somit die Lebensgeschichte des genialen deutschen Komponisten Adrian Leverkühn, die der Roman bietet, als eine Art Allegorie des deutschen Schicksals, und die Parallelität zwischen der Geschichte Deutschlands in der ersten Hälfte des zwanzigsten Jahrhunderts und Leverkühns Lebensgeschichte wird von Serenus Zeitblom, dem Freund und Biograph Leverkühns, tatsächlich recht stark unter- strichen. Viele Leser, die im Roman eine Auseinandersetzung mit dem Nazismus, begründet in einer gesellschaftlich-politischen Ana- lyse seines Aufstiegs und seiner Entwicklung, erwarteten, fühlten sich aber enttäuscht. Der Roman handelt mehr von dem geistigen Deutschland als von dem politisch-gesellschaftlichen, und viele zweifelten, ob auch nur zu jenem Zweck die Lebensgeschichte des genialen Komponisten dient: sie sahen in der Faust-Allegorie eine Mystifizierung der Geschichte Deutschlands und der deutschen Schuld.[1]

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[1] So schreibt Ernst Fischer: „[M]an könnte aus diesem Roman der deutschen Katastrophe eine Antwort herauslesen, die nur allzusehr unheilvoll romantischen Bedürfnissen vieler Millionen Menschen in dem eingestürzten Deutschland entgegenkommt. Über Adrian Leverkühn und über Deutschland

Aus einer etwas größeren Entfernung ist es aber leichter ein-
zusehen, daß es Thomas Mann überhaupt nicht um die Geschichte
Deutschlands in dem gewöhnlichen Sinne des Wortes ging. An
Deutschland interessierte ihn nur das Geistig-Kulturelle, aber eigent-
lich vertritt Deutschland für ihn die Kultur im allgemeinen. Die Per-
spektive, aus der Thomas Mann die ,deutsche Katastrophe' betrachtet
(cf. Meinecke 1946), ist nicht in erster Linie die Geschichte Deutsch-
lands, sondern die Gefahr, die in der menschlichen Kultur überhaupt
droht. Mit anderen Worten, in *Doktor Faustus* vertritt die deutsche
Kultur für Thomas Mann die menschliche Kultur überhaupt.

„Kultur" war eines der Hauptthemen, oder sogar das Hauptthema
in den *Betrachtungen eines Unpolitischen* (1918), der Streit- und
Bekenntnisschrift, in der Thomas Mann seine Stellung zum Ersten
Weltkrieg herausarbeitet. Die Schrift wird von dem Gegensatz
zwischen der „deutschen Kultur" und der „westlichen Zivilisation"
getragen, der in der damaligen intellektuellen Diskussion in Deutsch-
land geläufig war. In Thomas Mann Version besteht der Gegensatz
darin, daß während die Zivilisation einseitig auf die Vernunft baut
und deswegen in einem seichten Rationalismus endet, bekennt die
Kultur sich zu dem tiefen, irrationalen Urgrund des Lebens. Thomas
Mann vertrat einen festen Standpunkt gegen den Sinn für Politik, der
nach seiner Meinung die französischen „Zivilisation" charakterisiert,
und für die deutsche Kultur, deren Geist er in der Nachfolge
Wagners und Nietzsches allererst in der Musik ausgedrückt fand.[2] Es

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[...] ist eben ein übermenschliches, ein ,dämonisches Schicksal' herein-
gebrochen. [...] man erinnere sich, daß dieser Schicksalsmythos nach Stalingrad
zu einem Leitmotiv der deutschen Propaganda wurde, daß man die Fieber-
vision von der ,Germanen Untergang' als eine kolossale ,Götterdämmerung'
heraufbeschwor, daß man, um von realen Ursachen abzulenken, an die
steinerne Riesengottheit, an das „Schicksal" appellierte. Es ist wie in der
Schicksalstragödie: wenn das Schicksal die Lose wirft, tragen Menschen keine
Verantwortung, da gibt es keine rationell erfaßbaren Ursachen, da ist ein
mythologisches Ungewitter über die Köpfe der Menschen hinweggerollt."
(Fischer 1953: 314 f).

[2] „Die These der *Betrachtungen eines Unpolitischen*, die Thomas Mann
und Bertram 1918 gleichermaßen vertreten haben, das *Deutschtum* werde
durch *Musik*, die Zivilisation dagegen durch *Politik* definiert", schreibt
Bernhard Böschenstein (1978: 70). Thomas Mann bezieht sich in der Ent-

ist dabei wichtig wahrzunehmen, daß sich Thomas Mann mit seinem Begriff der Kultur dem Erbe Nietzsches und derjenigen anderen anschließt, für die die Kultur sich nicht allein aus dem Geist entwickelt. Das Nicht-Geistige, das Körperliche und Triebhafte ist für ihn der Urgrund, aus dem der Kultur hervorspringt und das Nicht-Geistige mit den Formen des Geistes versöhnt.[3]

Doktor Faustus unterscheidet sich sowohl von *Betrachtungen eines Unpolitischen* als auch von *Joseph und seine Brüder* darin, daß die irrationale Basis der Kultur als eine Gefahr für dieselbe erscheint. Die irrationale Basis der Kultur tritt nach Thomas Manns Ansicht besonders geprägt im (ausgehenden) Mittelalter und in der Reformation in Erscheinung. Es ist nicht übertrieben zu sagen, daß diese Zeitalter deswegen für ihn symbolhaft das Wesen der Kultur ausdrücken. Diese Zeitalter bestimmen das geistige Klima des *Doktor Faustus*: das ausgehende Mittelalter wird als die bestehende Atmosphäre Kaisersascherns, der Schulstadt Leverkühns, geschildert; und Kaisersaschern ist der Inbegriff des geistigen Deutschlands überhaupt. Die Reformation wird, in Anlehnung an Nietzsches Verständnis der Gestalt Luthers, als Rückgang zu einer schon überholten Anschauung der Welt dargestellt.[4] Für Thomas Mann nähert sich die Religion wesensmäßig der Dämonologie: Luther, der das Tintenfaß auf den Teufel wirft, ist für ihn das deutlichste Zeichen dafür, und Luther ist für den Verfasser des *Doktor Faustus* das Symbol der deutschen Geistesverfassung. Die Tintenfaßszene wird im Roman in einer parodistischen Variation in der Figur eines Lehrers von Adrian, des Professors für Theologie namens Kumpf wiederholt. Der wichtigste Fall der Dämonologie ist im Roman selbstverständlich der

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wicklung der Gegensätzlichkeit auf Nietzsches Bemerkung über die „Meistersinger" (*Betrachtungen eines Unpolitischen*, XI, 31).

[3] Den engen Zusammenhang zwischen Form und Geist bei Thomas Mann hat Ernst Nündel (1972: 138) sehr schön formuliert, indem er schreibt: „Form ist das Produkt höchster Geistigkeit, die sich das Leben erkennend unterwirft, es durchsichtig macht und beseelt. Form ist durch Geist geprägtes Leben, Gestalt gewordene Erkenntnis des Lebens."

[4] Bei Nietzsche findet man die Stelle: „Luther [...] hat die Kirche, und, was tausendmal schlimmer ist, das Christentum wiederhergestellt, im Augenblick, *wo es unterlag...*" (Nietzsche 1999: 359.)

„Teufelspakt", den der ehemalige Student für Theologie Leverkühn eingeht und der aus ihm einen neuen Faust macht.

Doktor Faustus ist eine Geschichte davon, wie die Kultur in die Barbarei entartet, und die Analyse der Gründe, die dazu führen. Das Drama des Lebens der Hauptperson, die in der geistigen Um-nachtung endet, wird in der Geschichte Deutschlands wider-gespiegelt. Leverkühn hatte den Vertrag mit dem Teufel unter-schrieben, indem er sich im Umgang mit einer Prostituierten, der „Hetaera Esmeralda", die Syphilis geholt hatte. Die Krankheit bringt ihm teuflische Inspiration und befreit ihn so von der durch den kritischen Intellekt verursachten künstlerischen Lähmung. Er be-kommt vierundzwanzig schöpferische Jahre, nach denen der Teufel ihn aber abholen soll. Parallel mit der Erfüllung seines Geschicks läuft die deutsche Geschichte. Zeitblom, alles andere als ‚serenus' (gelassen), schreibt die Biographie seines Freundes in den letzten Jahren des Zweiten Weltkriegs, und seine tiefe Erschütterung angesichts der Ereignisse prägt sein Erzählen. Der Roman endet in einem Ton der Verzweiflung, in dem kaum ein Strahl der Hoffnung zu unterscheiden ist.

Bis Thomas Mann 1943 an Doktor Faustus zu schreiben anfing, arbeitete er seit 1926 an seinem großen humanistischen Roman mit dem biblischen Thema, der Romantetralogie *Joseph und seine Brüder* (erschienen 1933–43). In diesem Roman beschreibt er an-hand der Hauptperson und dessen Familie und Vorfahren die Bildungsgeschichte eines Individuums so wie der ganzen Menschheit einer vollkommneren Humanität entgegen. Der Mensch sieht ein, wie zwischen den Göttern des Himmels und denen der Tiefe, zwischen den Erfordernissen des Geistes und des Körpers eine Vermittlung zu suchen ist, und er lernt für das Wohlhaben aller zu arbeiten. Hat Thomas Mann denn in *Doktor Faustus*, seinem letzten großen Roman, die Hoffnung völlig aufgegeben, daß die Menschheit sich je einer größeren Humanität, einer Harmonie von Geist und Körper, entgegen entwickeln kann, oder hat er sogar die Kultur als eine Illusion entlarvt, als eine Schleier über der Barbarei, die sich jede Zeit in ihrer wahren Gestalt entblößt zu werden droht? Ich glaube, daß man die letztere Frage ganz bestimmt und die erstere zögernd verneinen kann – und daß man dies anhand der unauf-fälligen Geschichte von Heinz Klöpfgeißel zeigen kann.

II

Zeitblom beendet seinen Bericht über das Theologiestudium seines Freundes mit dem Bericht von den Vorlesungen des Dozenten Schleppfuß. „Mit einigen Worten aber muß ich noch einer Lehrerfigur gedenken, die sich ihrer intrigierenden Zweideutigkeit wegen meinem Gedächtnis stärker eingeprägt hat als alle anderen", fängt die Darstellung an.[5] Die Einführung ist ein doppeltes ironisches Herunterspielen. Einmal gilt das für den Umfang „einiger Worte", denn der Bericht über Schleppfuß umfaßt das ganze dreizehnte Kapitel. Zum anderen ist die Begründung der Aufnahme des Berichts über „noch eine Lehrerfigur" ein Herunterspielen in dem Sinne, daß es sich dabei ja um eine Figur handelt, die im großen Gespräch zwischen Lverkühn und Teufel im fünfundzwanzigsten Kapitel des Romans als eine Inkarnation des Teufels wiederkehrt. Schleppfuß' Figur steht mit anderen Worten, so wie der Name schon andeutet, in engster Verbindung mit dem Faust-Thema, dem Schlüsselthema des Romans. Darüber hinaus ist die Geschichte, die Zeitblom nun erzählt, aber thematisch viel bedeutender als die anekdotenhafte Darstellung nahelegt.

Zeitblom berichtet von Schleppfuß' „religionspsychologischen" Vorlesungen, in denen die Theologie ihre Neigung offenbart, in Dämonologie zu übergehen. Die Freiheit, die Gott dem Menschen gab, ist die Freiheit zu sündigen, und „Frömmigkeit besteht darin, von der Freiheit aus Liebe zu Gott, der sie geben mußte, keinen Gebrauch zu machen." (S. 137) Der Vortragende redet auch von dem Zusammenhang des Bösen mit dem Geschlechtlichen, das ja schon traditionell als das Urböse angesehen wurde. Die zweite Hälfte des Kapitels besteht aus einer von Schleppfuß erzählten Geschichte, die diese Zusammenhänge veranschaulicht. Dem Leser fällt es nicht schwer, die Thematik der Geschichte mit der Faust-Thematik in Zusammenhang zu bringen, auch wenn Zeitblom das nicht selber tut. Denn die Themen sind gerade die tragenden Themen in Leverkühns Schicksal als ein neuer Faust: Sexualität, Krankheit, Sünde, Strafe

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[5]   Doktor Faustus: Das Leben des deutschen Tonsetzers Adrian Leverkühn erzählt von einem Freunde, 133; von nun an wird im Text auf das Werk mit der bloßen Seitenzahl hingewiesen.

und das Dämonische sind in seiner Geschichte unzertrennlich miteinander verknüpft.

Die Geschichte von Heinz Klöpfgeißel spielt sich am Ende des fünfzehnten Jahrhunderts in einer deutschen Kleinstadt ab. Der junge Faßbinder Klöpfgeißel steht in „inniger Wechselneigung" mit der Glöcknerstochter Bärbel, aber der Glöckner verbietet die Eheschließung, bis der Bursche ein Meister in seinem Gewerbe ist. Die Neigung der jungen Leute war aber größer als ihre Geduld, und "aus dem Pärchen war vor der Zeit schon ein Paar geworden." (S. 143) Zufälligerweise stellt sich heraus, daß Klöpfgeißel in der Gesellschaft anderer Frauen sexuell unvermögend ist. Der Pfarrer, dem er die Besorgnis beichtet, überzeugt ihn, daß der Teufel sich durch Bärbel in die Sache eingemischt hat. In der Inquisition gesteht das Mädchen ihre Verbindung mit einer Hexe, und zusammen mit diesem alten Weib wird sie auf dem Scheiterhaufen verbrannt. Danach ist Klöpfgeißel die „freie Verwendung über seine Männlichkeit zurückgegeben" (S. 147).

Es wird nicht erzählt, was Adrian von dieser Geschichte denkt, „der sich in bezug auf seine Lehrer und das von ihnen Vorgetragene immer zurückhaltend und schweigsam verhielt" (ebd.). Seine eigene Empörung spricht Zeitblom deutlich aus. Klöpfgeißel sei ein "Mordsesel" gewesen, da er nicht verstand, sich mit der Ausübung seiner Männlichkeit mit der einzig Geliebten zu begnügen.

> Was hieß hier ‚Unvermögen', wenn er bei der einen das Vermögen der Liebe besaß? Die ist gewiß eine Art von edler Verwöhnung des Geschlechtlichen, und wenn es nicht natürlich ist, daß dieses die Betätigung ablehnt bei Absenz der Liebe, so ist es doch nichts weniger als unnatürlich, daß es das tut in Gegenwart und im Angesicht der Liebe. (Ebd.)

Die Anekdote, in der es sich um Sexualität, Sünde und Strafe handelt, hängt in einer offensichtlichen Weise mit dem Faust-Schicksal Leverkühns thematisch zusammen. Das Anekdotenhafte und zugleich Anstößige an der Geschichte verbunden mit der scheinbaren Einfachheit des Inhalts, der in Zeitbloms Kommentar erschöpft erscheinen mag, ist wohl der Grund dafür, daß die Geschichte in der Forschungsliteratur nicht besonders berücksichtigt worden ist. Es lohnt sich aber, die Geschichte etwas eingehender zu

analysieren, weil sie meines Erachtens eigentlich eine Art von *mise-en-abyme* (siehe dazu Dällenbach 1977) bzw. Spiegelbild *en miniature* der im Roman zentralen Problematik der Kultur ist, so wie diese anhand der Geschichte Leverkühns und des Schicksals Deutschlands dargestellt wird.

III

Spricht man von einer *mise-en-abyme* oder einer Parallele, so ist es zunächst klar, daß Klöpfgeißel als Charakter nichts mit Adrian Leverkühn zu tun hat; daran kann auch eine genauere Betrachtung seiner Geschichte nichts ändern. Der einfache Faßbinder hat mit dem (spät)modernen Komponisten nichts zu tun. Seine Geschichte kann deswegen in demselben Sinne keine Parallele zu Leverkühns Faust-Schicksal abgeben, wie die Geschichten der beiden Schwestern Rodde es tun, die mit Leverkühn das moderne Bewußtsein mit seinen Widersprüchen teilen, vor allem den tief erlebten, tief erlittenen Widerspruch zwischen Geist und Trieb. Klöpfgeißel teilt mit Leverkühn nur eine grundlegende Unbeholfenheit in bezug auf die menschliche Sexualität.

Nach Zeitbloms Kommentar sei Klöpfgeißel ein Tölpel gewesen, weil er die „natürliche Wunderkraft des Seelischen" nicht erkennen konnte, dessen „Fähigkeit, auf das Organisch-Körperliche bestimmend und verändernd einzuwirken" (S. 148). Denn das Besondere an dem menschlichen Lebewesen sei ja gerade, daß in ihm der Körper von der Seele beeinflußt wird:

> Er erkaltete und erhitzte sich vermöge der Furcht und des Zornes, er magerte ab vor Gram, erblühte vor Freude, bloßer Gedankenekel konnte die physiologische Wirkung verdorbener Speise hervorbringen, der Anblick eines Tellers mit Erdbeeren die Haut des Allergikers mit Pusteln bedecken, ja Krankheit und Tod konnten die Folge rein seelischer Einwirkungen sein. (Ebd.)

Im vorigen Kapitel wird die Begeisterung Leverkühns (und Zeitbloms) über Aristoteles' Lehre vom Körper und von der Seele geschildert, „vom Stoff als dem Potentiellen, Möglichen, das zur

Form drängt, um sich zu verwirklichen; von der Form als dem bewegenden Unbewegten, das Geist ist und Seele, die Seele des Seienden, die es zur Selbstverwirklichung, Selbstvollendung in Erscheinung treibt; von der Entelechie also, die, ein Stück Ewigkeit, den Körper belebend durchdringt" (S. 127). Leverkühn ist bereit, in der Seele als Form des Seienden das reine Prinzip der Geistigkeit, also des Göttlichen, in der Natur zu sehen (ebd.).

Klöpfgeißel versteht dieses wunderbare Zusammenspiel von Seele und Körper nicht. Er ist nicht imstande, eine Vergeistigung, eine Humanisierung des Triebes in der Wahl zu sehen, die sein Körper in bezug auf den Geschlechtsakt getroffen hat. Er will in einen primitiveren Zustand zurück, wo die Wahl fehlt, die aus der rein natürlichen Geschlechtlichkeit eine Vermischung von Natürlichem und Seelisch-Geistigem macht.

Diese Vermittlung von Natürlichem und Geistigem fehlt auch bei Leverkühn. Zeitblom spricht davon, wie gerade bei den Geistigsten, zu denen Leverkühn gehört, die zwischen Geist und Natur vermittelnde Instanz, die Seele, fehle, die imstande sei, den Trieb in die schöne Form der Liebe zu hüllen. Der Geistigste sieht der nackten Begierde in die Augen und ergibt sich ihr. So begegnet Leverkühn dem Trieb in der Gestalt der Prostituierten und besteht darauf, diese Begegnung zu der „Erkenntnis" der Frau zu bringen. Zeitblom tröstet sich allerdings damit, daß etwas „einer Liebesbeziehung Ähnliches" (S. 205) in Adrians Beziehung zur „Hetaera Esmeralda" zu entdecken sei, da Adrian darauf besteht, gerade bei dieser Dirne die Geschlechtlichkeit kennenzulernen. In der „kruden *Fixierung* der Begierde auf ein bestimmtes und individuelles Ziel" (S. 204; Kursivierung ursprünglich) sieht er eine rudimentäre Form der Wahl, d.h. der Vergeistigung des Triebes.

Das Fehlen der vermittelnden „Seele" gehört zu Leverkühns Faust-Schicksal. Er selbst vergleicht sich mit der kleinen Seejungfrau Andersens, die furchtbare Schmerzen leidet, um menschliche Liebe und dadurch eine unsterbliche Seele zu gewinnen. In Leverkühns späte Komposition *Apocalipsis cum figuris* hört Zeitblom eine inständige Bitte um Seele ausgedrückt (S. 501). Im folgenden Kapitel fängt die Geschichte von Marie Godeau an, die Adrians Versuch ist, aus der Einsamkeit in die menschliche Wärme auszubrechen. Das Scheitern des Planes zur Verehelichung steht aber im voraus fest, ja es ist nach Zeitbloms Meinung von Adrian selbst

beabsichtigt. Denn eigentlich sei der Plan, Marie zu heiraten, zur
Auflösung von Leverkühns Beziehung zum verführerischen Rudi
Schwerdtfeger bestimmt (und dieses gelingt ihm auch, wenn auch in
einer unerwarteten Weise, wenn Rudi von der eifersüchtigen Ines
Rodde erschossen wird). Zum Teufelspakt Adrians gehört, daß ihm
die Liebe verboten ist. Es darf für ihn keine Mittelstellung zwischen
der eisigen Kälte und dem brennenden Feuer geben; er soll keine
Vermittlung zwischen Geist und Körper erleben, sondern nur den
Geist und den nackten Trieb kennen.

Leverkühn sehnt sich nach der Seele. Der Tölpel Klöpfgeißel
versteht nichts von der seelischen Wirkung der Liebe in sich. Sein
Körper bekennt sich zu der Wahl, die er in seiner Liebe zu Bärbel
getroffen hat, aber er will den Prozeß der Vergeistigung des Triebes
rückgängig machen. Versteht man nichts von der Humanisierung
oder der Vergeistigung der Natur, dann fällt man zurück in die
Barbarei, wie es das Schicksal Bärbels konkret zeigt.

IV

Obwohl die Deutschen für Thomas Mann in *Doktor Faustus* immer
noch die Kultur vertreten, sind die Gefahren, die in der sich zum
Irrationalen bekennenden Kultur stecken, jetzt nicht mehr zu
übersehen. Die Kultur droht von ihrem Wesen her, in Barbarei um-
zuschlagen. Es handelt sich im *Doktor Faustus* nicht mehr um eine
Auseinandersetzung der Kultur mit der „Zivilisation", so wie in den
Betrachtungen eines Unpolitischen, sondern die Kultur wird jetzt in
ihrem innerlich zweideutigen bloßgelegt.

In Leverkühns Schicksal wird die der Kultur drohende Gefahr des
Umschlags in den Gegensatz des Geistig-Humanen gezeigt. Zwar
vertritt Leverkühn selbst nie die Barbarei, obwohl in seinen Werken
die in der Kultur – in der deutschesten der Künste, der Musik –
unterschwellige Barbarei zum Vorschein kommt. Ein von Leverkühn
wiederholt benutztes Mittel, die Anwesenheit des Urgründigen, des
barbarischen Urzustands in der Musik auszudrücken, ist der
Gleitklang (Glissando), das Gleiten auf der Skala ohne festgelegte
Noten. „Das Geheul als Thema – welches Entsetzen!", kommentiert
Zeitblom die Wirkung dieses Mittels (S. 497). Der Übergang vom
Glissando zu unterschiedlichen, festgelegten Notenhöhen steht im

Doktor Faustus für das Entstehen der Kultur, so wie das Rückgreifen
darauf ein Zeichen der Rebarbarisierung ist.

Eine ähnlich erschütternde Wirkung hat der Umschlag des
Gesangs in die Instrumentalmusik, die als Enthumanisierung der
Musik interpretiert wird. Dieses Mittel benutzt Leverkühn am Ende
seines letzten großen Werkes *Doktor Fausti Weheklag*. Es handelt
sich, so wie Zeitblom erklärt, um die Rücknahme der Neunten Sym-
phonie Beethovens, in deren Chorpartie der Glaube an die Humanität
im Übergang von der Instrumentalmusik zum Chorgesang aus-
gedrückt wird. Das Nicht-Unterscheiden des Menschlichen vom
Nicht- bzw. Unmenschlichen in *Doktor Fausti Weheklag* sagt dem
Glauben an die Humanität ab.

In der Rückkehr zum Irrationalen verschwindet der Unterschied
zwischen der vergeistigten und der nicht-vergeistigten Natur.
Barbarei bedeutet gerade diesen Zustand des Nichtunterscheidens.
Für Thomas Mann bedeutet Kultur Differenzierung und Barbarei
deren Gegensatz: Verschwinden der Nuance, Verwischen der Unter-
schiede. Dies wird im Zeitkommentar „Leiden an Deutschland.
Tagebuchblätter aus den Jahren 1933 und 1934" deutlich genug
ausgedrückt:

> Die Primitivisierung. Die Nuancen als das rote Tuch.
> Die fast jähe Niveau-Senkung, der Kulturschwund, die
> Verdummung und Reduzierung auf eine Kleinbürger-
> Massen-Mentalität, von den Intellektuellen nicht mit
> Schrecken, sondern mit perverser Bejahung als
> ‚Barbaren-Einfall‘ von innen begrüßt. (XII, 695)

Dieselbe perverse Bejahung der drohenden Barbarisierung einfach
aus dem Grund, daß es das Kommende ist, beklagt Zeitblom im
Umgang im Haus seines Bekannten Kridwiß. Die Zusammenkünfte
des Kridwiß-Kreises finden in den zwanziger Jahren gleichzeitig mit
Leverkühns Komponieren der *Apokalypse* statt. „Der Haß von
Vereinfachten gegen die Nuance, die als solche als antinational und
Galle erregend empfunden wird. (Mein Wagner-Aufsatz.)", schreibt
Thomas Mann in dem erwähnten Aufsatz weiter (XII, 700). Die
letzte Anmerkung bezieht sich auf den Angriff, den er nach der
Veröffentlichung der Rede „Leiden und Größe Richard Wagners"
erleben mußte, die in den „patriotischen" Kreisen als eine
Schändung des Nationalhelden angesehen wurde. Dieser Angriff

verursachte, wie bekannt, Thomas Manns Fernbleiben von Deutsch-
land 1933, das sich dann zu den Jahren des Exils ausweitete.

Das Verschwinden der Differenzierung bedeutet eine rückläufige
Entwicklung der Kultur zur Barbarei hin. Die Klöpfgeißel-
Geschichte handelt von dieser Art rückläufiger Entwicklung bis zur
Barbarei. Klöpfgeißel ist ein „Mordsesel", weil er die Humani-
sierung des Triebes, die in ihm stattgefunden hat, nicht versteht. Er
ist ein Barbar, ein Reaktionär im Prozeß der Humanisierung, wenn er
in den Zustand nicht differenzierender Sexualität zurück will.

Klöpfgeißel ist mit Laban in *Joseph und seine Brüder* ver-
gleichbar, über den Thomas Mann schreibt:

> Ein Gottesdummkopf ist Laban, der noch glaubt, sein
> Söhnchen schlachten und im Fundament seines Hau-
> ses beisetzen zu sollen, was einmal ganz segensreich
> war, aber aufgehört hat, es zu sein. Das eigentliche
> und ursprüngliche Opfer war Menschenopfer. Wann
> kam der Augenblick, wo es zum Greuel und zur
> Dummheit wurde? Die Genesis hält ihn fest, diesen
> Augenblick, im Bilde des verwehrten Isaak-Opfers,
> der Substituierung des Tieres. Hier löst sich ein in
> Gott fortgeschrittener Mensch von überständigem
> Brauch, von dem, worüber Gott mit uns hinauswill
> und schon hinaus ist. Frömmigkeit ist eine Art der
> Klugheit, sie ist Gottesklugheit.[6]

Laban, der Erdenkloß, betrügt Jaakob, indem er ihm im Dunkel der
Nacht statt Raahel seine ältere Tochter Lea ins Brautbett bringt.
Jaakob lobt der gemeinten Raahel, der lange geliebten, den Unter-
schied, der von der Geliebten einzigartig macht. Seine Begeisterung
gipfelt im Ausruf „Gott ist die Unterscheidung!" (IV, 308) Im
Morgengrauen nimmt er seinen Irrtum wahr und erweckt seinen
Schwiegervater, um ihn mit seinem Zorn zu überschütten. Der Alte
verspricht ihm jetzt auch die jüngere Tochter, aber er betrachtet nun
als bewiesen, daß in dem Wesentlichen, im Zeugen, die eine Tochter
ebenso gut ist wie die andere, „[d]as übrige sind Grillen" (S. 315).
Die Klöpfgeißel-Thematik wiederholt sich hier.

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[6] „Joseph und seine Brüder. Ein Vortrag". XI, 68.

Joseph und seine Brüder erzählt die Menschheitsgeschichte in Form eines alttestamentarischen Mythos. Es wird die Geschichte der Entdeckung Gottes und die Entwicklung von Gottesvorstellungen und dadurch die Geschichte der Humanisierung des Menschen erzählt. Der Fromme soll darauf achten, was in dem jeweiligen Zeitpunkt das Richtige ist. Thomas Mann äußert sich dazu:

> Sollte ich bestimmen, was ich persönlich unter Religiosität verstehe, so würde ich sagen: sie ist *Aufmerksamkeit* und *Gehorsam*; Aufmerksamkeit auf innere Veränderungen der Welt, auf den Wechsel im Bilde der Wahrheit und des Rechten; Gehorsam, der nicht säumt, Leben und Wirklichkeit diesen Veränderungen, diesem Wechsel anzupassen und so dem Geiste gerecht zu werden. In Sünde leben heißt gegen den Geist leben, aus Unaufmerksamkeit und Ungehorsam am Veralteten, Rückständigen festhalten und fortfahren, darin zu leben. (Ebd., S. 667 f.)

Der geschilderte Prozeß, in dem man auf die Veränderungen des Geistes achtet und sein eigenes Verhalten an sie anpaßt, ist der Prozeß der Humanisierung. Dies stimmt mit dem oben über die Kultur als Differenzierung Gesagten überein: die Humanisierung, der Prozeß der Kultur ist Verfeinerung, Nuancierung, Entdeckung neuer, bedeutender Unterschiede.

Die Geschichte von Heinz Klöpfgeißel zeigt, daß Thomas Mann an seiner vorigen Auffassung von Kultur als Differenzierung und von der Barbarei als Nicht-Unterscheiden-Wollen bzw. -Können festhält. Also besteht sein Ethos für die Kultur und für die Humanität auch in *Doktor Faustus*.

Daß in Thomas Manns Werkes ein humanistisches Ethos zu finden ist, hätte man früher kaum angezweifelt. Die neueren Ansichten zu seiner angenommenen Anlehnung an Schopenhauer und zu seinem „Narzißmus" haben das Thomas-Mann-Bild der Forschung aber beträchtlich verändert: das Bild des „letzten großen Vertreters des Humanismus" gilt nicht mehr unbedingt. Der Narzißmus, den man nicht nur in seinem Leben, sondern auch in

seinen Werken zu entdecken glaubt,[7] untergräbt ihr humanistisch-soziales Ethos. Und wenn er tatsächlich von Schopenhauer die Metaphysik angeliehen hat, nach der hinter den verschiedenen, bunten Erscheinungen der wahrnehmbaren Welt dieselbe tiefere Wahrheit, die des blinden Willens bzw. Triebes, steckt,[8] fehlt für ihn der humanistischen Kultur die Grundlage.

Dem entsprechend haben die „Schopenhauerianer" unter den Thomas-Mann-Forschern, Dierks und Kristiansen, in der unübersehbaren Mannigfaltigkeit der Phänomene in Thomas Manns Werken nur eine Welt des Scheins sehen wollen, hinter der das All-Eine steckt. So meint Dierks, Thomas Mann bilde in seinem Erzählverfahren das Denken Schopenhauers nach, indem er einzelne Elemente der Erzählung zu einem „Beziehungsfest" der Identitäten und Entsprechungen verbinde,

> das Schopenhauers Wahrheit von der ‚innere[n] Verwandtschaft zwischen allen [...] Erscheinungen' in der Sprachmaterie selbst noch einmal abbildet. [...] Die Durchlässigkeit der Individualgrenzen destabilisiert das Erzählte [...], mit Schopenhauer verstanden stellt sich die metaphysische Perspektive ein: Eigentlich real sind nicht die Einzelwesen, sondern das Ding an sich ‚hinter ihnen', und das ist – von hier aus gesehen – das Nichts. (Dierks 1987, S. 274.)

Kristiansen führt das Argument noch weiter. Die folgende Stelle bezieht sich auf Thomas Manns berühmte Leitmotivtechnik:

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[7]   Maßgebend ist hier Hans Wyslings Untersuchung zu *Felix Krull* (1982). Den Anstoß zur Diskussion über Thomas Manns Narzißmus gab die Erscheinung seiner Tagebücher seit 1977. Hermann Kurzke schreibt dazu: „Sie [die Tagebücher] zeigten nicht den monumentalen Praeceptor Germaniae voll einschüchternder Humanitätsrhetorik, sondern einen problematischen Menschen: hypochondrisch, nervös, empfindlich, bisexuell, einsam, eingebildet, eitel und narzißtisch, gewaltige Spannungen in sich aushaltend zwischen der öffentlich geforderten Rolle, die er mit gemessener Präzision zu spielen wußte, und den Ansprüchen seines verletzlichen Ichs." Kurzke 1991, 14.

[8]   Wie das Schopenhauerische Denken Thomas Manns Werke bestimmt, haben in einer neuen Tiefe Manfred Dierks (1972) und Børge Kristiansen (1978) gezeigt.

> Indem das Leitmotiv alles miteinander in Beziehung
> setzt, alles grundsätzlich für alles eintreten und stehen
> kann, entindividualisiert es auch und verwischt so in
> der Kunst die Grenzen zwischen den Phänomenen, die
> in der Lebenswirklichkeit sowohl in zeitlicher als auch
> räumlicher Hinsicht klar und eindeutig voneinander
> unterschieden sind, und es verweist dadurch immer
> wieder auf die Scheinhaftigkeit der empirischen Welt
> und der dargestellten Wirklichkeit. (Kristiansen 1990:
> 830.)

Diese Ansicht bedeutet aber, obwohl es hier nicht deutlich aus-
gesprochen wird, die Verneinung von Thomas Manns Humanismus.
Der Wille, der triebhafte, irrationale Grund des Lebens, soll für ihn
die wahre Wirklichkeit sein, und die alltägliche Wirklichkeit, wo
Unterschiede gelten, sei nur Schein und von ihm als Schein entlarvt.

Schopenhauer ist in diesem Sinne aber nicht die Grundlage des
Denkens Thomas Manns. Er akzeptiert die Ansicht Schopenhauers,
was den irrationalen Urgrund des Lebens anbelangt, aber nicht alles
geht darauf zurück. Die universale Identität gilt nur auf einer Ebene.
Denn daß das Urgründige überall das gleiche ist, hebt die Bedeutung
der Unterschiede in der Welt der Erscheinungen, die kulturell ge-
schaffen ist, nicht auf. Alles fließt nicht in eins zusammen, sondern
die Unterschiede haben ihre menschliche und humanisierende
Bedeutung.

Die Kultur beruht darauf, daß die Unterscheide gelten. Statt das
menschliche Leben auf das eine, Natürlich-Triebhafte zurückführen
zu wollen steht Thomas Mann für die Kultur, die in dem Natürlichen
Unterschiede schafft. In seiner Ansicht gesellt sich zu dem Urgrün-
digen Schopenhauers der Begriff der Kultur des jungen Nietzsche,
der nach seinen eigenen Worten dessen wichtigster Begriff für ihn
war.[9] Diesen Begriff versteht er im Sinne der *Geburt der Tragödie*
als eine Vereinigung der apollinischen und der dionysischen Kom-
ponente, d.h. des individualisierenden, differenzierenden Bildes und
der entindividualisierenden, entdifferenzierenden Musik. Die
Dualität könnte man ebenso durch die Begriffspaare Form und Stoff,

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[9] „Leben, Kultur, Bewußtsein oder Erkenntnis, Kunst, Vornehmheit, Moral,
Instinkt. In diesem Ideenkomplex dominiert der Begriff der *Kultur*."
Nietzsche's Philosophie im Lichte unserer Erfahrung, IX, 685.

„Geist" und „Leben" ausdrücken. Die Idee von einer Formenwelt, die sich über dem Formlosen, Urgründigen des irrationalen Lebens aufbaut, hat Thomas Manns Begriff der Kultur für immer bestimmt. Die Humanisierung des Natürlichen ist für Thomas Mann ein Menschheitsprojekt, so wie er es in *Joseph und seine Brüder* darstellt; aber wegen des Doppelcharakters der Kultur ist die Humanität von unten bedroht und steht alle Zeit in Gefahr, in die Barbarei zurückzufallen.

Doktor Faustus ist selbst ein Werk der Kultur, in dem eine enorme Menge von Einzelheiten und Ideen aus der europäischen Kulturgeschichte aufgenommen und aufgearbeitet wird. Trotz des Beziehungsnetzes, in dem jede Einzelheit und Idee mit einer großen Anzahl anderer verknüpft ist, so daß das Ganze zuletzt unübersehbar kompliziert wird, sind die Unterschiede zwischen den Phänomenen durch das In-Beziehung-Setzen nicht verwischt. Bloß in der Barbarei gelten die Unterschiede nicht mehr. Die Kultur ist Differenzierung, trotz des gemeinsamen Urgrundes, die letztendlich die Phänomene miteinander verbindet.

Das wird sinnbildlich an einer Stelle in Zeitbloms Analyse von *Apocalipsis cum_figuris* gezeigt. Zeitblom berichtet von der geheimen Identität der Musik im Höllengelächter und im himmlischen Gesang des Engelschors. Er spricht von der Lieblichkeit des Klanges im letzteren und sagt: „Und dieses Stück, das auch Widerstrebende gewonnen, gerührt, entrückt hat, ist für den, der Ohren hat, zu hören, und Augen, zu sehen, nach seiner musikalischen Subtanz das Teufelsgelächter noch einmal!" (S. 502). Zeitblom sieht in der Stimmigkeit eine „zum Geheimnis erhobene Berechnung" (S. 503). Aber Adrians Genie zeigt sich gerade darin, daß er aus dem Gleichen ganz Andersartiges schafft:

> Überall ist Adrian Leverkühn groß in der Verungleichung des Gleichen. Man kennt seine Art, ein Fugenthema schon bei erster Beantwortung rhythmisch so zu modifizieren, daß es trotz strikt bewahrter Thematik als Wiederholung nicht mehr erkennbar ist. So hier – aber nirgends so tief, geheim und groß wie hier. Jedes Wort, das die Idee des 'Hinüber', der Verwandlung mystischen Sinnes, also der Wandlung, anklingen läßt: Transformation, Transfiguration, ist hier als genau zu begrüßen. (S. 502.)

Die kulturell schöpferische Arbeit wird hier als Differenzierung des Gleichen dargestellt.[10] Auch wenn das Urgründige unabänderbar ist, ist es von größter, entscheidender Bedeutung, welche menschliche Transformation es durchgeht.

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[10] Eine ähnliche Ansicht von der Musik als Differentiation des an sich nicht geistigen Tonmaterials hat Milan Kundera ausgesprochen, der von der „Idiotie der Musik" als deren Urzustand redet: „In diesem ursprünglichen Zustand der Musik (in der Musik ohne Gedanken) wird die substantielle Idiotie des menschlichen Seins sichtbar. Über diese substantielle Idiotie hat sich die Musik nur durch eine gewaltige Anstrengung von Geist und Herz erhoben, und das war dieser schöne Bogen, der sich über der jahrhundertealten Geschichte Europas gewölbt hat und auf dem Höhepunkt seines Flugs verlöscht ist wie die Rakete eines Feuerwerks." (Kundera 2000: 244).

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Authenticity and Fictionality
in Post-dramatic Theatre

LUULE EPNER

The present article will focus on the creation of "the effect of authenticity" in post-dramatic theatre. The notion of post-dramatic theatre introduced by Professor Hans-Thies Lehmann in his seminal book *Postdramatisches Theater* (1999) covers a wide range of aesthetic practices in contemporary theatre. Their common ground consists of leaving drama (i.e. conventions that govern a dramatic text) as its artistic basis, as well as reducing verbal text to merely one of the many elements of theatrical production. By now, the phenomenon of post-dramatic theatre has been widely discussed theoretically (defining it through its difference from dramatic theatre) as well as descriptively, through a panorama mapping new forms of theatre. The latter approach gives a good overview of the repertoire of the artistic principles and stage devices but risks to an extent with a possibility that the reader may lose orientation within the thicket of numerous examples. No wonder that for conceptualising post-dramatic theatre, alternative ways are being sought as well. New vistas could be opened when the main focus is moved from particular stage productions (analysing their structure and poetics) to the practices of theatre (analysing various directing and acting strategies), in other words – from a question "what can we see in theatre?" to a question "how is it done?" For instance, we could talk of meta-theatrical strategies, of the strategies of recycling or of authentication in post-dramatic theatre. Through these strategies post-dramatic theatre moves "beyond illusion": instead of re-presenting outside world, the stage productions use overtly anti-illusionary devices and aim at establishing an immediate interaction

with the audiences. These multiple strategies used in post-dramatic theatre turn theatre into a laboratory where the fundamental relationship between reality and fictionality is explored (Sugiera, Borowski 2007: 3). As the same strategies were and are used in dramatic theatre, we must examine their use in tight connection with the particular practices of making and employing theatre texts, as well as the mechanisms of their reception. In this article, I will take a closer look at the strategies of authentication in a couple of Estonian post-dramatic theatre productions to find out how and to what extent it is possible to act 'beyond illusion' in theatre. I will also point at some similar phenomena in contemporary Latvian and German theatre.

Let us start from the very notion of 'authenticity'. The notion points etymologically at the subject's arbitrariness, independence from outside influences (*authenteō* – acting arbitrary). Historically, the word 'authentic' has been used describing texts or knowledge based on initial sources and therefore reliable – the opposite being 'fake', 'imitation', or 'copy'. In a wider sense, 'authenticity' means genuineness, realness, as opposed to such notions as 'illusion', 'fiction', and 'pretending'. Discussion of authenticity tends often to take on a moral flavour as genuineness and sincerity are in high esteem in the value systems of today. Thus, Charles Taylor in his monograph *The Ethics of Authenticity* stresses that the ideal of sincerity and constancy to oneself is exactly the moral force which could take away the worries of the modern man "living under the skies devoid of gods" (Taylor 1991). Earlier, Walter Benjamin (*Das Kunstwerk im Zeitalter seiner technischen Reproduzierbarkeit,* 1936) has written that during the process of the secularisation of art in the 19th and 20th centuries, authenticity takes the place that in the ritualised and religious art was filled by transcendental powers (Benjamin 1963: 17). In the post-dramatic theatre of the 1970s-1990s, the actors' real bodies, real time and space (as opposed to the fictional stage world and fictitious characters) became the guarantors of truth, the theatrical "here and now" bearing an indelible stamp of authenticity (Sugiera, Borowski 2007: 3). 'Authenticity', 'trueness', and the like are also features in wide demand among the theatre-going public. This is demonstrated by the vigorous rebirth of the documentary theatre in the recent decades and the popularity of the

new 'authentication' techniques (e.g. the *verbatim*-theatre[1]). As regards Estonian audiences, stage director Hendrik Toompere Jr describes their expectations as follows: "Today, people expect to meet reality, facts, in the theatre. They expect something that really exists. [---] No images no double meanings. [---] Only what really is." (Toompere 2006: 2450) Even if Toompere overdoes it a bit, he seems to be right in the most part. How does today's theatre meet those expectations?

We have seen that the notion of authenticity has at least two different aspects: the genuineness of the material (texts) and the sincerity of the mode of being. The first is in theatre mostly connected to the base materials of the stage production (e.g. documentary theatre *versus* an invented story); the other with the mode of acting (self-expression *versus* role-playing). The relations of representation (depicting of something else) and immediate presence seem to serve as a wider framework here; in other words, the notion of 'authenticity' allows us to view from a new angle the familiar relationship of *fictional – real* in theatre. It must be emphasized, however, that insofar as we have to do with events framed as theatre performance and repeated on stage from evening to evening, we can neither eliminate representation completely nor reach absolute authenticity. It would be thus more to the point to speak of making something authentic or producing the effect of authenticity by performative processes. German theatre researcher and a member of the well-known alternative troupe *She She Pop* Annemarie M. Matzke has written:

> The stage as frame points directly at the mediated character of what is shown. Authenticity on stage is always a constructed effect. [---] That is how authenticity becomes, instead of a problem of depicting [---] a problem of rhetoric: how is it possible to create an impression of immediacy on stage for the public if any

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[1]   In *verbatim*, the words of real people are recorded during an interview or research process, or are appropriated from existing records; they are then edited, arranged or recontextualised to form a dramatic presentation, in which actors take on the characters of the real individuals (Verbatim 2008: 9).

> impression of authenticity is a result of a construction?
> (Matzke 2006: 43.)[2]

I shall further discuss two Estonian productions that may be classified as documentary theatre – as being based on documents is the first attribute of authenticity. These are Merle Karusoo's *Küpsuskirjand 2005 (State Essay 2005*, Estonian Drama Theatre, co-director Toomas Lõhmuste) and Tiit Ojasoo's and Ene-Liis Semper's *Nafta! (Oil!* Theatre NO99). Both premiered in 2006, the text of both is written and/or composed by the directors, in collaboration with the troupe. Here we meet a 'director's dramaturgy' rather typical of the post-dramatic theatre, inseparably connected to the stage production. Such texts are not *a-priori* 'recipes' for the production but rather records of preparation of the production (see Cinna 2003: 138); text as record can be also assembled during the actual performances, including for example the improvisations of the actors.

In the context of contemporary Estonian theatre, Merle Karusoo's theatre is quite unique. In criticism, her stage productions have been variously called documentary theatre, memory theatre, and theatre of biography. She prefers to call it sociological theatre herself, and to describe it as *Põhisuunda mittekuuluv* (*Not Belonging to the Mainstream*) – which was the title of her MA thesis (1999). Karusoo started her projects in sociological dramaturgy and theatre in the early eighties. She has focused on risk groups of the Estonian society (e.g. teenagers, immigrants, children in orphanages), and has produced documentary plays on topics such as drugs, HIV, teenage problems, homicide, etc. In preparing her stage productions, Karusoo uses data from sociological research, and makes use of questionnaires, polls, interviews, school essays, etc.[3]

Küpsuskirjand 2005 focuses on one of the most sensitive trouble spots of the present-day Estonian society: the interrelations of

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[2]   "Der Rahmen Bühne verweist gerade auf die Vermitteltheit des Gezeigten. Authentizität auf der Bühne ist immer Effekt einer Konstruktion. [---] Authentizität wird damit von einem Darstellungsproblem [---] zu einem rhetorischem Problem: Wie kann dem Zuschauer ein Eindruck von Unmittelbarkeit auf der Bühne vermittelt werden, wenn jeder Eindruck von Authentizität Resultat einer Konstruktion ist?"

[3]   See the articles about Merle Karusoo in *Interlitteraria*: Monaco, Kurvet-Käosaar 2002; Kruuspere 2002.

Estonians and Russians and the possibility of integration. By its topic it is connected with Karusoo's "integration project" called *Kes ma olen? (Who am I?)* which started in 1999. Within the frame of the project Karusoo worked with non-Estonian citizens, trying to make them find a positive identity through telling their own biographies. Although some public performances also took place, the project was mostly directed to its participants and had socio-therapeutic aims. *Küpsuskirjand,* however, is a stage production, which tries to disentangle problems of identity in front of the audience and for the sake of the audience, doing this on a documentary basis. The text is formed as a montage of Estonian and Russian secondary school graduation essays on the themes *Inter-National Relations in the 21st Century* and *Etu zemlju zovu ja Rodinoi (I Call this Land my Homeland).* The performers are three young actors – two Estonians (Lauri Lagle, Taavi Teplenkov) and one Russian, a guest from the Russian Theatre (Nikolai Bentsler). Let it be said here that this quota (two to one) reflects the make-up of Estonia's population: about two thirds of Estonians and one third of Russian-speaking people. The actual national situation is also reflected in the use of language: the actors speak in their own language and it is only occasionally that the Estonians use Russian and the Russian performer uses Estonian. Thus, the production is bilingual, equipped for the benefit of the audience with a written synchronic translation projected on the back wall. The actors perform under their real names and hint only occasionally on certain character types. There is no narrative, no dialogue in its traditional sense. The almost empty stage (with minimal scenery) acts as a neutral territory; translation helps to overcome the language barrier. A question is whether under those circumstances a dialogue can be born between the young generations of Estonians and Russians, as represented by their essays, which let meet on stage very different views to international relations and the future perspectives of Estonia. The range of opinions is exceptionally wide, extending from sophisticated discussions about "the end of history" or "the war of civilisations" to very personal childhood memories. Also the attitude towards the national 'Other' varies from the hatred of strangers to non-recognition of any strangeness.

The dominant of the production is doubtless its text. Surely, the text is enlivened by several stage images but they neither compete with the text nor contest it but have rather an illustrative function.

(For example with the help of a blue canvas the disagreements concerning Estonian – Russian border question are exemplified.) Minimalist aesthetics presumably supports the effect of authenticity. Nevertheless we might ask: if the production is authenticated by a documentary text then what authenticates the documents? Does the text we hear from the stage represent the 'real' attitudes of Estonian and Russian young generation in any trustworthy way? And in this respect we should rather be sceptical. First, here we have to do with a specific genre – a graduation essay, where the thoughts presented will be graded and those who write the essays know it. The compulsory aspect of the genre is underlined by the radio speech of the Minister of Education, which, recorded, frames the performance. This audio-document relates ironically with the rest of the texts: the Minister's appeal to the undergraduates to think positively and her rather artificially cheering tone is in dissonance with the seriousness of the questions posed at the beginning and at the end of the performance: Will small nations survive in the 21st century or are they designated to fade away? Second, an attentive spectator hears from the stage a notable quantity of stereotypes and slogans used in the media, which in turn makes one ask, to what extent does the public political discourse affect the attitudes of the young (and that of the not so young). An expressive fact is also the difference of the essay themes: the Russians are expected to express patriotism and emotions, the Estonians to discuss intellectually global problems. Although it does not stress it very much, Karusoo's production nevertheless points at thinking schemes prefabricated in the media. Where, in that case, is authenticity?

Küpsuskirjand 2005 is thus not produced in a clear-cut *verbatim*-technique but utilizes texts undergoing certain genre rules. However, Karusoo has used oral interviews in several productions introducing Estonian recent history. She has staged life stories of those who, in 1944, failed in their attempts to escape to the West (*Sügis 1944 (Fall 1944)*, 1997), people who assisted the deporters (*Küüdipoisid (The Deportation Men)*, 1999), conscripts of the Soviet army who fought in Afghanistan (*Misjonärid (The Missionaries)*, 2005), etc. Karusoo believes that revealing "hidden" life stories has a therapeutic impact, helping to cure individual and national traumas.

Productions based on the biographies and oral interviews of real people have also been made by Alvis Hermanis, a stage director of

the younger Latvian generation and the leader of the New Riga Theatre. *Latviešu stāsti* (*Latvian Stories,* 2004) and *Latviešu mīlestība* (*Latvian Love*, 2006) have been created as a teamwork using also the actors' initiative and fantasy. The first production is actually a series of 20 episodes (stories): these stories are presented in groups of three or four, so that presenting the whole production will take six performances. The starting point is the conviction of the stage director and the troupe that the life of every human being is really a drama worth of presenting it on stage ("the life of any man alive is much more high-powered drama than all Shakespeare plays put together"). Hermanis' actors were given a task of learning to know someone they did not know before, to interview him or her, to watch his or her life and to form a small 'portrait production' of the material thus collected. *Latviešu stāsti* is thus made of not inter-connected monologues very different of each other in their chosen form, portraying common people – a bus driver, a retired person, a female worker on a chicken-farm, a female taxi driver, a computer expert, etc. Usually the persons portrayed participate in a way in the performance, either on family photos demonstrated on a big screen, in a recording played from the stage, through their personal belongings, etc. *Latviešu stāsti* doubtless offers a cross-section of the Latvian society but differently from Karusoo's theatre it is not subordinated to sociological interests and does not attempt to influence people politically. The choice of people and their life stories seems to have been random, it is life demonstrated through art without any 'processing'. All this certainly strengthens the impression of authenticity. *Latviešu mīlestība* is, differently from the former production, thematically concentrated. In 13 scenes first meetings of people are shown, attempts of creating human contact that often fail. Situations and dialogue are based partly on real life stories collected by the actors, and partly on the actors' fantasies about people who use dating services, thus the importance of fiction is greater here than in *Latviešu stāsti*. In between the scenes dating advertisements and other documentary texts are read. The gallery of the personages is extremely variable – Latvians and Russians, retired and young persons, artists and workers, teachers and pupils, etc. – and the milieu depicted characteristically to the theatre of Hermanis (hyper)realistically, is an everyday milieu: a hospital, a country club, seashore, a café, a bus-stop, etc. The realistic environment and

genuine spoken language together with a totally or partly documentary material create a strong impression of authenticity. But in those productions, too, strategies of authentication and artistic strategies work together to make apparent the theatricality of what is happening on stage. The masterful art of acting of the members of the Hermanis' troupe, their ability to play very different personalities from their own, for example very old people, supported by outside means (wigs, costume, etc.) promotes the artistic mastery (but also artificiality) of the productions and directs the attention of the public to the performative dimension.

Tiit Ojasoo's and Ene-Liis Semper's *Nafta!* is, according to the definition of the directors, a "documentary cabaret about the end of the oil era". Like in Karusoo's *Küpsuskirjand 2005*, the starting point here is also a problem, presented through the text created by the directors; the actors (Mirtel Pohla, Tambet Tuisk, Gert Raudsep, Jaak Prints, Kristjan Sarv) again act under their own names. The text is characterized by a discursive variety, a cross-section of current modes of speech and thought. At first the problem is presented in the form of a report including lots of numbers and facts (an interview with the leader of the Estonian Green Party Marek Strandberg has been used); further very different points of view are brought forth and made to collide: those of economy experts and politicians and simple consumers. Various styles and genres are used to present them: illustrative examples, short sketches, storytelling, direct communication with the public, and arguments between the performers, all mixed with songs and dancing numbers. The label of "cabaret" points at the tradition of the political theatre of the 1920s. It is, however, recycled in the post-modern social context, shaped by the new media to a great extent. *Nafta!* is well conscious of that context, using also the means and formats of the electronic media. But differently from the tradition, those means are not applied to serve and amplify a unified message. The production rather creates an aesthetic space where strategies of authentication work together with strategies of fictionalisation, producing sometimes dissonance and sometimes cancelling each other.

Let me give some examples. In traditional documentary theatre the key problem is the authenticity of the factual material. At the beginning of *Nafta!* actors pour out numbers and facts (not pointing to their sources) which prove that the end of the oil era is close while

over-consuming has reached a catastrophic level. They present all that passionately and convincingly. Some time later they present with an equal passion equally convincing facts about how September 11 was a conspiracy led by George Bush and how a handful of capitalists control the whole world. This may baffle part of the audience: are the actors really revealing the backstage of the world politics? Only when one of the actors announces that "UFOs are anyway filming it all, all from the very beginning", an ironic distance from the global conspiracy theory is created. In post-dramatic theatre, the effect of authenticity is above all created through strategies of influencing the audience; that means, the credibility of a documentary drama depends on how attractive the performance is and on the capability of the actors to make the spectators believe. If authentication takes place with the help of convincing the audience, will it not be the audience who eventually takes the responsibility?

As said before, the frame of theatre acts as fictionalising power. Apparently the effect of authenticity can be created with the help of getting out of theatre (off-stage) into the "real" space or also "breaking the performing strategies" which marks an error, an unforeseen hitch in the machinery of the performance. We can find examples in *Nafta!* First, we can see a video excerpt of the weekly press conference of the Estonian government where the Prime Minister Andrus Ansip, answering a question what might the government's plan of action be if oil reserves should end, totally denies the existence of the problem. The excerpt acts as a visual 'authentic' document but is actually the result of staging or, to be more exact, of provocation, as the stage director asked a friendly journalist to ask this question from the Prime Minister. In another scene an irritated actor runs out of the theatre building (video camera following) and the audience can see how he reviles bankers behind the windows of a bank across the street. Then two passers-by come and after a short quarrel the protesting actor gets a punch in the face. This can be interpreted by the spectators as an unlucky incident (real life butting in); the wiser, however, are those who remain sceptical. At the latest, when watching the production for the second time, it turns out that this scene is 'street theatre', with two stagehands cast as accidental passers-by – thus the scene is a mistake made on purpose. Such deliberate mistakes and breaking-ups serve the inte-

rests of the "aesthetics of indecision" (*Ästhetik der Unentscheidbarkeit*), if we use the notion of Hans-Thies Lehmann (1999: 171).

Nafta! has undertaken serious themes, questioning the very idea of market economy and a consumer lifestyle, but does it in the form of entertainment – using disco music, glittering costumes, attractive dances and songs, jokes, etc. In several critical articles this controversy between the message and form was stressed as a fault. It seems to me that the dissonance of a serious theme and easy form brings forth a problem as equally important as the oil theme. From one aspect, unanswerable questions are asked on purpose, instead of proclamations and action instructions. On the other hand, a way of handling social problems in the media society is also demonstrated. The spectators are treated lightly as clients whose expectations must be met: at the beginning of the performance they are warmly greeted and the actors announce that although terrible things will be discussed, it will be done against the background of songs and dances to make it "less horrible" – for the spectators as well as for the actors. As in *Küpsuskirjand,* the actors call upon each other to think positively, and they make ritual relaxing exercises at critical moments. A notable part of the performance is taken up by a 'survival game' "The Ark" in a TV reality show format, which offers amusing solutions for the case of an apocalypse. Thus the production works on two simultaneous levels: it speaks about the world's situation but demonstrates also the strategies of diminishing or camouflaging the troubling problems, used in today's hedonistic society.

Neither *Küpsuskirjand 2005* nor *Nafta!* construct a supernarrator's position characteristic of the earlier documentary theatre. The neutral author's position of *Küpsuskirjand* allows the spectator to distance himself from the mentalities depicted and to compare them with his or her own worldview. *Nafta!*, however, questions rather aggressively the spectator's position. The audience is not allowed to enjoy an intellectual superiority or a privilege of knowing the truth; the spectator is rather directed towards consciousness of its own belonging to the society where social problems are tackled in the format of entertainment, not caring about his/her individual dislike of it. At the same time, the actors do not position themselves as preachers of the truth. The production acknowledges not only a crisis in the media but also a crisis in the theatre, which needs to be

attractive even when it speaks of energy problems; and also an inner crisis of performers – their inability to live according to a model of life radically different from the present day model of happiness. From the aspect of authenticity, it seems relevant to quote here the members of the company: if there is no belief in absolute authenticity, "… there is a possibility to go someplace where a public is waiting. To take over the demagogy of politics and the client rhetoric of advertising [---] and to talk, talk, and talk. [---] the main hope lies in that at some point the form opens up and exposes itself, giving way to sincere despair." (Epner, E., Semper 2006).

The Ojasoo – Semper political theatre has been compared by some critics with the work of the German dramatist and stage director René Pollesch. The creation of texts has real similarities along general lines. Pollesch writes his own texts and does it before and during the rehearsals, not formulating them as dramas. The text is in both cases taken as a component of the production, not as an independent work of literature. Pollesch even states that he does not write dramas nor produce in the habitual sense of the words (with actors organizing the text themselves) but 'makes theatre without theatre' (see Lengers 2004: 143–144). Radical stage productions of Pollesch definitely fall into the category of post-dramatic theatre. There is no narrative and almost no real dialogue in his performances. Texts are composed of excerpts from theoretical and philosophical essays, newspaper articles, sociological and economical studies, etc. The actors present the text very fast, aggressively or even hysterically – thus they do not epitomise certain characters but act as 'text machines'.

The Pollesch theatre is interested in great political and economical questions: globalization, neo-liberal capitalism, power relations in the present-day world, etc. Quotations from theoretical texts and theatrical means are blended with loans and citations from other media. Pollesch uses amply pop music, alternates text with wordless scenes resembling video clips, hints at B-category films, television, etc. Thus, in several productions, like in his trilogy (2004) *Telefavela, Svetlana in a Favela, Pablo in der Plusfiliale* (*Pablo in the Plus*), the underlying structure of the performance is the Latin American soap opera: the performance re-plays a plot of a *telenovela* and at the same time comments and re-contextualises it. The Pollesch theatre has been called a 'culture theory theatre' and a 'discourse

theatre', as it researches critically the discursive and medial practices of today. Massive quotation of non-fiction texts could create an impression of documentality and authenticity but the result of combining academic discourse with mass media and pop culture is that they estrange and abolish one another. An Estonian critic has written about *Pablo in der Plusfiliale*: "Reality [---] is, however, beyond the viewer's reach for the 'reality' he gets a glimpse of seems absurdly unreal like a soap opera." (Saro 2006: 25.) Really, media that has become an inseparable part of people's everyday lives and which Pollesch utilizes in his theatre does not reflect reality truthfully but masks it instead, producing simulacrums and fictions (see Lengers 2004: 153).

To sum up: the analysis of these texts, to a great extent based on documentary material, demonstrates, that post-dramatic theatre is not so much aimed at breaking illusions and revealing the "true truth", but rather mixes the authentic and the fictitious. Authenticity is revealed being produced by textual strategies, as well as staging and acting techniques, and also as something depending on the disposition of the spectator. Instead of the rigid opposition of authenticity and theatricality, we are dealing with a continuous spectrum where authenticity is only the minimal stage of fictionality and theatricality, never completely excluding them. Problematizing the notion of authenticity in itself leads to the collapse of the dichotomy real *versus* fictional.

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The Reader in Reading Theatre[1]

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Since reception theory has grown out of the study of the reception of literary texts (we can just note Hans Robert Jauss, Wolfgang Iser, Stanley Fish, Umberto Eco and others), the imagery of text and reading has become verbally and mentally entrenched in the study of the reception of other art forms as well. Thus during the 1980s many theatre semioticians treated performances as specific kinds of text, including the use of concepts such as "performance text" when referring to the audio-visual texture of the work. And the theatre researcher Marco De Marinis has coined the concept of model spectator (Marinis 1987), based on Umberto Eco's concept of the model reader as a particular kind of textual strategy. On the other hand, as a result of the development of theatre anthropology, sociology and performance studies during the past 50 years, theatre and performance have been applied more broadly in culture studies as particular models of communication.

Literature, with its verbal nature and individualized processes of creation and reception, seems to be the clearest and most distant opposite of performance, since the primary characteristic that constitutes the latter is usually considered to be the co-presence of performer and spectator in the same space and time where the actual performance takes place. I have previously considered the relations between literature and performance in my earlier paper 'Literature as performance' (Saro 2006), so here I will focus more closely on

looking at reading as a process of reception, and compare it with watching theatrical performances. I will discuss the reading of a literary text as a performance, where the reader may take on the roles of the stage director, the spectator and the performer.

The paradox present in the theme 'The Reader as the Spectator' draws attention to the fact that, in general, reading has nothing to do with observing. We have all experienced the waning of attention during reading, and although our eyes move automatically along the lines, there is no association between words as visual groups of signs, and their meanings. There is not much help, too in moving along the lines word-by-word or sentence-by-sentence, without trying to remember everything that went before, which we are not actively receiving at that particular moment. The ontological association between reading and observing is put into question also by audio-books and various forms of oral presentation of literary texts. These will have an impact on the receiver's hearing, but unlike noise and music that have a cognitive impact, we cannot, in cases of purely aural reception, always discuss literary reception, since the latter presumes certain mental activity.

Michel de Certeau (2002) addresses reading in the binomy of writing-reading, which is thought of as a more general equivalent to the opposition of production and consumption. "The social and technical functioning of contemporary culture hierarchizes these two activities [writing and reading – A. S.]. To write is to produce the text; to read is to receive it from someone else without putting one's own mark on it, without remaking it. In this regard, the reading of the catechism or of the Scriptures [...] continues today in the "reading" of the television programs" (Certeau 2002: 169). Reading thus seems to represent the passivity of the consumer. Certeau, however, sees reading as active and creative engagement, as a possibility for outwitting ideological and social domination, for escaping from social space to the fictional space of the text. He makes frequent use of spatial metaphors for describing fictional worlds: islands, forests, fields, apartments (for a time, the reader appropriates the author's space), or as he himself characterises them – the spaces of games and of tricks (Certeau 2005: 174). The metaphors of natural landscapes that Certeau uses for reading seem ontologically especially fitting and inspiring. Unlike city spaces or other spaces that are structured

by human beings and thus have a familiar structure (such as apartments), islands, forests and fields represent a certain independence and isolation of the fictional world, while simultaneously indicating internal structural free-for-all and mystique. As in walking around in nature, so in reading a literary text, people may choose their own paths and strategies for moving, all the while being aware that they can never grasp completely and in full detail the fictional world offered by the author, nor realize it completely in their imagination.[2]

One of Umberto Eco's many works that deals with reading, titled 'Six Walks in Fictional Woods', refers to a similar sensibility; there, in addition to the metaphor of forests as texts, a marginal detail becomes inspiring. Namely, Eco stresses that the woods of fiction are in fact public spaces and while nobody can forbid one from using them for living out their personal memories and dreams, the reader is, in such case, behaving in the wood as if in a home garden. (Eco 1994: 9–10) Apparently, what is emphasized here is that the text is not just or not primarily a proposal for realizing the receiver's fantasies, but still also the writer's secret cipher, a proposal for artistic communication, thereby making reading a social act.

The doctoral dissertation of the Estonian philosopher Margit Sutrop, 'Fiction and Imagination' (Sutrop 2000), that discusses the anthropological function of literature, distinguishes imagination and fantasy as the primary characteristics of literature/fiction. She argues that a fictional speech act cannot be treated as an ordinary act of communication, since its sincerity condition is fantasy and its direction of fit is zero, while its purpose is to express the mental state of the speaker. The readers of a fictional narrative, in their own turn, suspend their disbelief and relate to the claims found in the story on the basis of their own imagination. Thus the purpose of artistic communication is not just to transmit particular information and thereby influence the receiver, but also to encourage and develop the reader's fantasy and playful modality. This is one of the primary reasons why the present paper is limited to studying the reading of literary texts only.

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[2]   The diversity of literary texts may cast some doubt on this claim, but here I am mostly thinking of text with a somewhat more open structure. I am proceeding from Eco's dual division of reader's (closed) texts and writer's (open) texts. (Eco 1984, Eco 1989)

It can thus be argued that ontologically, reading does not amount to observing the text, but rather involves creating the work, constructing it on the basis of textual strategies and the reader's imagination. The protest against passive, static concepts such as "reception" and "reception theory" has by now taken on historical dimensions: thus Wolfgang Iser, usually considered to be the father of reception theory, preferred to call his own field influence theory (*Wirkungstheorie*), and in the Anglo-American world the construct reader-response theory is used in that same sense. Here a clear affinity is revealed between reading literature and being a spectator of a performance, because both involve the parallel creation and reception of fictional worlds, where the field of influence is two-way, i.e. the text/performance influences the receiver and the receiver responds to the text/performance, in turn influencing it to a greater or lesser degree.

The idea of reading as performing is not entirely novel. In his recent essay on 'The Performance of Reading', the musicologist Peter Kivy, for example, compares the reception of fiction with reading the score, but makes this comparison on the basis of the aural nature of both musical performance and reading fiction. He appeals to the historical tradition of reading out loud that may have been dominant up until the 19th century and which, in the form of internalized narration, accompanies reading to this day. Kivy also thinks that while a competent reader is able to realize the score as a mental musical performance, a printed play does not have such potential, because arguably the human visual imagination is more limited than the aural. "The criterion of success in score-reading is a complete performance in the [receiver's – A.S.] head, so I claimed, but the criterion of success in play-reading is merely "comprehension"." (Kivy 2006: 66) As a literature and theatre researcher I cannot agree with these positions, being aware of the fact that as a musicologist Kivy takes the aural (instrumental, vocal, verbal) presentation as the basis for his performance model, and clearly seems to underestimate one's capacity for visual imagination. In adapting the theatrical process as a metaphor for reading, we can argue that in the process of reading, the reader fulfils the functions of the stage director, the character/actor and the spectator. The rest of this paper will attempt to demonstrate this.

The reader performs the function of the stage director in selecting the literary text, the strategy, and the space-time of its reception, as well as in reproducing the work: in associating and interpreting verbal signs. In the present article, I will use the concepts 'text' and 'work' in such capacity as they have been defined by Wolfgang Iser: the work is constituted in the communicative process between the text and its reader(s) (text + reader = work). Thus Iser's "work" is comparable to Roman Igarden's concept of concretization, although the latter is always associated with the reader's individuality. (Iser 1990: 2091) Taking up Iser's terminology, we can say that the reader concretizes the text into a work: finds references corresponding to verbal signs, associates referents on different layers (situative, chronological, thematic, etc.), fills up gaps in available information, ignores what is deemed irrelevant and attempts to fashion a coherent and logical whole. This means that the readers create, in their minds' eye, a sensuous fictional world; they stage the text in their heads. Every reading can thus be treated as a process of interpretation which is unique for every reader and for each instance of reading, just like the different stage productions of a single text.

In the theatrical arts, the basis for a work – that is, a stage production – is usually some sort of written text. The stage producer chooses the text to be produced usually based on his or her personal interest and preferences. Of course, in repertoire theatre or in commercial entertainment facilities the needs of the theatre as an institution and the sensibilities of the audience are also kept in mind, but rarely is it possible to force stage directors to dabble with materials that are of no interest to them. There are nevertheless analogous cases in the literary process: compulsory school reading, the work of literary critics and researchers, a sociological interest in popular authors or popular fiction, an obligation felt to read a book that has been given as a present, recommendations by friends and acquaintances, etc.

Already while reading, stage directors can apply a theatralizing reading strategy to concretize the text into a visual world in their mind's eye; in other words, to stage it in their heads. Stage directors are distinguished from ordinary readers by their possibility of realizing this vision in theatre. A stage production is thus an attempt at a realization of the stage director's act of reception, an attempt at its physical realization. Since the intersemiotic translation from

literature to the sign systems of theatre is a collective endeavour and collides with the material means of the theatre, staging is minimally a secondary modelling process of the text.

At least in those theatrical systems where rehearsal periods are short (such as in Estonia, where they usually last for two months or less), it is presumed that the stage director has a vision of the future production ready before the rehearsals commence. One of the primary reasons for this is that about two months before the opening night the artists must have finished their sketches for costumes and decorations, so that the workshops can start manufacturing them. The work of theatre artists is not an independent creative project, but merely one part, or more precisely one aspect of the stage-based fictional world. This means that stage directors must be able to describe their conception and vision to all the members of the troupe, so that others could begin realizing this implicit plan within the limits of the theatrical art and human capacity, without thereby losing the possibility for improvisation and co-creation. Especially when rehearsals are just commencing, it is especially important for the stage director to infect and inspire the troupe, to engross them in the producer's imaginary world which should then be coherently embodied psycho-physically.

The more murky or incoherent the stage director's vision and the more different visions start to compete in the rehearsal process, the more reason there is to speak of a collective act of reading. In such case there are more direct parallels with the collective reception of literature, which through advertising and criticism (in their widest, community-based meanings) influences, to an extent, individual reception and subsequent interpretation and assessment processes. In the theatre system, the interpretation of stage producer as an institution should remain dominant; nevertheless, there are dominant "stage-producer-institutions" in the literary field as well (publishers, critics, the educational system, traditions, etc.) that end up hindering different reading and interpretation strategies perhaps just as strongly as the stage director in theatre does.

At the commencement of the reading process, the readers may feel themselves to be passive and secure spectators for whom the text is a window into a fictional world. It can be argued that every reading of a text begins with the construction of a fictional world,

that is, its staging, which is a rather laborious process. Yet at one point this difficulty is overcome, the readers forget their toil as demiurges and become the spectators of their own works. Reading can thus be compared to watching a performance: the reader forgets the labour of reading and instead gets the impression that the fictional world unfurls before her eyes all by itself, just like a performance. From time to time, this performance even swallows the reader completely, gains complete control over them, so that they are unable to stop reading, frequently forgetting their real time and place. This, however, poses a question: under what conditions and when does the transition from the stage director's position to the spectator's position occur?

It must first be noted that the position of the stage director (as that of every doer) already covers the phenomenological connection between the functions of creation and reception: the creator of a work is simultaneously its very first receiver. The painter and the sculptor step back from their work in order to examine how their work appears as a whole and from a distance. The writer and the scientist re-read the previous day's work, remain satisfied with it, re-write something or perhaps even delete everything. And so on. The stage director's work in the theatre demonstrates the dynamics between the creator's and the receiver's position the most clearly. A stage production is usually born out of a text, idea, vision or wish that has inspired the stage director, or at the very least from something that is physically and mentally close to her. In the rehearsal room rehearsals, the beginning is laid to the extraction or the outpouring of these ideas, and the stage director stays among the actors, amidst the raw productive material, striving to enrich this substance and fasten it to her ideas that form the core of the production. This is the production in its embryonic stage. Moving on from the intimacy of the rehearsal room to the stage itself is difficult for everybody involved. In on-stage rehearsals, forming the actual work begins, and this in the sense of both assembling different elements and of organizing the work into a whole. Here the stage director is ever more frequently to be found in the stalls or pit, because he has become, at least physically (and sometimes mentally), distanced from his own production and taken on the viewpoint of the spectator, located outside the artistic space, in the hall. In order to grasp what has been created or born, one needs distance with one's

work, both spatio-temporally and mentally. It is of course true that the stage director keeps oscillating between the positions of the creator and the receiver up until the opening night or even during the entire run of the production, which in my opinion is also typical of the reader. I will deliberately avoid the concept of "reception" here, because when it comes to the visual arts, the co-creative function of the spectator is considerably smaller than when reading literary fiction. Television especially nurtures lazy, quickly tiring and inattentive receivers.

But how does the switch from the producer to the observer take place in reading? It will happen when the labour of reading is overcome. The difficulty of the labour of reading primarily depends on the complexity of the text, the reader's experience and taste and the level of contact or chafing between the text and the reader. To illustrate this point, here are some more general examples. If we proceed from the top charts of literary fiction, we can say that the easiest reading enjoyment is provided by realist novels that from the get-go lean on creating a clearly bounded referential world, and help the reader in creating stable visual complex signs, such as characters and locations. As the construction of a fictional world is laborious, shorter prose genres such as short stories and novellas are usually left out of the charts, since they entail one beginning after another, and in each case the enjoyment of familiar coordinates remains all too brief. Realist prose is opposed by modernist and many postmodernist texts that can, in general, be accused of discontinuities, a constant alteration of the rules of the game, resulting in the confusion of "naive" readers. This principle applies both to single works and the discursive tradition. (Post)modernist textual strategies keep the reader constantly on the go, presume an active analysis of verbal material and the filling of blanks.

Experienced readers can build up a fictional world with less trouble, because they are familiar with different textual and inter-pretative strategies – they will plunge into new fictions and discourses with ease, astounded by the tepidity of inexperienced readers. In addition to familiarity with textual strategies, a major role in creating pleasure from the text is played by the degree of contact between the receiver and the text, that is, the openness and fascination of the text, and the reader's interest. If there is a good contact between the text and the reader, one could even discuss the

erotic aspect of reading, like Roland Barthes did in 'The Pleasure of the Text' (Barthes 1975).

At this point we would do well to consider a special case of reading: repeated reading of a single text. It is especially suitable to do this in a subchapter that discusses the reader as a spectator. The incentive to re-read a work can arise for two reasons: there is a wish to return to a familiar fictional world (here are included both referential and aesthetic reasons) and thereby to enjoy the text as a spectator, or there is a desire to rediscover the text, to read it with "new eyes" and experiences and/or to defamiliarize it, to read it against the grain, and thereby to restage the text. (Sometimes these restagings are almost exact copies of the first staging, but they have been nevertheless created anew, in case the first reading experience has been forgotten.) It should be emphasized, however, that no reading can be an absolute repetition, neither for different people nor for the different readings by a single individual. In his 'Art as a Social System', the sociologist Niklas Luhman notes: "All operations (and observations considered as operations) are always unique. They always take place for the first and for the last time. Only observations, when based on the same schema of differentiation, can be repeated and recognized as repetitions." (Luhman 2000: 39) Receivers do recognize and acknowledge a familiar text and its particular structural elements, but they are unable to precisely replicate the same cognitive operations. It can thus be argued that in cases where the reader does not want or happen to "re-stage" the text, every reading is comparable to a performance, where the structure of the stage production, considered as an invariant, is repeated, but only in a general sense, because both human (as opposed to machine) performance and reception are always unique. This uniqueness should not be overestimated, however. Just as the different performances of a single stage production are usually rather similar, literary fiction too tends to generate surprisingly similar works. It is true that in artistic practice those artefacts that give rise to controversial reactions habitually rise to prominence, but even controversial positions tend to be polarised between two or three more or less clearly distinguishable ones.

Readers can feel themselves to be a part of the fictional world, to be performers themselves, by identifying with the author or with character(s). One of the strategies used in artistic practice for communicating with audiences is to create opportunities for empathy for or identifying with a character. The emotional distance between the recipient and the fictional world is thereby decreased, and there is an opportunity to experience participating in the fictional world, and this may be just as intense in case of literary fiction as it is with the sensory arts.

Wolfgang Iser argues that it is already during the creation of characters and other figures presented in the text that the illusion of being part of that figure arises. While watching a film (or a theatrical performance – A. S.), however, the recipients feel as if they are kept away from the fiction and the figures within. (Iser 1978: 139) This argument is agreeable if one understands being part of a figure implicitly. But since the reader fills in the figures offered in the text with her own psychic material, proceeding on the one hand from personal life experiences and on the other from fantasy, one could indeed say that reading is indeed autocommunicative to a greater extent than other arts, where the activity of the receiver in creating the work is smaller.

In treatments of the decrease or disappearance of aesthetic distance between the receiver and the work, the concepts of empathy and identification are prominently applied. The most precise definition and classification of these emotions probably comes from the theatre researcher Henri Schoenmakers. **Empathy** is a process where the subject (the spectator), in perceiving the emotions of the object (character, author, etc.), pictures to herself the situation and emotions of the object and understands its perspective, but does not take over the emotions. **Identification** is the process where the subject places herself in the object's situation, takes over its perspective, world-view, weaknesses, interests, etc., and experiences the same emotions that she thinks the object feels. (Schoenmakers 1988: 142)

Schoenmakers also offers an exhaustive typology of kinds of identification. The most intense relationships with fiction are created when the receiver identifies with an imaginary character due to mutual similarity (similarity identification), or on the basis of a desire (wish identification). For the rest of the types of identification

(participation identification, identification with the author, instrumental identification), the receiver turns herself into an observer of the fictional world, taking on the role of the imagined character, author or focuser (these roles are often difficult to distinguish). In these cases, the figure of the reader is either part of the fiction or is placed at its boundary, but does retain a moderate imaginary physical and emotional distance with the activity and the characters. Schoenmakers also discusses the identification of theatrical [here is meant artistic – A. S.] projection. This concept is somewhat disorienting, because what we have here is not so much identification but a general attitude towards whether or not to attempt finding these possibilities in art in the first place. That is, a person who has a tendency, in receiving a work of art, to identify with a particular character, has a different attitude and different strategies of reception from those who wish to experience exciting events or who are primarily interested in aesthetic aspects.

Just as with every communicative act in general, the reception of a work of art depends on both participants, i.e. both on the aesthetic object and the recipient – it takes two to tango. The reader may have a propensity to identify with the artistic projection, but if the text actively hinders her, for example by a fragmentary space-time or an excessively large cast of characters, or by an ironic and alienating mode of presentation, the receiver must sooner or later abandon her habitual strategy and either suspend reading or adjust herself to the strategy prescribed by the text. The same or at least similar rules are valid for other types of identification as well. For example, the reader may identify herself with the protagonist based on similarity or desire, but if in the course of unfolding events it turns out that the character is a pathological serial killer, a violent paedophile or an obscene robot, she may (although does not need to) want to distance herself from this fictional representation. Research into possible scenarios for identification available to a potential reader is simplified, yet at the same time obscured by the fact that there are several different identification strategies working simultaneously and in parallel: the receiver identifies with one or the other character not just because she has picked someone out, but rather because one or the other character is currently the focus of the text/author/narrator, and the reader is provided with an information-rich "bridge" into the world of that character. Thus the more there are coinciding factors

that encourage identification, the higher the probability that the reader's distance with the work and its characters diminishes and the deeper the feeling of being part of the fictional world or a particular fictional role.

Let us take a look at how Marguerite Duras constructs the figure of the narrator, with this the potential relationship between the narrator and the reader, and consequently the reader's own point of view, in her novel 'The Lover'. The novel opens with the following paragraph:

> One day, I was already old, in the entrance of a public place a man came up to me. He introduced himself and said, "I've known you for years. Everyone says you were beautiful when you were young, but I want to tell you I think you're more beautiful now than then. Rather than your face as a young woman, I prefer your face as it is now. Ravaged." (Duras 1985: 3)

The reader is notified at the very beginning that the first-person narrator is an elderly woman who in her youth was notable for her beauty, but that the life she has lived, either colourful or full of suffering – to which the word "ravaged", feeling as if a punch-line, certainly refers to – has written in her face her own life story, fascinating and beautiful. It is this story that the narrator now begins to tell, and the reader is prepared to listen in expectation of the fascinating and the beautiful. Even though the novel is set in Saigon, an environment whose exotic nature enkindles eroticism, many women probably feel sensuous and emotional intimacy, perhaps even complete fusion with the narrator and the narrated. Younger readers probably identify more with the narrator's younger day imaginations, older ones probably with the mature narrator's distanced and analytic position of someone looking back (similarity identification); yet contrary versions, i.e. wish identifications, are not precluded. These are especially probable at the instances when the narrator's viewpoint overlaps with the viewpoint of the young girl. Since, however, the focus of the narrator and the text in *The Lover* is constantly shifting, it is difficult for the readers to identify with any one character for very long, so that they will most likely end up deciding in favour of participation identification.

In any case, identifying with a particular fictional role provides an opportunity for gaining new experiences and for going through

strong, aestheticized feelings, the so-called quasi-emotions, which unlike emotions proper are under the recipient's control, because they are still part of the game. Perhaps it is not just a theoretical exaggeration in case of reading as well, to compare the reader or the self with the position of the performer in theatre, because the actors, too, fill up their role with personal physical and mental material, as every reader does for their imaginary spectacles, without thereby forgetting that they are still just performers/readers, not the actual characters. And just like in actual theatre, the relationships between the performer and the character can be complex and complicated in this, our reading theatre, too.

A rather telling example that demonstrates the receiver's desire of becoming one with the work is the empirical audience survey of the theatrical reception of the Estonian modernist playwright Madis Kõiv. (Saro 2004) The study showed that the suspension of disbelief with a performance is primarily associated with how warm, white, familiar and melodic it is perceived to be. Psychoanalysts would probably interpret this as associated with fantasies of the oral stage, expressed in the desire to lose the boundaries of the self/ego, to be one with mother and the universe, to turn into the me of the not-me. In communicating with the text, the receivers make it part of their psyche, and in interpreting the text make themselves part of the work. (Holland 1968: 35–38) People suck texts into themselves as the infant sucks breast milk, and blends in with the work and its aesthetic experience. What is experienced in fiction is here re-miniscent of the mother-figure from early childhood – warm, familiar, white (mother's breast?) and melodic (lullaby?).

In conclusion. Performance as a metaphor for reading, and the treatment of the process of reading as functions of the stage director, the spectator and the performer hopefully opens up new or interesting vistas along the old path of reception studies. The present paper only sketches the very first baby-steps on this path that needs to be hewn in with more thorough empirical studies. The most substantial thing here that I attempted to demonstrate with rhetorical means, is the multi-functional role of the reader in constructing, receiving and relating to the textual world. Although the present treatment only dealt with fictional texts, which usually (when not dealing with light reading) presume active co-creation and inter-

pretation on the part of the reader, the present model is applicable to reception strategies of non-fictional texts as well. A reception theorist must naturally keep in mind that a text, too, constructs for itself a reader, but it is in the reader's power to discover and invent all sorts of misreading and contra-reading practices.

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Spatial and Temporal Contrasts in Shakespeare's *As You Like It*

EVELIN BANHARD

In many of Shakespeare's plays, there is a strong contrast between the country and the not-country, the latter of which is sometimes city but most often court. The contrast these plays reflect lies in the differences between, on the one hand, institutions of strict order and rules, which depict city or court life, and, on the other hand, a less prescribed life style, a space where the limitations set by urban civilization do not apply and everything and/ or anything is possible, that is country life. It is this contrast in Shakespeare's comedy *As You Like It* that I will look into more closely in the current article.

As You Like It is definitely not the only play by Shakespeare where such a "clash" can be seen. Similar patterns can be detected in his other comedies like *The Winter's Tale*, *A Midsummer Night's Dream*, *Cymbeline*, for example, or in tragedies like *King Lear* and romances like *The Tempest.* And while the contrast may not be the main theme of *As You Like It*, it is certainly a prominent one. An editor of *As You Like It* for the Arden Shakespeare series, Agnes Latham, writes in the 1975 edition's introduction to the play that the opposition of court and country feeds into the corollary that the play "is about right values and the good life. Paradoxically, and momentarily, the good life is found in the woods. It should be found in the court and when Duke Senior resumes his sway it will be found in the court again." (Shakespeare 1993: lxxxiv). Whether that be the case or not is a matter of interpretation (and one often disputed), but what seems more obvious is that the values in these two locations **do** differ, and this is precisely the matter which this article explores.

According to Rosalie Colie, who has discussed *As You Like It* as a special kind of pastoral, "the literary pastoral celebrates the glorious unrealities of the imagination, its necessary furlough from its assignment of work, obligation and duty." (Colie 1974: 249). And she adds that the opposition between urban and rural men became "a *topos* in itself" (ib.) in the Renaissance, "but with a particular fit to Renaissance literature and socio-economic notions, that is, it shifted its formulation from "city" to "court", and the court-country paradigm became one major focus of pastoral organization." (Ib.) So, the contrast really came to be between the different levels of social stricture in the two locations. Borrowing once again from Rosalie Colie, "Arcadia" was not measured merely against, for example, Rome or Paris, "but against *any* strict program of social forms, formalities, polite fictions, or flatteries." (Ib.) And she continues:

> Thematically, these pressures from *urbs* urging a return to at least the *idea* of nature are absorbed into the unspoken dialectic of pastoral and inform much pastoral writing in the Renaissance. In Shakespeare's plays, this pattern usually involves the removal of good people, from a court somehow grown evil, to a rural or woodland setting, whence the exiles return in triumph, often with a train of natural or naturally-restored companions, to undertake the human responsibilities appropriate to the renovation of the court they had earlier left. (Ib 284)

To embellish upon Colie's remarks, where there is a contrast, there are opposites, and hence there must be boundaries separating one from another, or marking the territory of the transition. Such binary oppositions have been studied by Yuri Lotman, who in his treatment of semiosphere has discussed the notion of boundaries:

> Composed as it [the semiosphere, EB] is of conflicting structures, it none the less is also marked by individuation. One of the primary mechanisms of semiotic individuation is the boundary, and the boundary can be defined as the outer limit of a first-person form. This space is 'ours', 'my own', it is 'cultured', 'safe', 'harmoniously organised', and so on. By contrast 'their space' is 'other', 'hostile', 'dangerous', 'chaotic'. [...]

> The boundary may separate the living from the dead, settled peoples from the nomadic ones, the town from the plains; [...] (Lotman 2000: 131)

Also, and perhaps most importantly to my approach, Lotman adds that "what is not allowed with us is allowed with them." (Lotman 2000: 132), suggesting quite rightly that some boundaries must be crossed in order to enable characters to change their usual patterns of thought or behaviour. Should they wish to act differently from the "courtly norm", they have to alter their location, to leave the court and go to the forest where the criteria for what is allowed differ.

Applying these perceptions to *As You Like It*, such contrasts and boundaries to be crossed and/ or stressed were necessary to enable the shift in the mood of both the play itself and the characters in it – in order to invert the established modes of behaviour, the characters need to change the scene, to move into another location, to a more carnivalesque world where they no longer have to act according to the rules governing their deeds in their ordinary setting, the life in the court. Another aspect of Lotman's work also pertains directly to the current analysis, namely, that "Conscious human life, i.e. the life of culture, also demands a special space-time structure, for culture organises itself in the form of a special space-time and cannot exist without it." (Ib. 133)

These spatial and temporal criteria as defined by Lotman are instructive in Shakespeare's *As You Like It* with regard to how the boundaries between the court, the organised structure and institution and the country, the carnivalesque location, manifest themselves in space and time. There are two distinct spatial locations in the play (though most of the events take place in one of them, in the rural setting of the forest of Arden). And there is also a distinction of time in these two locations, which serves to sharpen the spatial contrast between the two settings. While the spatial difference is most clearly seen in the actions of the characters – moving from one to the other – it is also clearly present in their words, their lines, and so is the temporal one. These two matters – space and time, can be viewed as essential to some (or perhaps even most) of the characters in the play.

SPACE

To start with the spatial matter – it is extremely important to note how the difference of life in court and life in country is verbalised by some of the play's characters. Of course, it is naturally seen also in the action of the play – there are many characters who are banished from the court (the Duke Senior, Rosalind, Orlando, also Celia, who goes with Rosalind voluntarily) which turns out to be for their own good. After all, it is in the forest that they can be who they really are and reach what they have, however unwittingly, aspired towards or wished for – for example, Rosalind and Orlando, who have already fallen in love, can get together in the forest (like many other couples in the play). They can act according to their real selves, abandon the strictures of courtly manners and expected behaviour in favour of their innermost desires. Rosalind even transmutes her physical self, dressing up like a man, which gives her even further freedom in achieving her goals.

But what I would like to stress most is the noteworthy frequency of the characters' comments about and comparisons between urban and rural life. Firstly, the play's imagery is highly dependent upon nature imagery, most metaphors and comparisons being taken from the sphere of the flora and the fauna (and uttered not only by those who already live in the rural setting, like Duke Senior or Jacques or the shepherds, but also by the "new-comers" from the court, Rosalind, Orlando, etc). Also, among the words used most often to name, discuss or describe various phenomena and items are the following: nature, natural, desert, deserted, city, citizens, civilise, forest, court, time, and other similar ones to point to the contrast. For example, when Orlando first reaches the forest and meets the Duke Senior there, he is overwhelmed to realise that the place is so peaceful and "civilised", in an ironic sense. When the Duke treats him kindly, offering food to the starving and tired Orlando, the latter replies, almost in a state of shock:

> Speak you so gently? Pardon me, I pray you.
> I thought that all things had been **savage**[1] here, (II.vii.106–107)

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[1]   Emphases (here and elsewhere) in the examples are by the author of the article.

Therefore, being banished from a "civilised" place, the court, i.e. being treated in an inhumane way, he is set face to face with the fact that what he thought of being an "uncivilised" place, i.e. the forest, turns out to be far more human and kind which constitutes a total inversion of his values.

Linking these words and the ideas behind them to the notion of values mentioned earlier, a good example to illustrate the contrast would be the following passage from Act II Scene i, where the Duke Senior and his companion discuss the different reasons for hunting deer for city/ court people and country folks, and the other lord comments on Jacques's words upon hunting as a sport for the urban man, calling them "fat and greasy citizens" (II.i.55) who kill for the mere fun of it, while the countrymen kill out of the need for food. Yet, they have only reached this opinion through personal experience – the Duke himself used to hunt for sport once, and it is only now, after living in the forest, that he has come to look at the matter differently.

The melancholy Jacques is, throughout the play, the one to stress the discrepancy between the urban and rural life to the most extreme point. He is also the only one of the characters who does not return to life in the court at the end of the play, as the others do. For him, the values in the forest are the true ones and so he stays true to both these values and himself. On the other hand, the clown from the court, Touchstone, cannot cope with the different life style of the forest, and keeps exalting the court life whenever he gets the chance. In a lengthy dispute about these two alternative ways of living with the shepherd Corin (act III scene ii), Touchstone bluntly states that since Corin has never been to court, he is damned because in that case he never saw nor learned good manners, which, according to him, leads straight to sin and damnation. Corin, with his sane countryman's wit, replies that the manners of the court are ridiculous in the country, and vice versa. Touchstone keeps urging the matter until Corin wisely says that Touchstone's wit is too "courtly" for him and he will rest the case. That does not, however, deter Touchstone who goes on until Corin states the essence of being a countryman, that is "a true labourer", saying: "I earn that I eat, get that I wear; owe no man hate, envy no man's happiness; glad of other men's good, content with my harm; and the greatest of my pride is to see my ewes graze and my lambs suck." (III.ii.70–74) But even that

cannot convince Touchstone, who simply claims that all the above-mentioned qualities and criteria are all the more reason to be damned. There is no way to make him see life from someone else's perspective, and Corin let's lets the matter slip, which is yet another point in favour of his "sober" thinking, which in itself can be seen as the contrast between the artificial life of court and the simpler, more down to earth life of the country.

Yet, although the corresponding arguments used by the counterparts cannot meet in a solution satisfying both parties, there undoubtedly is a dialogue started, and that is already an advance, though naturally it stems from the fact that there are two different settings, there is a boundary – without these criteria there would never be a dialogue that lives on different information to be exchanged:

> The boundary as we have already pointed out is ambivalent and one of its sides is always turned to the outside. Moreover the boundary is the domain of bilingualism, which as a rule finds literal expression in the language practice of the inhabitants of borderlands between two cultural areas. Since the boundary is a necessary part of the semiosphere and there can be no 'us' if there is no 'them', culture creates not only its own type of internal organisation but also its own type of external 'disorganisation'. In this sense we can say that the 'barbarian' is created by civilization and needs it as much as it needs him. The extreme edge of the semiosphere is a place of incessant dialogue. (Lotman 2000: 141–142)

Touchstone, however, doesn't rest his case, in the following scene (III.iii), while he is arguing the merits of being married as opposed to being single, he uses the following comparison: "[...] As a walled town is more worthier than a village, so is the forehead of a married man more honourable than the bare brow of a bachelor; [...]" (III.iii.55–57)

TIME
The temporal axis of the play gives further support to the contrast of the two modes of living. Time is essential in the city. This is not to

say that it wouldn't be so in country, but the "scale" of measuring time is different – in the city it is counted by shorter intervals, one focuses on hours, minutes even. In the country time is measured in larger proportions – mostly by seasons (when to sow the seeds, when to harvest the crop, etc.), or sometimes by general periods of the day – there are things to be done in the morning or at midday or in the evening.

In fact, in the dream-like setting of the forest of Arden in *As You Like It*, time seems to have little meaning at all, "there's no clock in the forest" (as Orlando puts it in III.ii. 296–297). The very word "time" itself is uttered most frequently by the characters in the play to draw attention to the different measuring of it, or, as in the case with Touchstone, to indicate his inability to cope with the temporal dissimilarities of the country life. For him as someone coming from a more (or, at least differently) organised time setting, adjusting to a "no-time" space may prove impossible (and so it does).

The matter of time is even further complicated with regard to this play, as A. D. Nuttall, among others, has noted, there is some confusion with it right from the first act, where we learn that though it was just a few days ago that Rosalind's father left the court, we are also told that she and Celia have grown up together since that happened (Nuttall 2007: 235). And once the action of the play moves into the forest, time seems to pause completely for a while (ib.). This can be looked at as a mistake by Shakespeare, but could also be seen as directing the audience's attention to the importance of time in this play. The latter idea is put forward rather straightforwardly through Rosalind when she (still disguised as a man) discusses time with Orlando. Though the main thought behind their conversation is time's relativity for lovers – either too quick, when they are together, or too slow, when apart – Rosalind utters the following, quite „universal" line that seems to describe the main idea about time in the whole play: "Time travels in divers paces with divers persons." (III.ii. 303–304).

Two contrasting ideologies concerning temporal conceptions can again be seen in the opinions of Touchstone and Jaques. Ironically, the clash is further strengthened by Shakespeare via the fact that we hear about Touchstone's concept of time through Jacques's lines. The latter has met Touchstone in the woods, when he has just arrived there along with Rosalind and Celia, and Jaques forwards what he

has heard Touchstone saying, being amazed about how such a trivial matter (not that time in a more general sense would be a worthless matter for Jacques, but rather is so the way Touchstone sees it) can be worthy of such a lengthy meditation for someone. Jacques sees him looking at his watch ("dial") and remarks:

> "[...] 'It is ten o'clock.
> Thus we may see", quoth he, "how the world wags:
> "Tis but an hour ago since it was nine,
> and after one hour more 'twill be eleven;
> And so from hour to hour, we ripe and ripe,
> And then from hour to hour, we rot, and rot,
> And thereby hangs a tale.'" (II.vii.22–28)

Jaques considers that trivial "moral on the time" (II.vii.29) to be outrageous, yet also so hilarious that, according to his own words, he laughed non-stop about it for "an hour by his dial" (II.vii.33), and infers that Touchstone, whom he just met, was a true fool.

However, just a little later in the play, Jaques gives his own meditation/ reasoning on time, the famous speech of the seven ages of man, which I take to be a reply to Touchstone's. Since Jacques seems so content with the space and pace of life in the forest, his speech reflects his different outlook on time, which he measures in larger units, in the various stages of life each man goes through, rather than minutes, hours or days. That conception seems to back his stoic philosophy. The speech is delivered by Jaques within the frames of the very same scene (II.vii.139–166) as Touchstone's thoughts on time quoted above, starting with the well-known line "All the world's a stage, / And all the men and women merely players." (II.vii.139–140). According to Jaques's philosophy, every man goes through various stages in his life and thus acts all the roles of a human life (provided one gets to live until old age), and ends his speech with another "key-word" in the whole discussion about time, reflecting his relaxed and yet somewhat contemplative attitude towards it:

> "[...] Last scene of all,
> That ends this strange eventful history,
> Is second childishness and mere **oblivion**,
> Sans teeth, sans eyes, sans taste, sans everything."
> (II.vii.163–166)

So the last stage, oblivion, emphasizes that there comes a point when time no longer has a meaning.

To sum up, I would like to stress the following of Lotman's perceptions: "The notion of boundary is an ambivalent one: it both separates and unites." (Lotman 2000: 136). I hope I have managed to illustrate that this applies in both space and time to *As You Like It*. And the fact that boundaries themselves are constantly moving, and can be set in various places, depending on where, at a given time and in a given space, the centre is established, could perhaps be best illustrated by one final example. Namely, I would like to point out how the word "rustic" (an essential term for both the play and the present article) points to a crucial change (and the shifting of boundaries) in the play. Though the word appears only twice in the play, it deserves attention because it does so in two noteworthy moments – in the very beginning and at the very end. In the opening speech of the play, Orlando complains to Adam that his brother Oliver treats him unjustly, not allowing him to get an education (the matter of nature versus nurture is another significant one in the play), and says: "[...] for my part, he keeps me **rustically** at home" (I.i.6–7). At this point, Orlando's attitude towards rural life is clearly negative: he uses the word "rustic" to indicate his ill fortune. Yet, when the same word occurs in the play's final pages, Duke Senior, addressing, by the way, the very same brother whom Orlando complained about, and inviting him to join in their celebration of the many weddings, says: "Meantime forget this new-fall'n dignity, / And fall into our **rustic** revelry." (V.iv.174–175). So, by the end of the play, the rural setting is no more seen as negative or threatening, but rather as one creating a joyous atmosphere.

Therefore, the characters need to change location once again, to return back to court and see how they will manage to use the lessons they have learned in the forest if indeed they have learned anything at all – according to Nuttall, it is a characteristic of Shakespeare's pastoral that the courtly persons are not really educated by the

shepherds (a requirement of the pastoral genre), but they make the wild place courtly, usurp simplicity by mannered sophistication, instead of learning real simplicity (Nuttall 2007: 232). However, should they have come to cherish new values, there is no knowing of how successful will be their application in the urban space and time. Perhaps it will be a peaceful return, as suggested by Agnes Latham in the quote I cited in the beginning of this article, or perhaps it will lead to another clash, as renovations often do.

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Crossing Boundaries. Translation of the Untranslatable and (Poetic) Indeterminacy in Yuri Lotman and Giacomo Leopardi

DANIELE MONTICELLI

Semiotics as a method for literary analysis seems to be out of fashion today. On the one hand, within semiotics itself the attention has been shifted to other objects of study (such as biological or social phenomena); on the other, literary theory increasingly draws its general epistemological framework and methodological tools rather from philosophy and cultural studies. This has brought to a fundamental rejection of that understanding of the text, which has been the ground of that semiotic approach to literature which goes under the name of "structuralism".

In what follows, I will try to show that semiotics still offers unexplored potentialities as a method for literary analysis today. In considering the thought of the later Yuri Lotman, it will become clear that these potentialities might help to overcome the quite narrow limits of structural analysis developing a fruitful interaction with similar ideas circulating within the poststructuralist paradigm. Here I will limit myself to brief parallels between some aspects of Lotman's and Jacques Derrida's thought. Some places from the *Canti* of Giacomo Leopardi will be used to illustrate and, in some sense, to integrate the potentialities of Lotmanian semiotics as applied to literary analysis.

I choose as the leading threads for this piece of research the notion of boundary and the question of its crossing, because it is exactly through the elaboration of these notions and questions that Lotman's semiotic analysis comes to abandon its structuralist origins. Despite its clearly topological basis, this kind of approach

can easily be developed in order to fully deploy all the possibilities of spatial modeling. The analysis of Leopardi's poetry will evidence the temporal, perceptive, imaginative, cognitive aspects of the crossing of the boundary, thus "giving a body" to the topological model. The relations between theory and its object cannot simply be understood as an application or a superimposition of the first over the second; on the contrary, the crossing of the boundary between theory and the relative empirical field always implies that kind of para-doxical communication that Lotman's describes as a translation of the untranslatable and which brings about something new – a new theory and a new object.

The internal and the external: framing boundary

In his works of the sixties and the seventies, Lotman concentrates on the function of what he calls the "poetic text" [художественный текст] (Lotman 1970) as the primary place of cultural modelling. This privilege of the text as a modelling tool has a clearly topological background, insofar as the text is said by Lotman to be a finite model of the infinite world (Lotman 2006: 354), this finitude being understood in purely spatial terms as the enclosure or framing of a space artificially produced by a beginning and an end.[1] As opposed to the ungraspable infinity of worldly phenomena, the self-enclosure of the textual space makes possible the fixation of meanings which is accomplished through strong binary oppositions of a topological kind. In a key-text of that period "The metalanguage of the typo-logical descriptions of culture" (Lotman, Uspenskij 1985: 145–181)), Lotman generalizes these observations about textual modelling in order to explore the different possible orientations of a given culture on the basis of the fundamental opposition between an internal and an external space. This opposition stands for a whole series of other oppositions:

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[1]   Lotman's examples are not limited to literary texts but include also paintings, films, drama which can also be considered as texts exactly because of their bordering devices – the frame, the screen, the stage.
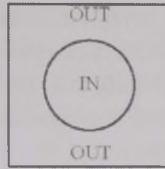
IN	OUT
my, our people	foreign peoples
holy	profane
culture	barbarism
intelligentsia	people
cosmos	chaos

Figure 1. The internal and the external

This kind of approach to the question of textual and cultural modelling is clearly structuralist. The stress is on binary oppositions which are static and imply a clear-cut separation between two qualitatively different spaces – whether in or out. The separating function of the boundary is here considered as the fundamental instrument of textual and cultural modelling and as the main tool of (structuralist) literary analysis, as Lotman clearly states in his work on the structural analysis of the poetic text (1972):

> *the artistic reality is graspable when we proceed to separate the essential, without which the work would not be itself, from those features which are in some cases important, and nevertheless can be eliminated insofar as by replacing them the essence of the work is maintained and the work remains itself* [...] The reality of the text is created by a system of relations – what bears significant (meaning giving, value-making) oppositions, or in other words everything which enters into the *structure of the work*. (Lotman 1990: 33–34; my translation – D.M.)

As in Saussurean linguistics, the imagine is here that of an internal space where the essential is preserved (Saussure's *langue* is a „system of relations") and of its external manifestation in acts of *parole* whose accidental, contingent aspects should be discharged in the study of language (and literature).

Anyway, already in this first phase of his work, Lotman begins to focus his attention not only on the separating (modelling) function of the boundary, but also on the problematic question of its possible violations. In his book on "The Structure of the Poetic Text", Lotman tries to elaborate a typology of the different characters and events of a narrative text, which already implies a certain dynamism. Main characters or protagonists can be namely distinguished, according to Lotman, on the basis of their capacity of moving between different spaces violating the boundaries which limit the sphere of actions of the other, minor characters. An event always coincides from a narrative point of view with the crossing of a boundary. Here we do not have simply containing spaces and contained things, but movements, trajectories of different kinds: the ones which take place within a single space – where characters are attached to strictly determined functions and lives – and the others which cross different spaces, establishing some forbidden contact between different functions and lives. In semiotic/symbolic terms we can speak here of different forms of communication – the one which implies a unique code in which a transparent message is transmitted (as in the traditional model of communication suggested by Jakobson 1960), the other which implies only partially overlapping languages and the need for tentative translations (as in the revision of the Jakobsonian model suggested by Lotman 2001: 13–16).

Separating, connecting, differentiating boundaries

The new topological model of culture developed by Lotman from the beginning of the eighties until his death (see Bethea 1997: 1, 5; M. Lotman 2007: 143–4, 150–1; Monticelli 2008: 185–191; Torop 2005: 167–8) is intended to capture this shift of attention from static and binary oppositions to a dynamics where the crossing of boundaries plays a fundamental role. This shift is actuated by introducing

the new notion of semiosphere which comes to occupy in Lotman's theory the central position previously held by the text.[2] The notion of semiosphere makes first of all impossible a clear separation of an internal from an external space. Lotman describes it as a continuum of different semiotic systems, in which there is no clear-cut separation neither perfect coincidence between two contiguous systems; rather we have always an area of intersection (C) and some areas of exteriority (A and B):
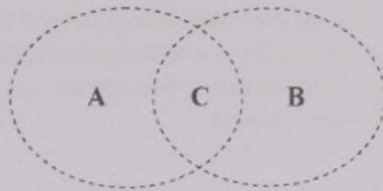
Figure 2. Semiospheric continuity

Now, the fundamental intuition for the development of the theory of the semiosphere is that such a situation as the one illustrated in figure 2 represents the minimal requirement for the opening of a space, which could be labelled as "semiotic". In Lotman's word the "smallest functioning semiotic mechanism" is an (at least) binary, asymmetric, heterogeneous system. If we think at the traditional (Saussurean) concept of a system or a structure, the novelty of the Lotmanian idea of semiosphere clearly emerges: the Saussurean system is a self-enclosed totality, perfectly immanent and separated from its external space, while the Lotmanian system is always immersed in the semiotic continuum – it is always the result of the partial intersection of different subsystems (its parts), and it inter-sects as a whole with other systems within the semiosphere.[3]

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[2]   But it would also be right to say that the semiosphere simply is a new way of understanding the text.

[3]   This is why a semiospheric understanding of the text clearly differs from what stated in Lotman's quotation reported above: the reality of the text (as semiosphere) is not created by "*a* system of relations", but it constitutes first of all the space of a dialogue between different systems (polyphony) and,

The idea of separation on the one hand, and of continuity (and immersion), on the other, are strictly connected with the notion of boundary, to which I will now return. Lotman's later works on the semiosphere present quite a sophisticated approach to the boundary which pinpoints its complexity and ambiguity 1) as an instrument of separation, 2) as an instrument of connection and 3) as an instrument of differentiation. The first conception of the boundary can be used to characterize the kind of systemicity that Saussure and a big part of the semiotic tradition has in mind. The second introduces the Lotmanian conception of translation in cases of untranslatability or dialogue. The third draws all the consequences of this and represents in my opinion the part of Lotman's thought which is most interesting and needs to be developed today.[4]

Self-description

The separating function of the boundary is fundamentally rethought within the new theory of the semiosphere; it is now intended as an instrument of individualization, "the external limit of the first person", as Lotman writes, which distinguishes the internal "me" (or "us") from the external "s/he" (or "they") and keeps what is internal and proper safe from the possible incursions of the external, which is represented as dangerously "other" (Lotman 1999: 13). Anyway, this identitarian separation and self-enclosure is not an originary and essential characteristic of a given semiotic entity (be it a person, a text, a culture) within the semiosphere, being instead the result of an homogenizing operation which Lotman defines as self-description. This is achieved through a centralization and hierarchization of the semiotic space in which one of its languages or systems comes to

secondly, it cannot be separated from the textual continuum in which it is always already immersed (textuality and intertextuality).

[4]   For a more detailed analysis of Lotman's notion of the boundary see Monticelli 2008: 191–210. Rein Veidemann has recently pinpointed three functions of Lotman's boundary: separating/delimiting, interpreting/ mediating and unifying/connecting (see Veidemann 2008). Notwithstanding some similarities, the focus of respectively Veidemann's and my analysis is quite different.

occupy a central position and starts to function as a metalanguage (Lotman 1990: 254–5; 2001: 10–1; 2001b: 65; 2002: 2647, 2651–2). Lotman speaks in this sense of the metalanguage as "the idealization of a real language" and he opposes "real cultures" and "real texts" as always crossed by the oscillation between at least two different systems to "the ideological self-portrait" or the "mythologized image" which a culture makes of itself with a metalinguistic self-description (Lotman 1990: 408; 2000: 129; 2001b: 132–3). The self-description establishes as a criterion for the inclusion of different elements into the semiotic space their translatability into the meta-language, but this means that it functions, first of all, as an excluding mechanism. From its privileged position the metalanguage thus becomes within the totalized sphere delimited by the external border a principle of *universal translatability* (Lotman 1985: 89). All that is not translatable in its terms is insignificant and it is expelled outside the external boundary of the semiotic space (Lotman 1990: 252, 255, 266; 1999: 15, 17; 2000: 129; 2002: 2652).
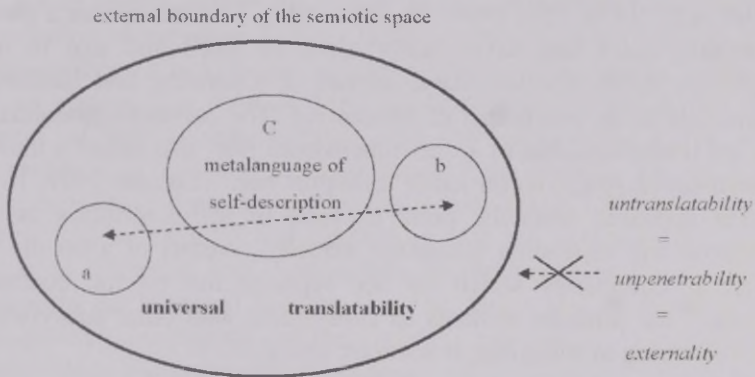

Figure 3. Universal translation – boundary as external line of separation

The centralization and hierarchization of the semiotic space reduces in this way at a minimum the possibility of change and novelty. In Derrida's words,

> guaranteed translatability, given homogeneity, syste-
> matic coherence in their *absolute forms*, this is surely
> (certainly, a priori and not probably) what renders [...]
> the other *impossible* [...]. There must be disjunction,
> interruption, the heterogeneous if at least *there must
> be*, if there must be a chance given to any 'there must
> be' (Derrida 2006: 42, 40).

Translation of the untranslatable

The boundary as an external line of separation is therefore an after-
effect of self-description. The notion of semiosphere allows Lotman
to distinguish between the artificial and ideal aspect of the meta-
linguistic self-description and what he calls "the semiotic reality". In
the latter, as it has been claimed above, each semiotic system, be it a
language, a text, a culture is always immersed in a bigger semiotic
space, where it forms together with (at least) another system a bigger
whole characterized by internal pluralism and heterogeneity (Lotman
1985: 127; 1990: 251; 1999: 18; 2001: 195). This means that a given
semiotic space can never really close on itself and that in the
semiotic reality the boundary, instead of separating and isolating,
functions as an instrument of connection. The connecting boundary
is not understandable as a one-dimensional line, it is rather a multi-
dimensional space, an (at least) "bilingual belt" (Lotman 1999: 16).[5]
What appeared from the point of view of self-description as an
external and separating boundary, actually consists of a bundle of
internal boundaries which do not separate but on the contrary
connect the semiotic systems as subsystems with other subsystems
co-belonging to some bigger semiotic space.

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[5] Considering what has been said above, it is interesting to observe that
Lotman presents the text in its quality of heterogeneous semiotic space as a
good example of bilingual belt (Lotman 1990: 398).

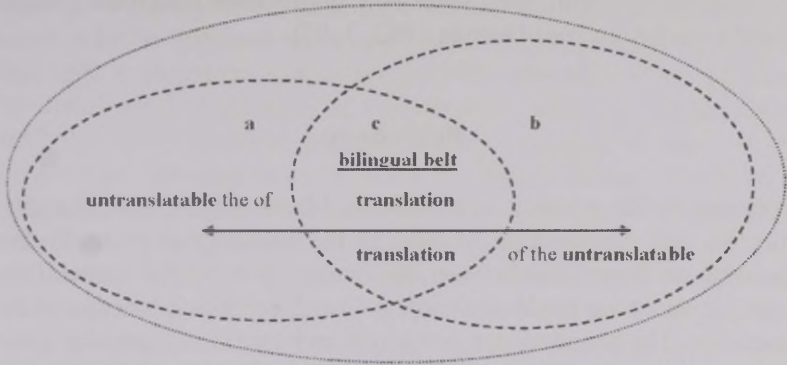Heterogeneous, asymmetric, (at least) binary system

Figure 4. Translation in cases of untranslatability – the boundary as bilingual belt

The crossing of this border-space as the transition from a given semiotic system to a different one is a kind of translation the nature of which clearly differs from that of the unproblematic universal translation taking place within a homogeneous semiotic space as the one represented in Figure 3. While universal translatability within a given system was warranted by the metalanguage occupying the center of that system, Lotman uses the oxymoronic expression "translation in cases of untranslatability" to describe the kind of communication characteristic of the border-space. Universal translation had to be total and exhaustive. All the untranslatable was declared irrelevant and kept outside the boundary of the semiotic space. In the bilingual border-space translation always remains, on the contrary, inadequate and incomplete in two senses: 1) inexhaustibility: since the untranslated remainder never dries up, always new and unpredictable results emerge from translation (the crossing of the boundary), thus indefinitely deferring the fixation of a final result; and 2) irreversibility: if we translate back, that is if we cross the boundary in the other direction, we never get back to the original point, but always to a new one. As Lotman writes, "one can say, that the *untranslatability of translation* is a bearer of valuable information" (Lotman 2001: 15; see also Lotman 1990: 268, 397; 2000: 140). These characteristics importantly coincide, in my opinion, with the concept of *differance* developed by Derrida: (1) a deferring in the

fixing of meaning (ever new translations) and (2) the non-identity of the original text with itself (ever new originals or backward translations) (see for instance Derrida 1982: 3–27).

Periphery

Focusing on the question of translation, I have spoken of a separating function and a connective function of the boundary respectively; but focusing on the relation between the border-zone and the centre of the semiotic space we could also pinpoint a differentiating function of the boundary. The boundary can be namely understood as a peculiar space with a topography which essentially differs from the homogeneous hierarchical organization of the centre of the semiotic space. In order to illustrate the topography of the boundary, it is possible to elaborate the Lotmanian concept of periphery describing it as fundamentally "out-of-joint", to use a Derridean concept of Shakespearean provenience (see Derrida 2006). The border-zone as periphery is out-of-joint or disarticulated because it belongs at the same time to the internal and to the external space or, it is the same, it does not belong to the internal neither to the external space (Lotman 1990: 398; 2000: 140) – a so/as or neither/nor logic substitutes itself here for the exclusive either/or logic of binary oppositions.

The topological undecidability of the periphery makes it undecidable also from a semiotic point of view: in the periphery "our language" may appear, in Lotman's words, as "someone else's language" and "someone else's language" as our own. This is why Lotman describes the periphery as a "zone of structural neutrality", which is still free of self-description and where elements are gathered together whose relations with the surrounding context remain ambivalent (Lotman 1985: 110; 1990: 259; Lotman, Uspenskij 1984: 4; see also Andrews 2003: 34). It is exactly because of its neutrality, or of its being out-of-joint that the periphery is capable of offering hospitality to what remains untranslatable into the metalanguage dominating the centre of the semiotic space.

Now, the fact that the semiotic space has a centre and a periphery means that it always contains some non-systemic elements, that it is always already different from itself. This internal difference keeps

the semiotic space open, by preventing the definitive fixation of its external boundary. If the metalinguistic self-description established a strict relation between transparent translatability (meaningfulness) and right to existence, in the periphery this transition from epistemic to ontological exclusion is interrupted: what is insignificant, irrelevant (and therefore excluded) from the point of view of the centre does not stop to exist in the periphery. Rather, this kind of insignificant, irrelevant existence is a potential source of unpredictable (new) meanings. On the one hand, the periphery is, in relation to the centre, a place of insignificance. But, on the other, the fact that meanings are not yet (no more) in place there makes of the periphery a space where all can be potentially considered as significant. This is why the periphery or the border-space is said by Lotman to constitute a "reserve of indeterminacy" or of "polyglottism" for the internal system (Lotman 1999: 20; 1990: 398).

Leopardi: the border-space as the place of poetic indeterminacy

Coming now to Leopardi, I will try to show the potentialities of Lotman's articulated redefinition of the notion of boundary for literary analysis. Lyrical poetry is in my opinion a privileged place of observation for the bordering effects described above in so far as the relations between interiority and exteriority and therefore the question of boundaries and of their crossing occupies there a pre-eminent position. Particularly during the Romantic period, topological questions are strongly invested with a symbolic value, making of them the bearers of an entire vision of the world. Within Romanticism, as Lotman writes, „the space is not simply a condition for the representation of concrete objects, as before, but it becomes itself the object of representation" (Lotman, Uspenskij 2001: 18; my translation – D.M.). Leopardi's poetry is not only a good example of this tendency; still more, in his lyrics the boundary acquires a body and becomes the very place of poetic inspiration.

First of all, it must be observed that Leopardi and his work are themselves what could be defined as a limit (or a border) case, which has divided the critics for several decades: was he a classicist or a

romantic, a revolutionary or a conservative, a radical materialist or the prisoner of the phantoms of his own imagination? This is perhaps why critics and literary theorists have often tried to approach his poetic works with the help of a system of binary oppositions: man vs nature, reason vs imagination, lyric vs prosaic, poet vs people, etc... The traditional way of understanding the relation between his poetry and his life presupposes a fundamental separation between the poet and the external world and of his closure in a personal, internal space. Leopardi himself describes in the *Zibaldone* his condition as the result of a fall from the sensitive and imaginative exteriority characteristic of childhood and youth, to the interior world of feelings, thoughts and sickness which poison adult life.[6] This clear-cut separation of an internal (poetry's) and an external (life's) space – a separation which grounds the series of binary oppositions reported above – can be understood as the prerequisite for a structuralistic approach to Leopardi's poetics. This kind of approach tends thus to situate the source of Leopardi's poetry in the tragic fall just described and in the feeling of strong and undeletable oppositions arising from it.

I will instead suggest – and this is the place where Lotman and Leopardi meet – that the wonder of Leopardi's poetry is not due to the tragicity of clear-cut oppositions and separations, but rather it emerges in the unpredictable and uncontrollable encounters and crossings between the internal and the external. Still more, border-phenomena do not simply occupy a central place in Leopardi's poetry, but it would be more correct to say that Leopardi's poetry discloses within the border-space. It is in this sense not a case that he considered indeterminacy (it. *vaghezza*) – according to Lotman a fundamental aspect of peripheral processes – as the very source of poetry in general. Instead of being the result of a separating self-enclosure within an internal space, his lyrics stage the penetration of fragments and memories of the external world into the internal world of the poet opening there a border-space which functions as a reserve of (poetic) indeterminacy. I will try to illustrate this opening and its effects with three examples from the *Canti*.

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[6] This interpretative grid has a universal scope in Leopardi's thought in so far as it is not only applied by the poet to his personal biography, but it has existential, historical and cosmological implications (see also Monticelli 2005).

L'infinito: from self-descriptional determinacy to poetic indefiniteness

I always did value this lonely hill
And this hedgerow also, where so wide a stretch
Of the extreme horizon's out of sight.
But sitting here and gazing, I find that endless
Spaces beyond that hedge, and more-than-human   5
Silences, and the deepest peace and quiet
Are fashioned in my thought; so much that almost
My heart fills up with fear. And as I hear
The wind rustle among the leaves, I set
That infinite silence up against this voice,   10
Comparing them; and I recall the eternal,
And the dead seasons, and the present one
Alive, and all the sound of it. And so
In this immensity my thought is drowned:
And I enjoy my sinking in this sea.[7]   15

The lyric has been briefly analyzed by Lotman in a letter written in 1973 to Remo Faccani, the Italian editor of his work (see Lotman, Uspenskij 2001: 18–21). Although Lotman pinpoints already in that analysis the fundamental topological conundrum of Leopardi's text, he is not yet able to reformulate it within the new theoretical framework that he begins to develop only since the beginning of the eighties. In fact, the brief lyric interestingly stages the three functions of the boundary described here above. In the initial condition (lines 1 to 7) the boundary represented by the hedgerow functions as a delimiting external line, separating the internal world of the poet, the hill of Leopardi's house from the external space. A series of binary oppositions qualify, according to Lotman's analysis, the clear-cut

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[7]   Sempre caro mi fu quest´ermo colle/ e questa siepe, che da tanta parte/ dell´ultimo orizzonte il guardo esclude./ Ma sedendo e mirando, interminati/ spazi di là da quella e sovrumani/ silenzi, e profondissima quiete/ io nel pensier mi fingo; ove per poco/ il cor non si spaura. E come il vento/ odo stormir tra queste piante, io quello/ infinito silenzio a questa voce/ vo comparando: e mi sovvien l´eterno/ e le morte stagioni, e la presente/ e viva, e il suon di lei. Così tra questa/ immensità s´annega il pensier mio:/ e il naufragar m´è dolce in questo mare.

difference between the internal and the external space: unique vs. plural (the hill vs. space*s* [*spazi*]), finite vs. endless, commensurable vs. incommensurable. If the model is topological in nature, the binary oppositions extend also to the temporal dimension (the eternal dead season*s* vs. the present one/ Alive) and perception both at the visual (gazing vs. out of sight) and the auditory level (the wind rustle among the leaves vs. infinite silence).[8] All these oppositions concur in constructing the internal space as determinable, describable from its own point of view, and the external space as indeterminable, foreign and resistant to description. The subject of experience, the first person of the poet occupies the centre of the internal space, he is identified by the delimitation from which and in which he perceives the world and himself.[9] In the *Zibaldone* Leopardi describes this function of the boundary in a quite Lotmanian way: "It seems above all that the individuality of existence naturally implies any kind of circumscription, so that the infinite does not admit any individuality and the two terms are contradictory" (Leopardi, 1997, I, 2739; my translation – D. M.).

Anyway, the text of the *Infinito* does not end with this individualizing (self-descriptional) circumscription. In fact, the hedgerow has from the very beginning of the lyric an ambiguous status as a boundary: if, it separates and hid, but this hiding separation is not total (*tanta parte* – a wide stretch is not the whole horizon[10]). The hedgerow does not only separate, but it lets also through, the perceptive ("gazing") and imaginative ("are fashioned in my thought") contact with the external world is maintained so that a dialogical process ("comparing them") between the two spaces can begin. This allows a transformation of the hedgerow-boundary from an external

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[8]   On the plane of expression the opposition between the internal and the external space is construed by Leopardi with the alternation of the demonstrative deictic 'this' [*questo*] and 'that' [*quello*] to characterize the elements of respectively the internal and the external space. For a linguistic analysis of the *Infinito* see Monticelli 2004.

[9]   As Sandra Cavicchioli observes, "in looking, I become at the same time, although only partially, part of what I look" (Cavicchioli, 2002: 170; my translation – D. M.).

[10]   Following Cavicchioli's quote reported in footnote 9, we must presume that also a part of the experiencing „I" is hidden to experience by the separating hedgerow (self-description brings about exclusions).

line of separation into a connecting and neutral space, which can be crossed in both directions.

Given the structural heterogeneity of the two spaces described above, the crossing of the boundary between them will take the form of what Lotman describes as a translation in cases of untranslatability. This is why the question cannot be simply resolved through the assimilation (total and adequate translation) of the external space into the internal space, of the unknown and the foreign into the known and the proper. On the contrary the translation of the untranslatable generates a third space where new information is generated. This new information is contained in the last three lines of Leopardi's lyric and it should be understood, according to Lotman's analysis, as a transformation of the meaning of the word "infinite", which results from the whole lyric: "'infinity' is the existence of a contraposition between an internal and an external space, of their incompatibility and incommunicability, and – nevertheless – the transfer firstly of the external in the internal space and then of the internal in the external space" (Lotman, Uspenskij 2001: 21).

This new conception of infinity is a good way of describing the opening of a border-space as a place out-of-joint, where the internal and the external cross one another giving rise to a topographical undecidability (as in the "shipwreck", *naufragio* of the original, which differs from the "sinking" of the English translation). In the *Zibaldone* Leopardi himself describes this new understanding of infinity as actually referring to indeterminacy: "not only the faculty of knowledge, or that of love, but either imagination is capable of the infinite, or of infinitely conceiving, but only of the indeterminate [*indefinito*], and of conceiving indeterminately" and the soul "not seeing the boundaries, receives the impression of some kind of infinity, and it confounds the indeterminate with the infinite" (Leopardi, 1997: I, 410; my translation – D. M.). The infinite therefore describes at the end of the homonymous lyric the opening of the poetic space as a place of indeterminacy (Leopardi's *vaghezza*) – the main characteristic of the border-space. The poet is the one who is exposed to the effects of indeterminacy and "sweetly" [*dolce*] "goes wandering" (Leopardi 1994: 53) in the border-space which is not only opened and made manifest by poetry, but is the very opening through which poetry becomes accessible.

A Silvia: **autocommunication**

In the following passages from the lyrics "To Silvia", Leopardi not only focuses once again on boundaries and their crossing, but he also describes the effects of the encounter and dialogue between two different modelling systems within the same individual, what Lotman calls autocommunication:

[...]
The silent rooms were ringing
And all the streets around,
With your perpetual singing,
And you the while, intent on housewifery,   10
Contented as might be
With the vague future which you had in mind
And so you used to spend, in scented May,
The best part of the day.

I left upon on side   15
The studies and the papers I perused,
On which my early prime
And all the best of me was being used;
From balconies of my ancestral home
I pricked my ears up just to hear your voice,   20
And how your hand would race
Over the rapid labour of the loom.
I looked at the clear sky,
At golden streets and garden,
With here the mountains, there the distant sea.   25
No mortal tongue can talk
Of such felicity.[11]
[...]

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[11] Sonavan le quiete/ Stanze, e le vie dintorno,/ Al tuo perpetuo canto,/ Allor che all'opre femminili intenta/ Sedevi, assai contenta/ Di quel vago avvenir che in mente avevi./ Era il maggio odoroso: e tu solevi/Così menare il giorno.// Io gli studi leggiadri/Talor lasciando e le sudate carte,/Ove il tempo mio primo/E di me si spendea la miglior parte,/D'in su i veroni del paterno ostello/Porgea gli orecchi al suon della tua voce/Ed alla man veloce/ Che percorrea la faticosa tela./Mirava il ciel sereno,/Le vie dorate e gli orti,/E quinci il mar da lungi, e quindi il monte./Lingua mortal non dice/Quel ch'io sentiva in seno.

In lines 7 to 14 Silvia's (a village girl's) world is outlined as orga-
nized (modelled) by the articulating rhythm of the singing and the
housewifery. In lines 15–18 the world of the lyrical I (alter-ego of
the aristocrat Leopardi) is outlined as modelled by studies and
papers. A kind of incommensurability grounded on a series of
oppositions between the two modelling systems is here presupposed:
housewifery vs studies, silence vs singing and even scent (of spring)
vs sweat [*sudate*] which is pour on the papers in the original text.
Anyway, this series of oppositions is not charged with axiological
values, if Silvia is said to be contented, the poet's studies are also
said in the original to be "graceful" [*leggiadri*].[12]

The "balconies" of line 19 introduce in the lyric the element of
the boundary whose topographical paradox emerges still better than
in the hedgerow of "The Infinite". Balconies are undecidable archi-
tectonic elements: they belong both to the internal and to the external
space – or they do not clearly belong to any of them. The balcony
both separates and connects thus allowing the poet to establish a
contact with the external world without belonging to it. In this
particular lyric the contact between the inside and the outside is of an
auditory kind. Silvia's singing crosses the boundary between the two
worlds and it penetrates the internal world of the poet. But together
with Silvia's singing another rhythm, another principle of arti-
culating (modelling) reality, which radically differs from studies and
papers, enters the poet's world. Thus, the metalanguage of self-
description homogenizing the poet's internal space is challenged by a
fragment in a language which cannot be adequately translated into it,
but which cannot be simply discharged as something irrelevant. In
Lotman's terms, a process of autocommunication begins here, the I
becoming the place of a dialogue which may transform the "self-
interpretation of the individual" (Lotman, Uspenskij 2001: 110–133).

Anyway, this process of autocommunication which the crossing
of the boundary between two worlds made possible does not lead in
the lyric to any definitive result like the arising of a new, dominating
metalanguage of self-description because, as Leopardi clearly states

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[12]   What Silvia's and the poet's world have in common is their passing
away, the inescapable orientation toward death (Silvia's day is "spent", the
poet's youth is "being used") which is the main theme of "To Silvia" but
which does not interest me here.

at the end of the passage considered here, "no mortal tongue can talk" what the poet feels. He does not actually become a part of Silvia's world, and Silvia does not actually become a part of his world. Autocommunication rather leads, as it is described in lines 23 to 27 of the lyric and similarly to the "comparison" of "The Infinite", to the opening of a space of poetic indeterminacy: on the one hand, from a merely topological point of view, the poet's gaze is liberated and can now direct outside – toward the sky, the mountains, the sea (the "extreme horizon" of "The Infinite"); on the other hand, from a semiotic point of view the usual capacity of language to describe the internal reality ("what I was feeling in my heart" [*quel ch'io sentiva in seno*]) is here suspended. The "felicity" introduced by the English translator felicitously matches the "sweetness", which described the same kind of (topological) wandering and (semiotic) wondering in the last line of "The Infinite".

Il sogno: the (s)materialization of the border-space

The last passages of Leopardi's poetry that I would like to analyze here are taken from the beginning and the end of the lyric "The Dream". In them the border-space materializes both on the level of the content and on the metalevel of composition, becoming the boundary of the poetic text itself. Here are the first lines of the lyric:

It was now morning, and through the closed shutters
And through the glass of my blind room the sun
Was introducing the first light of day;
Coming towards that time when sleep more lightly
More gently veils our eyelids with her shadow,   5
There stood beside me looking in my face
The shade or semblance of that one who first
Taught me to love, and then left me to grieve.[13]

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[13]   Era il mattino, e tra le chiuse imposte/Per lo balcone insinuava il sole/ Nella mia cieca stanza il primo albore;/Quando in sul tempo che più leve il sonno/E più soave le pupille adombra,/Stettemi allato e riguardommi in viso/ Il simulacro di colei che amore/Prima insegnommi, e poi lasciommi in pianto.

We are facing here an undecidable situation both from a spatial and from a temporal point of view. The poetic I lingers in the boundary between night and day, sleeping and waking. Topologically the boundary is marked here by the window, which ambivalently separate and connect as the hedgerow and the balcony of the preceding examples: although the shutters of the windows are closed, they still let in the first light of the day. These permeable shutters are doubled by the permeable eyelids, which are only "lightly" and "gently" veiled by the "shadow" of sleep. As a consequence a border-space between light and darkness (the sun and the blind room), a "dawn" [*albore*] arises through which a fragment of the past penetrates into the present as a "shade" or "semblance" [*simulacro*]. According to Derrida, the specter is a figure of the in-between, the border-place where presence and absence, being and non-being become undecidable; haunting is what make the present not identical with itself, out-of-joint, opening it to alterity (see Derrida 2006). [14]

Now, the title of the lyric leads us to interpret the spectral apparition as the content of a dream which, given the Lacanian definition of the dream as the place of a communication with oneself "through the medium of memory" (Lacan 1998: 61), can be also considered as an instance of Lotman's autocommunication. But Lotman also draws a parallel between poetry and the dream – a "semiotic window" which interrupts the continuity of conscious life and opens a space of the greatest indeterminacy which may be filled with different and unpredictable meanings (Lotman 2001: 161–166). That the "semblance" of Leopardi's lyric is not the simple content of a dream, but that it similarly contributes to redefine the dream as the place of poetic indeterminacy becomes evident in the final lines:

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[14] If in "The Dream" there is a clear predominance of visual impressions, in the lyric "First Love" an analogous "spectral" situation is constructed (similarly to "To Silvia") through acoustic ones: "I lay there sleepless as the new day dawned,/ and heard the horses that would make me lonely/ Stamping their hooves outside our ancient home./ And full of fear and silent and uncertain/ Toward my window in the dark I bent/ My eager ears and eyes that opened vainly,/ Hoping to hear that voice, if ever voice/ Might issue from those lips as she departed:/ The voice alone: heaven took all else away." Here, once again, perceptive partiality and uncertainty are fundamental requirements of poetic indeterminacy.

> [...] Trying to cry out
> In my distress, and racked with pain, my eyes
> Swollen and inconsolable with weeping,
> I roused myself from sleep. But she remained
> Before my eyes, and in the uncertain ray
> Of the sun's light I thought I saw her still.[15]

At the end of the lyric, the sleeper wakes up, but this does not mean that the semblance simply disappears. The beginning and the end of the lyric thus do not demarcate the boundaries of the dream and with them the boundary between the poetic space and ordinary life. On the contrary, the border-space which opened at the beginning of the lyric is not closed at the end of it together with the interruption of sleep; both the sunlight and the sight remain uncertain and vague. As in the case of the infinite also the dream thus acquires a new meaning by the end of the lyric, coming to indicate the opening of the border-space and the reserve of indeterminacy which are the fundamental sources of Leopardi's poetry.

These were only some preliminary sketches for an approach to Leopardi's poetic work which would differs from the traditional interpretations stressing the separation, isolation, interiority of the poet and the opposition between his superb art and his miserable life. The new approach suggested above lead me to conclude that the poetry and the personality of Leopardi emerge from (and within) a continuous tension between the internal and the external world, the present and the past. I have tried to characterize this tension – which is at the same time a collision and a dialogue – with the help of Lotman's conception of the boundary. Of particular importance turned out to be the Lotmanian idea of the border-space (or periphery) as a reserve of indeterminacy making of it the very source of poetic effects.

As for semiotics and its potentialities today, I am convinced that, following and developing Lotman's groundbreaking indications, we should concentrate our attention exactly on that paradoxical border-

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[15] "[...] Allor d'angoscia/ Gridar volendo, e spasimando, e pregne/ Di sconsolato pianto le pupille,/ Dal sonno mi disciolsi. Ella negli occhi/ Pur mi restava, e nell'incerto raggio/ Del Sol vederla io mi credeva ancora."

and inter-space where meanings are not yet (or no more) actually in place but from where any process of new (re)signification takes its start. From this particular point of view, it would be possible to critically rethink also the notions of system, totality, synchronicity – the very bases of (Saussurean) semiotics. In doing that, semioticians could conceive themselves as the ones who linger in the border, renouncing the pretence to conquest with their metalanguage the epistemological and methodological center of human (or even social) sciences.

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On the Economy of Translating *Lord Jim*

ANNE LANGE

The Estonian translation of Joseph Conrad's *Lord Jim* by A. H. Tammsaare was published in 1931, the same year Tammsaare issued volume 3 of his *Truth and Justice*. The propinquity of the two texts is there while the coincidence alone does not say much of its nature. To begin with, we have a letter Tammsaare had sent some years earlier, in 1927, to Eesti Kirjanduse Selts (the Estonian Literary Society), the publisher of also his 1931 translation of *Lord Jim*, that says: "I want to translate only in order to be able to write my own books – in future" [1] (KM EKLA f. 16, m. 197:5, 74). Treating translating as a prerequisite for more important tasks refers here primarily to pecuniary concerns limiting the mutual dependence of the texts with economical necessity. Moreover, the correspondence between Tammsaare and the Estonian Literary Society shows that all the books he translated for the publishers[2] were proposed by them, not by him (Siimisker 1963: 14) – so the translations cannot be read as deliberate extensions to the statements of significance for Tammsaare. Still, there is an option: the need to be economical in the field most mundane need not eliminate imaginative interests, and so what follows is the comparative reading of the two novels looking for their relation in mental terms.

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[1]   All the translations of Tammsaare's texts are by the present writer.
[2]   In 1926 *Ivanhoe* by W. Scott, in 1927 *Masterman Ready, or the Wreck in the Pacific* by F. Marryat, in 1928 *The White Monkey* by J. Galsworthy, in 1929*The Picture of Dorian Gray* by O. Wilde, and in 1931 *Back to Methuselah* by G. B. Shaw.

Chance

'Chance' is the word repeated in *Truth and Justice* and in *Lord Jim*; it is the event connecting the background and the plot of the two novels; and it is the fact of fate recognized by both Indrek Paas and lord Jim, the protagonists of the novels. That is to say: Tammsaare and Conrad are the writers of the tragedy in its classical Aristotelian sense describing events happening unexpectedly, one after another, exposing them as intentional and decisive in structuring the destiny of their characters.

An example from *Truth and Justice*: Indrek, returning from the revolutionary countryside of 1905 and his mother's death-bed to his apartment in town, finds that his renters have gone to the port to send their daughter Kristi to America. He hurries to the port to bid his farewell but the ship has already left the harbor, and Kristi jumped overboard ending her life in suicide. Indrek is left with her puzzling letter that, after a chance comment of the publisher Viljasoo, he understood as telling him: although Indrek had suspected Kristi of spying she had not done it. Lost honor stated the reasons for Kristi's final jump are still legion beginning with her big red hands and ending with the slogan she had learned from her revolutionary comrade: a man has to be free but his ideas fixed or there would be no revolution (Tammsaare 1931: 312). Indrek, still, explains what has happened with chance: he could have come back a day before and then it all would not have happened (ib. 407).

The jump overboard in *Lord Jim*, that of Captain Brierly, is similarly his deliberate determination to live up to his honor. As an assessor at the inquiry that investigated the case of the disgraced first officer of *Patna* who had abandoned his sinking ship leaving the steamer and its eight hundred passengers to their fate, Brierly says:

> We are trusted. Do you understand? – trusted! Frankly, I don't care a snap for all the pilgrims that ever came out of Asia but a decent man would not have behaved like this to a full cargo of old rags in bales. We aren't an organized body of men, and the only thing that holds us together is just the name for that kind of decency (Conrad 2002: 43).

Brierly is a man kept going by principles upholding the multitudes and to be followed even if these destroy an individual. Conrad makes the captain an embodiment of the type describing him as a man of no cares, no dire straits whatsoever (ib. 41) but his good name.

The leap into the sea has been attached to the main plot of the novels not for the sake of the morbid decision but in order to develop the subject: the chance is what men make it (ib. 151). Chance is what leaves the characters of both Conrad and Tammsaare with consequences and mental confusions that keep them replaying their moments of decision/indecision in their mind. Jim deserts his ship by chance, on the call meant not for him; it is by chance, a misheard word, that Jim and Marlow start talking to; it is a chance that Kristi learns about her father's double life while Indrek is out of town, and, accidentally, her ticket for America arrives making her leave at once as if fleeing. Chances used and/or missed have given both authors the opportunity to face the human mind with "the most obstinate ghost of man's creation, of the uneasy doubt uprising like a mist, secret and gnawing like a worm, and more chilling than the certitude of death – the doubt of the sovereign power enthroned in a fixed standard of conduct" (ib. 32).

As to the narrative technique, however, the difference between Tammsaare and Conrad is considerable: *Truth and Justice* is a story by an extradiegetic narrator using abundantly the free indirect discourse to represent the speech and thought of the protagonist of the novel Indrek Paas; *Lord Jim*, at that, has been told by and large by Captain Marlow, the man who has already ceased to doubt in what lord Jim believed in (ib. 96). The narrative voice of Joseph Conrad, *homo duplex* in many of his roles, the writer and the seaman, the English author and the Pole[3], is more filtered evading the sole moral responsibility of the omniscient creator. At the same time, Conrad – being as highly rhetorical and melodramatic as Tammsaare

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[3]   In 1907 Conrad had written to Edward Garnett: "You remember always that I am a Slav (it's your *idée fixe*) but you seem to forget that I am a Pole. You forget that we have been used to go to battle without illusions. It's you Britishers that "go in to win" only. We have been "going in" these last hundred years repeatedly, to be knocked on the head only" (quoted in Said 1966: 63).

making one now and then question the efficiency of the style –
strikes as a writer having an awesome belief in the direct referential
function of words. It is not just a reader's impression for there is
Conrad's 1899 letter to Hugh Clifford that says

> Words, groups of words, words standing alone, are
> symbols of life, have the power in their sound or their
> aspect to present the very thing you wish to hold up
> before the mental vision of your readers. The things
> 'as they are' exist in words; therefore words should be
> handled with care lest the picture, the image of truth
> abiding in facts, should become distorted – or blurred
> (quoted in Said 1966: 96).

Remembrance

Translating *Lord Jim* Tammsaare was rewriting an awareness he as
an author shared. "A book can save many a moment from
transience," Tammsaare has written (Tammsaare 1914: 39), stressing
in his Preface to *Lord Jim* Conrad's enviable memory preserving
what has been seen or heard for years and using it to write as if under
the *lanterna magica* shedding light at details illuminating the whole
scene. It was not only *moira*, inside a man and inescapable, that
connects these two authors but also their will for a literary work that

> in its essence /---/ may be compared to rescue work
> carried out in darkness against cross gusts of wind
> swaying the action of a great multitude. It is rescue
> work, this snatching of vanishing phases of turbu-
> lence, disguised in fair words, out of the native
> obscurity into a light where the struggling forms may
> be seen, seized upon, endowed with the only possible
> form of permanence in this world of relative values –
> the permanence of memory. And the multitude feels it
> obscurely too; since the demand of the individual to
> the artist is, in effect, the cry, "Take me out of my-
> self!" meaning really, out of my perishable activity
> into the light of imperishable consciousness (Conrad
> 1905).

Conrad's coherent presentation of the consciousness rich in *qualia* has made him one of the pillars in the apologetics of literature for the age of science (e.g. Lodge 2002). His ability to convince his readers in the cognitive value of the novel meets the expectations as formulated by Noam Chomsky: "we will always learn more about human life and human personality from novels than from scientific psychology" (Chomsky 1988: 159). Conrad, indeed, has defined fiction as a determined attempt "to create the moral, the emotional atmosphere of the place and time" that can be effective only when appealing to the senses

> because temperament, whether individual or collective, is not amenable to persuasion. /---/ [The task of a writer] is, by the power of the written word to make you hear, make you feel – it is, before all, to make you see. That – and no more, and it is everything. /---/ The task approached in tenderness and faith is to hold up unquestioningly, without choice and without fear, the rescued fragment before all eyes in the light of a sincere mood. It is to show its vibration, its colour, its form; and through its movement, its form and its colour, reveal the substance of its truth – disclose its inspiring secret: the stress and passion within the core of each convincing moment (Conrad 1967: 162–3).

Texts of the quality are the only hope for the solidarity binding men to each other (ib. 161) in recognition that art is long even though life is short.

Literature is not science but nevertheless based on the experienced. This was the maxim that kept Conrad writing, aware of "the blight of futility that lies in wait for men's speeches" and can so easily fall upon their conversation (Conrad 2002: 93). His Marlow of *Lord Jim* attempts at interpreting in slow speech "the instantaneous effect of visual impressions" (ib. 31), and thinks there is no sense in asking Jim about facts "as if facts could explain anything" (ib. 18). Marlow wants to tell his listeners Jim's story or it would "slip out of existence, to live only in my memory till I myself passed into oblivion" (ib. 202). At least remembrance is where Jim has his significance, decides Marlow – much like Indrek Paas at the emblematic final scene of the final part of *Truth and Justice*:

> And standing there, by the chest he [Indrek] felt
> suddenly that life is but a remembrance or a
> remembrance of the remembrance and all the rest is so
> vain that could well be given up. The humankind itself
> with its life and worries, its struggles and pains, is a
> tiny dot beside the remembrance (Tammsaare 1957:
> 355).

Marlow talks Jim visible in slow motion. Jim and his story evoke in
him those "rare moments of awakening when we see, hear, under-
stand ever so much – everything – in a flash – before we fall back
again into our agreeable somnolence" (Conrad 2002: 90). Jim, the
all-knowing narrator tells us at the beginning of the novel, spots
Marlow at one of the latter's epiphanic moments seeing that Mar-
low's "glance directed at him was not the fascinated stare of the
others" (ib. 21), and this makes Jim tell him his story. Soon after the
initial narrator gives floor to Marlow for his lengthy story interrupted
now and then with the question that has been also asked by
Tammsaare who begins his Chapter XVI of *Truth and Justice* as
follows:

> who would have an eye and the mind keen enough to
> see and understand in a flash what happened in the
> deepening autumnal twilight in the massacre in the
> middle of the city [in 1905] with those who were
> killed and with those who killed and who gave the
> order to kill and who saw those killed or heard it
> without knowing that this is the killing sound?

The genesis of the two novels sharing their artistic endeavor relies
much on true events. Both Conrad and Tammsaare have been
inspired by real-life scandals, facts of ghostly indeterminacy that
"are so often more enigmatic than the craftiest arrangement of
words" (Conrad 2002: 212).

For *Lord Jim* it is the case of S.S. *Jeddah* that had sailed from
Singapore to Jeddah in 1880, with about 800 people on board,
Muslims on their way to Mecca. *Jeddah*, sailing under the British
flag, began taking in water during the terrible weather of the first
week of the journey. The white captain and officers abandoned the
ship and were picked up by another vessel that took them to Aden.
Jeddah was reported to have sunk. In early August, however, a

French steamer towed *Jeddah*, with its pilgrims alive, into Arden (Greaney 2002: 78). The scandalous behavior of the screw and its investigation were a topical issue still in 1883 when Joseph Conrad with his ship reached Singapore.

Conrad, whose fictional ship is *Patna*,[4] has used nothing revealed in the investigation that would alleviate the guilt-ridden consciousness of his protagonist serving in the novel his author's focused and merciless interests. The prototype for Jim has been recorded to have been *thrown* overboard (ib. 78) – while Jim jumps, albeit in his moment of indecision.

A true event of significance within the context of chance in volume three of *Truth and Justice* seems to have been used without manipulation. There has been no need, it is indeterminate enough. The first three volumes of Tammsaare's epopee contain much that is autobiographical (Nirk 1987: 168). A biographical fact of relevance here is from the time Tammsaare worked for the editorial board of *Sõnumed* (in 1906–7) recorded as early as in 1927 (H-h 1978 [1927]: 100): a Russian soldier had come to the editorial office saying that he, caught while buying vodka, had killed an officer and fled leaving his gun there. He had to buy himself a new one, or he would be court-martialed. He needed 57 roubles. Tammsaare had had by chance a cheque book with him and he gave the soldier the money, paying it back from his salary. The saved soldier sent later Tammsaare a letter telling him that his wife and five children were saying prayers for him every night.

This is what we read in Chapter XXV in *Truth and Justice* 3 where Indrek gives the Russian soldier 47 roubles for the same reason and with the same results. Meeting Timofei by chance (Tammsaare 1931: 267), Indrek decides on impulse and takes money from the funds of the revolution he has with him. Later, labeled a traitor of the revolutionary course, Indrek reads the letter of Timofei's wife, learning that she and her five children are praying for him until their death. It is all ghostly, is what he feels, feeling also that the ghostly has a meaning to him his daily reality, the maddening revolution, which he has lost (ib. 297).

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[4]   *Patna* can be also met in *El inmortal* by Borges where it was bound for Bombay but had to land elsewhere. The narrator's comment is: *Hay una tachadura en el manuscrito: quizá el nombre del puerto ha sido borrado.*

On the Economy of the Translation

While discussing Tammsaare as an author of world literature conversing transnationally with other literary texts, Joseph Conrad has been left unstudied to the extent that Conrad's name does not even occur in the index of the collection dedicated to the subject (Treier 2001). Translations that should be a matter of course in the body of texts by an author have been often excluded from the required sources of a researcher of Estonian literature, minimizing this way the possible cognitive benefit of comparative literature, a context of translation studies. Yet, it is not only every act of reception but also every act of interpretation of significance that is comparative. To be comparative is not be fascist but it is an imperative for a researcher of Tammsaare that has been recently stated by Toomas Haug, recognizing the intertextual quality of Tammsaare's texts in connection with Knut Hamsun: growing texts out of texts characterizes Tammsaare more than we have been willing to see, Haug has written (Haug 2007: 1878).

Tammsaare's translation of *Lord Jim* as a translation is still another story, and here the economy of translating acquires another meaning besides that of mental support. To quote Derrida:

> Here *economy* signifies two things, *property* and *quantity: on the one hand*, what concerns the law of *property* (*oikonomia*, the law – *nomos* – of the *oikos,* of what is proper, appropriate to itself, at home – and translation is always an attempt at appropriation that aims to transport home, in its language, in the most appropriate way possible, in the most relevant way possible, the most proper meaning of the original text, even if this is the proper meaning of a figure, a metaphor, metonymy, catachresis or undecidable impropriety) and, *on the other hand*, a law of *quantity* – when one speaks of economy, one always speaks of calculable quantity. *On compte et on rend compte*, one counts and accounts for. A relevant translation is a translation whose economy, in these two senses, is the best possible, the most appropriating and the most appropriate possible (Derrida 2004 [1998]: 427).

That is to say: whenever a word in the original has been lost in the translation or, when it has been replaced by a phrase or a footnote comment/analysis of the original, it is indicating at the (either avoidable or unavoidable) failure of the translation proper, the violation of its principle of economy.

All the 45 chapters of *Lord Jim* with all its sentences have been translated; Tammsaare's translation is complete and unabridged. In order to decide on the quality of the quantity let us first have a look at one of the most sensitive sentences in the confession of Jim from the end of Chapter IX when the protagonist, telling Marlow how he leapt from *Patna*, has been reported to have said, "I had jumped /---/ It seems" (Conrad 2002: 70). Susan Jones of St. Hilda's College, Oxford, comments:

> The grammatical construction of Jim's confession is significant. It suggests a dislocation of consciousness at the very moment of action. He describes his action – 'the leap' – in the pluperfect tense, located in the distant past of his memory, while the use of the intransitive 'seems' introduces present equivocation, suggesting a sense of ambiguity about his knowledge of, responsibility for, and reluctance to 'own', his deed (Jones 2002: v).

In the Estonian translation the tense used is simple past (*mina hüppasin*, Conrad 1931: 112), followed by *vähemalt näib nii* ('at least so it seems'). Although the indecision of the leap has been extended (*vähemalt*, 'at least'[5]) in the second sentence, the past perfect "shortened" into the simple past has changed the perspective of the perception, adding intention and will to the jump that turns Jim's obsessive confession into a pure self-justification without relevance in the context of predestination.

Tammsaare as a narrator, as mentioned, is more authoritarian than Conrad, making no use of shifting narrative points of view in his own writing. The habit is in a way present in his translation of

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[5]   The manuscript of the translation preserved in the Estonian Literary Museum reveals that the extention has been added by the editor (Ants Oras) for Tammsaare's original translation ran as: *Mina hüppasin ... Nõnda näib see* (KM EKLA, f. 18, m. 139:1, 119).

Lord Jim, causing confusions recognized already by Johannes Silvet, the first reviewer of the translation, who called it in general "a success as can be expected from Tammsaare" (Silvet 1932: 243). However, as in some cases the parsing of the statements into paragraphs or their division between different characters has not been reproduced (e.g. inverted commas missing), it is an extra effort to guess by the translation who has said/done what (e.g. Conrad 1931: 41, 116). The story of *Lord Jim* is reluctant to take shape in the original also, yet it has been Conrad's deliberate effort to let the structure of his narrative emphasize the multiplicity of his voices and the compiled and plural nature of the story. Within Marlow's narration we have the futile pseudo-communication of the inquiry, Jim's claustrophobic dialogue with himself, his confession to Marlow who frees him from moral and linguistic isolation (Greanaey 2002: 80), and the interpretations of all those who tell Marlow Jim's story, including the French lieutenant (Chapter XII ff) and the German merchant Stein, the self-made philosopher of a lepidopterist (Chapter XIX ff).

While translating the latter, originally bilingual texts, Tammsaare's translational decisions are worthy of comment for he has preserved the linguistic peculiarities of the Frenchman while eliminating those of Stein. The original polyglot performances of the French lieutenant[6] are as bilingual in Estonian,[7] but the English text of Stein interwoven with German phrases (*ach so*! etc.) is void of the

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[6]   E.g.: Brave – you conceive – in the Service – one has got to be – the trade demands it (*le métier veut ça*). Is it not so? "he appealed to me reasonably." *Eh bien*! Each of them – I say each of them, if he were an honest man – *bien entendu* – would confess that there is a point – there is a point – for the best of us – there is somewhere a point when you let go everything (*vous lâchez tout*). And you have to live with that truth – do you see? Given a certain combination of circumstances, fear is sure to come. Abominable funk (*un trac épouvantable*) (Conrad 2002: 92).

[7]   *Julge – mõistate – teenistuses – peab olema – elukutse nõuab (*le métier veut ça). Eks ole nõnda?"pöördus ta veenvalt minu poole." Eh bien! Igaüks neist – ma ütlen igaüks, kui ta oleks olnud aus inimene – bien entendu – oleks tunnustanud, et on olemas punkt, – on tõesti – ka parimale – kuski on olemas punkt, kus jätate kõik (*vous lâchez tout). Ja selle tõega peate elama – mõistate? Teatud olukorras tuleb hirm kindlasti. Vastik hirm (*un trac épouvantable) (Conrad 1931: 144).*

latter in the translation spelling them in Estonian as if applying the
cultural agenda of the day – to de-Germanize the Estonian lan-
guage – also to Conrad's characters who have been deprived of their
phonetic background. Leveling the linguistic markers of the original
for the sake of the linguistic history of the receiving culture, Tamm-
saare has been concordant with the observation:

> Translation never communicates in an untroubled
> fashion because the translator negotiates the linguistic
> and cultural differences of the foreign text by reducing
> them and supplying another set of differences,
> basically domestic, drawn from the receiving language
> and culture to enable the foreign to be received there.
> The foreign text, then, is no so much communicated as
> inscribed with domestic intelligibilities and interests.
> The inscription /---/ continues in the development of
> discursive strategies to translate it, always a choice of
> certain domestic discourses over others (Venuti 2004:
> 482).

Another set of changes overwriting the voice of the original concern
the rhythm. The rule in the translation has been to rearrange word
order and clauses in order to make sentences logically more coherent
and stylistically more customary, using syntactic punctuation even if
this is not the case with the original. Conrad has: 'He was terrible –
relating this to me' (Conrad 2002: 239) while the translation says:
Seda mulle jutustades ta oli hirmus ('relating this to me he was
terrible', Conrad 1931: 356). This removes emphasis from 'terrible'
using, in addition, the fashionable Estonian word order of the 1920s–
1930s that put the noun before the verb violating the common usage
that observed the "German" rule of the 2nd position of the verb
(*jutustades **ta oli** hirmus* pro *jutustades **oli ta** hirmus*)[8]. Recognizing
the rhythm as an instrument of the subject to organize the language

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[8]   As to Tammsaare, he would have used the innovative, de-Germanizing
word order even more but his editors Ants Oras and Daniel Palgi (KM
EKLA f. 16, m. 197:5, 147) have made their changes reversing the word
order in most of the main clauses of the reported speech (e.g. *„Noh, aga ka
mina olen olemas,"* ***ta ütles** siis,* becomes ***ütles ta*** *siis*, KM EKLA f. 18, m.
139:1, 220).

and an instrument of the language to organize the subject.[9] there is
no doubt that the subject of the translation is Tammsaare and/or the
Estonian language (more than Conrad and his narrators).

Leaving aside the differences sensitive to the semantics of the
narrative, Tammsaare has translated as a translator accountable for
the original for what a translation is read. To have a closer look at his
translation method, the lunar scenes that are of key importance in
Lord Jim have been compared (even though the search of the eBook
version at www.gutenberg.org results in the dominance of 'sun' over
'moon' with the ratio 76:15) for *Lord Jim* is "a moonlit novel" (and
Conrad an author growing up reading the great Romantic writers of
Poland, Adam Mickiewicz and Juliusz Słowack), exploiting the
congeniality of the natural world and mental states in the conviction
that

> There is something haunting in the light of the moon;
> it has all the dispassionateness of a disembodied soul,
> and something of its inconceivable mystery. It is to
> our sunshine, which – say what you like – is all we
> have to live by, what the echo is to the sound: mis-
> leading and confusing whether the note be mocking or
> sad. It robs all forms of matter – which, after all, is our
> domain – of their substance, and gives a sinister reality
> to shadows alone (Conrad 2002: 154).

Translating the sentences Tammsaare must have been on familiar
ground, having admitted himself that nature could frame "the mood
or mental arrangement of characters" revealing the "self-evident
natural relation between nature and the persons depicted" (Tamm-
saare 1914: 41). The translation of the above runs as:

> Kuuvalguses on midagi kummitislikku; temal on kõik
> kehatu vaimu kiretus ja ka midagi tema arusaamatust
> salapärasusest. Tema on meie päikesepaistele, sellele –

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9   Cf. „/---/ *je prends le rythme comme l'organisation et la démarche
*même du sens dans le discours. C'est-à-dire l'organisation (de la prosodie à
l'intonation) de la subjectivité et de la spécificité d'un discours: son
historicité. Non plus un opposé du sens, mais la signifiance généralisée d'un
discours. Ce qui s'impose immédiatement comme l'objectif de la
traduction"* (Meschonnic 1999: 99).

> öelge mis tahes – meie elu allikale sedasama, mis
> vastukaja häälele: eksiteele viiv ja segav, olgu hüüe
> pilkav või kurb. Tema röövib kõigilt mateeria
> vormelt – mis on lõpuks ometi meie valdkond – nende
> sisu ja annab ainult varjudele õudse reaalsuse (Conrad
> 1931: 234).

The two relevant scenes, from Chapter 3 (where *Patna* collides with something) and Chapter 34 (giving us Marlow's motive for telling Jim's story that is "the truth disclosed in a moment of illusion", Conrad 2002: 202), exhibit Tammsaare as a translator combining interlingual translation with the intralingual one (as the two types of translation have been specified by Roman Jakobson in his 1959 "On the Linguistic Aspects of Translation"): he first translates a word,[10] and then rewords it, interpreting it in a phrase in which it is more fully developed. The original 'the eternity beyond the sky' (Conrad 2002: 14) is in the inter-cum-intralingual translation of Tammsaare '*taeva taga peituv igavik*' (Conrad 1931: 33). The habit to expand, however, is not out of control, so that in parts the translation can be micro-stylistically very close to the original:

> The thin gold shaving of the moon floating slowly
> downwards had lost itself on the darkened surface of
> the waters, and the eternity beyond the sky seemed to
> come down nearer to the earth, with the augmented
> glitter of the stars, with the more profound sombreness
> in the lustre of the half-transparent dome covering the
> flat disc of an opaque sea. The ship moved so
> smoothly that her onward motion was imperceptible to
> the senses of men, as though she had been a crowded
> planet speeding through the dark spaces of ether
> behind the swarm of suns, in the appalling and calm
> solitudes awaiting the breath of future creations
> (Conrad 2002: 14).

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[10] And this is where translation has to begin for "At the beginning of translation is the word. Nothing is less innocent, pleonastic and natural, nothing is more historical that this proposition, even if it seems too obvious" (Derrida 2004: 426).

Kuldne kitsas kuusirp, ujudes pikkamisi allapoole, oli kadunud tumedale veepinnale ja taeva taga peituv igavik näis lähenevat maale, kuna tähtede suurenev sära ühes süveneva süngusega poolläbipaistva taevakummi hiilges kattis läbipaistmatu mere lamedat ketast. Laev liikus nii libedalt, et inimese meeled tema edasirühkimist ei tajunud, nagu oleks ta mõni kubinal täis planeet, mis ruttab päikesterodu kannul läbi pimeda eeterruumi, oodates õudses ja vaikses üksinduses tuleva loomise hingust (Conrad 1931: 33).

The moonlit night of Chapter 34 when Marlow recognizes the feeling which had incited him to tell his listeners Jim's story (Conrad 2002: 202), the will to preserve it in remembrance, lexically and visually strongly recalls a classical Romantic landscape with chasms, contorted limbs of trees, a solitary chaplet, etc. While reading its translation as a translation the question, however, is not so much what? but how?, and here the above-said holds true: the translation in its explicitness is a retouched copy of the original with its rhythm, although "asemantic" in its strict sense, hinting at another author. The rhythmic repetitions of Conrad in the passage – (1) 'his energy, his enterprise, and his shrewdness; his plans, his energy, and his enthusiasm'; (2) 'all sound and all movement in the world'; (3) 'all I had lately seen, all I had heard' – have not been copied by Tammsaare – (1) *tema energiat, ettevõtlikkust ja tema teravmeelsust; tema plaanid, energia ja vaimustus*; (2) *kogu maailmas vaibunud kõik liikumine*; (3) *kõik, mis ma viimati näinud ja kuulnud* – as if his moderate aim has rather been to be a translator of the story than of Conrad.

Maailmas ei tundunud nüüd miski tühisemana kui tema plaanid, energia ja vaimustus; ja oma silmi tõstes nägin ma osa kuud läbi põõsaste helkivat kuristiku põhjal. Silmapilguks näis, nagu oleks see sile ketas oma paigalt taevast alla maa peale veerenud, **peatudes** *mäelõhe põhjas; tema tõusev liikumine tundus aeglase tagasipõrkumisena; ta vabastas enda okste sigrisagrist; mäenõlvakul kasvava puu kõver haru* **lõi** *musta prao põiki üle kuupalge. Kuu heitis oma põikloodis kiired* **maailmasse** *nagu kustki koopast ja selles nukras varjutatud valguses* **torkasid** *mahalastud puude tüved üsna mustadena* **silma***; rasked*

varjud langesid igast küljest mu jalge ette, kus liikus mu enda vari, ja põiki üle kõnnitee seisis lille-vanikutega alati ehitud üksiku haua vari. Tumestatud kuuvalguses omandasid kokkupõimitud lilled mälestu-sele võõrad kujud ja silmale määritlematud värvid, nagu oleksid need siin mingisugused erilised lilled, mida noppinud mitte inimene, mis kasvanud mitte siinilmas ning määratud tarvitamiseks ainult surnuile. Nende vägev lõhn rippus soojas õhus, muutes ta paksuks ja raskeks nagu viirukisuitsu. Valged koralli-tükid ümber tumeda hauakünka paistsid nagu pleeki-nud pealuud ja ümberringi oli kõik sedavõrt vaikne, et kui seisatasin rahulikult, siis näis, nagu oleks kogu maailmas vaibunud kõik liikumine.

*„Valitses suur rahu, otsekui oleks **kogu** maa ühine haud, ja üürikeseks seisatasin seal, mõeldes peamiselt neist elavaist, kes on maetud inimsoo **mälestustest** kaugeisse paikadesse, **aga** kes on ometi sunnitud jagama teiste traagilist või veidrat viletsust. Ka nende õilsat võitlust – kes teab. Inimese süda on küllalt suur, et **sulgeda** endasse kogu maailma. Ta on küllalt vapper, et oma koormat kanda; kuid kus on see julgus, mis **söandaks** ta endast kõrvale heita?*

*„Arvan, et langesin sentimentaalsesse meeleollu; tean ainult, et seisin seal küllalt kaua, et saada vallatud üksildusetundest ja seda nii täielikult, et kõik, mis ma viimati näinud ja kuulnud, isegi inimese keel, tundus olevat kaotanud oma olemasolu, elades üürikeseks veel ainult minu mälestuses, nagu oleksin mina viimne **võsu** inimsoost. See oli imelik ja nukker ettekujutus, mis tekkinud pooleldi teadlikult, nagu kõik meie ettekujutused, mis ma arvan olevat ainult kauge, kättesaamatu, uduselt aimatava tõe nägemusi. See siin oli tõepoolest neid maha jäetuid, unustatud ja tund-matuid maanurki; mina olin pilgu tema tumeda pinna alla heitnud; ja ma tundsin, et kui homme lahkun siit jäädavalt, siis lipsab ta oma olemasolust, et elada ainult minu mälestuses, kuni mina isegi kaon unustusse. See tundmus valdas mind praegu. Võib-olla just see tundmus ajabki mind teile seda lugu jutus-tama, et üle anda nii-öelda tema tõelikku olemasolu,*

> *tema reaalsust – tõde, mis avanes mulle ettekujutuse*
> *silmapilgul* (Conrad 1931: 301–2).[11]

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[11] Nothing on earth seemed less real now than his plans, his energy, and his enthusiasm; and raising my eyes, I saw part of the moon glittering through the bushes at the bottom of the chasm. For a moment it looked as though the smooth disc, falling from its place in the sky upon the earth, had rolled to the bottom of that precipice: its ascending movement was like a leisurely rebound; it disengaged itself from the tangle of twigs; the **bare** contorted limb of some tree, growing on the slope, made a black crack right across its face. It threw its level rays afar as if from a cavern, and in this mournful eclipse-like light the stumps of felled trees uprose very dark, the heavy shadows fell at my feet on all sides, my own moving shadow, and across my path the shadow of the solitary grave perpetually garlanded with flowers. In the darkened moonlight the interlaced blossoms took on shapes foreign to one's memory and colours indefinable to the eye, as though they had been special flowers gathered by no man, grown not in this world, and destined for the use of the dead alone. Their powerful scent hung in the warm air, making it thick and heavy like the fumes of incense. The lumps of white coral shone round the dark mound like a **chaplet** of bleached skulls, and everything around was so quiet that when I stood still all sound and all movements in the world seemed to come to an end.

"It was a great peace, as if the earth had been one grave, and for a time I stood there thinking mostly of the living who, buried in remote places out of the knowledge of mankind, still are fated to share in its tragic or grotesque miseries. In its noble struggles, too – who knows? The human heart is vast enough to contain all the world. It is valiant enough to bear the burden, but where is the courage that would cast it off?

"I suppose I must have fallen into a sentimental mood; I only know that I stood there long enough for the sense of **utter** solitude to get hold of me so completely that all I had lately seen, all I had heard, and the very human speech itself, seemed to have passed away out of existence, living only for a while longer in my memory, as though I had been the last of mankind. It was a strange and melancholy illusion, evolved half-consciously like all our illusions, which I suspect only to be visions of remote unattainable truth, seen dimly. This was, indeed, one of the lost, forgotten, unknown places of the earth; I had looked under its obscure surface; and I felt that when to-morrow I had left it for ever, it would slip out of existence, to live only in my memory till I myself passed into oblivion. I have that feeling about me now; perhaps it is that feeling which has incited me to tell you the story, to try to hand over to you, as it were, its very existence, its reality – the truth disclosed in a moment of illusion (Conrad 2002: 201–202).

The 11 bold type words of the translation of the 532-word source text above are those added by the translator (2%) to verbalize the implicit meaning of the original while only 3 words (in bold in the footnote) have not been translated.

Comparing the printed version of the translation with its manuscript, the diminished share of Ants Oras, an editor, in the later parts of *Lord Jim* becomes clear: in the above he has rewritten only the phrase *ettekujutused, mis ma arvan olevat ainult kauge, kätte-saamatu, uduselt aimatu tõe nägemusi* that was first *ettekujutused, millestes aiman ainult kauge, tumeda, kättesaamatu tõe nägemusi*. Daniel Palgi, the other editor, at that, has replaced a number of Tammsaare's words, preferring *kustki* pro *kusagilt*, *puude* pro *puie*, *kogu maailmas* pro *kogu ilmas*, *otsekui* pro *nagu*, *peamiselt* pro *peaasjalikult*, and *vapper* pro *vahva*.

Linguistically Tammsaare's translation, a joint venture of him and his editors, observes the universal rules of the translated language as described by the researchers of the translational corpora (Kaldjärv 2007: 77–9): it simplifies on the syntactic level and exemplifies the original.

Causation in Translation

There cannot be any strict opposition between historical-descriptive and theoretical approaches in translation studies (Delabastita 1991: 140). Anthony Pym in his *Method in Translation History* has proposed that a history of translation has to answer the question why a specific translation has been carried out in certain ways (Pym 1998: 143). His is not the question that dominates the research of Gideon Toury (Toury 1995) who, having positioned translations in the literary polysystem of the receiving culture, describes translations as dependent on the norms depending on their position as if the translating culture sustained itself much like Baron Münchausen saved himself from drowning by hoisting himself out of the water by his pigtail. Pym, having doubts about the potential of the thoroughly textualized (and depersonalized) cultural studies, thinks the sole object of the historical knowledge need not be neither the trans-lation(al text) nor its contexts, for the social cause and responsibility

can be attributed only to human beings engaged in their social network. True, neither Toury nor the functional translation theories study translations as following their norms or *skopos* in a social vacuum but their focus is still on the translation rather than on the translator.

Pym is not for the 19th century biographical research; neither is he proposing that a translation history of more recent decades has to rely on the oral history still circulating in the publishing houses; he is aware that translators do not "explain" always the history in its causes (Pym 1998: 160). While looking for (rather than defending) a method of translation history Pym is sure about only one thing: the cause as a vital part of any historical knowledge cannot be in the source or the target culture only even if this is the dichotomy polarizing the methods of translation research. With some apologies, he proposes to return to Aristotle (ib.: 144) and his distinction between the four causes that only and together are the *condition sine qua non*. Besides the *causa materialis* (the original, language, communication technology, etc.), *causa finalis* (the purpose justifying the existence of the translation), *causa formalis* (the historical norms that allow a translation to be accepted as such), there has to be the *causa efficiens*, the translator (ib. 149). The latter, operating in the intercultural space on the linguistic and cultural level with the mechanisms preserving the concessive reality, is also facing the translation as a mechanism modifying the latter.

This is valid with Tammsaare, the translator. "I have no taste for Estonian literature," he has admitted (Tammsaare 1914: 39), having tasted literature in other languages and familiar with the authentic experience of transition as it has been understood by Donald W. Winnicott.[12] Viewing translating as a transitional activity, a

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[12]   With Winnicott transitional experience hints at the bridge between the familiar and the unfamiliar enabling to come to terms with the latter. The intermediate area of experience, unchallenged in respect of its belonging to inner or external (shared) reality, constitutes the greater part of the infant's experience (Winnicott 1953: 97). As the self and the objects emancipate, the transitional object ('not me but mine') looses its significance but the mental process as a way of change continues to shape the dynamic relation between *Umwelt* and the self. Instead of repressing or denying new objects, the transitional process is a way to widen reality without limiting its borders.

mechanism of mental constitution of the self, translating acquires its psychological contents reminding us that a part of translating from one language into another is the intralinguistic translation as a process of dialogical understanding (Torop 2002). With the presence of the translator as the subject in transition the possible pecuniary motives of translating are of trifling value in comparison with the remembered significance of the translation rewritten in *Truth and Justice*.

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The notion of the transitional space, originally developed in the context of psychoanalysis and psychiatrics, can be used also – and this was Winnicott's proposal from the very beginning – outside the medical context for it is "throughout life retained in the intense experience that belongs to the arts and to religion and to imaginative living and to creative scientific work" (*ib.*; see also Grolnick, Barkin, Muensterberger 1995).

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A Dispersed Monument:
Jaan Kross' Translations of Poetry on the
Landscape of Estonian Literature [1]

KATRE TALVISTE

Kross and the image of a monument

Jaan Kross (1920–2007) is one of the best known Estonian writers in Europe: several of his works have been translated, the earliest ones decades ago, which is a considerable achievement for an Estonian author. Since he is the most translated author, it is not overly optimistic to assume that he is also the most read Estonian author abroad. That has made the Estonian public extremely proud of Kross' works. Not only has he given the readers of his country the primary pleasure of reading, but also satisfaction on other, more symbolic levels: the knowledge that Estonian literature is read outside Estonia, and thus the feeling of being represented in a larger cultural field and of fully participating in the construction of that field. The literary tradition from which has emerged Kross is not only a consumer of the European culture, it has also contributed to it.

It is, of course, only one of the reasons why the works of Kross have long been seen in Estonia as a symbol of national identity and dignity. Other reasons may be found in the themes and poetics of his works, in his personal actions and attitudes. It is not my purpose here

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to explain them, but to state, for the starting point of another discussion, that all these factors have caused Kross to be seen in Estonia as someone who speaks and stands for Estonia, alone in a hostile or foreign environment, if need be. Abroad, he is also perceived in that fashion, at least to some extent: one of the few voices in the Soviet era who made it possible to see what Estonia and the Estonian mind looked like from the "inside", as it were, an author of historic prose who told his readers about the times past, about the reasons behind what the present had become – both the availability of Kross' works and the specifics of his chosen genre and approach made him more than an author: an authority. Authority on all matters Estonian, in the eyes of both the home and foreign public.

This explains why the image of a monument or of something monumental is a rather frequent one in the descriptions of Kross. Even a leisurely perusal of what has been written about him, reveals many such comparisons.

> Jaan Kross' each novel has been like a sturdy block in a great epic monument that the writer has been building for three decades, since his first works of prose,

Toomas Haug writes in his essay *The Political Kross* (Haug 2005: 162). In a speech addressed to Kross on his 80th birthday, another outstanding Estonian critic, Jaan Undusk, said:

> But now you have the skin of an elephant and none will divert your path to old drinking places anymore. Attacking you has long ceased to be an act of violence, it is a symbolic act, aimed more at the attacker himself than at you, and you know that you can no longer be harmed by any power, including yourself. No physical, no political, no cultural power (Undusk 2005: 224).

The image used by Haug and Undusk is undoubtedly familiar to all Kross' readers: an indestructible monument and also creator of monuments, a writer following his cause, never wavering from the chosen path.

In the following study of some aspects of Kross' work as a translator, I do not intend to question this authority that Kross carries in the Estonian literature, but to show that a great monument can be

built not only from impressive blocks and that an eminent presence need not be a monolithic one. In other words, I intend to compare an overwhelming perception of an author to some less studied practices of the same author and see what this comparison can reveal.

Kross as translator of poetry:
a brief background

According to the bibliographies established by Vaime Kabur and Gerli Palk (Kabur, Palk 1997), Kross is the translator of 27 books: 11 volumes of drama, 8 works of prose and 8 collections of poetry. In addition to that, he has published verse translations in periodicals and collective works (such as school and university textbooks, author anthologies and various other books) on about 200 occasions. The number of individual poems or other texts in verse form (Kross has also translated verse plays) is considerably larger, since on many of those occasions he has contributed more than one poem.

Kross translated from many languages, mainly from Russian, German, Finnish, but also from French and Swedish. Most of his translations are dated from the 1950s and the 1960s. In the 1970s, several works of translation were still published, but Kross' attention was more and more directed to his own works and in the last decades of the 20th century he published very few translations, in the 21st, almost nothing. His later translations were also of a rather specific nature, for example, a selection of French Renaissance texts for a Renaissance anthology published in 1984.

This dynamics reveals itself in both translations published as independent works and those printed in periodicals or collective works, except that since the translations first published in periodicals are later often collected in a separate volume, the books published in the 1970s are still quite numerous in all genres. And, since Kross has translated authors like Shakespeare or Brecht, new editions have been published later to meet the demand of schools and universities. However, if we are to discover and discuss some essential characteristics of his work as a translator, we must turn to the most active period: from the middle of the 1950s to the early 1970s.

The dates limiting that period are significant, telling us not only when, but also why Kross became such a productive translator. As Kross himself has said (Kross 2003: 190–191), he began to work on a translation of Heine while in forced exile in Russia after the years spent in labour camps, and that this work gave him the first opportunity to publish after his return to Estonia in 1954. Working on Heine may first have been a means of finding moral and intellectual sustenance, but in the post-Stalinist Estonia it was also the only way left open for non-conformist writers and intellectuals to support themselves financially. For persons of politically less than correct background, such as Kross, publishing their own works was impossible during the Stalinist and early post-Stalinist period. In order to be able to do creative work, they had to turn to translation.

These circumstances have also left their mark on the selection of authors Kross has translated. These had to be compatible with the Soviet standards for literature: either timeless, "innocent" classics that could be interpreted according to the guidelines of Soviet criticism, or contemporary authors of unambiguously socialist or communist views.

It would be a mistake, however, to imagine that the list of authors in Kross' bibliography of translations was imposed by the "system". Within the system, choices could still be made, and it is obvious from Kross' own recollections (Kross 2003) that genuine and spontaneous interest was an important factor in his commitment to several projects of translation. Whether or not that interest was always his main motivator, and which texts would never have caught his attention and occupied his time without that particular historical context, cannot be determined. We could speculate that occasions for contributions such as the text of the song of a pig in the story *A Little Song of a Pig* by Teru Takakura[2] (Teru 1962: 143–144) may never have arisen in a different context and that Kross would have found more interesting challenges either in the field of translation or his own writing. These, however, remain speculations, and more important than deciding today whether such work was welcome, grudgingly accepted or cruelly imposed, is to try to understand what

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[2] This story was published in a collection of Japanese stories translated (from Russian) by Väino Linask.

the existence of such work means for the Estonian literature and for the image that we have of Kross.

Translators' collaboration

An important part of Kross' translations of poetry is made up of poems and verse plays – or excerpts thereof – that constitute a part of a work of prose translated by another person. This collaboration with others is not characteristic only of Kross, but of many other translators, nevertheless it merits attention in the life and work of someone who has come to be seen as a great solitary monument in his time and in his culture.

The term "collaboration" is perhaps a dangerous one when discussing the Soviet era, especially that particular period, but it should not be understood here in its political and pejorative sense, which applies to the artists and intellectuals who worked with the regime of Soviet occupation, but in its primary sense: working jointly towards a goal. That goal, in this instance, is a book made up of pieces of different origin but presented as one coherent work, where some pieces often have an auxiliary or illustrative role within a general, binding structure.

Before looking more closely at different versions of such structures and the role that Kross' texts have played in constructing them, I will point out that more equal partnership is naturally also possible between translators and their contributions and that Kross, too, has worked in this fashion. In 1959 he and Helga Kross published together a volume of Bertolt Brecht's works (Brecht 1959a), in which texts in prose (translated by Helga Kross) and poems (translated by Jaan Kross) alternated. In the 1960s and early 1970s, he translated some children's books together with another poet Ellen Niit (see Kross 2003: 201 about their collaboration on Korney Chukovsky's poems).

While this kind of collaboration may be the most difficult, and also most rewarding as a creative process, for the translators themselves, it is of the smallest interest here. My main purpose is to discuss Kross' "auxiliary" translations and track some of them through the (inter)textual network, which they have helped to build

and which in turn has served to build the reading experience of a whole generation.

A part of the collaboration at the base of that network is, of course, involuntary: on the list of works of prose containing verses translated by Kross there are many books in which their translators have inserted Kross' translations when they have come across a quote for which such a translation already exists. This practice naturally continues even now that Kross no longer participates in it in any way, and will doubtless continue as long as Shakespeare or any other author Kross has translated will be quoted by writers whose works are translated into Estonian.

However, there are also many books that have had verse translations by Kross created specifically for them. These books fall into three general categories:
a) studies and essays in the field of humanities (literary criticism, history of literature and philosophy);
b) documentary genres (memoirs, correspondence, documentary narrative);
c) works of fiction.

Depending on the type of the frame text (which, from the point of view of the reader, is of course the main text), Kross' contribution plays different roles. In the first case, his verse translations constitute the illustrations or the objects of analysis. When Maxim Gorki discusses his impressions of a play he has seen, *Cyrano de Bergerac* by Edmond Rostand, (Gorki 1960: 19–25; Gorki 1968: 35, 41), the coherence of his thought depends, of course, on the main translator(s) of Gorki's works. But the adequacy of the quotes from *Cyrano*, not only as a translation of the play by Rostand, but as an illustrative argument of Gorki's theatre criticism, depends on Kross.

The case of Gorki's translations into Estonian in the 1960s is particularly complicated in its polyphony. The collections of his essays (Gorki 1960; Gorki 1963) and letters (Gorki 1968) are translated by several people (Georg Grünberg, Hans Luik, Olga Samma, Otto Samma, Kira Sipjagina, E. Parmas, T. Tonka), the quotes from poetry and plays throughout the texts by Kross. The question of whose voice is the voice of a translated author thus grows in complexity: the Gorki known by Estonian readers a product

of many authors, whose contributions are discreetly linked together by the constant presence of Kross' work in the form of verse translations from a variety of sources (Gorki quotes, for example, Baudelaire, Verlaine, Rostand, Nekrassov, Pushkin and many others).[3]

In literary criticism and other studies, in documentary or (auto)biographic works and also in some works of fiction, the verse translations are usually given as quotes. That is, while the coherence of the work still depends on the adequacy of the (translated) quote in the (translated) text, the status of the verse is that of a "borrowed" voice. Whether it really is borrowed, is another matter: when Gorki quotes Rostand, there is no ambiguity, but when a fictional character quotes another fictional character or a fictional text, both voices originate from one single author. However, the fundamental difference is not between these two situations, but occurs when a fictional character is presented as the author of the verses, as, for example, in the case of Vasco Pratolini's *A Tale of Poor Lovers* (*Cronache di poveri amanti* – Pratolini 1959). Then the translation brings to the reader a supposedly single voice with an underlying polyphony that results from the collaboration of different translators.

A slightly more explicitly collective and polyphonic form of translation is the assembling a series of poems translated by several people (with different poetics and intentions, sometimes over a longer period of time) into an anthological collection representing an author. Many of Kross' translations have participated in such a practice. I shall trace here two cases of different structural complexity and chronological development.

In 1958, Kross published four poems of Sergei Yesenin in the magazine *Nõukogude Naine* (Jessenin 1958), a few years later, the same texts, with addition of one more poem, were published in the

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[3]   Gorki's case is also particular for another reason. For Gorki's *On Literature* (*Kirjandusest*, Gorki 1960), Kross translated several excerpts of Rostand's *Cyrano de Bergerac*. Between this and a later publication of Gorki's works (Gorki 1968), Kross published the complete translation of the play (Rostand 1964). While it can always be assumed that such commissions can turn a translator's attention towards a formerly unknown or unattractive author, the trail can not always be so easily followed in public documents. Even though there is no definitive proof that Kross' interest for *Cyrano* came from the Gorki project, there is the possibility.

first independent collection of Yesenin's works in Estonian (Jessenin 1962) and later in two other such anthological collections (Jessenin 1970; Jessenin 1981). These collections themselves kept growing both in volume and the number of translators, but Kross seems to have lost interest in Yesenin in the early 1960s: his five texts are reprinted in all the Yesenin editions, but he did not add any more. However, he has translated some verses of Yesenin quoted by Gorki, from a few other poems, in Gorki's essay on Yesenin (Gorki 1960: 239–246) and in a letter to Romain Rolland (Gorki 1968: 182–183).

An author whose works engaged Kross for a longer period of time is Bertolt Brecht. Kross has translated Brecht's plays, prose and poetry. *The Three-Penny Opera* (*Die Dreigroschenoper*) was first published in 1963, then in 1977, in a joint edition with *The Good Person of Szechwan* (*Der gute Mensch von Sezuan*). The excerpts of the latter had in the meantime been printed as examples in a textbook of 20th century literature (Bannikov et al. 1971). The former has been reprinted since, the latest edition dates from 2006.

The first Brecht's poem in Kross' translation was published in 1955 in the magazine *Nõukogude Naine* (Brecht 1955a), in the same year, four more poems were published in the literary magazine *Looming* (Brecht 1955b). Another poem was published in 1957 in the magazine *Noorus* (Brecht 1957) and two more poems in 1959 in the newspaper *Rahva Hääl* (Brecht 1959b). The same year, 1959, saw the publication of eight more poems in a collection of Brecht's works already mentioned above (Brecht 1959a). The first eight poems (those published separately in different periodicals from 1955 to 1959) were reprinted in a university textbook in 1964 (Alttoa, Kaljuvee 1964) and in its second edition in 1969. Finally, a selection of Kross' translations of Brecht's poetry was included in a voluminous Brecht anthology published in 2007 (Brecht 2007) and containing translations of not only several translators, but several generations of translators and poets.

The collaboration of all these people, as a deliberate and planned practice, as a joint publication of the work done independently or as a simple agreement to such a publication initiated by an editor, is the basis of what Estonian readers perceive as the works of Brecht, Yesenin and many other foreign authors. In this perception, two important theoretical and ethical issues of literary studies are constantly present and creating tensions: the notion of an author and the

visibility of the translator. Readers who are the least sensitive to those issues believe the most effortlessly in a historically real, clearly identifiable, individual human figure behind an author's name and a book bearing that name. Those readers are the most deceived by the polyphony and composite origins hidden in such collective works, but in a paradoxical way they are also the truest and the most appreciative audience of these collaborative efforts. The goal of these is clearly to give the Estonian readers their Brecht or their Yesenin, not as a personal project of one particular translator who would manifest his or her presence in the Estonian version, but as a collection of translations where the translators' individual intentions and projects are neutralized, rendered transparent by their variety and multitude.

A more sophisticated reader, of course, is well aware of the differences between the Yesenin of Kross and that of August Sang, for example. This reader may also have his or her preferences among translators and thus among different versions of the works of a foreign author. For such a reader, translated literature is therefore much more complex, much richer in many ways, and certainly much more fairly perceived as far as the creative contribution of translators is concerned. But it is also less likely to offer the simple joy or confidence of having actually read Yesenin or Brecht: in the case of collaborative translations, the reader's awareness of the translators' identities, personal projects and effort means also an awareness of the fact that the author's name on the book is actually just a convenient label for a very complex set of processes of creative work of far more than one individual.

It could thus be said, after a fashion, that for the Estonian public to have their own Yesenin, Brecht, Shakespeare and many other authors, Kross and his colleagues (many of whom were or are as remarkable authors in their own right as Kross was) have had to hide themselves. And even though this hiding is only symbolic and the translators' names are known, it is inevitable: as long as our focus remains on the foreign author, the group of translators appears as rather transparent, even if they are such eminent figures as Kross; as soon as we wish to move the focus to Kross, to consider his translations as a part of his own work, it affects the integral perception of the foreign author. At some point, any reader of any translated literature is bound to realize that in each book he is dealing simultaneously with two authors and two voices. If the reader is

lucky to have a rich translated literature, he may have to come to terms with the fact that while the original author remains the same, the other voice can vary from translation to translation. The collaborative translation practices either demand that the reader be ready to perceive any number of authors in one work of literature, or they do not expect the reader to focus on these issues at all. The latter possibility implies that translators' collaboration is mostly possible between individuals with some capacity of self-effacement. Kross' participation in many such projects tells us that the great monumental writer, the very emblem of challenging presence and visibility, must have had, at least in times of need, a considerable measure of that capacity.

Translator's resistance

However, the importance of being hidden is inseparable from the importance of looking for what is hidden. As a last question, I wish to ask what it could mean that Kross has been present in the Estonian literary field not only in a very visible place, but in places where his presence may not be easily noticed. University textbooks on philosophy and literature, as well as the already often mentioned works of Gorki, where Kross' verse translations have been published, are a good example here.

The official Soviet literary canon and its authorized interpretations constituted a remarkably homogeneous and systematic discourse. The ideological and poetical criteria applied in the selection of acknowledged authors, the limited ideological purpose of criticism and the rhetoric adapted to that purpose, the slow pace of publishing caused by censorship, and distorted proportions of the number of titles and the number of copies – all this contributed to the homogeneity and omnipresence of the official critical discourse. While readers may not have considered this discourse valid, it is evident that they were all familiar with it. And while some readers, aided by more independent thinking, a profound interest in literature and also better access to alternative sources, did not rely on the official discourse for their entire knowledge of foreign literature, a great

many others whose means or motivation were not above the average may not have had much choice.

One of those official sources of knowledge, *The Foreign Literature of the 20th Century* (*20. sajandi väliskirjandus*, Bannikov et al. 1971), contains also a large number of Kross' verse translations as examples. From the point of view of those numerous readers who needed or wanted to learn about contemporary literature outside the Soviet Union, but could not find other ways of doing so than the official channels, this contribution is particularly important. The book itself gives, as is characteristic of its genre, a very biased view of literature[4], but at the same time it is, either intentionally or unwittingly, a vehicle of a rather respectable amount of texts and authors (for example, Brecht, Becher, Hughes, Apollinaire, Éluard, Aragon, Hauptmann, Frost, Tzara).

In the context of aberrant publishing conditions, limited access to literature published abroad and the general public's decreasing ability or motivation to read in foreign languages, even such oblique ways of broadening the horizons of the public had definitely some value, and the fact that books of questionable critical authority contained high-quality translations of remarkable poets by an outstanding Estonian author should not be underestimated.

Hence the question of translator's resistance. On one hand, it is a political and poetical resistance in the literary field. The translations of textbook examples are a discreet form of it, other, independent projects may reveal it more clearly. For example, Kross has given considerable time and effort to the translation of the chansons of Béranger (Béranger 1963, reprinted in Béranger 2006), being thus responsible for the fact that Béranger is one of the ten French authors who have had an independent book published in Estonian. These proportions are hardly representative of Béranger's more widely recognized position in the French poetry, and Kross has himself considered it necessary to explain why he was so attracted to that particular poet:

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[4]   Which may seem dangerously close to saying that a perfectly balanced view of literature is possible or is even represented in other books. By "biased" I mean, however, only that the Soviet criticism shows all literature as pursuing (or failing to pursue) one single ideological goal.

> Well, first, for certain educational reasons. It was,
> after all, a tremendously colourful view of a world of
> which our knowledge at the time was rather deficient.
> Secondly, well, what do we know anyway about men
> or women from a century and a half ago? Usually and
> primarily mere myths. Right. But the myth of
> Béranger was, in my opinion, a very attractive, a very
> tempting myth for our reader of that time. Because,
> according to the myth, Béranger had represented, in
> his own world, in a particularly bright and eloquent
> way – in his songs as well as in his personal life – the
> ideal of personal independence. The very ideal that in
> its own way was opposed to the collectivism and
> servility that for decades were inculcated upon us from
> the loudspeakers chirping on every street-corner.
> (Kross 2003: 210).

And he adds that he was also fascinated by how easy it would be to
write a perfect Soviet-style introduction for an author like Béranger,
legitimizing the book in the eyes of the censors and hiding different,
otherwise inadmissible ideas between the lines (Kross 2003: 210–
211). The book, published in 1963, has indeed such an introduction.

Béranger has thus given Kross reason to reveal a deliberate
political aspect of his work as a translator, but it is not resistance
only in that sense that interests me here. Not only in his translation of
Béranger, but even in the most modest "auxiliary" translations, there
is something of Kross that resists to the translator's own self-
effacement and invisibility. We may not notice, in the small print on
the inside front cover of an obscure novel, that the few verses quoted
somewhere in that novel are actually translated by Kross, but once
we have noticed it and looked more closely at those verses dispersed
in a considerable number of books of various genres, authors, pur-
poses and quality, it appears that these apparently insignificant con-
tributions are not entirely different from Kross' monumental work.

According to his words quoted above, Béranger's translation
(hardly one of the most modest example, but an eloquent one and the
easiest to follow here) was supposed to bring a distant, unfamiliar era
to life for the Estonian reader, confront the reader to a myth
surrounding a historical persona and make him see the parallels
between his contemporary situation and that distant, unfamiliar past.

The translation of Béranger, and that could be said of many others, was therefore meant as a metaphor of the values that Kross wanted to preserve and express despite the circumstances.

In this, the generally known intention of Kross' historical prose, but also his poetry, can be recognized. Kross undoubtedly is a monumental figure and a man who always kept following his cause, but his work also shows us that the cause of a great writer need not be followed individually and alone. His voice may be heard in the translation of other people's work or in a polyphonic combination of many texts and authors. Being an unwavering monument does not necessarily mean towering over the landscape of a culture as a great solitary colossus, it may also mean a discreet, but enriching presence in that landscape.

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'Translation' and Theories of Literary Translation. The Contribution of Comparative Historical Semantics*

PIETRO U. DINI

Introduction

Having to speak about translation to my fellow researchers of different fields I was wondering which aspect would be of interest to everyone (and not only to linguists). I believe the aspect of historical linguistics (or rather comparative historical semantics) would suit. It would help explain the origins of the meta-linguistic terminology that is so often applied and take a fresh look at the issues that have been under discussion for a long time.

I intend to discuss the topic in the following order: as I will be dealing with semantics, I first suggest that we discuss the present state of the lexicon. Then I am going to inquire into its sources, making an attempt at the reconstruction of the situation in the Indo-

European world. Basically, I am going first of all to analyze the meaning of the word 'translate' in different languages, epochs and regions.

In other words, one may raise a question: what is the perception of 'translation' in historical languages and what names are used to describe it? It is a manifold question in the sense that alongside with the semasiological analysis, other aspects of translation theory are important as well. I will try, as far as I can, to discuss both aspects. This is the aim of my presentation.

European linguistic context:
the Latin 'traducere' and its successors

It seems relevant to start with the context of the modern European languages and to discuss the semasiological side of the issue by comparison. The approach may be summarized in one sentence: the Latin *traducere* and its successors.

The present vocabulary of translation in the European languages was coined relatively recently and the terminology of literary translation began to develop in modern times only.

Leonardo Bruni, a humanist born in Arezzo, in the Tuscany region in Italy, is today considered one of the first 'translation scholars'. His treatise, *De interpretatione recta* (1420), was the most important text dealing with the art of translation and the aims of a translator after the famous *Letter to Pamachi* by St. Jerome and was produced much earlier than the famous *Sendbrieff Von Dolmetzchenn vnd Fürbit der heiligen* by Martin Luther (1530). Moreover, one notes that a century later, Leonardo Bruni's paper had influenced a well-known work by Etienne Dolet, *La maniere de bien traduire d'une langue en aultre*. The humanists' attitude towards translation was rather hierarchical in general: the principle of faithfulness to the original prevailed as well as the idea that the value of a copy, i. e. of a translation, was less than that of the original.

Furthermore, linguists have indicated that after Leonardo Bruni's time the terms *traducere, traductio, traductor,* etc. gained wide currency in Italy (cf. Folena, 1991). Therefore, words that we have today were used as far back as the 15th century. These words were

borrowed by other Romance languages as well. Further on, I would like to review the data of the most important Romance languages, providing examples and commenting on them without going too much into detail about the history of individual languages.

In the Iberian peninsula words with the Latin root are traced back to an earlier period than anywhere else. In the Catalan language (Coromines 1980–1991, III: 220) the noun *traducció* was used as early as 1390 (in the work by Lluís Aversó, *Torcymany*), whereas the verb *traduir* appeared later, only in the middle of the 16th c., in the work *Dictionarium seu thesaurus catalano-latinus* (Barcelona, 1653; Vic 1757). Before that, the verb *tralledar* was commonly used. In the Castilian language (Coromines 1954–1957, I: 43), the verb *traducir* was included in the dictionary *Universal Vocabulario en latin y en romance*, compiled by Alfonso Fernandez de Palencia and published in Sevilla in 1490. Shortly after, Antonio de Nebrija was already using the derivatives 'traducion' and 'traduzidor' in his work *Dictionarium ex hispaniensi in latnum* (1495 or 1493). The situation in the Portuguese language (cf. Academia 2001, II: 3600–3601) was similar: they used *tradução* for 'translation', *traductor* for 'translator' and *traduzir* for 'translate'.

Related words are found in the French language (Bloch, von Wartburg 1950, 612, 615) in the first half of the 16th c. For example, in 1535, *traduir* meant 'to transfer from one language to another' (*faire passer d'une langue dans une autre*); in 1540, the previously mentioned Etienne Dolet used *traducteur* (as *nomen agentis*) and *traduction* (as *nomen actionis*) in the same meaning. It is not completely clear (and not so important for the purposes of this lecture) whether the French borrowed the word from the Latin or from the Italian (cf. Wolf, 1971). It is of more interest that the new terms ousted the older French verb *translater* (used more frequently in legal language) from the language; as a borrowing it is still used in English as 'translate'.

The situation in the Romanian language, spoken in the territory geographically more distant from Rome, is similar: there they employ *traducere* for 'translation', *traducător* for 'translator' and *a traduce* for 'translate'.

This brief survey shows that the terminology of the Romance languages contains words coined after or borrowed from the Latin language: *dūco* 'lead, lead away' or *fero* 'carry' with the prefix

trans-, which means 'across'. Both types, *trans + dūco* or *trans + fero / latum*, got rooted (the former in particular) and spread from the Romance languages to many other languages in Europe. We may generally claim that the concept of translation stemmed and developed from the Romance languages, 'translation' being understood as *transferal, portage, transposition* (cf. *traductio* and *traducere*). It became the prevailing one, albeit with slight changes, in many of both Germanic and Slavonic languages.

I would like consider a few examples. The Middle High German word *übersetzen* and the Old High German *ubarsezzen*, for example, used to have the primary meaning 'to transfer something across the water' (*über ein Wasser bringen*). However, since the 17th c., under the influence of the Latin pattern of *traducere* and *transferre*, the meaning 'to transfer to another language' (*in eine andere Sprache übertragen*) is found in the Middle High German as well. Thus, a semantic calque was created, and the verb *übersetzen* acquired its present meaning 'translate', the noun *Übersetzung* 'translation' being derived from it (Duden 1963: 640).

What is the situation in other Germanic languages? There are no surprises here. Similarly, the Danish and Norwegian *overssette* means 'translate' and, *overettese* 'translation'; the Swedish *översätta* – 'translate' and *översättning* – 'translation', accordingly. Other Germanic languages follow the same pattern as the German language. The unique exception seems to be the Dutch *vertalen* 'translate' (*van de ene taal in de andere overbrengen*), which is from middle dutch *vertalen* 'vertolken', cf. German *erzählen* 'tell' (van Veen 1989: 791; MW IX: 121).

We can now proceed with the Slavonic languages. According to Max Vasmer (Vasmer [Trubačev] 1987, III: 236), the Russian noun *perevod* 'translation' (the verb form *perevodit* 'translate' is derived from it) is a calque from the French *traduction* and *traduire* mentioned above. Whatever the situation with the Russian language, we may speak about Bulgarian words *preveždam* 'translate', *preveždane, prevod* 'translation'; Slovenian *prevêsti, prevajati* 'translate' (*prevod* 'translation'); the Czech terms *předvest, přeložit* 'translate', *překlad* 'translation'. Similarly to the Russian *perekladyvat'* 'translate', there appeared the Ukrainian *perekladat'* and the Belarusian *piereklaść*. The Slavs also have a verb *preložit'* ('to be translating') that was already used by Cyril and Methodius when

translating liturgical texts into the ecclesiastical Slavonic language. The Polish *przełożyć* appeared in a similar way (Sławski 1979: 250–253); however, at the beginning it meant 'to change the position of something, to put differently', but since the 14th-15th c. it acquired the meaning of 'translate' (*przetłumaczyć*) as well. I assume the data provided to be sufficient to illustrate the prevalence of the pattern *trans + dūco* or a verb of similar semantics in the Slavonic languages as well[1].

The data from Romance, Germanic or Slavonic languages semantically coincide. That brings us to the conclusion that these languages share the same semantic perception of 'translation' which, presumably, consolidated in almost all European languages in modern times.

It is worth emphasizing that the majority of the European languages share basically the same semantic structure of the concept of translation, when translating is seen as 'transferal from somewhere to somewhere else', thus, it is the same as *trans-latio* and *trans-ductio.*

Jüri Talvet (2006 = 2007) has recently drawn attention to how the Indo-European, or European, 'lingua-centric' space has affected the modeling of the translation theory. Many translation philosophers and theoreticians come from the same Western European lingua-cultural space, thus they are inevitably affected by the 'euro-centric' pattern of their native languages. It seems that translation theoreticians most often understood and theorized (sometimes they still do) translation as *translatio* or *transductio*, because it was often determined so by the lexemes of their native languages.

This interesting idea reminds us slightly of a famous language conception of Benjamin Lee-Whorf, who says that language affects the human mindset (not the opposite), but in fact it does not aim at such an extreme. Jüri Talvet limits himself to literary translation theories and claims that literary translation theoreticians often appear to be very loyal to their mother-tongue. Therefore, they understand translation as 'a transferal from somewhere to somewhere else' because it is this idea that is usually conveyed through nouns

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[1]   In Slavonic languages (and not only) another lexeme is quite widely spread, which also means 'translation', but more often 'interpreting', e.g. Russian *tolmačit'*, Belarusian *pieretoŭmačyć*, Polish *przetłumaczyć*. See more below.

traduction, *traducción*, *traduzione*, *tradução*, *translation*, *Über-setzung*, *perevod*, etc. The terms create an impression that it is possible to transfer something from one language to another properly and integrally.

This idea of *transferal* partly coincided with and partly evolved into the 'concept of equivalence', which is characteristic of structuralist translation theories. Ferdinand de Saussure claimed that translation occurs when two utterances have identical content (*signifié*) and a different form (*signifiant*). Another well-known supporter of the transferal approach has been Benvenuto Terracini (1957), while Roman Jakobson (1963) speaks about interlinguistic (or extralinguistic) translation, when the relationship of equivalence is identified between the two texts. This relationship of equivalence becomes a crucial factor. In fact, from the linguistic point of view, translation may be seen as the substitution test of the highest degree, or 'commutation'.

The context of ancient Indo-European languages

You may wonder whether the perception of translation (and not only of literary translation) as '*translatio*' (meaning 'transferal'), which has spread all over Europe, is the only one. The answer is easy – certainly not. Furthermore, this coincidence is relatively new, it occurred only in modern times. The question is what other different perceptions of translation were present before that, in the world of ancient Indo-European languages.

It seems that it is not really possible to distinguish one lexical root of 'translation' that would have been common to the Indo-Europeans. It would be in vain if we looked for this word in the Indo-European dictionary of synonyms compiled by Carl Darling Buck (1949).

In other words, the lexemes of 'translation' do not belong to the so-called compact lexicon (i.e. notoriously terms of family relations (e.g. 'mother', 'brother'), numbers, etc.) of the Indo-European languages, i.e. the oldest layer of the Indo-European languages covering all the lexemes attested at least in the majority of the Indo-European languages.

Therefore, the perception of 'translation' in the Indo-European world seems to have been rather varied, expressed by different roots of words. And it is not surprising, as the meta-linguistic terminology often developed separately in every language.

On the one hand, the concept of 'translation' itself was understood and expressed rather differently in different Indo-European languages. On the other hand, 'translation' as such was quite a distant issue to large ancient cultures because of their strong 'centroglotism'. Such a situation was characteristic of the culture that manifested itself by means of Sanskrit and of the culture that manifested itself by means of Ancient Greek.

We do not come across any meta-linguistic terms on translation. Lexicons (such as the Sanskrit dictionary by Monier-Williams 1995, 1999) provide only a few recent forms, possibly calques, such as, for instance, *avataranam kṛ* which means 'to do transporting' or *bhaṣantare nirup* [bʰaːʃaːntare nirup] 'speak elsewhere' or *bhaṣantari kṛ* 'make another language'.

The Hittite language contains a word *turkummai-* and Luvian – *tarkummiya-* 'announce, explain', which later acquired the meaning 'translate'. Today these words may be traced in the Turkic verb *tercüme* ('translate'). They penetrated into many Semitic languages, e.g. Hebrew *trgm* 'translate, explain, read aloud', Aramaic and Syriac *targem*, Ethiopian *targ'ama*, Arab *tarǰamah* – 'translation', Akkadian *targumannu* 'interpreter'. The examples show that the root traveled from the West eastwards and most often it meant oral translation, or interpreting (cf. Rabin 1963).

In ancient Greek texts the concept of translation was expressed by a noun *metáfrasis* (etymologically it means 'a supra-sentence, supra-expression') and *(meta)frázō* which, according to the Bally (s.d.) dictionary, means 'to explain in new words, to paraphrase from one language to another'. Moreover, a word *metafrastē:s* is also used, meaning a 'translator as a re-writer'. These words are most likely combined with the noun *fradē*: 'an action of learning or knowing' (*action d'apprendre ou de savoir*) (from the root * *frad-* < **fr̥-d-*) and they may be related to a polysemantic noun *frē:n* 'the shelter of all functions of the soul'. The last etymological merger, although hypothetical, is still interesting and revealing, as it reminds one to a

great degree of the postulates of one well-known modern translation theory.

I have in mind the post-structuralist Brazilian school of literary (poetry in particular) translation that came into being in the second half of the previous century, especially Haroldo de Campos' ideas about the complete visibility of the translator and the understanding of the meta-function[2]. According to Haroldo de Campos (1990), translation is a meta-function of literature or, to be more exact, *ficcionalidade de segundo grau*, i.e. 'a fiction of the second degree'. A translator then is *transfingidor,* an 'imposter', and the result of his/her work will be *transfiguração* and *transcriação*, i.e. 'trans-figuration and re-creation'. Thus, Brazilian theoreticians of literary translation treat a translator's work as a type of writing, or, to be more exact, re-writing, only this writing is not considered an ordinary transcription, but rather an act of creation, kind of re-creation. Therefore it is similar to the meaning of *metafrastē:s* in Greek.

In the texts in ancient Greek the concept of translation is sometimes rendered with a help of another word, namely, *ermēneuō,* which meant 'to interpret, explain the meaning' and later 'to translate', but only in the secondary (eventually figurative) meaning[3]. This word has become a particularly successful guideline in literary criticism and the theory of literary translation. Here it is sufficient to mention George Steiner (1975) and his Hermeneutic Motion, i.e. the process of translating in several stages: understanding, incorporation, restitution and compensation. Steiner's original description of the act of translation remains at the focus of the discussion of literary translation.

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[2]   Besides Haroldo de Campos, interesting ideas on literary translation are found in the works of Oswald de Andrade and Elsa Vieira, whose emphasis is sometimes completely different.

[3]   It is of interest to note that this Greek verb was translated by Kiril and Methodius as *tolkovat* (root *tolk-*, see further).

Micro-context of the Lithuanian Language
(and the Languages of the Baltic Sea Region)

Indo-European languages include the Baltic languages as well. Although Baltic literature as such appeared relatively late, it is a well-known fact that the Baltic languages, particularly Lithuanian, are archaic, which means they have retained pre-historic features of the language of high interest for linguists.

At the outset of Lithuanian writing as well as of that of other Baltic nations, namely, Latvians and Prussians (and of their neighbors Estonians) almost all texts were translations. One can claim with certainty that the oldest period of Baltic literature developed thanks to the work of translators. Therefore it is of interest to investigate the meta-linguistic terminology of 'translation' in the Baltic and other languages of the Baltic Sea region.

Without getting deep into the history of each language (although the topic is more than worth a thorough study), it is easy to notice that translation in the languages of the Baltic region is understood differently. The concept of 'translation' in them is expressed in two ways. Or, maybe, even in three ways if we include borrowings from the Old Russian language *tŭlkŭ* (*тълкъ*) that had spread throughout the whole Baltic area (Max Vasmer [O.N. Trubačev], 1987, IV: 71), e.g. Prussian *tolke*, Latvian *tulks*, *tulkotājs*, Lithuanian *tulkas*, *tulkininkas*, Estonian *tulk*. Initially, the terms referred not to a translator (of written texts), but to *interpres* (*Dolmetscher*), i.e. to oral presentation. This borrowing is no longer used in Lithuanian, but it is still found in Latvian and Estonian. It is of interest to note, that in modern Latvian and Estonian this word means both an interpreter and a translator.

In modern Estonian *tõlge* 'translation' there is an abbreviated form from *tõlkimine*, which has ousted the compound *ümberpanemine*, a translation from the German *Übersetzung*. Today Estonian *tõlge* and *tõlkimine* mean both oral and written modes of translation and to separate the two one has to use a different name of the agent, i.e. *tõlkija* for a translator and *tõlk* for an interpreter.

What was and is the situation in the Lithuanian language?

In Old Lithuanian writings the concept of 'translation' was rendered both by the verbs *išguldyti*, *suguldyti* 'lay down' and *versti*,

išversti; in the meaning of 'translate' these verbs are already met, for instance, in texts by Mažvydas. The name of an agent of the same root *išguldytojas* 'layer down' is found in, e.g., the three volume dictionary by Sirvydas. Lexemes with *gul-* are translated versions of the Polish verb *przełożyć* referred to above. In the 19th c. they gradually disappeared. The lexeme with *ver-* (the verb usually has a prefix *iš-*), however, is still used today as the basis of the Lithuanian lexeme rendering the concept of translation *vertimas*. The root *ver-* has been evidenced throughout the history of the Lithuanian writing, starting with the very first authors to modern times.

Concerning semantic specialization
of the root *wer-t-

The root **wer-*, a particularly wide-spread root in Indo-European languages, deserves a special discussion. Used with *t*-extender it acquires specific semantics. Even a cursory look into the context of European (and Indo-European) languages reveals that this root acquired the meaning 'to express in another language; to change (speech or writing) from one language into another' only in exceptional cases. Having analyzed the available data, I think I can claim with certainty that the Lithuanian and Latin languages serve as examples of this exception. In fact, along with to the Lithuanian *verčiù* 'I am translating', there exists the Latin *vertō* (also *vortō* with *wo* > *we* before [r, s, t]), both derived from the same root **wer-* with the *t*-extender (*versti* < **vert-ti* ≈ *vert-ere* 'translate'). In no other language, not in Sanskrit, not in the Slavonic languages nor in others languages that I had checked, did I come across this meaning of the verb. In the European languages and in the Indo-European language family this interesting coincidence is characteristic only of Lithuanian, Latin and, to a certain extent, Romance languages that derived from Latin.

If we continue searching through etymological dictionaries of the Lithuanian and Latin languages, or Julius Pokorny's etymological dictionary of Indo-European Languages (vol. I, 1156), we will ascertain that the primary meaning of this verb root was far from 'to express in another language' in either language.

The very first meaning of the root *wer- with t-extender is 'turn, twist' (drehen, wenden). It means that the meaning 'to express in another language' has developed from the meaning 'turn; change' and is only secondary to the semantics of the root. This is a secondary and, maybe, an archaic and, anyway, an exceptional trait of the Lithuanian and Latin (as well as of many Romance) languages.

In the written tradition of the Lithuanian language vert- in the meaning of 'translation' has had an established usage for a long time. According to Forcellini's dictionary, the Latin vertō existed until it was superceded by traduco[4]. But we come across the lexeme vert- in neo-Latin, or Romance languages. Even in English the noun 'version', one of the many French borrowings, can have the meaning of 'translation'. Yet, it is rarely used as a substitute for 'translation' and then only with stylistic marking. In Romance languages, on the contrary, it is not only possible, but quite common. For instance, in Spanish we can use both traducción and versión synonymously; the Italian traduzione hardly differs from versione either.

The root meaning 'turn' or 'twist' in the theory of literary translation

After the considerations thus developed, one can continue in several directions.

From the point of view of comparative semantics, it is very interesting to derive the concept of 'translation' from 'turn, change'. It is worth emphasizing that the same phenomenon can be observed in many languages of the world. So far, a few examples from different language families will suffice:

- In the Basque language 'translation' is rendered by
  itsulera or itsulkera, both forms being derived from
  the root itsul- 'to turn round'; quite interesting is an
  abstract noun itsulerreštaşun, meaning at the same

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[4] Cf. Forcellini 1875, v. VI: 135: 'Et ab una in aliam linguam traducere verbum (Gellio)'; Freund, Theil 1865, v. III: 469, clarifies: 'dans la langue grammaticale des temps postérieures'; VI: 301: 'transferre ex una in aliquam linguam'.

> time 'turning, mobility and translatability (Wendig-keit, Beweglikeit, Übersetzbarkeit)' (cf. Löpel-mann 1968: 629–630).

- In Finnish, an equivalent of 'translation' is *käännös,* derived from *kääntää* 'turn round, overturn, change' (cf. *SSA* 1992: 483).
- In Hungarian, 'to translate' is *fordit*, while the first meaning of the verb is 'turn round, overturn' (*EWU* 1992, p. 410; *UEW* 1987: 414).
- In Old Irish, the verb *ind-sòi* with a hidden base *sō- (turn, change)* meant 'to translate' (cf. *LEIA*, S-146); also, the verb *do-intai* meant both 'it turns, turns round, changes' and 'translates' (cf. *LEIA*, Lettre D, 2000, D-158).
- In Albanian, when they mean 'to turn', they say *kthéj*, when 'to translate', they use *përkthéj*, 'translator' is *përkthýes* and 'translation' is *përkthim*.
- In Turkish, 'translation' is *çeviri,* the word related to *çevirmek* 'turn round, overturn'.
- In Korean, [bʌ:n'ʌk] means 'translation' ([bʌ:n'ʌkχada] 'to translate')), but the beginning of the word [bʌ:n'-] can be clearly related to the concept of turning round and overturning.
- Guaranì Indians in pre-Columbian times used *(a)mbojere* in the meaning of 'translate' and *mbojere* in the meaning of 'translation', both derived from *(a)mbojere* 'turn, twist (in Spanish, rodear, dar vueltas)' (cf. Guasch, Ortiz 1998: 472, 649, 652).

(As an afterthought it can be said that in the sign language the concept of translation is also expressed by a turning movement of one hand.)

Therefore the derivation of the concept 'translation' from 'turning, twisting, changing' is not so rare a phenomenon as might appear after the inquiry into languages of the Indo-European family alone. Most probably, it is not a semantic universal, but it is a widely-spread metaphor, or ideologema. As I mentioned, it would be highly interesting, especially form the linguistic point of view, to develop these ideas and investigate how this ideologema could have developed through time.

On the other hand, at the beginning of the presentation I promised to relate these facts with translation theories. I am going to discuss them briefly.

In recent decades Translation Studies (or *Translatology*, *Traductologie*, *Übersetzungswissenschft* or *Translatorik*) has changed very much. At the end of the last century, Susan Bassnett wrote an important essay titled *The Translation Turn in Cultural Studies* (1998). (Most probably, it is sheer coincidence, but the title of the essay contains the word *turn*.) From that moment on, Translation Studies has moved closer and closer towards Cultural Studies, i.e. it is becoming an interdisciplinary study, where linguistics, literature and sociology meet. Furthermore, in the epoch of post-structuralism, Translation Studies has deviated from the conception of equivalence and turned rather toward ethnography and history, the object of the studies being closely linked with those of cultural identity, multiculturalism, multilingualism and even *Gender Studies*.

I think there is good reason to raise a rhetorical question as to why no theory has been built around the idea of 'turning'. But is it really the case?

What is, after all, for instance, Lithuanian *(pa)sukimas* 'turning' or *vertimas* 'translation' if not one of the possible ways of *virtimas* 'becoming'? By the way, in this particular case the etymological closeness (*versti* ≈ *virsti*) is also evident. Can nobody have said that the original continues living in the translation? That it constantly changes, i.e. that it turns (cf. Lith. *virsta*; Latvian *(pār)vērst(ies)*) into a repeated text in different languages? It is not in vain that Walter Benjamin (1955) had stressed the importance of text reception in other cultural spheres. The original never dies if it turns into a translation...

Final considerations

I feel that my insights may become dangerously speculative. Therefore, I will stop here. I hope I have shown what possible links can be seen between the translation terminology and theories on translation studies. I also hope that I have answered, at least partly,

the question of how historical semantics may contribute and help understand theories of literary translation.

Maybe, it is not completely by accident that at the basis of many theories of literary translation we can find a certain connection between the term 'translation' and the words, used to name the act and the result of translation in different cultural and linguistic areas.

Remember Aristotle's description of man: *zō+on lógon échon*, i.e. 'an animal having the word'. Today it has become a usual thing to characterize a human being as a speaking species. We may also remember the sayings of contemporary great thinkers, for instance, the words of Karl Jaspers, that 'we are the only speaking/articulate beings in the silence of a mute universe', or those Antanas Maceina (1998, p. 11), who emphasized that 'even our silence is expressive...'.

Speaking about translation, I think, the concept of man who has this ability to speak is highly relevant in the context of translation. If it is true that language was born with man (because language does not exist without human beings), it is also true that special features of the language imply a certain type of translation activity. The thought is rendered in words, the world is expressed in words and words are translated by other words. According to Octavio Paz (1900, p. 9), 'to learn to speak is the same as to learn to translate; for when a child is asking his mother to explain the meaning of one or another word, he is asking to translate the unknown word into his speech of a child' ("Aprender a hablar es aprender a traducir; cuando el niño pregunta a su madre por el significado de esta o aquella palabra, lo que realmente le pide es que traduzca a su lenguaje el término desconocido"). In principle, there would be no difference between a translation into the same language and a translation into a different one, and, Octavio Paz claims, the history of all nations will only repeat the experience of the child.

In this context, next to the concept of a man destined to speak, I would like to suggest the concept of a man destined to translate. Alongside with an articulate man, there appeared a man, able to 'turn' not only inside his own language, but also from one language into another, and to learn to express the same or almost the same idea in other languages. It seems that next to a kind of *animal loquens*, soon, or maybe even at the same time in history there appeared a certain *animal uertens*.

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Un traductor comprometido. Eduardo Barriobero y Herrán y la primera traducción castellana de la obra de Rabelais

SUSANA G. ARTAL

Un complejo conjunto de circunstancias políticas, religiosas y litera-rias determinó que hasta el siglo XX los hispanohablantes carecieran de traducciones castellanas de la obra de François Rabelais.[1]

Cuando Eduardo Barriobero y Herrán, abogado, periodista y escritor nacido en Torrecillas de Cameros en 1875, emprendió la ardua tarea de traducirla por primera vez a la lengua de Cervantes, sin duda era consciente de las dificultades de su tarea. No obstante, es muy probable que no imaginara la real dimensión de los obstáculos con que tropezaría. Los prólogos que escribió para la edición de 1905 de su traducción de *Gargantua* y, sobre todo, para la del conjunto de los cinco libros en 1923[2] son una fuente importante para comprender las circunstancias que rodearon el arribo de Maître François a los territorios hispanohablantes y hasta qué punto la

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[1] Acerca de este problema, véase Boulenger 1925: 28; Sainéan 1930: 119; A. Gutiérrez 1982: 164 y 176–180; Artal 2002 y 2004a.

[2] En la bibliografía preparada por G. Gisbert, Y. y J. Barja para la traducción de *Gargantua* de J. Barja (Madrid, Akal, 1986), se consigna una edición de la obra completa que sería anterior a la de 1923: *Rabelais, obras completas*. Traducción de Eduardo Barriovero [*sic*], Isidoro Ibarra Editor, Madrid, 1910. Dado que no he podido localizarla en ninguno de los catálogos de bibliotecas que he revisado, que el aparato crítico de la edición de Akal adolece de errores e imprecisiones y que el prólogo de Barriobero, que precisa la existencia de tres ediciones previas del *Gargantúa*, no menciona ninguna edición del conjunto de los cinco libros previa a la de 1923, he decidido mantener en suspenso el dato de esa supuesta edición de 1910.

recepción de su obra siguió condicionada, incluso en el siglo XX, por los avatares políticos.

1. Lo que un prólogo nos cuenta

Barriobero comenzó su trabajo en 1903, luego de haber buscado inútilmente traducciones castellanas, siquiera fragmentarias, de la obra de Rabelais. Pronto descubrió que no sería fácil darlo a conocer: "cuando ya había descubierto algo que a mí me parecían maravillas – cuenta– [...], las ofrecí a una gran revista que por entonces dirigía un empingorotado académico, y éste sí me contestó... enviándome adonde debe estar él desde hace mucho tiempo, puesto que ya no mete ruido." (Barriobero 1923: 25).[3]

Perfectamente consciente de la escasa y en la mayoría de los casos pésima recepción de la obra de Rabelais en España, el traductor afirma:

> Nuestra nación ha sentido siempre, o al menos ha exteriorizado un gran desdén, si no una gran aversión, hacia la persona y la obra de Rabelais. [...] Muchos son los autores españoles que citan a Rabelais, todos, claro está, de segunda mano y con la referencia equivocada las más de las veces. Quién lo presenta como un bufón de Francisco I, quién como un juglar trotamundo, quién como un mito, quién como uno de los personajes de su obra. (EBH 1923: 23–24)

El traductor español no ahorra sus dardos a la hora de denunciar lo que califica como "el escándalo de los escándalos": los juicios categóricos y a todas luces mal fundados sobre Maître François de Dalmacio Iglesias, director de la "frailuna Enciclopedia Espasa", cuyas palabras cita:

> En realidad, más que un libro de entretenimientos, dicha novela constituye una sátira feroz y grosera contra las instituciones más respetables de su tiempo, escrita con toda la despreocupación de un cínico. [...] Su filosofía, si puede llamarse así, era la de un rústico, hijo de un viñador, y aquella obra, la que le ha hecho inmortal, no demuestra otra cosa (citado por EBH, 1923, 24).

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[3]   En adelante, se citará este texto como EBH, 1923.

Al concluir su labor, en 1905, Barriobero solo consiguió publicar el *Gargantua*, ya que el rechazo de los libreros españoles a venderlo, que llevó a que los ejemplares de dos ediciones posteriores se hayan "consumido totalmente en América" (EBH 1923: 25), habría impedido que se continuara con la publicación del resto de los libros. Sin pelos en la lengua, el traductor atribuye ese rechazo a la influencia del clero y los sectores más reaccionarios de la sociedad española de su tiempo:

> [...] podrá haber ocurrido que los consejos de un director espiritual – lo tienen ya hasta los apeadores de pellejos – o el dinero frailuno invertido en valores de empresas editoriales hayan servido para añejar mis cuartillas (EBH, 1923, 25).[4]

2. Contra las "grandes falanges"

Es fácil deducir del tono de esas líneas la ubicación política de Barriobero, quien dedica su trabajo al "incomparable Maestro Anatole France" y rescata en Rabelais a una especie de libre pensador *avant la lettre*[5] que, "al frente del ejército intelectual de su tiempo" y armado "con la maza formidable de la razón, con el ariete irresistible de la ciencia y con el explosivo aniquilante de la burla" (EBH 1923: 12), arremete contra "los pedagogos, los frailes y los conquistadores militares", es decir, "las tres grandes falanges de la sociedad de aquel tiempo" (EBH 1923: 19). Sin duda, en los obstáculos que se alzaron contra la difusión de esta primera traducción de Rabelais en España, no solo pesó el contenido de la obra en sí y los prejuicios contra su autor, sino también la firma del traductor, personaje de una amplia trayectoria pública.

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[4]   Sin menoscabar este factor, sin duda primordial, debe tenerse en cuenta la importancia de las ventas de libros españoles en Latinoamérica. Philippe Castellano (2001: 228), recogiendo datos de Gustavo Gili Roig (1944: 89–90), señala, por ejemplo, que hacia 1930–1935, el mercado latinoamericano representaba un 40% de las ventas de las editoriales españolas.

[5]   Posición en la cual influye, sin duda, la lectura de Abel Lefranc, que concebía a Rabelais como un racionalista, un ateo prudentemente disimulado bajo la máscara de la ficción.

En efecto, activo militante del republicanismo de izquierda, diputado del Congreso en diversas ocasiones (1914, 1918, 1919, 1931), abogado defensor de las sociedades obreras y en particular de la CNT (Confederación Nacional del Trabajo), fundador de la Liga Anticlerical Española, Vice Gran Maestre y Gran Maestre interino del Gran Oriente Español, Eduardo Barriobero y Herrán no era en absoluto alguien poco conocido en la agitada España de comienzos del siglo XX. A tan intensa actividad política se le suma una prolífica producción periodística y literaria. Jesús Ruiz Pérez (2002) señala que "según propia estimación, en 1931 llevaba publicados 160 libros 'entre chicos y grandes'".[6]

Sería un grave error considerar que la actividad literaria de Barriobero, como novelista, crítico y traductor, era una faceta escindida de su compromiso político o, peor aún, el simpático pasatiempo de un hombre público. Ruiz Pérez (2003) caracteriza a Barriobero como "un exponente de la persistencia de las coincidencias ideológicas entre republicanismo y movimiento libertario" y, de acuerdo con el análisis de José Álvarez Junco (1976), sintetiza esas coincidencias en tres puntos:

> la fe en el poder emancipador de la cultura, la fe en el progreso, o sea, la confianza en el irresistible devenir de la historia hacia sistemas de organización social cada vez más avanzados, y el anticlericalismo, [...] íntimamente relacionados entre sí, por cuanto el progreso se vinculaba a la difusión del pensamiento racionalista, y ésta a la destrucción del control ideológico de la Iglesia, a la que se identificaba con el fanatismo y la reacción.

En ese marco ideológico corresponde encuadrar el interés literario de Barriobero y, en el caso que nos ocupa, su trabajo como traductor de Rabelais. La sátira antimonástica, el interés por la ciencia y la educación, el proyecto de una sociedad utópica fundada en el libre pacto de los individuos, por nombrar solo algunos de los temas rabelaisianos, no podían dejar de despertar la simpatía del español.

Un elemento, no obstante, resulta problemático para Barriobero: el lenguaje "acaso demasiado libre" de Rabelais, su insistencia en la vida corporal y los goces sensuales. Es interesante observar cómo el

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[6]   Para ampliar datos acerca de Eduardo Barriobero y Herrán, pueden consultarse las *Actas* del congreso que le dedicó la Universidad de La Rioja (Bravo Vega, 2002a) y Bravo Vega, 2002b.

español resuelve esos potenciales puntos de conflicto entre su admiración por el autor francés y los dictados austeros de una moral militante. Con respecto al lenguaje, considera que Rabelais eligió expresarse así para que su mensaje fuera eficaz:

> La obra está escrita en un lenguaje libre, acaso dema-
> siado libre; pero, al parecer, así hablaban los magnates
> de aquel tiempo, y si Rabelais empleara otro es seguro
> que no le hubieran comprendido. Pero las libertades y
> los atrevimientos no ponen la más leve sombra en el
> mérito del autor, a quien se ha llamado con razón el
> Gran Arquitecto de la lengua francesa. (EBH, 1923, 20)

Una postura semejante adopta para explicar algunas elecciones temáticas que también le producen cierto escozor:

> Matices dominantes de aquella sociedad eran la grosería,
> la obscenidad en las costumbres y en el lenguaje, el amor
> al lujo y el desvarío por los goces sensuales. Rabelais
> asesta sus tiros a estos puntos flacos, y para asegurar el
> acierto simula aceptar esos colores como galas de su
> propio indumento. Aparenta identificarse con la fri-
> volidad de la vida social, y de ella se sirve para poner un
> velo a la profundidad de su pensamiento; satura de lujo
> sus fantásticos festines; para seguir la corriente a la manía
> bélica, describe batallas de gigantes; para secundar el
> libertinaje, se inventa un copioso repertorio de anécdotas
> y un vocabulario, y para satirizar, en fin, a los eruditos,
> derrama un verdadero torrente de palabras y locuciones
> griegas, latinas, hebreas y técnicas de todas las ciencias,
> de todas las artes y de todos los oficios. (Ib. 12)

3. Más allá de la política

Aunque en su lectura de Rabelais tiene un lugar preponderante la valoración ideológica, es imprescindible aclarar que en modo alguno es esta la única dimensión de la obra que el traductor español rescata. Barriobero señala también la riqueza de la lengua, la amplitud de los conocimientos de Maître François, su capacidad para crear "tipos que, identificados con el alma popular, viven y vivirán siempre" (ib. 19).

Asimismo marca su distancia con respecto a la lectura que redujo el estudio de la obra a la resolución de un acertijo (es decir, la revelación de las supuestas claves tras las cuales aparecerían disimulados como personajes ficticios individuos importantes de la corte de François I): "Se pretende que cada uno de estos personajes sea la caricatura de un hombre mortal de la época; no nos atrevemos a afirmarlo ni a negarlo; juzgue el lector con criterio propio" (ib. 20), sostiene.

Para armar su traducción, afirma haber tenido a la vista "once ediciones francesas de Rabelais, desde la de Desser, de 1840, hasta la de Larousse [...] horriblemente mutilada; la colección de la *Revue des études rabelaisiennes*; las obras de Loviot sobre la vida del autor; la de Sainéan, sobre las fuentes del argot antiguo, y muchas otras que a este fin durante diez y ocho años fui coleccionando" (ib. 25–26). Es decir que Barriobero se preocupó por estar al tanto de la bibliografía más actualizada en su época y que no contó, al emprender su trabajo en 1903, con la importantísima ayuda que le habría dado la edición Lefranc, que comenzó a publicarse en 1912.

Aunque parece conocer, por lo menos en parte, los argumentos con que Lefranc ha demostrado que *Pantagruel* es anterior a *Gargantua*, Barriobero fija una curiosa posición respecto del problema del orden de aparición de los dos primeros libros. En efecto, el español se resiste a aceptar que Rabelais narrara primero la historia del hijo y luego la del padre y por ello supone la existencia de una primera edición "totalmente consumida o secuestrada" de *Gargantua*, previa a la aparición de *Pantagruel*, que Rabelais habría retocado, lo que explicaría, en su opinión, las referencias a *Pantagruel* en la primera edición conservada de *Gargantua* (ib. 16).

4. Avatares de una traducción y un traductor

El triunfo del franquismo, naturalmente, no podía resultar propicio para la divulgación de la obra de Rabelais en España, más aún considerando la posición política de su traductor, por lo que no asombra que en la Península, no solo la traducción de Barriobero no fuera reeditada hasta 1967 sino que hasta la década del sesenta, no apareciera tampoco ninguna nueva edición de la obra de Maître François.

El cuadro que sigue muestra las ediciones de esa traducción que he localizado, a las que deben sumarse, en mi opinión, algunas realizadas en Latinoamérica y España que, pese a no indicar el nombre del traductor, sospecho reproducen la traducción de Barriobero, omitiendo o incluyendo parcialmente el aparato crítico de la edición de 1923.[7] En notas al pie, se añaden algunos datos descriptivos.

AÑO	LUGAR	EDITORIAL	CONTENIDO	REED.
1905	Madrid	López del Arco	*Gargantua*	1905 [8]
1910	Madrid	s.n. Imp. Gutenberg	*Gargantua*	–
1923	Madrid	M. Aguilar	Los 5 libros[9]	–
1944	Bs. As.	Anaconda	Los 5 libros y otros escritos[10]	–
1967	Madrid	Aguilar	Los 5 libros y otros escritos[11]	–
1969	Bs. As.	CEAL	Los 5 libros	1980

[7]   Entre las editadas en Latinoamérica, las de Librería Perlado (Buenos Aires, 1940) y Porrúa (México, 1984 y diversas reediciones), a las que debería sumarse probablemente la traducción firmada por Fernando Avila (Buenos Aires, El Ateneo, 1956 y 1966), que parece limitarse a remplazar cada tanto algunas palabras por sinónimos. Entre las editadas en España, la de Edaf (Madrid, 1963, 1967, 1972). Véase Artal, 2003 y 2004b.

[8]   Imp. Felipe Marqués, 323 pp. Contiene un estudio crítico-bibliográfico, notas y vocabulario del trad. Además de la edición de López del Arco, en el catálogo de la Biblioteca Nacional de Madrid, aparece otra, fechada también en 1905, con la misma indicación de imprenta (Felipe Marqués) pero sin el nombre del editor. Como Barriobero menciona en el prólogo a la edición de Aguilar de 1923 tres ediciones de su traducción del *Gargantua* anteriores a 1923, llego a la conclusión de que en 1905 hubo dos ediciones realizadas en la misma imprenta.

[9]   Imp. J. Pueyo, 3 vols. No aparece otra indicación de fecha que la del prólogo del traductor (Madrid, 1923). Los tres volúmenes llevan como título general *Gargantúa y Pantagruel. Traducidas y recompuestas de las ediciones reputadas como más auténticas y escrupulosas, anotadas y comentadas por E. Barriobero y Herrán*. El tomo I contiene el prólogo del traductor, "Rabelais y su obra", la traducción de *Gargantua* y de *Pantagruel* y 147 notas; el tomo II (*Hechos y dichos heroicos del buen Pantagruel*), traducciones de *Tiers Livre* y *Quart Livre* y 162 notas, el tomo III (*Pantagruel, Rey de los Dipsodas*) contiene el *Cinquième Livre*, 88 notas, un "Diccionario rabelesiano" y una lista de Obras consultadas, donde se menciona la edición crítica de Lefranc (1912)..

[10]   Contiene un breve "prólogo para esta primera edición argentina" de Lázaro Liacho e ilustraciones de G. Doré, 606 pp.

[11]   Prólogo de Luis Hernández Alfonso, notas de Barriobero y Herrán, 999 pp.

No menos ajetreada y sin duda más trágica que la suerte de la traducción fue la del traductor. A causa de su militancia, Eduardo Barriobero y Herrán fue recluido en prisión reiteradas veces. En el prólogo a su traducción de Rabelais, recuerda que cuando Anatole France visitó Argentina y otros países latinoamericanos en 1909 para dictar conferencias sobre Maître François, estaba previsto que él lo acompañara como intérprete, lo que no pudo finalmente ser porque "estos próceres de siete suelas que por acá dicen gobernarnos [...] en aquella oportunidad me encerraron en la cárcel para muchos más días de los que suele durar en las conciencias su recuerdo cuando ellos abandonan este mundo de sus sabrosos pecados" (EBH 1923: 23). Inmediatamente añade una observación que la historia se encargaría amargamente de confirmar: "En fin ya pasó; pero no es difícil que vuelva a ocurrir, porque yo soy el mismo y ellos también" (ib.).

En efecto, traicionado por sus propios amigos, según surge de su diario íntimo (Barriobero, 2002), Barriobero fue detenido por el Gobierno de la República, acusado de robo y evasión de dinero durante la administración de la Oficina Jurídica de la Audiencia de Barcelona, que había dirigido por designación de la CNT. Aunque el Tribunal Supremo lo absolvió de ese delito en noviembre de 1938, su suerte estaba echada. En efecto, según observa Ruiz Pérez (2003), "pasó encarcelado el resto de la guerra, los últimos años de su vida, enfermo de gravedad, bajo custodia en un hospital. Tras la rendición de Barcelona, el 7 de febrero de 1939, fue sometido a Consejo de Guerra sumarísimo y fusilado" por el ejército franquista.

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Hugh MacLennan's *Two Solitudes* in Estonian: Its Sociopolitical and Cultural Message for the Estonian Society

TIINA AUNIN

The initial aim of my article – to focus mainly on the poetics of the Estonian translation of Hugh MacLennan's novel *Two Solitudes* (1945) – was changed as a result of the tumultuous riot taking place in Estonia in April 2007 which split the Estonian society into two angry communities. The events of the so called Bronze Soldier affair – in the course of which the Estonian authorities decided to take down a Soviet war memorial – have undoubtedly been the most scandalous ones in the Baltic history since the new independence. All of a sudden, I became fully aware of the moral and ideological role this particular novel and its translations could play in the contemporary cultural and sociopolitical context of Estonia. We do not live in vacuum. Our descriptions of life and culture could be more outspoken, taking into account the messages literary classics and their translators can offer in this respect. The main moral and ideological message of MacLennan's *Two Solitudes* lies in the principle that adherence to the will of minority is crucial if a democratic society is to function properly.

Keeping it in view, my article has focused on three main issues: first, the reception of the Estonian translation of *Two Solitudes* by Ilmar Külvet among the Estonian diaspora in Canada of the 1960s as well as among its readers in Soviet Estonia, secondly, and very shortly, the quality of this translation, its few linguistic distortions from a present-day perspective, and thirdly, the possible trans-national message of the novel for the contemporary Estonia and the semiotic tasks it sets for its future translators. Thus, linguistic issues

of the translation have been sidelined, attention has centered on translation as cultural transfer.

It is quite obvious that translation has nowadays "ceased to be merely a footnote to literary scholarship, it becomes fundamental to the lives and livelihood of everyone in the entire world" (Gentzler 1993: 107). As an Estonian literary scholar I, of course, had my own agents that drove my discussion of the translation of *Two Solitudes*. And the first question I asked myself in this context, was: *What is translation practice as such nowadays?* For, "to understand one's past, one's identity, an understanding of translation in and of itself is crucial." (Ib. 107)

According to Peeter Torop, the professor of translation studies of the University of Tartu, and a follower of Juri Lotman's school of semiotics: "Tõlkimine on keeleloome nii lingvistilises kui ka semiootilises mõttes. Võõrast keelt, teksti või kultuuri oma keelde ja kultuuri tuues ei ole tõlkija pelgalt emakeelt kasutav vahendaja. Ta otsib võimalusi võõra kirjeldamiseks ja temaga suhtlemiseks. Seega (...) parandab (ta) kultuuri suhtlemisvõimet teiste kultuuridega ja iseendaga. Sest tõlgitavuse saavutamiseks peavad tõlkijad tihti emakeelt arendama." (Torop 2008: 19)[1]

The last phrase – to develop and modernize one's own mother tongue – is especially significant, for this is exactly where the inadequacies of Ilmar Külvet's translation of *Two Solitudes* arise. Living in emigration and being cut off from his native country and from the everyday lively usage of its spoken language Ilmar Külvet, a major author of the Estonian diaspora in Canada, was still trying to follow the tradition of the Young Estonians – an influential literary grouping at the beginning of the 20th century who endeavored to modernize the Estonian language. And like other Estonian modernists, he often tried to do so through the translation of the classics.

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[1]   „Translation is a creative process – not only linguistically, but also semiotically. The translator does not act merely as a mediator when transferring a foreign text and culture into his/her own language. He/she is in constant search of describing the Other, trying different ways and communicating with it. In so doing, he/she is supposed (...) actively to enter into relation with the target culture as well as with his/her own culture, and first of all, he/she is supposed to **develop and modernize one's own mother tongue**" – bold type and translation mine, T.A.

Unfortunately, his ambitions often resulted in the creation of lin-
guistic curiosities quite unacceptable for the native Estonian usage.
The following passages from the translated version of the text may
serve as an example to illustrate my point. Some of these linguistic
constructions are not only unacceptable but extremely funny and
even misleading for the contemporary Estonian reader.

For example, if the word for word translation 'Montreali inglise
sektsioon' (MacLennan 1962: 289) for 'the English section of
Montreal' may still sound tolerable, though slightly odd for the Es-
tonian ear, then the translations like 'kõrvad nagu arstiriistad kehast
eraldatud' (ib. 293) for 'his ears like a doctor´s instrument detached
from his body' and 'laevad, mil on nokad ninades' (ib. 290) for
'narrow ships with beaks on their prows' seem more than confusing
in Estonian, as does the expression 'värv välja nõrgumas oma
põskedelt' (ib. 295) for 'colour draining out of her cheeks'.

MacLennan's prose is highly conscious of language. It uses
images very effectively. "In MacLennan's case", says Linda Leith in
her reader's guide to *Two Solitudes*, "the power of the language is
neither angry nor mischievous. His prose exudes authority." (Leith
1990: 38) But what kind of an experience has the Estonian text user
been invited to when reading that at Frobisher school 'poistele
kujunes uhkusasjaks saada teatavas ulatuses keppi' (MacLennan
1962: 287), or 'kui õpetaja häbelikele poistele keppi andis, oli ta
seejuures nii rõõmsatujuline, et ta tegi neile võimatuks hirmu tunda'
(ib.), i. e. 'when finding that instead corporal punishment the
schoolmaster has decided to give the lazy boys sexual satisfaction?'
'Keppi saama' is a fixed colloquialism in Estonian with a vulgar
sexual connotation that makes a word for word translation sound
utterly improper and misleading in this case.

We can say, of course, that the quality of translation undoubtedly
plays an important role in the reception of a book, for it depends on
the translator's efforts if his/her outcome can generate respect to the
foreign culture or, on the contrary, it creates mistrust of the other-
ness. Yet, in Külvet's case it would be totally unfair and shortsighted
to dwell only on these improper elements of the translation. On the
contrary, my further discussion is stemming from the firm conviction
that despite its numerous linguistic inadequacies, the Estonian
translation of the novel – published by Orto publishers in Toronto, in

1962 and bearing a title *Kaks üksindust* – had an inevitable impact on the further discoursive treatment of Canadian literature among the Estonians in Canada.

Although the proper professional context of Canadian classics was largely ignored in Soviet Estonia until the end of the 1980s, Estonian immigrant publishers in Canada, Sweden and in the USA constantly incorporated translations of Canadian novels in their corpus of relevant texts. While in Sweden, Eesti Kirjanike Kooperatiiv (Estonian Literature Cooperation) – the main publishing house of the Estonians in exile – had taken as its priority the production of original texts, in Canada the Orto publishers saw their opportunity in specializing mainly in translations of other literatures. Fotry-five per cent of the books published by Orto in Canada in the period of 1953–1971 were translations from other literatures, totaling to 131 in numbers. (Valmas 2003: 93)

At the beginning of the 1950s Orto and its editor general Andres Laur managed to draw together a Pleiad of prolific young translators as, for instance, the playwright Ilmar Külvet, the novelists and short story writers Viktor Veskimäe, Karl Einer, Agnes Antik, to mention only a few. Within the period of 1949 to 1957 more than 20 Estonian men and women of letters had settled down in Toronto and its suburbs. The majority of them had arrived from Europe – from Sweden, Great Britain and Germany. By the beginning of the 1950s the total number of Estonian immigrants in Canada had already amounted to 17,000. (Kruus 1996: 58) With this lot of people as a potential reading audience, there of course existed a constant demand not only for Estonian-language literature, but for Estonian-language newspapers and journals as well. In 1952 the Orto publishers started to issue a twice-a-week newspaper titled *Vaba Eestlane* (The Free Estonian), with Ilmar Külvet as one of its editors.

On March 17, 1962 the paper gives its readers a short survey of all the Estonian-language books published by Orto within the previous year, in 1961. Out of the dozen books enlisted in this survey, more than a half were translations – Hugh MacLennan's novel *The Watch that Ends the Night* ('Öö möödunud on') being one of them. As to the poetics of the novel and the quality of its translation, not a word has been said. (M.J., *Vaba Eestlane*, No. 22, 1962: 6)

Already the same year two issues of the *Vaba Eestlane* (of March 14th and of June 20th) give a more thorough introduction to its readers of both volumes of *Two Solitudes*. In two lengthy articles considerable attention has been paid to the novel itself and to its author and much less to the translator and to the analysis of translation. But the favorable reception of the book by the Estonian diaspora in Canada has been repeatedly mentioned, and the reason for it has also been offered, being the conflict between two ethnic cultures presented with "... võrratus stiilirütmis (...) kirurgiskalpelli põhjalik-kusega". (*Vaba Eestlane,* No. 21, 1962: 4) [2] The anonymous author of the first article titled"Kaks Kanadat – kaks üksindust" (Two Canadas – two Solitudes) discusses different attitudes of the French and the English of Canada towards World War I, marking it as an important cultural and political signifier for the Estonian value judgments which, perhaps, allow them to draw parallels with the different conceptions of how the Russians and the Estonians understood the historical meaning of World War II, and especially Russia's role in it in regard to the Baltic countries.

Further on, the Estonian critic notes: while presenting the reader a masterful analysis of the main ethnic problems of Canada, the book can yet offer no solution to them. Trying to draw his own perspective of the country, the critic, supposedly Ilmar Külvet himself, finds Canada's true identity in the synthesis of all ethnic cultures, in mutual respect and harmonious co-existence, which in his opinion (i.e. the Estonian refugee's opinion) demand a certain degree of "vaimset elastsust" (ib.)[3] The only word of appreciation in this article that goes to the translator and his translation is for following MacLennan's rhythm of style – and that is all.

In the other article – of June 20th titled as "Kirjanik analüüsib rahvast" (The Writer Is Analysing His Nation) once again a rhetorical question is asked: is there any real possibility for Canada to become a truly homogeneous nation? The author (again, anonymous!) sounds rather pessimistic about it while noticing that at the present moment, i.e. at the beginning of 1963, more than ever before, there are serious indications of a split nation, whereat referring not

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[2]   "presented with such convincing rythm and style that, like a surgeon's knife it penetrates one's depth of the soul" – translation is mine.T.A.

[3]   'intellectual flexibility'– translation mine. T.A

only to the Catholic Quebec, as did McLennan in his novel, but also to Ontario, with even more Catholics in it than in Quebec itself (*Vaba Eestlane,* No. 48, 1962: 4)

As one can see, already in 1963 the Estonians of Canada paid by far more attention to the ideology of the novel and to its actual political message than to the poetics of its translation. This kind of reception of the book in itself testifies to the transtemporal and transnational qualities of the novel, signifying first of all its didactic role. People in a similar geopolitical situation are offered here an even-handed model how to face and treat the ethnic divisions objectively and fairly.

On August 31st, 1963 with an article titled "Ühiskond kasvatab kirjandust" (Society Sets an Example to Literature – translation mine. T.A.) the newspaper *Vaba Eestlane* again gives a due regard to MacLennan's work, this time to his essay "Literature in a New Country" (from a collection *Scotchman's Return and Other Essays*), translating several passages from the text into Estonian. In the article the main standpoint of Mac Lennan's essay, significant also for an Estonian reader, has repeatedly been underlined: namely that the subject-matter of any live literature should be drawn from the surroundings the author himself comes from. (*Vaba Eestlane,* No.67, 1963: 4)

Alas, cut off from its native country, Estonian literature in Canada was lacking its live sources of subject-matter, too. It is not in my capacity to speculate here upon to what degree this 'tragedy of interruption' was really perceived by the Estonians of Canada; one can only guess it from the sad conclusion of the article: "Emigrant-like kirjanike töös puudub alati hoog ja sund, mis iseloomustab maa päriselaniku loomingut ja siin ei ole mingit otseteed universaal-susesse. Ükski kirjanik ei saa sellest tühemikust üle hüpata enne kui ühiskond on ehitanud selle üle silla; enne kui ühiskonna vaim on ühinenud maailma vaimuga". (Ib. 5) [4]

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[4]   "We can perceive a certain lack of enthusiasm in the literary efforts of our emigree writers in comparison with this of native Canadian authors; there will be no way for us here to obtain any universal recognition. No emigree writer can bridge the gap between the two cultures unless the society be ready to bridge it, unless the spirit of our society be ready to merge with the spirit of the world." – translation mine. T.A

At the same time, the Estonian-language media of Canada fully agrees with McLennan in that Canada as topos can offer literary themes and motifs which might be equally interesting for the reader in the US as well as in Europe.

These themes were unfortunately not able to enrich the reader of Soviet Estonia for the next thirty years. The original texts of Canadian classics as well as their translations reached Estonia only by chance, mainly when smuggled in during the rare visits of Canadian friends and relatives. Therefore, no open debate, no comments, no resonance of any kind can be traced as regards the Estonian translation of Hugh MacLennan's *Two Solitudes* in the Soviet Estonian press. Only in the 1990s – free from the Soviet domain and its censorship – the Estonian reader could take his opportunity, entering the literary and cultural discourse in equal terms with the rest of the Western world. To my deep regret, this opportunity has not always been used by the numerous publishers of the country, for up to the present there are no traces of reprint or of a new edition of *Two Solitudes* in Estonia.

Yet, as the events of the so called Bronze Night and its aftermath – an all-out cyber assault on Estonian websites – have shown, there exists an obvious need for the new, more contemporary Estonian and Russian versions of the novel's translation, for even today, two years after the shocking events, the politicians, sociologists, writers and journalists in Estonia cannot find an exhaustive explanation nor an effective formula to this unexpected split in society, tearing apart two communities – the Russian-speaking and the Estonian-speaking ones, and resulting in violence, unprecedented in the Nordic region. It would be unfair to leave the topic of the "split society" and its historical memories only for the authorities to solve. The rhetoric of literary texts can be much more persuasive than that of politics. Translators' work in this specific socio-political context – producing target texts for specific purposes – is extremely important. The way they understand themselves and their society is one of the factors that certainly influences the way in which they forward the message of the literary text they translate.

The message emerging from Hugh MacLennan´s *Two Solitudes* and being important for all contemporary societies lies in its obvious allusion that the staggering hypocrisy of any society demonstrates its lack of preparedness for a place among civilized nations. The

translator's task in a given culture at any given time would be to receive, translate and interpret this message in the way that it can offer much to the political discourse analysis of Estonia as well as international communication.

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Acknowledgement

Motion, Speed and Artificiality
in Don De Lillo's *Cosmopolis* (2003)

JAROSLAV KUŠNÍR

In her study of the relationship between technology, culture and literature entitled *Shifting Gears: Technology, Literature, Culture in Modernist America* (Tichy 1987), Cecilia Tichy analyzes the role of speed and motion in the development of technology and culture and in the creation of Modernist sensibility. Giving a survey of technological progress in the USA, its connection with speed (the speed of production, cars, cinema, Kodak cameras, fast food and others) and its impact on the artistic vision of the world, she argues that "…speed and the belief in cultural acceleration were proclaimed from every quarter to be, for better or worse, the defining characteristic of the United States in the twentieth-century" (ib. 240). With the growing technological progress in the late 20th century, especially in connection with the growing importance of mass media (radio, television) and information technologies (personal computers, videos, and DVDs), the perception of speed and its role in art have changed. As early as in the 1960s, Susan Sontag pointed out a creation of new sensibility generated by art, arguing that

> This new sensibility is rooted, as it must be, in our experience, experiences which are new in the history of humanity– in extreme social and physical mobility; in the crowdedness of the human scene (both people and material commodities multiplying at a dizzying rate); in the availability of new sensations such as speed (physical speed, as in the airplane travel; speed of images, as in the cinema); and in the pan-cultural perspective on the arts that is possible through the mass reproduction of art objects… (Sontag 1966: 296).

As can be seen from Sontag's definition of new sensibility emerging in the 1960s, she was interested not only in the physical, but also in the artistic creation of a new sensibility generated by new technologies which use speed as its defining characteristics (cinema and television-speed of images, for example). Speed was not, however, always understood as a positive and progressive force and was often understood in connection with artificiality, depthlessness and manipulation. Speed of images as presented in media and in information and communication technologies as well as through popular cultural forms (fast and predictable plots in soap operas, TV-series and in popular literary forms simplifying the complexity of lived experience) have manipulated, distorted and even, through the creation of virtual reality, reduced a direct connection between the perceiver of an image and reality since popular literary and television genres have reduced the complicated and multilayered reality to its simplistic and predictable picture. Media can also manipulate a truthful picture of reality by a purposeful selection of suitable events and views to manipulate the viewers' vision of reality. Virtual reality as created on computers and internet is often perceived as equal to physical reality. Not only in the modern, but also in the postmodern period the connection between motion, speed, and technology are closely connected with the city as the site and embodiment of modernity, postmodernity and with negative connotations associated with the life in it. In Heinz Ickstadt's view, the city's

> development after the turn of the century is characterized by a tendency toward dematerialization, and the density of the city as conceretely known and experienced space [is] gradually replaced by its reconceptualization as a system of urban signs (Ickstadt 2001: 333–334).

Ickstadt thus associates the literary representation of the city with dematerialized signs closely connected to artificiality, arguing that literary discourse "reproduces this notion of an artificial city in the newly won freedom of an abstract, a constructivist, urban narrative" (ib. 334). Characterizing the literary work of Don DeLillo in this context then, Ickstadt argues that Don DeLillo's emphasis in his fiction is

> on abstract pattern, on artificial and self-enclosed systems: airplanes, elevators, office rooms, motels, social games, the narrative systems of film and TV, the structures of corporate life. The protagonist themselves enact such patterns in their speech and behaviour, they live within and by them, or wear them like a protective skin...Surface is established and brough to consciousness by the defamiliarization of the everyday: in the double-take, or the deja-vu, by the sudden recognition of what one has been unaware of seeing, or by the overlapping of perception and memory, when the object, in the very moment of perception, is remembered as an image already seen as photograph, postcard, or on the TV screen. In such slight distortions of the familiar, perception becomes aware of itself; and what has been habitually seen or done, suddenly becomes uncanny and threatening (ib. 348–349).

The city as a system of signs characterized by artificiality in which the car, technology and speed (speed of life, images, and cars) acquire rather negative connotations associated with a postmodern vision of the world and dematerialization of physical reality can also be found in Don DeLillo's novel *Cosmopolis*. In this novel, through a depiction of the inner (personal) and outer (social) worlds, material and immaterial, DeLillo depicts negative aspects of postmodern life based on the gradual dematerialization, distortion and manipulation of reality and its impact on the individual. The basic narrative situation depicting a young millionaire, Eric Packer, sitting in his long white limousine being driven along the streets of the city of New York to have his haircut, seem to represent a symbolic postmodern world through a depiction of which DeLillo points out the artificiality of mediated experience the life in the city brings along and the artificial manipulation of reality evoking disorientation. The car in DeLillo's novel does not represent only speed and constant mobility, but also becomes a home in motion, a canteen where the protagonist eats, a mobile hospital where he is daily examined by the doctor, an office in which he organizes his business meetings, a bedroom where he makes love, a moveable apartment, a gallery, and literally even an armed fortress (it is an armored car)

equipped with comfortable seats, cabinets, toilets, computers, cameras and screens through which Eric perceives the outer world being guarded by his body guards. The car does not only become a comfortable moveable apartment, but also a symbolic prison in which Eric is literally entrapped. The narrator describes the interior of the car in the following way:

> He sat in the club chair at the rear of the cabin looking into the array of visual display units. There were medleys of data on every screen, all the flowing symbols and alpine charts, the polychrome numbers pulsing. He absorbed this material in a couple of long still seconds…there was a microwave and a heart monitor. He looked at the spycam on a swivel and it looked back at him (DeLillo 2003: 13).

The equipment in the car creates an artificial microcosm separating Eric from the real, physical world. In addition, Eric's vision of the world is dematerialized and perceived through electronic images and numbers that create an artificial reality. The numbers and charts Eric is regularly following evaluating a situation on the market simulate and even replace the materiality of money and property associated with the traditional business procedure during which there is a direct contact between the seller and the buyer, the buyer and the physical property. Capital and money become only a virtual flow of numbers, charts, and images generated by a computer Eric uses. Thus capital loses its material ground and becomes similar to Eric's artificial perception of reality represented only by numbers, images and the virtual, not the physical market space which creates a distance between the materiality of the body, emotion, feeling and the immateriality, virtuality and abstractness of the image and numbers Eric has to absorb. Talking to him, Vija Kinski, Eric's chief of theory, argues:

> Property is no longer about power, personality and command. It's not about vulgar display or tasteful display. Because it no longer has weight or shape. The only thing that matters is the price you pay. Yourself, Eric, think. What did you buy for your one hundred and four million dollars? Not dozens of rooms, incomparable views, private elevators…Not the swimming pool

> or the shark. Was it rights? The regulating sensors and
> software?...You paid the money for the number itself.
> One hundred and four million. This is what you
> bought. And it's worth it. The number justifies itself.
> (78)

And Vija further adds commenting on the changed relationship
between capital and time:

> Look at those numbers running. Money makes time. It
> used to be other way round. Clock time accelerated the
> rise of capitalism. People stopped thinking about
> eternity. They began to concentrate on hours, measur-
> able hours, man-hours, using labor more efficient-
> ly...It's cyber capital that creates the future...time is a
> corporate asset now. (79)

Vija's comments on the nature of current capital become also her
comment on the contemporary economic, social and cultural con-
dition in technologically highly advanced societies in which capital
loses its connection with physical products, goods and even time and
information become a commodity on the cyber capital market that
suppresses the material base of ownership because of the constant
change of owners of the capital and commodities. In this sense then
DeLillo symbolically points out a growing detachment of man from
nature and physical reality. He also shows how people's vision of the
world becomes mediated, artificial and separated from the palpable
and physically perceivable reality. This artificial and mediated image
of the world influenced by media and cyberspace manifests also
itself in DeLillo's depiction of the conflict between the physical as
represented by the body, feelings and emotions and the mediated,
immaterial and virtual as represented mostly by the cyber capital and
media. Despite the body representing physical materiality like
buildings, cars, office rooms, shops and streets, it also becomes a
part of the "self-enclosed systems" (Ickstadt 2001: 348) within which
the body is literally and physicality symbolically entrapped and
imprisoned. Eric's movement in the streets of New York in a car
does not represent a celebration of the energy of the city, technology,
motion and freedom but, quite ironically, unlike the road movies and
fiction celebrating the energy of freedom of mobility, it becomes a
symbolic expression of the postmodern imprisonment of the indivi-

dual in the realm of signs, of the death of naturalness and a detachment of the human being from materiality and nature.

In this novel, this manifests itself in Eric's entrapment in a car, in De Lillo's depiction of the nature of capital and property as discussed above, and in his perception of reality which is mostly, as it was mentioned above, mediated, constructed by media and thus artificial. Despite the overt materiality and physicality of such acts as Eric's making love with several women including his wife, the suicide of a person in the street, violent strikes against capitalism during which the strikers attack Eric's car, Eric's murder of his body guard, and even his self-mutilation and final murder by Eric's ex-employee, these situations and events are presented not only as mediated through Eric's cameras and monitors (such events as the strike or the suicide) but also as theatrical, artificial, and emotionless. This can be seen, for example, in the scene when Eric tries not only to understand, but through a physical observation of reality, leaning out of the car roof, also to evaluate and control the situation. As the narrator says, "He wanted to understand, to separate one thing from another through detailed observation" (De Lillo 2003: 87). A close observation of the strike and the situation does not help Eric, however, to create a better, truthful picture of reality and better control the situation. The situation is rather chaotic and Eric perceives people only as a mass, a crowd, bodies, voices, as shapes and colors (87), and as even a melody ("bullhorns in intonations of chant, the same tonal contour", ib.). Eric's observation of reality does not represent a natural connection between him and the outer, physical world, but it creates "a form of street theater" as the narrator argues. The city and events become a performance, a spectacle, something deliberately artificially constructed rather than natural and spontaneous. In addition, the crowd of people is understood by Eric only as the manifestation of his theorist's Marxist ideas on market economy and capitalism. Theory thus represents another abstraction which becomes a symbolic manifestation of artificiality in De Lillo's novel. During the scene, Eric does not continue in his direct observation of reality, but he finally "lowered himself into the body of the car and eased the sunroof shut. It made more sense on TV. He poured two vodkas and they watched, trusting what they saw" (88). Eric's body thus almost literally merges with the "body" of a car and thus it becomes symbolically identical with it. His body, inseparable from

the car's body, thus becomes a symbolic expression of the artificiality of Eric's understanding of the world. Despite his body being physical, it is also inert, unemotional, artificial, like a car body, and like his artificial, distorted understanding of the world the only reliable picture of which can be mediated for Eric through the technologically mediated visual picture of reality. Like this detachment from reality, also Eric's other activities evoking mostly highly emotional positive and negative feelings like sex and murder also represent the artificiality of his existence and the perception of the world. The kind of sex Eric is performing is unemotional, artificial, and it represents only another event in his everyday routine. For Eric, his sexual act is only another event in his routine everyday schedule and represents only the basic satisfaction of his needs, as can be seen in the following passage:

> The same thing that's happening to him is happening to her. She doesn't need to crawl under the table and suck his dick…"I want to bottle-fuck you slowly with my sunglasses on." Her feet flew out from under her. She uttered a thing, a sound, herself, her soul in rapid rising inflection. He saw his face on the screen, eyes closed, mouth framed in a soundless little simian howl. He knew the spycam operated in real time, or was supposed to. How could he see himself if his eyes were closed? There wasn't time to analyze. He felt his body catching up to the independent image.
>
> Then the man and woman reached completion more or less touching neither each other nor themselves. (54–55)

This passage does not depict a sexual act as highly emotional and exciting, but only as another event in Eric's everyday planned activity, in his organized business life, as the fulfillment of the basic needs, as a detached, unemotional and artificial activity representing only a mere sexual connection of two bodily organs. Paradoxically, despite the physical, sexual connection of two bodies, this sexual act symbolically points out the separation and isolation of two bodies rather than their connection as well as the separation of the materiality of the body and nature and the immateriality of its mediated, virtual image. Both the sexual act and the physical reality are thus

presented as mediated, constructed and artificial, as Eric's perception of the world. This vision of the world and his detachment from nature and the natural connection with it further manifests itself in Eric's cold, unemotional and indifferent sudden murder of his main body guard, in his fantasizing about his own funeral ceremony and the embalming process of his body shown on TV (208), about his own cremation, in his meditations on his own various ritualistic deaths (209) and during many other situations. On the other hand, a distorted perception of physical reality manifests itself in DeLillo's ironic reversal of the qualities and feelings associated with situations that usually stimulate high emotional energy. Not the sexual act, but the currency flow, not the body and physical pleasure but the televised image of reality arouses Eric's sexual feelings and stimulates excitement. As the narrator argues, "The stock ticker was also good. He watched the major issues breeze by and felt purified in nameless ways to see prices spiral into lubricious plunge. Yes, the effect on him was sexual… ". (106)

Finally, Eric even fantasizes about his transcendence into a pure virtual body acquiring the quality of immateriality and virtuality:

> He'd always wanted to become quantum dust, transcending his body mass, the soft tissue over the bones, the muscle and fat. The idea was to live outside the given limits, in a chip, on a disk, as data, in whirl, in radiant spin, a consciousness saved from void. (206)

Thus Eric does not become only a physical monster being a womanizer, exploiter, murderer, cheater and fraud, but DeLillo makes him also a symbolic virtual monster representing the aggressiveness, immateriality, and carelessness of the cyber-capital securing him a mythical virtual eternity like the cyber-capital he admires and meditates on. As the narrator argues,

> It is happening now, an evolutionary advance that needed only the practical mapping of the nervous system onto digital memory. It would be the master thrust of cyber-capital, to extend the human experience toward infinity as a medium for corporate growth and investment… (207)

Like virtual capital, Eric also wants to transcend his body and to become pure virtual reality, a pure simulacrum in Jean Baudrillard's understanding. Baudrillard distinguishes between representation and simulation which he understands as a difference between the linguistic representation of the physical reality and of the sign extracted from reality. In Baudrillard's view,

> Representation starts from the principle that the sign and the real are equivalent ...Conversely, simulation starts from the Utopia of this principle of equivalence, from the radical negation of the sign as value, from the sign as reversion and death sentence of every reference. Whereas representation tries to absorb simulation by interpreting it as false representation, simulation envelops the whole edifice of representation as itself a simulacrum. (Baudrillard online)

As can be seen from Baudrillard's understanding of the process of representation, while representation always refers to a represented object, simulation only pretends to represent it. The object of reference is rather fabricated and thus missing, which finally creates a virtual, simulated space. Baudrillard then defines his understanding of the creation of the simulation process in the following way:

> All of Western faith and good faith was engaged in this wager on representation: that a sign could refer to the depth of meaning, that a sign could exchange for meaning and that something could guarantee this exchange God, of course. But what if God himself can be simulated, that is to say, reduced to the signs which attest his existence? Then the whole system becomes weightless; it is no longer anything but a gigantic simulacrum: not unreal, but a simulacrum, never again exchanging for what is real, but exchanging in itself, in an uninterrupted circuit without reference or circumference. (Baudrillard online)

The final words of De Lillo's novel are reminiscent of Baudrillard's understanding of the process of creation of a pure simulacrum of physical reality. In one of the final scenes of the novel, the narrator referring to Eric waiting for the final shot from his future murderer, Eric's ex-employee, says that Eric: "... is dead inside the crystal of

his watch but still alive in original space, waiting for the shot to sound" (DeLillo 2003: 209).

As the reader learns from the diary Eric's murderer writes explaining his motives for killing him, Eric is finally shot and dies, but what precedes his death is the image of this death (letters Male Z referring to "the bodies of unidentified men in hospital morgues" , ib. 206). In this sense, what literally precedes Eric's death is its image on the screen (the digital wrist watch) that does not have a physical grounding in reality since it appears before Eric's own physical death. Eric's death appearing on the wrist watch thus becomes a pure simulacrum rather than a representation of death, an artificial and constructed simulation of the non-existent physical entity. Eric thus achieves what he has always wished, that is a pure simulacrum and the virtual body reminiscent of the cyber-capital he is obsessed by. His virtual body precedes his physical body and creates a symbolic picture of a mythical transcendence from the physical materiality of traditional money economy to the virtual hyper capital.

Conclusion

Unlike the Beatnicks' novels and road movies, speed and mobility does not represent freedom, openess and spiritual liberation in De Lillo's novel *Cosmopolis*. In this novel, the speed is rather symbolically connected with the artificiality and depthlessness of the contemporary postmodern world. The artificiality and depthlessness are closely connected with a lack of natural emotions and symbolically imply an eradication of a close connection between man and nature in Don De Lillo's novel. It manifests itself in DeLillo's depiction of Eric Packer, his perception of the world and in the whole narrative structure of the novel. Eric's perception of the world is artificially mediated through screens, images, numbers, things and events which he understands only as signs similar to those appearing on a computer screen. On the macro-narrative level, he is both literally and symbolically entrapped in a car which itself is an iconic symbol of speed, mobility and capital. However, and ironically, the car does not become a symbol of comfort, mobility and freedom as it used to be in the 1950s and 1960s and in the road movies, but a symbolic prison which isolates him from the materiality of the

outside physical world. Eric's motion in a car thus becomes his symbolic movement towards self-destruction and can be understood at least in two different ways:

1) as a fulfilment of Eric's wish to become immaterial, virtual and what transcends a materiality of objects, money and a body like the cybercapital he admires;

2) on the other hand, Eric's death may also symbolize the death of all values and qualities he represents – that is aggressiveness, artificiality, un-naturalness as well as man's distance from the natural world and nature in the post-modern times of simulation and virtual reality.

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The Power of Verbal Constructs in the Production of Identity: Exploring the Issue in Donald Michael Thomas' and Eva Figes' Novels

JULIA TOFANTŠUK, SULIKO LIIV

Identity or identities, coming from the field of psychology, have become key-terms in such diverse fields as sociology, social theory, anthropology, cultural and gender studies, psychoanalysis, linguistics, and literary criticism. While in earlier theoretical pursuits it used to be approached as something stable, fixed and defined, and therefore possible to be found by a person or literary character, we view identity as created *en route* for the subject by what we collectively call Power – a complex mechanism of subjectification that includes gaze, discourse and the production of verbal constructs. Two contemporary British writers, D. M. Thomas and Eva Figes, seem to approach identity in the same way.

Although the issue of identity has been a central concern of literature in a variety of ways since the Greek classics, it has never been more topical than in the present day rapidly transforming multicultural world, which is at once a global village and a colourful tapestry with every detail woven into it as a unique cultural pattern intensely aware of its uniqueness, in ethnic, national, racial, social, historical, or gender terms. Within Anglophone literatures in particular, British literature has always had the problem of class and social position as a central theme, while a search for identity remained the domain of American literature, reflecting the state of this relatively young society built on waves of immigration. In the closing decades of the twentieth century, however, with the tide of

immigrants from the former colonies, the legacies of the Women's Liberation movement and the formerly marginalised 'minorities' becoming visible, identity or 'identities' became foregrounded in British literature as well. It marked the beginning of a discursive enquiry into the very nature of who we are and how we (people or fictional characters) come to be what we are.

The first decade of the twenty-first century bears the legacy of the tempestuous 20th century and its decisive events and processes which, in one way or another, contributed to the foregrounding of identity as both cause and result of the shape of the world we are living in today.

This world is and continues to be shaped by both vital and tragic events. The flourishing of the British Empire in the 1900s was shaken profoundly by the two World Wars and ended with the independence of the colonies. As a result, *postcolonialism* appeared as a notion, a situation, and later a science with terms of its own, *identity* and *multiculturalism* being among them.

The Second World War and the Holocaust changed the European *Ego* forever. It became clear that the construction of the negative Other, only theorised by Freud, could suddenly become an abominable reality and the 'death wish' of *Beyond the Pleasure Principle* fitted well with Freud's investigation and conclusions but not with the desperate *life* wish of those being annihilated because constructed as 'inhuman', because the criteria of the 'human' was based on verbality and speculation and not objectivity.

In the Postmodern era, globalization and multiculturalism go hand in hand with annihilation, not of the body but of the mind. Control of the individual is much more subtle than physical annihilation: it signals a radical transformation orchestrated by the powers, an even more effective mechanism of manipulating an individual into obedience. In the contemporary postcolonial era, mass media and mass culture can be seen as a new, powerful agent of colonisation – of people in one's own and other countries. Furthermore, religious identity (artificially derived from ethnic or regional belonging) has today become crucial in creating the Me-Other opposition.

Thus, if the Post-Second-World-War world was split economically and ideologically, the contemporary world is also divided more dramatically on ethnic and religious grounds. Such divisions

are arbitrary yet decisive; they are always hierarchical (like any logical binaries) – the hierarchy depending on the point of view. The principle of relativity is most applicable to such hierarchies, as what is traditional for one culture is unacceptable (yet not necessarily wrong) for another.

Cultural theorist Stuart Hall would call such a process of identifying a subject against a norm the *construction of the subject's identity*. Writers show such a construction as a fluctuating process with no clear distinction between the norm and the Other, suggesting that binaries always exist, but the components of the binary switch places and it is not that the other is constructed against a clear, defined and immutable Norm. As the criteria for a 'norm' are arbitrary, it is the temporary norm that is constructed through the invention of a negative Other – which exists only as long as the Other has not been given the power to turn into the next 'Norm'.

A central concept in Hall's approach is his distinction between *identification* and *identity,* the two terms that have been used and abused interchangeably. Hall defines his approach as *discursive* (Hall 2003:1). He sees *identification,* as 'a process of articulation' or 'suturing', entailing discursive work in the course of which the subject is 'identified' with a certain category, e.g., race, ethnicity, gender, sexuality, age, class, region, religion, etc (ib. 4). The process of identification operates across difference, which means that the constructed object is often identified against something it is different from. This process may take place on the subconscious level – as it has been proposed by Lacan, we see exactly what we lack. The 'difference' may consist in failing to conform to a norm or a cultural ideal, and the process is complicated by the marking of symbolic boundaries and the production of frontier effects. The latter are often erased, which artificially makes the process of construction smoother but more arbitrary, less trustworthy. 'Erasing the frontier effects' means first of all the reductive practice of judging a subject ('the Other' in life, a character in fiction, or a writer in criticism) according to only one category, which is still a widely accepted approach in Europe and North America.

An excellent fictional exploration of the issue is found in D. M. Thomas's novel *The White Hotel* and Eva Figes' *The Knot* and *Nelly's Version,* which also speak of the power of verbal constructs in the production of identity. In a brilliant pastiche of a Freudian case

study, Thomas reminds the reader that, as M. Michaels puts it, 'in recent history, instrumental reason has been linked at times to violence in the forms of sexism, racism and mass genocide'. (Michaels 2001).

Frau Anna G (the protagonist Lisa Erdman) is treated by Sigmund Freud for mysterious pains in her left breast and left ovary. On the basis of scanty childhood details she discloses to the analyst, he makes up a case study that explains everything – her difficulties with men, her alienation from her father (the Oedipus Complex, of course), her sudden decision to divorce her much-loved husband and her fear of getting pregnant. Lisa/Anna has a complicated relationship with the memory of her adulterous mother who had died in fire in a hotel in the arms of her lover, Anna's uncle. Freud defined this lost mother figure as something between Medusa and Ceres (Thomas 1981: 128), and Anna's subsequent affection for 'Madame R', who came to substitute her mother, as 'a genuine first *love*' (ib. 126) which paved the way for Anna's alleged homosexuality – the label Freud uses to explain the failure of her marriage and her reluctance to have children (the patient consistently resists the label). Having come to these conclusions, Freud decides that her analysis is not quite complete but publishable, and closes the case. He claims that he has equipped the patient with 'a reasonable prospect for survival' (ib. 127), announces that she had been 'cured of everything but life', and dismisses her. When, in a few years, he sends her the about-to-be-published text, it comes out that only the latter statement – about life being incurable – has anything to do with the real Lisa. When she reads the study, she reads not about the explained 'herself', but about Anna G – Lisa Erdman looks into Freud's narrative stitched together on the basis of 'evidence' she herself once provided and does not see her face in this textual mirror. She sees Frau Anna.

Naming plays a symbolic role here: when the analyst substitutes Lisa Erdman by Frau Anna G, it is not only professional ethics he pursues. Later she begs him not to disclose her real name under any circumstances. It is because her personality, her 'inner nucleus', her life have been substituted with a construct that suits her doctor. She had never told him the real reason that would explain everything – at the dawn of the two world wars, she was born a Jew. A humiliating experience she went through as a teenager when she was trapped on a ship in Odessa and abused by sailors working for her father, who

nearly tortured her to death and labeled her a 'dirty Jewess' – made her learn for the first time there was something *bad* about being a Jew (ib. 168), taught her to lie, to hide her identity and character, despise her father and flee her anti-Semitic husband. Her fear of having children and her pains also had an explanation, but a mysterious one. It was the premonition of her eventual death in the Holocaust, which she felt thirty years ahead, the day when she, Lisa and not Anna, would be executed together with her adopted son, and the soldier's boot would crush precisely her left breast and her pelvis on the left. But Freud would know none of that. His verbal construct, Frau Anna, would live on.

What is more, Lisa actually writes to Professor, confessing the lies and her identity, suggesting that he make improvements accordingly, which he refuses to do, as the study is complete and everything falls into place, and he, the Master, knows best what is inside Anna – and Lisa. He does not even hide the fact that his purpose is *not* to hear Lisa's opinion or suggestions; it is only to let her know how things were – through linguistic acrobatics. 'I have only told you this to demonstrate to you that your gift is entirely unconscious. There's nothing you can do about it. You can no more alter it than you can make your beautiful voice turn into a raven's croak' (ib.176). It is remarkable that Freud had never heard Lisa sing and at the moment her once fine voice is no longer beautiful, which aggravates her depression. Yet again he draws a conclusion that is based on verbal evidence only. He attempts at restoring the patient's confidence and providing some tools for survival, constructing an identity that has little to do with life (for life is incurable!) but everything with the symbolic order he pushes her into. And it is the law and the symbolic order that will finally destroy her – as well as some of Freud's own family.[1]

Verbal constructs, narrative games and invented selves are, on the one hand, a system of survival in the symbolic order. On the other hand, they are easily turned into negative identifications that can annihilate the individual altogether – and Lisa's physical annihilation is thus a symbol of the preceding verbal one. The present brief description of *The White Hotel* offers, we may claim, a summary of

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[1]   Freud's four aged sisters fell victim to the Holocaust and he himself escaped to London by the skin of his teeth

many tenets – Foucault's analysable and disciplinable body (Foucault 1984); the role of the medical (psychiatric) interpellation aiming at treating 'abnormality'; the use of myth in the construction of sexuality on false evidence – a decisive conclusion that allows to draw all other conclusions on its basis; the role of ethnicity that is instrumental in life but disregarded in the invention of the narrative *persona* that passes for a *person*; the analyst's inability and reluctance to glimpse behind the mask, which renders personal identity (Kristeva's *self-identity*) and history unimportant, while the individual found behind there has her own story to tell.

A further fictional exploration of the issue can be found in the writings of Eva Figes, a contemporary British woman writer whose work contains interesting insights into the nature of identity, ethnicity, and language. Figes, who has written compellingly on the power of verbal constructs and linguistic framing in placing woman/women within the framework of invented history (see Tofantšuk 2007), interestingly explores the issue of naming in her novel *The Knot* (1997).

The novel furnishes parallels to Wittgenstein and Frege's theories with a feminist twist. Figes makes her inquisitive protagonist Anna meditate on the nature and purpose of things very early on, and finish with the idea of naming. On the plot level, Anna is born into an ordinary middle-class family occupying a semi-detached house. Everything is ideal in the beginning: a father, mother, two bonnie kids (Anna and her younger brother) and a dog. By the end of the book, the family disintegrates (children grow up and the parents divorce) and the cycle begins again with Anna marrying and giving birth to William.

On the generic level, the novel can be provisionally identified as a female version of Joyce's *Portrait of the Artist,* a *Bildungsroman* in the course of which Anna becomes a mother, trying being a poet *en route.* Her love-affair with words is not like that of Joyce's Stephen, who matures together with the language and is all ready to say to the world what he has to say. Anna's world is clear and classified in the beginning, but her maturation consists in the realisation that language is the most imperfect tool for comprehending the world around one, as categorising creates but the illusion of control over objects and phenomena. For example, when Anna has to 'identify' her boyfriend to her mother, she realises that everything she wishes

to say 'is bound to sound foolish' (Figes 1997: 23), so she goes for the most obvious category, for it is the most different from her own, partly German, family: he is a Jew, and the uneasiness she feels is evident in the conversation:

> I lower my spoon, look her in the eyes.
> His family is Jewish.
> So?
> So nothing. I'm just telling you, since you asked about him
> (ib. 124).

To *identify* a person by categorising them, by *naming* them, explaining them to oneself and others is to place them in the power hierarchy around which human relations are organised, the eternal master-slave couple in which all power belongs to the namer, while the named is only the humiliated slave, punished by being pushed into an identity. 'Naming, I think, stops us thinking about things, by controlling, categorising. So Adam, having given names to every wild animal in the garden, got thrown out', concludes the main character Anna (ib. 153). When she herself names animals to her little son, she becomes intensely conscious of the dichotomy, of 'language breaking down' (ib. 152). One possibility is the obvious one: to give the animals 'grown-up', official names, accepted in the official language; the other is their onomatopoeic counterparts, like 'moo' for cow. It is the latter, paradoxically, that Anna finds more adequate as she follows her child's perception of the world.

> Cow, I will try, but the word sounds arbitrary, without resonance. Moo, I say, entering his world, without disjunction between naming and function, where all creatures co-exist equally, free of linguistic dominion, control. (ib.)

If there is no naming, there is no hierarchy. The animals' identity is created by their inner essence, not the power of human language. But this is an illusion, too: there are certain animals that are unambiguously known by name, not the sound they produce. Among such creatures are ducks, who are tamed into becoming subjects – that they should be simply called 'ducks' does not bother either baby William or his educated mummy, who is able to draw the following

conclusion: only those who are obedient and dependent on the human agent to define their identity allow to be named accordingly.

The problem of naming becomes even more acute as Anna and her husband Daniel start choosing an identity for their newly-born son. In this episode, not only the difference in their backgrounds becomes evident, but the very logic of either/or comes to play a decisive part. It seems strange to Daniel that they should go through so many Jewish names (which Anna does, obviously to please him), and Anna attempts at a joke that the boy can hardly be called Norman. Daniel's remark seizes the heart of the matter: 'Not choosing a Jewish name is one thing. You don't have to go to the other extreme' (Figes 1997: 147). In the given context, however, the boy can be *either* Jewish or Arian, for a category is needed, the knot must not have loose ends.

This brings us to Lacan's discourse, the symbolic order and the importance of the mirror. Making the infant realise that he is a separate subject, the mirror also makes him aware of the 'perspective of oneself from the outside'. In other words, the mirror separates the inside from the outside, not only in fact, in the eyes, but also in the mind of the subject. As he/she realises the visual duality, they start giving greater importance to naming. The split I (the Ideal *I* and the fluid inner *Ego*), in its turn, finds reflection in the Other, to which a name is attached. In view of all this, Figes' character comes to terms with the world by naming them according to their function – only to realise that in such a controlled world, one is offered only splinters of 'I' seen by someone else and not a whole picture.

Twentieth-century women writers have been extremely interested in the role of the mirror in the formation of identity, particularly the female identity. The mirror is instrumental not only in telling the subject of its singularity, but in telling the woman whether she is fit for the outside world. Mirror is as valid an agent for the *made* identity as literature and art that have been creating ideas of beauty since the classical times.

That it is the mirror and its literal as well as symbolic social connotations that issue a 'passport to the world', or a metaphorical I.D., is interestingly encapsulated in Eva Figes' fantasy *Nelly's Version*. The novel opens with a middle-aged woman signing in at a hotel in a small anonymous town. The false name she has invented – Nelly Dean – may or may not be her own, for she has no recol-

lections of who or what she used to be until that day. Nelly lacks a passport, so her relationship with the outside world is nonexistent. Her relationship with her own inside world is equally complicated. The opening pages of the novel present an interesting game of first- and third-person narrative. The first-person narrative is not directed at suggesting objectivity or verisimilitude. On the contrary, the events are presented by the narrator-protagonist as unreal, dream-like, possible only in her post-amnesia state of mind. Moreover, the splitting of the point of view allows to emphasize the processes the protagonist is going through. The role of the outside gaze is very important, as it is employed in the construction of Nelly's identity from the very start. Already the first sentence of the novel suggests that the woman is being watched, surveyed, and evaluated, and that it is not her opinion but that of the outside world that is instrumental in the creation of this identity: 'He watched my hand slide across the page as I signed a false name and address in the *hotel* register' (ib. 9). Although the 'he' of the sentence is not further elaborated on, its role in the construction of a Nelly is so indisputable that the short pronoun automatically becomes overloaded with power. Nelly, on the other hand, feels powerless as she is being watched[2] signing the register, going upstairs, entering her room, unpacking her things, reacting to her queen-bed she does not intend to share … The first four pages do not differentiate between the first and the third person Nelly. It is only the coherent and self-confident woman versus the outside world. The inside/outside conflict is created by the outside gaze, by the men watching her and expecting an outer shape according to which they could place her: Nelly Dean signing into a double room implies the existence of a Mr Dean who would join her shortly. At first she is 'unafraid of scrutinising eyes'(ib.) and questions she answers with 'a dignified assurance' (ib.), although having no idea of how much of this data has any relevance to the truth, or her personality. However, a few minutes and pages later, she

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[2]   We are using the passive voice here for the same purpose: the agent of power is either unknown or nonexistent but, as it happens in Foucault's closed system, the agent does not have to be there or reveal himself in order for a constructing power to work. The simple fact *of being looked at* places Nelly in a passive position.

feels an urge to look at the stranger everyone else is gazing at, to get a glimpse of the body she is offered to define as the Self.

What Nelly sees in the mirror is hardly a flattering image, with its hair streaked with grey, loosened skin, 'more than a hint of a double chin', a thickening waistline but still 'a challenging look which defied pity'. However, it is not her appearance that shocks Nelly, but the 'resigned expression' of the woman in the mirror, obviously a result of a life-long habit of 'putting up with many things without answering back' (ib.14). Paradoxically, it is not how the inner Nelly feels. The mirror shows her the personality she has forgotten, but she does not recognise it as her own. This is an alarming situation: Nelly feels 'stuck' with her mirror image, and the looming inevitability of reverting (or being reverted?) to her past obedient self.

As Nelly lacks a clearly defined identity at the beginning of her post-amnesia 'new life', the episode in the hotel room can be analysed in terms of a peculiar Mirror stage (although Nelly is grown up, she has not yet learned to distinguish between her perception and others' vision) and the beginning of the conflict between the inner and constructed Nelly. This accounts for the pronominal ambiguity employed in the description of the relationship between Nelly and her reflection, which she still sees as a separate person that has nothing to do with her. Let us consider the following sentence:

> *She* could so easily have taken the wind out of *my* sails and put *me* in my place for good. (ib. 14, emphasis added)

It is obvious that, even though being surveyed and scrutinized (by the hotel clerk, the porter, etc., in other words, the outside), Nelly is much more confident about her body, thoughts and actions than when she sees herself, or identifies her gaze with that of the rest of world. It is as if the woman in the mirror gains control over her inner confidence and threatens to render it nonexistent. It is as if the other woman gets out of the mirror and gets hold of the flesh-and blood Nelly and the latter ceases to exist but becomes her own reflection. Although the mirror is physically outside the woman's body, the protagonist is dragged inside its implied imperfection, which contradicts Nelly's inner self-perception yet overpowers it, because it is not merely a dialogue between a person and their reflection in a silvered glass but the dialogue between a person and the rest of the

world. It is symbolic that only now Nelly starts speaking. In the Lacanian sense, she starts using language to express her anxiety and dissatisfaction, she starts conversing with the woman in the mirror about the unpleasant necessity of putting up with her.

At first it seems that the protagonist, as a Mirror stage situation would have it, discovers that the stranger in the mirror is herself but is reluctant to admit it. She struggles to find her personal bearings within the physical world surrounding her – the clothes her suitcase contains, the design of her room, the lunch routine at the hotel, the topography of the town, the pace of the river, the driver who nearly runs her over – all aim at offering her a definition in the form of an imaginary shell (but not armour!) and, by implication, an identity. Nelly, however, gets confused if not panicked when wandering the city with no aim, expectation, or task to fulfil. She has seen the stranger in the mirror but shies away from identifying with her meek image. Yet the surrounding world is obscure about an alternative image for her. She is vaguely aware of having been assigned a task and definition but is in no hurry to find them out as they may not be to her liking.

The vague, reluctant, imaginary stage the protagonist has entered after the hotel room Mirror stage lasts until her walk is interrupted by a small all-purpose shop she runs into. This episode serves as a kind of climax to the first stage of Nelly's self-discovery or, more accurately, an anti-climax, for it highlights everything she has only intuitively resented so far. Namely, she is confronted with her next mirror, but this time the face and figure she sees belongs to another woman, the shop assistant. As Nelly scrutinises and analyses this other woman, she feels an urge to distance herself from this new image. Unlike the woman in the wardrobe mirror, it is definitely another flesh and blood, a separate person from the protagonist herself. Yet in her meekness, insipidness and surrender to circumstances, she is the embodiment of what Nelly might potentially become – but resents becoming. Thus, she is another metaphorical negative mirror image, one the main character is horrified by. In the short shop episode, language games become important again. The shop assistant, who claims to be Nelly's former classmate, is a woman who had never wanted anything in life, never had an ability to resist and had always allowed herself to be defined by the outside world. That is why she is so desperately clutching on all the 'trash',

like old photographs and school essays. In her remark, the past acquires a defining meaning: 'If you don't hold on to something, all these bits of the distant past ... If you don't keep a hold on these things, how do you know who you are?' (Figes 1977: 43). Thus she lives by 'being told who she is', without thinking, without wondering, and when Nelly asks her if the sign has been on the shop for a long time, she produces a phrase that throws Nelly off balance: How should I know – I only work here? (ib. 33) The protagonist's first reaction is puzzlement, as the sentence is undoubtedly a paradox. She feels that she is unable to speak to and understand her interlocutor by means of the habitual human language. Thus, the mirror appears to be deceptive, as language, the symbolic compensation for the imaginary ambiguity, ceases to be helpful. How should I know – I only work here? can mean either that the mirror-woman is also suffering from selective amnesia (for she does remember Nelly, her metaphorical reflection, but not how or why the shop sign appeared to hang where it does right in front of her nose), or that there is a hidden meaning behind the words, 'so that one heard between the words, not the words themselves' (ib. 34). Thus, Nelly feels she has lost touch not only with places and events, but with human language also. After some consideration, however, and a closer look at the woman, Nelly reconsiders her attitude to the sentence. In fact, it comes to make perfect sense: the woman does not only work in the shop, but it defines her whole existence. By working inside the shop, she does not notice the sign outside. That is, she is so deeply inside the passive identity she was once squeezed into, that she never takes notice of the label attached to her. Moreover, she cannot imagine herself living without the label, outside a defining framework ('If you don't keep a hold on these things, how do you know who you are?'). Upon realizing all this, Nelly attempts at smashing the metaphoric mirror by burningly accusing the woman of putting up with the selves being put on her:

> There you are then – what kept you? Were you afraid of getting lost in another town, that you wouldn't be able to find your way around? It's always possible to buy a map, you know, or ask someone. But then you were always afraid of asking, weren't you? When your father wanted help in the shop it never occurred to you

> to object, did it? ... that you had a choice, or that given
> an alternative you could have taken it, because you
> never consciously wanted anything. You gave in along
> the line, didn't you? The good girl, afraid of blotting
> her copy book, irritating the teacher. You were always
> resigned, obedient, terrified of being noticed. And you
> mistook it all for duty. (Ib. 39)

Nelly, who does not want to know 'who she is' in the eyes of the
others, catches a glimpse of the shop-lady from the street and re-
gisters an image of her 'framed in the doorway to her inner sanctum'
(ib. 45). The choice of words is important here: the lady is framed by
the story that has been created for her and that she does not dare to
leave.

Story and history serve the same framing function in Figes' world
as the mirror. Later in the novel, with the appearance of David who
calls her mother and thus creates such symbolic categories as son,
grandmother, wife, daughter-in-law, grandchildren, etc. – all the
categories Nelly had hoped to evade – she is safely placed back into
history and this gives her an uncanny feeling of having been

> ... brainwashed in some hospital ward and then set
> free, apparently free, to wander the face of the earth,
> but really programmed in advance to do just what I
> had gone on to do ... This, however horrifying, would
> have accounted for the uneasy sense I so often had, of
> waiting to participate in some pre-arranged plan.
> (Figes 1977: 214)

The 'pre-arranged plan' is the development of history, the result of
women just 'being' in it, without wondering who they are or what
they are for and who want no escape, behaving like the mysterious
female voice on the phone, promising to meet Nelly and 'catch up'
on everything. The conversation is the easier the more meaningless it
is, all one has to do is to fill the gaps with standard phrases and the
conversation suddenly makes sense, the act of communication
becomes possible, there is no confusion, no second thoughts that the
person on the other end is a total stranger and the whole connection a
funny mistake.

> 'Are you sure you're all right? Has anything happened?'
>
> 'No,' I said heavily, after an awkward pause. 'I'm all right. Nothing has happened.' ...
>
> 'Oh good,' the voice said cheerfully ... 'I just wanted to make sure you were all right.'
>
> 'Yes,' I said lamely. 'Yes. Did you have a good time?'
>
> 'Marvellous,' she enthused. '... Well, I must go. Give my love to the children, won't you.' (ib. 211)

Nelly does not know where the woman has been or how many children she herself is supposed to have (at this point she acknowledges none). Nonetheless, this does not seem to be a problem, as phrases about trips and children are easy to produce and can be employed to fill any gaps. The more so that the phone lady has no identity for Nelly, she is nothing but a 'voice'. She reminds Nelly of how uncannily little is required of one to live and function in the world. As a result, the conversation woman can be regarded Nelly's last mirror or, alternatively, the last part of the Mirror stage, in which the visual element disappears completely. As it turns out, it is not even necessary to see the interlocutor (or oneself in her), but the two people are blended by language, which eliminates individuality and substitutes anxiety by standard phrases. Just like in The White Hotel and The Knot, language, the most powerful of our century's weapons, takes the upper hand and constructs an identity and a subject that have nothing to do with the individual but fit into the general scheme of myth-making we have explored here.

The cultural production of identity as a verbal construct and mythological signified is reminiscent of Lévi-Strauss' anthropological conclusions about the mythological nature of history. They may be said to bring together gender, identity and cultural theories, cognitive psychology and literature in that they look beyond particular disciplines and into the general tendency of the human mind to create myths suitable to the myth-maker at a particular point in time.

> The moment a fact enters history it becomes mythical,
> because it has been taken and fitted into its place in a
> set of ordered relationships which is the creation of the
> human mind and not otherwise present in nature.
> (Lévi-Strauss, qtd. in Mercer 1992: 436)

'Myth' here is another term for 'construct', as it is made employing the same mechanisms as constructs. As Byatt has observed, 'Myths, like organic life, are shape-shifters, metamorphic, endlessly reconstituted and reformed' (Byatt 2000: 125).

In the oeuvre of Thomas and Figes, identities are created by the power of the outer gaze and verbal constructs through the process of naming, identification and objectification. It is remarkable that often the individual herself accepts a ready-made identity by looking at herself with an outside gaze and thus accepting the verbal category created for her by the surrounding culture. The novelists show tragic (Thomas) or absurd (Figes) consequences of such labelling, simultaneously challenging the idea of stability of identity and suggesting the necessity to approach it critically.

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Elizabeth Bishop's "long trip home"

REET SOOL

Of the numerous meanings of the noun 'home', two are particularly relevant at this point – 'an environment offering security and happiness', 'a valued place regarded as a refuge or place of origin' (these and other definitions come from online dictionaries, notably *The American Heritage Dictionary of the English Language, 2000*). To quote Lord Byron, "He entered his house – his home no more,/ For without hearts there is no home." In this sense, Elizabeth Bishop's home was Canada, where she lived from the age of three to six in Great Village, Nova Scotia, and not New England, where she was born and orphaned soon after. Her fine prose, in particular, and personal statements support this view. In her short story, "The Country Mouse", the narrator describes her journey from Canada to New England, and her two grandfathers, one Canadian, the other American:

> "*My grandfather's clock was too tall for the shelf ...*" I knew that song very well, having been sung it by my other grandfather. But this grandfather himself seemed too tall – at any rate, too tall for this train we were on, the old Boston and Maine, gritting, grinding, occasionally shrieking, bearing us west and south, from Halifax to Boston, through a black, seemingly endless night. This grandfather snapped on the overhead light again. (Bishop 1984: 13)

The Canadian grandfather that had sung this song to his granddaughter is the true grandfather, he is "my grandfather", a simple and homely man (in the approving British sense of the adjective), who makes the child feel comfortable, and creates a homely atmosphere.

But the American grandfather, who is "too tall for this train" and too domineering for the child, is "homely" in the derogatory American sense of the word – "not good-looking", for children (and not only they) habitually perceive kindness as beauty. "This grandfather" … "descended, god-like and swearing, swept Grandma out of the way, and wedged himself into the lower berth" (ib.). On this journey "through a black, seemingly endless night" on the "gritting, grinding, occasionally shrieking" train, in the company of her American grandparents whom the child "scarcely knew" (Bishop 1984: 14), she "felt as if I were being kidnapped, even if I wasn't." (ib.) The darkness, dispelled by the grandfather snapping on the harsh overhead light, and the jolting movement of the train, were perhaps what the child feared most, to the extent that "It was awful, but almost a relief, to hear from time to time, above the other noises, my grandfather growling savagely to himself in the pitch dark." (ib.) If not kidnapped, she was, no doubt, robbed of her home, her Canadian home of security and happiness.

It is interesting to note that Bishop had difficulty in publishing her prose. Her translation from Portuguese into English of the diary of a girl in a Brazilian mining town at the turn of the twentieth century, now known and much acclaimed as *The Diary of "Helena Morley"*, was initially turned down by the publisher of her poems, which led the poet to declare that her next book of poetry would be offered only to the publisher of the diary (Giroux vii ff.). The tentative title for Bishop's collection of prose, found on a single typed sheet among her papers, was, intriguingly, "In the Village & Other Stories", later corrected in her handwriting to "In the Village: Stories & Essays (?)", the question mark added by Bishop herself (Giroux xvii). Robert Giroux, who edited and published these writings eventually under the title of *The Collected Prose*, remarks: "We are fortunate to have these lately discovered prose works, for themselves, and for the light they shed on her life and work" (ib.: xix). Strictly speaking, we could contend that 'works for themselves' need not serve any other function, be it shedding light on the author's life or (tautologically) her 'work', of which they are a part, anyway. More problematically, we could question the validity of the cliché, 'life and work' *per se*, for a poet like Elizabeth Bishop, her work was her life.

In the story "Primer Class", a sensitive study of a young child's mind, and one of the many elaborations of the geography theme, central to Bishop's art (see also Sool 2005: 31–33), the poet writes:

> On the world map, all of Canada was pink; on the Canadian, the provinces were different colors. I was so taken with the pull-down maps that I wanted to snap them up, and pull them down again, and touch all the countries and provinces with my own hands. Only dimly did I hear the pupils' recitations of capital cities and islands and bays. But I got the general impression that Canada was the same size as the world, which somehow or other fitted into it, or the other way around, and that in the world and Canada the sun was always shining and everything was dry and glittering. At the same time, I knew perfectly well that this was not true. (Bishop 1984: 10–11)

Thinking of Bishop's work in general, and straying from the track of the obvious for a moment, one could think of her poetry achieving what the child of the story once desired, touching "all the countries and provinces with my own hands", its marvelous tangibility, so rare in art. The impression of the child that Canada was of the same size as the world seems only natural, for one's home *is* one's world, especially for a child, and in a happy home the sun seems to be "always shining". The idea of the world fitting into Canada, "or the other way around", is likewise one of Bishop's (seemingly) blithe ways of dealing with the world. Sensitivity to names and loyalty to her Canadian schooling is combined in the attachment of the protagonist of "The Country Mouse" to her desk-mate, "a beautiful boy named Royal Something. His name made him doubly attractive to me, stuffed as I was with the English royal family, although I realized he wasn't really royal." (24) The concession in the last sentences echoes the previous one about Canada and the world. The theme of British royalty (and Canadian loyalty to it) (re)surfaces in one of Bishop's most touching poems, "First Death in Nova Scotia", in which the coffin of a little cousin Arthur is placed beneath the chromographs of the English Royal family – "Edward, Prince of Wales, / with Princess Alexandra, / and King George with Queen Mary." The last two stanzas of the poem read as follows:

> Arthur was very small.
> He was all white, like a doll
> that hadn't been painted yet.
> Jack Frost had started to paint him
> the way he always painted
> the Maple Leaf (Forever).
> He had just begun on his hair,
> a few red strokes, and then
> Jack Frost had dropped the brush
> and left him white, forever.
>
> The gracious royal couples
> were warm in red and ermine;
> their feet were well wrapped up
> in the ladies' ermine trains.
> They invited Arthur to be
> the smallest page at court.
> But how could Arthur go,
> clutching his tiny lily,
> with his eyes shut up so tight
> and the roads deep in snow?
> (Bishop 1979: 125–26)

Naturally, little Arthur couldn't go, but Elizabeth Bishop could – at least to Boston, where her protagonist (and alter ego) "hated saluting the flag":

> In my Canadian schooling the year before, we had started every day with "God Save the King" and "The Maple Leaf Forever". Now I felt like a traitor. I wanted us to win the War, of course, but I didn't want to be an American. When I went home to lunch, I said so. Grandma was horrified; she also wept. Shortly after, I was presented with a white card with an American flag in color at the top. All the stanzas of "Oh, say, can you see" were printed on it in dark blue letters. Every day I sat at Grandma's feet and attempted to recite this endless poem. Most of the words made no sense at all. *"Between his loved home and the war's desolation"* made me think of my dead

father, and conjured up strange pictures in my mind.
(Bishop 1984: 26–27)

But where was the poet's "loved home"? In cold Canada or warm Brazil? In her poem, "Crusoe in England", there are these intriguing lines: "'Pity should begin at home.' So the more / pity I felt, the more I felt at home." (Bishop 1979: 163) In the bitterness of his exile, Crusoe plays his home-made flute that "had the weirdest scale on earth", suddenly exclaiming: "Home-made, home-made! But aren't we all?" (ib. 164). He was right, of course. Etymologically, the word 'home' is a Germanic one, going back to Old English 'hom', 'ham' and further back to Old Scandinavian 'hem' (hence the modern German 'Heim') and Danish 'hjem' and 'heim', Swedish 'hem', Icelandic 'heima', also 'heimr' as 'abode, world'. In her poem "Questions of Travel", Bishop refers to the famous dictum of Blaise Pascal, the French philosopher:

> I have often said that the sole cause of man's unhappiness is that he does not know how to stay quietly in his room. A man wealthy enough for life's needs would never leave home to go to sea or besiege some fortress if he knew how to stay at home and enjoy it. Men would never spend so much on a commission in the army if they could bear living in town all their lives, and they only seek after the company and diversion of gambling because they do not enjoy staying at home. (Pascal 67)

The question in Elizabeth Bishop's poem "Questions of Travel" is this:

> Is it lack of imagination that makes us come
> to imagined places, not just stay at home?
> Or could Pascal have been not entirely right
> about just sitting quietly in one's room?
>
> Continent, city, country, society:
> the choice is never wide and never free.
> And here, or there … No. Should we have stayed at
> home, wherever that may be?
>   (Bishop 1979: 94)

The last question, complete with a question mark, ends this poem, leaving everything open. The second stanza opens with the following line: "Think of the long trip home./ Should we have stayed at home and thought of here?", a direct allusion to Pascal. Where is our home, ultimately? Poets and philosophers have been concerned with this, and in Friedrich Nietzsche's poem "Homeless" (1859), the protagonist is recognized by whoever sees him as the homeless man, yet no one (unlike the Bishop poem above) dares to ask him where his home is:

> Fleet horses bear me
> Without fear or dismay
> Through distant places.
> And whoever sees me, knows me,
> And whoever knows me, calls me:
> The homeless man ...
>
> No one dares to ask
> Me where home is:
> Perhaps I have never
> Been fettered
> To space and the flying hours,
> Am as free as an eagle! ...
> (-- Translation by R. J. Hollingdale)
> (http://www.geocities.com/thenietzschechannel)

While speaking of "we who are homeless" ("wir, Heimatlosen"), Nietzsche exclaims: "We children of the future, how *could* we be at home in this today!", and proceeds with his concept of '*good Europeans*' (v. ibid.). In Estonian poetry, the famous motif of the metaphysical poet Ernst Enno, 'kadunud kodu' ('the lost home'), usually related to the biographical fact of his family being forced to sell his childhood home, should also be interpreted in a more metaphysical key.

The German philosopher Martin Heidegger has said that language is the house of our being:

> The nature of language does not exhaust itself in signifying, nor is it merely something that has the character of sign or cipher. It is because language is the house of Being, that we reach what is by

> constantly going through this house. When we go to the well, when we go through the woods, we are always already going through the word "well," through the word "woods," even if we do not speak the words and do not think of anything relating to language. (Heidegger 1975c: 132)

Thus, it would not be too far-fetched to say that we all live in this house, that this is, in fact, our home, into which we were born, our dwelling place, 'an environment offering security and happiness' and 'a valued place regarded as a refuge or place of origin', to return to the dictionary definitions of the word 'home'.

How, then, do we dwell in this home? According to Heidegger, we do so poetically. He expands on the words of another poet, Friedrich Hölderlin, and his lines where he claims that "...poetically man dwells on this earth" (see. Heidegger 1975b: 213–229). Put very briefly (and crudely), this means that all human beings do so all the time as mortals on this earth beneath the skies, which is the abode (house or home) of the immortal, the divinities. By looking upward, we measure ourselves against the heavenly, and this is what is poetic in our dwelling. Poetry, according to Heidegger, is a measuring, a very special measuring, by which we receive the breadth of our being. He concedes that the idea of us all dwelling poetically seems absurd in this technical-technological age of ours while we hunt for gain and success, "bewitched by the entertainment and recreation industry." (ib. 213) In short, our existence seems anything but poetic, yet that, according to Heidegger, does not prove Hölderlin wrong: "For dwelling can be unpoetic only because it is in essence poetic. For the man to be blind, he must remain a being by nature endowed with sight." (ib. 228) Our life is unpoetic only in relation to the poetic, to something that our dwelling is endowed with. In this sense, then, it is sad (if not downright tragic) that we can be aware of our condition through an absence, and a most crucial one. In order to understand our supposed misery, we must be heedful of the poetic, to take it seriously, today as ever. Thus, even though we, in essence, live poetically (while thinking that we don't) in the house of being, which is language, we do so, mostly, silently. There are some of us (whom we call poets) that say or sing it out by responding to language, not 'using' it like a tool, the way masters or manipulators

would. According to Heidegger, it is the language that speaks, not man ("die Sprache spricht"), "man speaks in that he responds to language." (Heidegger 1975a: 210)

Bearing the above in mind, we can say that Elizabeth Bishop responds to language freely, unpredictably and subtly, like any great poet. She has referred to herself as the sandpiper of her poem of the same title, "/.../ -- just running along the edges of different countries, 'looking for something'" (qtd. in Giroux 1984: viii). New England, New York, Florida, San Francisco, Nova Scotia, Paris, London, Brazil, Mexico ... Ultimately, her home is in language, the English language, perhaps most so as it was spoken in her two early homes – the United States and Canada. Geographically speaking, she may have been homeless, metaphysically speaking, she was very much at home. Her path as a poet could, in this light, be seen "as a long trip home" (Bishop 1979: 93), from early hesitant verse to the clarity of her mature work. However, there is a graver meaning of the word 'home', that of 'the final rest, the native and eternal dwelling place of the soul' – "Man goeth to his long home, and the mourners go about the streets" (Eccl.XII 5). We have a proverb in Estonian – "Kes kooleb, see koju läeb" ["He who dies, goes home."] We could "think of the long trip home" in this way, too, while voyaging in the work of Elizabeth Bishop.

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Sacred Time and the Terror of History in "Twelve Thousand Head of Cattle"

ALI SHEHZAD ZAIDI

Mircea Eliade's "Twelve Thousand Head of Cattle" is a tale of the fantastic set in Bucharest during World War Two. Eliade's fantastic world, Matei Calinescu observes, "is an invention or a creation but one that paradoxically, entirely mysteriously, carries ontological weight" (Permenter 2001: 98). Like Kurt Vonnegut's *Slaughterhouse Five*, in which an American prisoner of war survives the firebombing of Dresden and subsequently communes with extraterrestrials, Eliade's story illustrates Eugen Simion's thesis that the fantastic is "not an evasion into the atemporal, but a total involvement in history" (Simion 1982: 136).

In "Twelve Thousand Head of Cattle", a rich landlord, Iancu Gore, stops at an inn while searching for a Treasury official whom he had bribed for a permit to move cattle across the border. Gore is a portly, middle-aged, and rather ordinary-looking man who, as the very first sentence of the story suggests, has been drinking: "The man raised the empty bottle in the air and, shaking it meaningly, signaled to the innkeeper to bring him more wine" (11). We will recall this detail later in the story when Gore's veracity comes into question. The manner in which Gore absentmindedly wipes his face, his peculiar smile, his tipsiness and boastful pride in his status, all foreshadow his susceptibility to a hidden reality.

Following this introduction to Gore, we overhear an enigmatic dialogue:

The innkeeper approached, his foot dragging slightly.

"If they haven't come yet, they are not coming at all," he said, setting the carafe in front of him. "It's almost twelve."

The man looked at him with a smile, twisting the coloured handkerchief between his fingers in a puzzled way.

"They won't come at all!" repeated the innkeeper slowly, stressing the words.

As if it were only then that he heard, the man felt nervously for his watch, let his head loll back and gazed at the hands from a distance, frowning and forcing himself not to blink.

"Five to twelve," he uttered softly as if he dared not believe his eyes.

With a short unexpected gesture he detached his watch from the thick gold chain which hung from his belt. He handed it to the innkeeper with a smile of complicity.

"Here, hold it! What do you say? What do you think it's worth?"

The innkeeper weighed it for a long time in both hands, undecided.

"It's heavy," he said at last. "I shouldn't think it's gold. It's too heavy to be gold."

"It's an imperial watch. I bought it at Odessa. It was the Tsar's watch."

And because the other, after some moments of astonishment, shook his head, impressed, and started to return to the bar, he held him back, gripping his arm.

"I am Gore," he said. "Take a glass and come and drink with me. Iancu Gore, a reliable man with a future; that's what my friends call me." (11)

We wonder: who is not coming and why? And how is Gore complicit when he hands his watch to the innkeeper who looks at it admiringly?

We soon learn that what will not come are the Allied war planes, which were bombing with clockwork regularity the Romanian industries and oilfields that supplied the German army. Thousands of civilians perished in the air raids, which lasted until Romania switched sides in the war. Eliade prefigures the devastation from the

air raids in this sentence: "An overloaded lorry passed the inn, shaking the only window which still had glass" (13). In this story, repetitive violence arouses dread, for as Eliade observes, "when it is desacralized, cyclic time becomes terrifying" (Eliade 1959: 107).

Gore's imperial watch evokes a mechanistic way of seeing (or not seeing) the world, one in which, according to Thomas Altizer, "time comes to constitute man's deepest existential situation" (Altizer 1962: 268). Gore's refrain that he is "a reliable man with a future" reveals the mindset of one who is immersed in desacralized or profane time. Gore epitomizes the terror of history, which for Eliade meant the feeling experienced by one who "has no hope of finding any ultimate meaning in the drama of history, and who must undergo the crimes of history without grasping the meaning of them" (Eliade 1982: 128).

> As he pours himself more wine, Gore comes to the point:
> "Do you know one Paunescu?"
> "Mr. Paunescu of the Treasury?" said the innkeeper.
> He had filled his glass and brought it to his lips; but he stopped suddenly, as if at the last moment he had remembered something.
> "Yes, of the Treasury," affirmed Gore.
> The innkeeper quickly emptied the glass. Then he wiped his moustaches with the back of his sleeve.
> "He used to live here next to us, at No. 14, but he's moved now. He moved after the bombing," he added, winking ironically. "They say he had instructions from the Ministry."
> And again he winked meaningly. (13)

The innkeeper's winks denote a knowingness and connivance in the corrupt ways of the world. Gore complains that he had found only an empty house on the street where Paunescu used to live, but the innkeeper discloses nothing more. Gore is yet another victim of one of the many swindles to which War, that greatest swindle of all, gives rise.

Looking at his watch, Gore sighs that it is ten past twelve, upon which the innkeeper thanks God and the Virgin for deliverance from the pre-noon Allied bombing. Still fuming over his lost money, Gore leaves the inn. He heads towards Paunescu's residence on a rubble-

strewn street whose name, Strada Frumoasei, denotes the beautiful. The name, at first glance, appears ironic, since the street is a scene of destruction. And yet the name is apt, since Strada Frumoasei is where Gore experiences what Eliade calls "a break through the planes," an eternal present beyond time (Permenter 2001: 104). This escape from Time, according to Eliade, is what "connects the function of literature with that of mythologies" for "we feel in literature a revolt against historical time, the desire to attain to other temporal rhythms than that in which we are condemned to live and work… the hope to be freed from the weight of 'dead Time,' the Time that crushes and kills" (Eliade 1963: 192–93).

> When he reaches House No. 14, Paunescu's former residence, Gore rings the bell. As he listens to its remote and sinister sound, he hears a siren:
> Gore felt that his legs would sag and raised his glance despairingly. The sky was of a washed-out blue with a few whitish clouds gliding at random, as if they had not decided which direction to take. 'They're mad! It's past twelve; what's come over them?", he found himself thinking. He began to look for his handkerchief, trembling, and passed it unconsciously over his face. He thought he heard voices in the neighboring houses, doors banged, and a young woman's shrill scream.
> "Ionica," called the woman."Where are you, Ionica?" (15).

The siren ruptures Gore's predictable scheme of things. Clouds shift about uncertainly, heralding another kind of time. As Gary Eberle observes, "in the world of profane time, things happen once and for all, but in the world of sacred time, anything is possible; time may be reversed, identities may be transformed. Where the world of normal time is rigid, the world of sacred time is fluid" (Eberle 2003: 135). The seemingly incidental detail of a woman calling her child will acquire a new significance at the end of the story.

When Gore descends into a bomb shelter, we discover what Eliade calls "the transhistorical meaning and importance that is hidden in the depths of an existence condemned to be carried out exclusively in immanent and opaque banality" (Eliade 1989: 135). In the small shelter, Gore finds three people sitting on benches:

Madame Popovici, her servant, Elizaveta, and her tenant, an old man. Gore introduces himself with his usual flair:

> "I am from Pitesti," he began, a little embarrassed. "I've come here on business. Twelve thousand head of cattle, of the best quality. We have an export licence; we have everything we need. There's only one Gore, Iancu Gore!" he added, lowering his voice a little and looking at them all in turn with a cunning smile lighting up his face. (17, 19)

However, they continue conversing as if he were not there. No one appears interested in Gore's cattle. Gore attempts to show off his watch, but no one notices it. Gore begins to listen attentively to the conversation when the old man admonishes Madame Popovici for not having heeded his warning that Paunescu was unreliable. Gore bitterly reflects on his bad luck:

> If Paunescu had been honest, if he had been a man of his word, he would long since have obtained the Treasury's approval for which he had already advanced him three millions. And now he would have been at the frontier with the goods: six thousand head of cattle. Net profit: forty millions. He wouldn't have wasted time at Bucarest; he wouldn't have been caught by the bombing. (19, 21)

Gore's fear has been confirmed: Paunescu is a cheat. But how reliable is Gore himself? Why does the number of his head of cattle vary from six thousand to twelve thousand in the course of the story? The mystery deepens when Gore asks the old man what he had earlier asked the innkeeper:

> "Do you know Paunescu?" he said to the old man, unable to control himself any longer. "Paunescu from the Treasury?"
>
> The old man merely shrugged his shoulders with a smile without looking at him.
>
> "Me not know him!" he said. "Anyway, I did my duty and warned you in time."
>
> "You know him well? What sort of man is he?" asked Gore in a whisper.

> As if he had not heard him, the old man passed by
> him and sat down again on the bench. "They're mad!"
> said Gore to himself. He turned his head and spat, then
> wiped his mouth with his handkerchief.
>
> "I'm not staying any longer, ma'am!" exclaimed
> Elizabeta, jumping to her feet as though burned. "My
> eye's begun to throb again!"
>
> "You're mad!" said Madame Popovici, seizing her
> by the arm. (21)

The old man appears to respond rather ambiguously ("Me not know him!") to Gore's question about Paunescu. And Madame Popovici seems to echo Gore's thoughts a moment earlier when she tells the panic-stricken Elizabeta that she is mad.[1] These strange correspondences heighten our sense of a magical convergence of different dimensions of time and space.

In the shelter, Gore is relieved to hear the All Clear. He tells the others that the alarm had only been an exercise. Before he leaves, Gore asks the others whether they are staying, but they do not reply. Gore dismisses them as a "damned lot of lunatics" and leaves. In the street, Gore realizes that he had been blinded by the sunlight and that he had not seen where he was walking. He is unaware of his brush with the sacred that, as Thomas J. J. Altizer observes, inverts what we believe to be real, dissolving our being in time (Altizer 1962: 270).

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[1] Elizabeta's premonition of death in the shelter recalls a seminal experience in Eliade's own life. In September 1940, while serving as a cultural attaché in the Romanian consulate in London, Eliade experienced the terror of a German air raid. In his autobiography, Eliade describes his claustrophobic sensation in a bomb shelter, which recalls that of his literary character Elizabeta:

> "I remembered suddenly – instantaneously, as though they
> consisted of a single episode, without interruptions – a great
> many things that had happened to me in the past three years. The
> sensation was so strange that I said to myself that, very probably,
> I would not come out of that shelter alive… [T]he necessity – I
> might say fatality – of 'collective death' in an air-raid shelter in
> London troubled me by its enigmatic indifference (I dared not
> call it absurdity)." (Eliade 1988: 1, 6)

Gore returns to the inn in a fury and queries the innkeeper again about Paunescu. The innkeeper remains evasive, stating as before, that Paunescu moved after the bombing. The innkeeper is startled to hear Gore mention Madame Popovici, who, the innkeeper recalls, died in the bombing forty days earlier along with her servant Elizaveta. Gore insists that he had just seen them in the shelter during an air raid exercise. However, the innkeeper assures him that no siren had sounded that day. Gore is irritated:

> "Listen, landlord," he began gravely, "you're trying to pull my leg. You think that if I drank two litres of wine just now on an empty stomach, I've lost my grip. But you don't know me. If the wine's good, I drink as much as three gallons. Come to Pitesti for people to tell you who Iancu Gore is. I'm a millionaire, landlord. I'm sorry that I've got involved with that crook Paunescu. We were O.K.; we had all we needed. (25, 27)

For the reader, who knows that Gore has indeed overheard the conversation of the deceased Madame Popovici and her two companions in the shelter, it is hardly relevant whether Gore can stand three gallons of wine. Nonetheless, Gore's drinking heightens, rather comically, the ambiguity of the enigmatic shelter sequence. For Eliade, ambiguity is "the essential trait of miracle and therefore the literary device best suited to dealing with it" (Calinescu 1982: 145).

A group of workmen confirm the innkeeper's assertion that there had been no air raid alarm that day. Gore has become, in a word, unreliable. An incensed Gore wagers with a young man that he will show him the shelter with the three persons inside. When Gore reaches the street where the shelter used to be, he only finds ruins. It seems unreal: "Bloody lunatics!" he whispers. As Gore walks away, the young man taunts him about the wager. Infuriated, Gore turns and pays him, insisting the while that he is a reliable man with a future. Gore's loss of composure suggests an unconscious doubt whether he is indeed reliable.

At this moment, a woman calls her child: "Ionica! Where've you been, Ionica? I've been looking for you for an hour, you devil!" (33). It is the very woman that Gore had heard calling her child an hour earlier, just before he descended into the shelter. For the reader, this detail corroborates the miracle of the shelter scene. What appears

miraculous to the reader of the story, however, is for the characters of the story meaningless and absurd.

Consciously, Gore exists solely in profane time that, according to Eliade, "is ontologically nonexistence, unreality" (Altizer 1962: 270). He cannot recognize the emergence of the sacred into the flow of everyday life; and as Eliade observes, "the unrecognizable is the perfect form of divine revelation" (Calinescu 1977: 3–4). In his unconscious, however, Gore participates in a rich oneiric universe.

The lost child recalls the pain of separation during the chaos of war. Uprooted and displaced, Romanians lived in a cultural twilight and spiritual amnesia during traumatic periods of war and dictatorship. Those who survived found hope awaiting them like a newly found child at their doorsteps. The child also evokes a sense of wonder, innocence, and spiritual renewal. "We create through play, and we realize that dimension of dream wherein we enjoy absolute freedom, where the categories of existence are ignored and fate is suppressed," Eliade tells us. "Any revolt against the laws of fate must have the character of play, of the divine" (Eliade 1985: 63).

The wayward child introduces an element of mischief at the end of the story. Gore, a materialistic and self-satisfied man, has the air of a victim of an impish joke. His prosaic mind is ripe for a visitation of the divine. As Altizer notes, "the deeper the 'forgetting,' the deeper the repression of the sacred, the greater the ultimate epiphany will be" (Altizer 1962: 288). Altizer's observation recalls Slavoj Zizek's remark that one need not have recourse to Buddhist ontological notions in order to attain the divine; one need only visit a bureaucrat at a municipal hall in order to be persuaded of one's own non-existence (Taylor 2005).[2]

The imagination releases us from the repetitive follies, banality, and terror of profane time. Eliade believed that poets and visionaries would provide the spiritual resilience for Romanians to withstand the cataclysms of history (Eliade 1988: 81). He understood, to quote Simion, literature to be a redeeming force that connects man to the universe and restores his cosmic vocation (Simion 1982: 136).

Eliade's tale revives repressed historical memories such as the bombing of civilian populations by the Allies during World War

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[2]   This comment appears in a deleted scene in the DVD version of the film *Zizek!*.

Two. One American pilot who flew bombing sorties over Romanian oilfields was Richard Hugo. While returning to base, he would dump his remaining payload randomly over Belgrade from a high altitude to avoid flak. He reflected on his war experiences in a letter-poem to Charles Simic, who had witnessed the bombing of Belgrade as a child:

> What did you speak then? Serb, I suppose. And what did your mind do with the terrible howl of bombs? What is Serb for "fear"? it must be the same as in English, one long primitive wail of dying children, one child fixed forever in dead stare. I don't apologize for the war, or what I was. I was willingly confused by the times. I think I even believed in heroics (for others, not for me). I believed the necessity of that suffering world, hoping it would learn not to do it again. But I was young. The world never learns. History has a way of making the past palatable, the dead a dream.
> (Simic 2000: 14)

We also recall Eliade's youthful sympathies for the Legion of the Archangel Michael. The legionnaires espoused an intolerant Romanian nationalism rooted in Orthodox Christianity and engaged in acts of violence against ethnic minorities and Jews. While serving in the Romanian consulate in Lisbon during the Second World War, Eliade wrote a book that praised the repressive Salazar regime in Portugal. Fortunately, Eliade subsequently avoided politics and dedicated his life to literature and the study of religion. His imaginary worlds atone for his banal intervention in history.

Eliade deeply felt Romania's tragic destiny. During the early twentieth century, Romania had territorial disputes with Hungary over Transylvania, with Russia over Bessarabia and Bukovina, and with Bulgaria over Dobruja. As alliances and borders shifted, millions of people died in the name of nationalism. Romania entered World War One on the side of the Triple Entente, only to be besieged by the Austro-Hungarian, Bulgarian, and German troops. The Central Powers imposed a harsh treaty on Romania after the defeat of the Russian imperial army in late 1917. Romania acquired new territories after the Treaty of Versailles in 1919, but later lost much of them during World War Two.

The title of Eliade's story hints at the many betrayals of Romanians during World War Two, when they were led like cattle to the slaughter. Trapped in the conflagration between Nazi Germany and the Soviet Union, hundreds of thousands of Romanian soldiers died fighting with the German Army at such places as Stalingrad, and later with the Red Army in the Balkans and Germany. Gore's confidence in his future belies the tragedy of a country that seemed to have no future.

Eliade believed that "the cause or pretext of the cataclysm is found in man's decision to 'make history'" (Eliade 1977: 145), and thus live in profane time. The collective suffering of Romanians, however, would bring about their spiritual rebirth:

> [I]f we succeed in experiencing, taking upon ourselves, or imposing a value on the terror, the despair, the depression, the apparent absence of meaning in history, as so many initiatory trials – then all these crises and tortures will take on a meaning, will acquire a value, and the despair of the universe-as-concentration-camp will be spared us. We will find a way out. (Eliade 1977: 86)

Eliade's story is such an escape from spiritual prison, like this untitled poem by Ted Hughes, in which divine revelation dissolves profane time:

> Each new moment my eyes
> Open to the candidate
> For being –
>   but my brain closes
> Exhausted, staled and appalled
> But beyond that something opens
> Arms
>   like a host who has been
> Watching the clock to the point
> Of despair
>   and like a swan launching
> Into misty sunrise –
> Convulsion of wings, snake-headed
> Uncoilings, conflagration of waters
>   (Hughes 2005: 565)

Citing the humanist value of Eliade's fiction, Norman Manea notes "the stimulating and mysterious ambiguity of his prose, his magical fantasy, his enigmatic, codified reality, the free play and dreamy compassion of his writing" (Manea 1992: 110). Eliade paradoxically unveils the sacred through mystery, affirming the truth of Pascal's observation that "without the mystery, the most incomprehensible of all, we are incomprehensible to ourselves" (Simic 2000: 166). At a time when global warming menaces our lives and imperial pillage continues apace, as ominous, corporate-induced logic pervades our existence and we look at the clock in despair, we need writing such as Eliade's to rediscover the sacred time of mystics and prophets. Another world is possible.

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Ohne Erinnerung keine Gegenwart.
Gertrud Leutenegger: *Pomona* (2004)[1]

EVE PORMEISTER

Nach einigem Herumirren im Zürcher Stadtteil Enge an einem
sonnigen Junitag 2002 gelange ich schließlich zum heutigen Domizil
von Gertrud Leutenegger. Meine langjährige Bekanntschaft mit der
Deutschschweizer Autorin erspart mir nicht das pochende Herz bei
der Betätigung der Türklingel und während der kurzen Wartezeit. Es
sind immerhin acht Jahre seit unserer ersten Begegnung in Rovio im
Tessin verflossen. Vor etwa zwei Jahren bezog Gertrud Leutenegger
mit ihrer Tochter dieses über dreißig Jahre alte Haus in unmittelbarer
Nähe des Zürichsees. Und nun steht sie vor mir, strahlend über das
ganze Gesicht, dem nichts von den in den letzten Jahren erlebten
betrüblichen Erlebnissen und von der bösen Krankheit anzumerken
ist.

Zunächst werde ich für eine Weile allein zurückgelassen, sie habe in
der Stadt noch etwas für ihre Tochter zu erledigen. Ich stehe
mutterseelenallein in der Wohnung einer Frau, die mit ihrem
Debütroman *Vorabend* (1975) zur literarischen Kronzeugin der Auf-

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[1]   Der vorliegende, für diese Ausgabe erweiterte und bearbeitete Aufsatz
wurde am 29. August 2008 auf der Konferenz *Grenzüberschreitendes auto-
biographisches Schreiben* (Abschlusskonferenz zum Thema *Autobio-
graphisches Schreiben in der deutschsprachigen Gegenwartsliteratur*) in
Bergen vorgetragen.
   Als Ausgangstext dient mein Aufsatz *Mit Müttern und Äpfeln durch die
Zeiten. Gertrud Leutenegger: Pomona (2004)* in: Eve Pormeister/Hans
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und Durchbruchsjahre der schreibenden Frauen (vgl. von Matt 1998: 29)[2] ernannt wird; einer Frau, die Anfang Dezember 2008 ihren 60. Geburtstag feierte. Mein neugieriger Blick wandert behutsam in den Zimmern herum. Ihr letztes Buch *Sphärenklang*, ein dramatisches Poem über das brüchige Verhältnis mit der Umwelt und das dramatische Scheitern einer Beziehung, ist bereits 1999 erschienen. Ob die Autorin, welche die moderne Befindlichkeit des Subjekts in lyrisch anmutender Schreibweise bewusst macht und die Identitäts-suche der Frau in den Mittelpunkt rückt, vielleicht mit ihrem nächsten Buch ein neues Terrain erschließen wird, soll zunächst ein Geheimnis bleiben. Die große Schreibmaschine – eine schwarze „Hermes" (?) – steht noch zugedeckt auf dem rechten Flügel des Arbeitstisches. Es werden erst Vorkehrungen getroffen: Gedanken und Puzzleteile gesammelt. Auf dem riesengroßen schwarzen Schreibtisch am Fenster zum Zürichsee liegen der erste Band einer Nietzsche-Ausgabe und Marianne Beucherts *Symbolik der Pflanzen*.

Mittlerweile weiß ich nun, dass dieser „schwelende Konflikt" (Bucheli 1998: 45) in *Sphärenklang* unbewältigt geblieben ist. Ich weiß auch, dass ich mich damals schon zwischen Anfang und Ende des im Frühjahr 2004 erscheinenden Romans *Pomona* und des im September 2004 veröffentlichten Prosastücks *Peregrina* aus dem Band *Gleich nach dem Gotthard kommt der Mailänder Dom* (2006)[3] befand. Ich befand mich in einer fernen Stadt, in die die Ich-Erzählerin von *Pomona* mit ihrer Tochter ziehen wird; in einen Ort, von dem aus die Erinnerungsprozesse dieses Buches in Gang gesetzt werden. Vor allem das Händchen des Kindes aus den Schlussworten des „ER" in *Sphärenklang* – „Die Tür öffnet sich! Da; im dunklen Spalt: ein Händchen!" (Leutenegger 1999: 65) – scheint die Autorin

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[2]   Als zweite Kronzeugin wird die Schriftstellerin Erica Pedretti (geb. 1930) herbeigerufen.

[3]   Beide Texte scheinen mir zusammen mit dem *Sphärenklang* einen Zyklus zu bilden. *Peregrina* könnte als Bindeglied zu dem Roman *Pomona*, oder auch als Ausklang für beide Texte, gesehen werden. Der Roman *Pomona* ist das realistischste Buch, das Gertrud Leutenegger bisher geschrieben hat. Er kann auch als der sog. positive Beleg dafür gelten, „wie sehr die poetisierende Sprache der Autorin die Reibung an äußerer Welt benötigt, um sich nicht ins Narzistische und Preziöse zu verlieren", was Klaus Pezold (2007: 375) dem Roman *Gouverneur* (1981) in gewisser Weise zum Vorwurf macht.

veranlasst zu haben, sich in den Traum- und Erinnerungsraum zu der Mutter in ihrer Apfelwelt zu begeben, durch die Zeiten hindurch und über die Zeiten hinaus. Es ist das Händchen, das die drei Generationen durch das individuelle Muttergedächtnis[4] und durch das kollektive weibliche Körpergedächtnis verbindet:

> ... aber plötzlich wendest du den Kopf und blickst mich über die Schulter an, *es ist der Blick meiner Mutter*, die sich umdreht während des Apfelreigens, [...] im Blick *dasselbe wortlose Wissen wie jetzt in deinen Augen, als wäre ich nur dazu auf der Welt, damit es von meiner Mutter auf dich überspringe*, und als wäre überhaupt ihr Tod gänzlich unannehmbar, blitzte nicht in der kurzen Umdrehung deines Kopfs, dem über die Schulter zurückgeworfenen Blick *der Traum* wieder auf, *den sie als einziger Mensch von mir gehabt hatte*.[5]

Es ist das Händchen, das in der Eröffnungsszene des Romans *Pomona* indirekt erneut angesprochen wird, als die Ich-Erzählerin an einem wolkenlosen Sommertag nach dem endgültigen Abbruch der Beziehung zu ihrem trunksüchtigen Mann Orion zum letzten Mal in ihrer ausgeräumten Wohnung in einem Tessiner Dorf herumblickt und auf der weißgekalkten Wand ein kariertes Zettelchen sieht. Das Händchen des Kindes – hier mit „Du" angesprochen – war es, das dieses einst über seinen Verkaufsstand gehängt hatte, es jedoch „in der bedrohlichen Hast des Umzugs" (POM 7) vergessen hatte abzuhängen: *torta panna castagne*. Da fasst die Ich-Erzählerin den Entschluss, ihrer bereits in der fernen Stadt (vgl. POM 7, 175) weilenden Tochter diese Torte „in irgendeiner Form" (POM 7) zurückzugeben, um deren sowie die eigenen Schmerzen zu lindern.

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[4]   „Ich entdecke manchmal, dass ich gewisse Gesten genau wie meine Mutter ausführe, und zwar so stark, fast schockhaft, als lebte sie in mir weiter. Das ist mein Muttergedächtnis. Aber ich habe sicher auch noch das Gedächtnis eines Tieres, eines Bergs, oder eines Strauchs" – erklärt Gertrud Leutenegger (zit. nach Pormeister 2003b: 818).

[5]   Gertrud Leutenegger (2004: 63f.). Im Weiteren sind alle Zitate und Vergleiche mit dem Kürzel POM und der Seitenzahl im Fließtext eingeklammert wiedergegeben. Alle im Weiteren kursivierten Textstellen in den Zitaten sind meine Hervorhebungen.

Aus ihnen will sie durch die poetischen Kräfte der Sprache ein Fest machen, zumindest im poetischen Wort und Gefühl für die Tochter „Herkunft, Kindheit und Sprache" (POM 8) bewahren und ihr erklären, warum sie so gehandelt hat. Nährend soll die Torte sein, „wie nur eine Traumspeise es sein kann" (POM 139).

Darum lässt Gertrud Leutenegger die Ich-Erzählerin nochmals zu einer Erlebenden und zugleich zu einer Beobachterin werden, lässt sie auf die abgeschlossenen Ereignisse zurückblicken, körperlich eingeschriebene sinnliche Erfahrungen aus ihrem sowie anderer Unbewussten hervorholen. Erinnerungen steigen in der Erzählerin auf: an die fast geheimnisvoll und mystisch anmutende Mutter – die *Apfel-Göttin* –, die zur Spenderin und Bewahrerin des Lebens, zur nahezu *Großen Mutter* schlechthin emporstilisiert wird; an die Apfellieferantin Clara – die Patronin der Äpfel und der Apfel-Göttin; an die zurückliegenden Erlebnisse und Emotionen aus der eigenen Kindheit in der Innerschweiz und an die ihrer Tochter in einem Tessiner Dorf sowie an dessen Geschichten. Zum Auslösen und Zusammenhalten von Erinnerungsfetzen, von Träumen, Assoziationen, Wahrnehmungen und Wirklichkeiten lässt die Autorin die Ich-Erzählerin Äpfel verschiedenster Art und verschiedenster sinnbildlicher Bedeutungen ins Rollen bringen: Äpfel aus der Mythologie und der Bibel, aus der Märchenwelt und den irdischen Gärten; Äpfel in ihrer ganzen Polarität – in ihrer kraftverleihenden und kraftverzehrenden Wirkung; Äpfel, die gleich anderen im Buch verwendeten Früchten, Pflanzen und Blumen als symbolische Zeichen bzw. metaphorische Sinnträger einen andersartigen Zugang zur äußeren und inneren Welt aller Lebewesen eröffnen; Äpfel, die symbolisch-poetisch Geschichten zwischen den Generationen und zugleich symbolisch das Muttergedächtnis sowie das kollektive Gedächtnis und das kollektive Unbewusste vermitteln; und schließlich Äpfel, die eine Personen und Zustände charakterisierende Funktion übernehmen und als „gedächtnisöffnendes" (Rike Felka 2004)[6] und

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[6]   Kennzeichnend für Gertrud Leuteneggers Erzählverfahren ist, dass sie auf ein Ereignis hin, auf einen Augenblick – „ein Verlagern jedes Augenblicks" (Leutenegger 2006: 46) – hin erzählt, in dem alles näher rückt und eine neue Bedeutung erhält. Ein Gegenstand oder eine Gestalt oder ein Augenblick weckt Gedanken und Erinnerungen an andere Gegenstände, Gestalten, Augenblicke, Situationen und Erlebnisse, Emotionen und

konfliktlösendes bzw. erlösendes Spezifikum durch die Göttin der Baumfrüchte – die Apfel-Mutter *Pomona* – dem Buch auch den Titel geben.

Mit den Äpflen greift Gertrud Leutenegger zugleich offenbar ein altes Erzählmotiv auf. „Wohin rollst du, Äpfelchen ...“[7] – fragt beispielsweise Leo Perutz 1928. Und im russichen Volksmärchen rollt das Äpfelchen auf dem silbernen Tellerchen und zeigt, was man sich wünscht: „Rolle, rolle das Äpfelchen auf dem silbernen Tellerchen, zeig mir [...]“ (*DAS ÄPFELCHEN*... 2008).

Auch in „Pomona“ rollen die Äpfel. Auf dem von der Mutter geerbten Ölbild mit der Heiligen Familie auf der Flucht nach Ägypten, das die Ich-Erzählerin am Fronleichnamstag an die Mauer stellt (vgl. POM 26) und dann in der Erinnerung an eine Kabinett-ssitzung[8] der Mutter mit Klara betrachtet (vgl. POM 95), beginnt der kleine rotbraune Apfel (vgl. POM 26, 95–97, 173) immer auffallender zu rollen: „... der Apfel auf dem Ölbild rollt und rollt [...]“ (POM 95). Die Ich-Erzählerin weiß das, und sie weiß auch, dass die inzwischen gestorbene Mutter unterwegs zu ihr und zu ihrer Tochter ist. (Vgl. POM 65) Sie weiß dies durch die geheimnisvolle Beziehung zu ihrer Katze, die „an einer jenseitigen Welt“ (POM 74) teilzuhaben scheint. Und als die Mutter gegen Schluss der Erzählung zum letzten Mal „aus einem schwach erleuchteten Keller“ erscheint, rollt der Boskoop, dieser *Fluchtapfel aus dem Ölbild mit der Pyramide*, in die Hand der Tochter. Mit ihm gibt die Mutter ihrer Tochter und ihrer Enkelin ihren Segen zum unverzüglichen, fluchtartigen[9] Aufbruch:

Gefühle. Wie der weiße Ball aus der Geschichte *Luftbild*, der „die ihn überdeckenden Ereignisse“ (ib. 33) durchstrahlt und der „zur Grundierung, zur Vorbedingung für einen anderen Gegenstand“ (ib. 34f.), für das weiße Tor, wird; oder wie die junge Schwarze für Peregrina (alias Maria Meyer) aus Eduard Mörikes Peregrina-Zyklus und für das eigene Geschick der Ich-Erzählerin.

[7]   Diesen Titel trägt auch der Roman von Leo Perutz, der 1928 in Fortsetzungen in der *Berliner Illustrierten Zeitung* erschien.

[8]   So werden die Zusammenkünfte der beiden apfelkundigen Frauen genannt.

[9]   Vgl. dazu: „in der bedrohlichen Hast des Umzugs“ (POM 7) – „die meinen hastigen bedrohten Umzug beendigten“ (POM 97).

> ... meine Mutter wendet sich von den Apfelhurden ab und streckt mir, als sie mich auf der Schwelle erblickt, einen Apfel entgegen. Doch warum ist es keine Berner Rose? Es ist ein kleiner, braunrot verwaschener Apfel, mit stumpfem Glanz, die Haut bei der Stielgrube schon etwas lederig, es ist ein Boskoop, der *Fluchtapfel auf dem Ölbild mit der Pyramide*, meine Mutter streift ihn ein letztes Mal an ihrem Kleid ab, dann schaut sie mich an mit einer Dringlichkeit, als wäre die Zeit ihres Verweilens dramatisch knapp. (POM 173)

Die Äpfel rollen zwischen Leben und Tod, zwischen (unter-) irdischen und himmlischen Sphären: von den astronomischen Weiten[10] bis hinab in die unterirdischen Tiefen, ganz nahe zur *Mutter Erde*: vom Keller mit den Apfelhurden und den Todesanzeigen aus Zeitungen über die Friedhofs- und Beinhausbesuche bis zum Bereich der Toten.

Wie in anderen Geschichten Gertrud Leuteneggers ist der Tod auch in *Pomona* allgegenwärtig. Durch metaphorische und symbolische Bilder und durch erzählte tatsächliche oder fiktive Ereignisse führt die Autorin uns bis an die Grenze unseres Daseins. Erst im Lichte des Todes und durch dessen Bejahung scheint der Mensch imstande zu sein, seine eigene Wahrheit zu erkennen, wie dies beispielsweise auch die österreichische Schriftstellerin Elisabeth Reichart (2005: 365) betont: „Nur der Tod verändert uns, niemals das Leben." Erst nachdem der Mensch begriffen und verinnerlicht hat, dass unser Dasein, wie Martin Heidegger zeigt, ein „Sein zum Tode" und das „Sein zum Tode" ein „Sein zum Ende" ist, dies jedoch nicht im destruktiven, sondern im konstitutiven Sinne. Denn wie Heidegger erklärt: „Das Dasein versteht sich selbst immer aus seiner Existenz, einer Möglichkeit seiner selbst, es selbst oder nicht es selbst zu sein."[11] Dieses ständige Bewegen auf den eigenen Tod

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[10] Siehe dazu den in „seine astralen Affären" (POM 50) verwickelten und in den Weltraum hinausstrebenden Orion (vgl. POM 141), den epileptischen Jungen Sirio, die „kleine Plejade" (POM 52) bzw. „mein Siebengestirn" (ib.), wie die Tochter genannt wird, sowie die Früchtegöttin Pomona.

[11] In der Passage über das „Dasein" beziehe ich mich auf: Martin Heidegger (2008), *DASEIN* (2008), Eduard Parhomenko (2008: 11), Achim

zu bzw. auf das eigene Ende als Seinsmöglichkeit[12], sollte der Existenz, dem Leben den Sinn geben, Möglichkeiten für die Selbstsetzung des Ich schaffen.

> Weil der Tod in uns und auf uns wartet, existieren wir als Sein zum Tode. Das Bewusstsein unserer eigenen Sterblichkeit ermöglicht uns einen achtsamen Umgang mit dem Tod. Das klingt zunächst paradox. Die äußerste Daseinsmöglichkeit des Nicht-mehr-dasein-könnens steht in unsere Existenz hinein und bestimmt unser Verhältnis zum Leben und zu allem Lebendigen. Achtsamer Umgang mit dem Tod bedeutet demnach nicht so etwas wie eine Verehrung des Todes oder eine besonders bewusste Wahrnehmung seines schleichenden Sich-Näherns. Im Gegenteil: der achtsame Umgang achtet auf das Lebendige in uns und außer uns. (Burger 2004: 39)

Diese Grenzerfahrung und dieses Spannungsverhältnis, „das Widerspiel des Unmöglichen mit dem Möglichen" (Bachmann 1987: 565), das Bejahen des selbstverantworteten Daseins und das Bejahen des Todes und nicht seine Vergessenheit oder Verdrängung, der „achtsame Umgang" mit ihm erweitern mithin unsere Möglichkeiten, auch unsere Wahrnehmungsmöglichkeiten[13]. Genau solche Grenzfälle bzw. Grenzsituationen und Grenzerfahrungen zwischen Liebe und Zusammenleben, zwischen dem Überleben und Nichtüberleben,

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Hoffmann (2002). Martin Heidegger spricht dabei allerdings von einer (ungefragten) „Geworfenheit" des Menschen in die Welt, ins Dasein, von *„ein Da sein zu müssen"* als einer (konstitutiven) Tatsache. Das Dasein sei aber nicht nur durch seine ungefragte Geworfenheit (Faktizität) gekennzeichnet, sondern es habe zudem auch Entwurf-Charakter (Existenzialität), der das *„Da-sein können"* ausdrücke.

[12] Martin Heidegger: „Der Tod ist eine Seinsmöglichkeit, die je das Dasein selbst zu übernehmen hat. Mit dem Tod steht sich das Dasein selbst in seinem *eigensten* Seinkönnen bevor. In dieser Möglichkeit geht es dem Dasein um sein In-der-Welt-sein schlechthin." (Zit. nach *APROPOS*...)

[13] „Seit jenem Wintermorgen war die Tür zu einer anderen Wirklichkeit aufgerissen, [...]" (Leutenegger 2006: 64). Dies erfährt die Ich-Erzählerin aus der Geschichte *Peregrina*, als ihr Vater aufhörte zu atmen.

zwischen Liebe und Tod,[14] zwischen Leben und Tod scheinen Gertrud Leutenegger immer beschäftigt zu haben. Die „nicht abreißende Zwiesprache mit dem Unmöglichen, ein Aushalten von Gegensätzen" (zit. nach Pormeister 2003b: 818) erweist sich von Anbeginn an als genuines und konstituierendes Merkmal ihres Schreibens. Auch die endgültige Entscheidung der Ich-Erzählerin zum Abbruch der ehelichen Beziehungen kommt über die (symbolische) Verschränkung von Tod und Leben zustande: einerseits der kleine Friedhof und die Erinnerung an den Tod des achtzehnjährigen Ernesto Lupi, der vom Blitz getroffen wurde (vgl. POM 169); andererseits die Schlussworte des Buches „weil ich, mit dir zusammen, lebendig bleiben wollte" (POM 175). Aber auch die doppeldeutige Bedeutung des Durchschneidens der Nabelschnur spielt auf dieses „Stirb und Werde" (Goethe 1994b: 19) an.

In dieser „nichtabreißenden Zwiesprache" und im Spannungsverhältnis tritt die Autorin zugleich aus dem Individuellen heraus. Das vollzieht sich mit der Unterbreitung von weiblichen Identifiaktionsangeboten, mit der Verwendung von archetypischen Motiven bzw. Themen wie Leben und Tod, Liebe und Trennungsschmerz, Selbsterkenntnis und Selbstwerdung, aber auch mit der Heraufbeschwörung von Mythen und der Verflechtung von autobiographischen und archetypischen Erfahrungen und Bildern. Zugleich eröffnet sie den Eingang zum kollektiven Unbewussten und bringt zum Ausdruck, dass das individuelle Bewusstsein und das kollektive und kulturelle Bewusstsein in einem reziproken Verhältnis zueinander stehen; dass sich das kollektive und kulturelle Gedächtnis auf der individuellen Ebene, in den individuellen Gedächtnissen verwirklicht und offenbart. Wie Ansgar Nünning (2007: 46f.) in Anlehnung an Maurice Halbwachs versichert, sind Erinnerungen stets eingebettet „in ein kollektives Gedächtnis, welches durch soziale Rahmen, *les cadres sociaux*, geprägt ist. [...] ohne sozialen Kontakt, ohne intersubjektiven Bezugsrahmen, ohne eine wie auch immer

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[14] Erst durch den Verlust der Liebe (ein Abschied ist ebenso wie Sterben), insbesondere durch den Tod des geliebten Menschen werden wir Lebenden uns der Unumgänglichkeit des Todes und unserer Sterblichkeit bewusst. „Die Liebe, sagt man, steht am Pfahl gebunden,/Geht endlich arm, zerrüttet, unbeschuht" (ib. 61). Die Ich-Erzählerin der *Peregrina*-Geschichte zitiert die Verse aus dem Peregrina-Zyklus von Eduard Mörike.

geartete Kommunikationssituation" seien Erinnerungen nicht möglich.

Sucht man nach den autobiographischen Zügen, dann sind sie durchaus nicht zu verleugnen, denn schließlich bilden autobiographische Erfahrungen die Grundlage jeder Form des Schreibens. Andererseits ist nicht darüber hinwegzusehen, dass die Fiktion in diesem Roman erheblich größeres Gewicht erhält als die Autobiographie. Und letzten Endes bleibt es der Leserin/dem Leser selbst überlassen, den autobiographischen Pakt zu schließen oder nicht. Auf die biographischen Elemente wird hier nicht um des Autobiographischen willen zurückgegriffen, es ist vielmehr als Auslöser und Anlass eines künstlerischen Textes zu verstehen,[15] dessen stärkste Absicht es ist, zu wirken. Alles in einem handelt es sich bei Gertrud Leuteneggers *Pomona* vielmehr um das Autobiographische in einer Fiktion und um das Fiktive im Autobiographischen – um eine *Autofiktion*. Und gerade die Autofiktion sei, wie Christian Benne (2007: 302f.) erklärt, dasjenige Genre, „das am konsequentesten versucht, die inidviduelle in die kollektive Erinnerung zu übersetzen, sei sie auch so ephemer wie eine Seifenblase. [...] Allein die Autofiktion macht daraus ein poetologisches Prinzip und eine besondere *Form* des Erinnerns". Aufschluss über die Fiktionalität in *Pomona* ist nicht allein in der bzw. durch die Sprache oder in der Struktur zu suchen, die unabdingbare Voraussetzung der Fiktionalisierung eines (nicht nur) narrativen Textes liegt grundsätzlich vor allem im Erinnern selbst. Was behält man aber von dem Vergangenen, z.B. von der Kindheit? Gertrud Leutenegger kommentiert:

> Am Ende behält man wenig von einer Kindheit; einen Geruch, eine Lichtstimmung, eine Geste. Alles andere ist zum Stoff geworden, aus dem wir atmen, handeln, vergessen. (POM 9f.)

Genau dies bildet die poetologisch-ästhetische Ausgangsposition, aus der heraus die Erzählerin und ihre Tochter atmen, handeln und vergessen, Gerüche, Stimmungen und Gesten lebendig werden lassen, die Gefühle und Gedanken an die Orte und Räume wecken, welche Erinnerungen konservieren oder auch archivieren. Gerade die sinnlich wahrnehmbaren Erfahrungen, Ereignisse und Eindrücke

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[15] Vgl. dazu auch Martina Wagner-Egelhaaf (2006: 361, 364).

scheinen für Gertrud Leutenegger die Auslöser des Erinnerungsvorgangs und der inneren Handlung zu sein. Sie sind für die Sinnfindung etnscheidend, aber auch für das Vergessen. „Also: es ist möglich, fast ohne Erinnerung zu leben, ja glücklich zu leben, wie das Thier zeigt; es ist aber ganz und gar unmöglich, ohne Vergessen überhaupt zu leben" – glaubt Friedrich Nietzsche (1988: 250). Tatsächlich nur „fast", doch, wie zu zeigen sein wird, nicht ganz. Dass ohne Vergessen oder ohne Unterdrücken und Verdrängen bestimmter Erlebnisse und Gefühle (Weiter-)Leben unmöglich ist, zuviel Erinnern aber Schmerz bringt, dessen ist sich die Autorin durchaus bewusst. Dennoch lässt sie die Erzählerin den Versuch wagen, auch aus den schmerzhaften Erinnerungen ein Fest zu machen.

Sie wirken *beinahe* echt, die Erinnerungen bzw. Erinnerungs-*fetzen* oder Augenblicke mit den dazwischen liegenden Zeitlücken oder Momentaufnahmen, oft vergleichbar mit Fotos im Fotoalbum. Und doch stoßen wir, wie eine andere Schweizer Schriftstellerin, Christina Viragh (1997: 115), auf der metatextuellen Ebene in ihrem Roman *Mutters Buch* andeutet, im Erinnern beim „Ineinander-Übertreten zweier Zustände, die es nur im jeweiligen Rückblick aufeinander gibt", auf eine unüberwindbare Schwierigkeit: auf die Unmöglichkeit einer Gleichzeitigkeit von genauer Erinnerung und präziser Gegenwart. Eine platte Abbildung von (autobiographischen) Erinnerungen, eine genaue Wiederholung[16] bzw. das genaue Wieder-Holen von Erlebnissen erweist sich als unmöglich und die Zwangsläufigkeit des Konstruierens[17] – jedenfalls bei jetzigem Entwicklungs- und Kenntnisstand – als nicht behebbar. Der/Die Erinnernde, der/die das, was war, aus der Zeit des Erinnerten ins Jetzt hinüberholt bzw. wieder-holt, es versprachlicht und in Schrift übersetzt, *muss* in der und durch die Sprache umgestalten, verschieben, konstruieren, imaginieren und erfinden, oder auch das Vergangene ergänzen und vollenden.[18] Die (autobiographischen) Erinnerungen werden aber nicht nur von Fiktionen abhängig gemacht, hinzu kommen noch die

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[16] Siehe dazu Eve Pormeister (2008: 186) Anm. 43.
[17] In den konstruktivistischen Gedächtnis- und Erinnerungstheorien vertritt man heute die Ansicht, dass „die Gedächtnistätigkeit nicht mehr als Aufbewahrungs-, sondern als *Konstruktions*arbeit" (Siegfrid J. Schmidt; zit. nach Ansgar Nünning (2007: 50)) zu verstehen ist.
[18] Vgl. dazu auch Christoph Parry (2006: 284).

soziale Bedingtheit bzw. die unmittelbare soziale Umgebung, die Affekte, Motive und der psychische Zustand des/der Erinnernden im Erinnerungsmoment: etwa eine verstärkte oder verminderte Wahrnehmung, ein verschärftes soziologisches Problembewusstsein, eine momentane Stimmung. „Jeweils aktuelle Affekte und Motive sind die Wächter über Erinnern und Vergessen. Sie entscheiden, welche Erinnerungen dem Individuum zu einem gegenwärtigen Zeitpunkt zugänglich sind und welche unverfügbar bleiben." (Assmann 1999: 64) Somit wird der/die Erinnernde auf die Grenzen der Erinnerung: auf die Willkür, das Vage, das Offene und das Ungesicherte u.Ä. hingewiesen. Am erfinderischsten und spekulativsten muss es aber wohl dort zugehen, wo im Erinnern Erinnerung an Erinnerung stattfindet. In *Pomona* wird zwar versucht, durch die Gattungsvorgabe *Roman* Grenzen und Rahmen und das Bruchstückhafte der Erinnerung zu durchbrechen, doch andererseits werden die (konventionellen) gattungsgemäßen Erwartungshaltungen durch den Verzicht auf lineares Erzählen aufgehoben. Überdies wird der Rekonstruktionswunsch jederzeit durch den Konstruktionszwang und den daraus folgenden oder auch willentlichen Wunsch nach dem Fiktionalisieren und Poetisieren durchkreuzt.

Gertrud Leuteneggers *Pomona* erzählt also keine lineare Geschichte, da sich eine kontinuierliche Geschichte in Erinnerungsprozessen als schwer realisierbar erweist. „Der Erinnerungsfundus steht immer nur in Ausschnitten zur Verfügung; das macht die grundsätzliche Beschränktheit, aber auch die Wandlungsfähigkeit und Lernfähigkeit des Menschen aus." (Assmann 1999: 64) Das Fragment bzw. das Fragmentarische erweist sich mithin als eine unentbehrliche Begleiterscheinung des Erinnerungsmodus. Wie gesagt, eine Erinnerung kann nie ganz genau in das Jetzt zurückgeholt werden. Durch das Fragmentarische, das als „Aufbruch ins Offene" aufgefasst werden kann und das sich „gegen jede formalistische oder akademische Erstarrung, gegen Erfahrungsmuster und Nivellierung von Sprache, gegen Schema, Regel und Dekoration" (Meckel 1978: 10) wendet, scheint Gertrud Leutenegger obendrein ihren Unwillen gegen jegliche Konstruktionen als Ausdruck des Logozentrismus zu äußern. Es sollen „keine pfeilgenau umschlossenen, schlagenden Geschichten" (Leutenegger 1975: 23) erzählt werden, kündet bereits die Ich-Erzählerin aus ihrem Debütroman *Vorabend* an:

> Unsere Geschichten sind angeknabbert, größere Rän-
> der werden hinter und über ihnen sichtbar, verfransen
> sich wieder. Wer hält noch eine kurze runde Ge-
> schichte in seinen Gedanken fest und sie zerrinnt ihm
> nicht wie Tinte in der Gehirnflüssigkeit, zerfließt zu
> tausend Schlenkern, versickert in den Gehirnwin-
> dungen, die Gehirnwindungen zählen, und die längere
> und schwierigere Geschichte ihrer Verformungen (Ib.)

Das Diffuse sei „schon auch eine Auflehnung von mir, ich habe mich immer ein wenig gegen die Sachlichkeit und Realitätsbezogenheit eines Großteils der Deutschschweizer Literatur gesträubt" (zit. nach Rüedi 1975: 27). Oszillieren zwischen Zeitebenen und Personen, Assoziationsketten, Aufbrechen der Chronologie, Rückblenden und Einschübe sollen Bewegungsfreiheit und Möglichkeitsräume in das Erzählen bringen sowie neue Denkräume erschließen. Die Sprache soll nichts bestimmen, begrenzen, definieren, in Erstarrung ver-setzen, „sie soll [...] Leben ausdrücken statt beschreiben" (Osinski 1998: 61)[19]. Und das sei nur in Fragmenten möglich, denn sie lassen Zwischenräume. Andererseits scheint genau die Fragmentarisierung bei Gertrud Leutenegger Anlass dazu zu werden, mithilfe von bestimmten strukturellen, sprachlichen und musikalischen Mitteln aus den Erinnerungs- und Wirklichkeitsfetzen bzw. Wirklichkeiten eine geordnete Verknüpfung, ein Ganzes zu komponieren: In einer durchdachten musikalischen[20] und strukturellen Komposition werden die Erinnerungs- und Wirklichkeitsfetzen bzw. Wirklichkeiten zu einem Ganzen, zu einem poetischen Gewebe zwischen persönlicher Geschichte und kollektivem Bewusstsein verwoben. Sie werden gewoben aus bestimmten Themen und aufeinander bezogenen Motiven bzw. Leitmotiven[21] und Symbolen, die durch ihre bildliche Energie neue Sinnbildungen oder vergessene sinnliche Wahrneh-mungen und Wirklichkeiten im Unbewussten freisetzen, andere Wirklichkeiten entwickeln und „erstarrte Verhältnisse" (Leutenegger 1975: 65) unseres Alltags sprengen.

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[19] Jutta Osinski (1998: 61) kommentiert mit diesen Worten *Les Guérillères* der französischen Schriftstellerin und Feministin Monique Wittig.
[20] Siehe dazu Charles Linsmayer (2004: 11).
[21] Gemeint sind vor allem das Apfel-, Mutter-, Orion-, Sirius-, Todes- und Kastanientortenmotiv.

Das bruchstückhafte, fragmentarische Betrachten und Erzählen der Wirklichkeit scheint seit der zweiten Hälfte des 20. Jahrhunderts infolge und als Begleiterscheinung der rasanten wissenschaftlichen und technischen Entwicklung und des Verlustes der traditionellen Wirklichkeitskohärenz, des einheitlichen Welt- und Menschenbildes[22] geradezu „die Grundlage aller Verständigung, wie jeder Art des Nicht-Verständigen-Könnens" (Meckel 1978: 11) geworden zu sein.[23] Und tatsächlich erleben wir unsere Wirklichkeit zumeist nur in Bruchstücken. Gar ein existenzielles Prinzip sieht im Fragment der österreichische Autor Thomas Bernhard:[24] „Die höchste Lust haben wir ja an den Fragmenten, wie wir am Leben ja auch dann die höchste Lust empfinden, wenn wir es als Fragment betrachten, und wie grauenhaft ist das Ganze und ist uns im Grunde das fertige Volkommene." (Zit. nach DIE TEILE... 2008)

Der Prozess der Poetisierung und Fiktionalisierung wird in *Pomona* begleitet durch die aktive Suche nach der authentischen eigenen Wahrheit. Gerade das Abrufen von Erinnerungen, die Wiederholung bzw. das Wieder-Holen des Gewesenen und Erlebten im Augenblick des Erinnerns eröffnet neue Möglichkeiten für das Herausfinden dieser Wahrheit, weil der Prozess des Erinnerns durch den zeitlichen Abstand zum Erinnerten zwangsläufig zu einer Differenz und dadurch zum Anderen führt. Beginnt doch das Andere „in der Wiederholung und folgt der Wahrnehmung von Differenz" (Strunk 2008). Wie auch Aleida Assmann (1999: 106) in Anlehnung an Sigmund Freud vermerkt, ist Erinnern „kein passiver Reflex der Wiederherstellung, sondern der produktive Akt einer neuen Wahrnehmung". Gibt es aber überhaupt eine spezifische „Wahrheit", eine „objektive Wahrheit" von Erinnerung und Gedächtnis? Muss die Wahrheit der geschriebenen Erinnerung, wie die deutsch-rumänische Schriftstellerin Herta Müller (1996: 21) zusammen mit dem spanischen Schriftsteller Jorge Semprún glaubt, nicht vielmehr erfunden werden? Konstruktivistische Gedächtnis- und Erinnerungs-

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[22]   Hugo von Hofmannsthal (1979: 465f.) spricht von gewaltigen Verlusten der „großen Einheit", Jean-François Lyotard vom „Ende der großen Erzählungen" (zit. nach Lars Klein (2004)).

[23]   Hierbei sei daran erinnert, dass in der Frühromantik Fragment als ästhetisches Verfahren, als Erzähltechnik diente.

[24]   Er thematisiert dies in dem Roman *Alte Meister* (1985).

theorien negieren, wie Ansgar Nünning (2007: 49) aufzeigt, die mimetische Qualität von Erinnerungen und legen die Grenzen der Erinnerung im Gegensatz zu Maurice Halbwachs viel grundsätzlicher frei. Dennoch glaube ich, dass eine gewisse mimetische Qualität den Erinnerungen, sowohl den geschriebenen als auch den mündlichen, nicht abzusprechen ist. Vielleicht wäre es tatsächlich sinnvoll, wie Ansgar Nünning (ib. 45) vorschlägt, zwischen einer „historischen Wahrheit", einer „narrativen Wahrheit" und jener „Wahrheit der Erinnerung" („memory's truth") zu unterscheiden. Allerdings müsste man sich dem Begriff „historische Wahrheit" mit gewisser Vorsicht nähern, denn die Geschichte als Historie – eigentlich Geschichten – wird auch geschrieben: schriftlich festgehalten als Ergebnis des historischen Diskurses, also eines narrativen Prozesses.[25] Bei der sprachlich-poetischen Aufarbeitung und Verarbeitung von Erinnerungen scheint es mir nicht so sehr auf die sog. objektive Wahrheit anzukommen, sondern vielmehr, wie dies die analytische Psychologie versteht, auf „die subjektiv erlebte ‚Passung' und ‚Stimmigkeit', die von einem anderen Standpunkt aus auch illusionär sein kann" (L. Müller/A. Müller 2003: 106). „Was wir Illusionen nennen, ist vielleicht eine seelische Tatsächlichkeit von überragender Bedeutung. Die Seele kümmert sich wahrscheinlich nicht um unsere Wirklichkeitskategorien. Für sie scheint in erster Linie wirklich zu sein, was wirkt." (Carl Gustav Jung)[26]

Als einer der wesentlichsten ästhetischen Grundsätze in diesem Prozess gilt das Sehend-Machen unserer Augen durch poetische Wahrheit. Gerade das gelingt Gertrud Leutenegger in *Pomona*, wie vorher z.B. in *Ninive*; *Lebewohl, Gute Reise* und *Meduse*, erneut meisterhaft. An der Vielfalt von Erinnerungsgeschichten, von intertextuellen Bezügen, von Emotionen und Farben, Gerüchen und Gesten demonstriert sie, wie sich Wahrheit als Poesie offenbart, wie unsere Augen durch poetische Wahrheit sehend gemacht werden können, etwa um die Schreie zu hören. – Schreie klingen durch viele Texte von Gertrud Leutenegger. – Aber auch, um den Schmerz und den Verlust, um den Tod der Mutter zu erfassen (vgl. POM 10, 40, 43,

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[25]   Siehe dazu auch Edgar Platen (2006: 293) und Beatrice Sandbergs 2008 erschienenen Aufsatz „Erzählte Vergangenheit in Geschichte und Literatur. Autobiographisches Schreiben und Historiographie".
[26]   Zitiert nach Lutz Müller/Anette Müller (2003: 106).

62, 110, 111, 156), insbesondere, wenn man nicht bei ihrem Sterben zugegen gewesen ist (vgl. POM 40, 10, 43, 110) wie die Ich-Erzählerin. Denn jetzt wüsste sie nicht, wie sie selber je ohne den Abschied von ihrer Mutter einmal zu sterben vermöchte (vgl. POM 110):

> ... voller Entzücken schautest du in den Himmel hinauf, aus dem unaufhörlich die Schneeflocken stöberten, während weit weg, in dem noch dunklen Zimmerwinkel, meine Mutter zu atmen aufhört, lautlos, ohne Kampf. *Aber ich bin nicht bei ihr gewesen*, ich habe sie nicht im Arm gehalten, so wie sie mich, als ich auf die Welt kam, seit dieser Morgenfrühe frißt ein Schmerz an mir, [...] (POM 40).

Rezeptionsästhetisch gesehen ist es mithin nicht minder entscheidend, dass die (re-)konstruierten Erinnerungen in *Pomona* durch Poetisierung und Fiktionalisierung zudem eine therapeutische, d.h. entlastende und befreiende Wirkung auszuüben vermögen – nicht allein auf die Ich-Figur, sondern gleichermaßen auf die Leserin und die Schriftstellerin selbst. So entfaltet sich aus der schmerzlichen Geschichte und einer Art „Generalbeichte" (Goethe 1994a: 588) ein Heilungsprozess. Denn wie Gertrud Leutenegger (vgl. Pormeister 2003b: 819) in einem Gespräch offenbart, schreibt sie, um aus ihren Schmerzen ein Fest zu machen.

Nur erinnernd, das Erlebte und das Erfahrene poetisch umgestaltend und sprachlich fiktionalisierend kann die Ich-Erzählerin von *Pomona*, aber auch die Autorin, zu ihrer eigenen Wahrheit und zu ihrem neuen Selbst gelangen und die Gegenwart bzw. das Leben wieder einfangen. Erst durch den komplexen Prozess des Erinnerns und dessen Narrativierung werden wir, wie Paul John Eakin (zit. nach Nünning 2007: 42f.) zu Recht annimmt, zu denjenigen, die wir zu sein glauben. Das Erinnern beruht auf den Geschichten jenes „Selbst", die wir gelernt haben zu erzählen: Das Wissen um sich selbst (Selbstbewusstsein), das unmittelbar an das Erinnern gekoppelt ist – der analytischen Psychologie zufolge an das explizite Erinnern[27] –, kann entsprechend erzählt werden. (Vgl. L. Müller/A.

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[27] „Explizites Erinnern meint das bewusste Wissen von etwas, z.B. von einem Lebensereignis, einer mathematischen Formel oder einem Ge-

Müller 2003: 105) Das geschieht, wie vermerkt, als Erinnerungs- und Gedächtnisleistung im Wechselbezug zur sozialen Umgebung und zur Erinnerungsumgebung und steht in Abhängigkeit vom Subjekt bzw. von der/dem Beobachtenden und von der jeweiligen Kultur. Gleichzeitig wird dabei die partielle Konstruierbarkeit, d.h. der Konstruktionscharakter des Erinnerns beachtet. Das Erinnern und das Gedächtnis unterstützen das Selbstbewusstsein, an sie ist die individuelle, aber auch die kollektive Identität gekoppelt, d.h. als die Selbst erlebte innere Einheit der Person ebenso wie die über-individuelle Einheit einer Gemeinschaft. Wie unsere Erinnerung ist auch unsere Identität sozialbedingt, kulturellbedingt und gegen-wartsbedingt, sie ist stets in Differenz zu den Anderen und zu dem Anderen zu verstehen und Veränderungen unterworfen. Sie ist nicht in unserer Eigenart begründet als etwas Vorbestimmtes oder Vorgegebenes, sie gilt vielmehr als etwas kulturell, sozial Kodiertes. Im Bildungsprozess von Identität, in dem unsere körperliche und narrative Handlungen und die sich verändernde soziale und kultu-relle Umgebung miteinander interagieren, geht es wie im Sprach-prozess zu: „Alles [...] läuft darauf hinaus, dass es in der Sprache nur Verschiedenheiten gibt" (Saussure 1967: 143). Die Bedeutung oder Signifikat (*signifié*) ist das Resultat seiner Verschiedenheit von anderen Zeichen, sie ist funktional und nicht irgendwie dem Zeichen als Signifikant (*signifiant*) immanent. Doch zugegeben, der struktura-listischen Sichtweise zufolge haben wir es hier mit einem starren und willkürlichen Verhältnis von *signifié* und *signifiant* zu tun, bei dem alle Elemente nach dem Muster des Kristallgitters organisiert sind. Die Poststrukturalisten hingegen haben nachgewiesen, dass Zeichen, da alle Wörter und alle Verbindungen von Wörtern letzten Endes tropischen Charakter haben, mehrdeutig sind und das Verhältnis von *signifié* und *signifiant* nicht arbiträr und ihre Beziehung nicht starr sein kann. Es ist verschiedenartigsten Differenzierungen, komplexen, widersprüchlichen, feinen Vieldeutigkeiten unterworfen. Wie die Stoffstreifen in einem Patchwork sind die einzelnen Elemente einander zugeordnet. Mit diesem Flickwerk, das von der Veränderbarkeit, von

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genstand (‚wissen, dass ...'). Implizites E. bezieht sich auf ein unbewusstes Wissen von etwas, etwa von Handlungsabläufen wie Schreiben, Sprechen oder Musizieren, die größtenteils ‚automatisch' ausgeführt werden." (L. Müller/A. Müller 2003: 105)

der Offenheit lebt, ist auch unsere Identität in vieler Hinsicht vergleichbar. Und solange wir atmen, feilen wir keinesfalls an einem Kristallgitter, sondern wir basteln und nähen an unserer Identität und der Gegenwart wie an einem Flickenteppich. Für das Herstellen dieses Teppichs sind aber unsere Erinnerungen unerlässlich. Und wie das *signifié* unter dem *signifiant* gleitet, *gleitet oft auch unsere Identität unter den Erinnerungen*, die neue Möglichkeiten für das Herausfinden unserer eigenen Wahrheit eröffnen. Von einem „Gleiten von Möglichkeiten" spricht auch Gertrud Leutenegger (2006: 46) in der Geschichte *Nippon, Grün und Schwarz* ihres vorletzten Buches. Nur durch die Erinnerungsarbeit kann die Ich-Erzählerin in *Pomona* sich selbst und ihre Tochter retten und beiden eine neue Lebenschance schenken. Ohne Erinnerung gibt es keine Gegenwart.

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The Space and Time of Daionjimae Childhood in Higuchi Ichiyō's *Takekurabe*

EVA REIN

"This frail young woman had cut a wide swath through Meiji letters. Her grasp of high Heian, her love of low Edo were almost legendary, but she was still sui generis" – these few and yet eloquent words borrowed from Robert Lyons Danly (1981: 162) characterise most aptly the essence of Higuchi Ichiyō's awesome ambition, formidable talent, and extraordinary achievement in the course of a life that remained so short (1872–1896), "a life that in its vicissitudes has become something of a symbol to the Japanese – of the old Buddhist belief in the vanity of all things, of the precariousness involved in passing from one age into another" (Danly 1981: vii). Higuchi's highly accomplished novella *Takekurabe* (1895–96)[1], rendered in English as *Child's Play* by Robert Danly[2] and *Growing Up* by Edward Seidensticker, and which literally might be translated as "Comparing heights," according to Fowler (2004: 136 n. 1) is a story set in Tokyo in the Meiji period (1868–1912). The two English translations of the title of the novella encapsulate its main themes. It is about play as an inseparable part of childhood as well as the inevitable end of a childhood – growing up.

The theme of childhood is quite recent in world literature. In one of his notes to his English translation of the Japanese scholar Maeda Ai's study of Higuchi's *Takekurabe*, Edward Fowler indicates an important difference between the rendering of growing up in

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Western and Japanese literature by quoting Donald Keene, according to whom in the former the emphasis tends to be on the first love while in the latter it is the child's loss of innocence that more often than not comes before the theme of nascent love (qtd. in Maeda 2004: 139 n. 34). This difference, as Fowler elaborates with a reference to Keene and Lafcadio Hearn, is related to the respective dissimilarity between the understanding and reality of childhood in the West and Japan – in the 19th century Western conception children were regarded as miniature adults with the subsequent imposition of restrictions on them from early on while a Japanese childhood was considerably freer at least until school age or even beyond (qtd. ib.). This definitely holds true of the children of Daionjimae in *Take-kurabe*. However, it should be noted that the West-East distinction becomes curiously blurred in the social and cultural context of the Meiji period, as it is illuminated by Maeda's fascinating insight into this time and especially the traffic of Western ideas to Japan, encouraged by the Meiji leadership (ib. 111). Samuel Smiles's *Self-Help* (1859), an immensely popular Victorian children's book aiming at the cultivation of English children according to the virtues and mores of the time, became available in the Japanese translation in 1870 as *Tales of Success in Western Nations* [*Saikoku risshi hen*] (ib.). Thus, both Victorian and Meiji children were exposed to the same book that was a bestseller in their respective countries and had a great influence on them with its emphasis on personal advancement [*risshin shusse*] (ib.). Higuchi's Daionjimae, though, remains quite untouched by these new ideas because the opportunities for upward mobility and chances for success are very limited. Maeda suggests that it is exactly for this reason that the play aspect is so much foregrounded in the depiction of the life of Daionjimae children who enjoy every moment of their brief freedom before they are shepherded to the world of adults (ib. 118). He also identifies some subversive elements in the story that allow it to be read as a criticism of the emphasis on ambition in training Meiji children as the most important quality in them to meet the needs of the Meiji state (ib.). In his appreciation of Higuchi's *Takekurabe*, Maeda compares it with Lewis Carroll's two *Alice* books and argues that the works of both authors can be characterised by

their attempt to retrieve the original world of children at a time when the likes of Smiles were thrusting the role of 'future adults' on the children of England and Japan; moreover, if Alice assumes the role of the 'child as critic' when she is flung into a nonsensical world that overturned the mores of the Victorian era, then we can say that Midori acts out the role of the 'child as merrymaker,' who overturns the Meiji ideal of young people diligently struggling to succeed in the world of risshin shusse. (Ib. 111)

The childhood in *Takekurabe* is circumscribed by the fictional Daionjimae neighbourhood of Tokyo towards the end of the Meiji 20s (1886–1897). While the theme of city in literature is predominantly concerned with adult experience, Higuchi's *Takekurabe* portrays children as individuals through their childhood activities in the city environment and focuses on the children living the last months of their childhood. The sense of time passing is emphasised by the form of the narrative. Instead of a linear storyline it is arranged as a sequence of vignettes concentrating on crucial episodes in the child characters' lives at this short time period against the background of an era that is itself characterised by great changes – Japan's development from feudalism to capitalism. The effect is amplified by the mode of telling the story. *Takekurabe* is told in the third person but occasionally the narrative switches into what Maeda has characterised as a hearsay mode, that is, the combination of voices of the Daionjimae residents – a technique of creating the polyphonic narrative in Bakhtin's terms that Higuchi developed being inspired by Ihara Saikaku (1642–1693) (1982: 312–319)[3], the Edo writer who had a great influence on Higuchi's writing, including the rendering of time and space (Danly 1981: 120, 128) that Higuchi honed to a unique perfection in her own works.

The space and time of Daionjimae childhood are characterised by several significant aspects. A reference to "the paddy fields" (Higuchi 1981: 265) in the story indicates that Daionjimae borders on agricultural land. Maeda's research of the maps and statistics of the development of the Tokyo area that comprises the fictional

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[3]   I am indebted to Sachie Iwata for her help with the Japanese-language article by Maeda Ai.

Daionjimae reveals that the semirural landscape underwent a rapid urbanisation in just a few decades (Maeda 2004: 121–124). As the Festival of Senzoku Shrine "symbolizes the traces of rural life that persisted in Daionjimae" (ib. 124), it implies that Daionjimae is caught between tradition and modernity. The Daionjimae neighbourhood is very much defined by its surrounding parts of the city, especially in terms of the activities, both spatial and temporal, they are characterised by. The most prominent feature of Daionjimae is that it both depends on and sustains Yoshiwara, the neighbouring licensed pleasure quarter. The question that the story poses is a troubling one: "In such a world, how are the children to escape being influenced?" (Higuchi 1981: 255) The children's lives are greatly shaped by the space and time they inhabit and especially by the world of adults. In Daionjimae neighbourhood men are characterised by hard luck and only women have better chances of getting ahead. Children hardly venture out of Daionjimae and commonly take up the businesses or activities of their parents. However, there are two characters that leave the place and in both cases it has been predetermined by their parents. Nobuyuki, the only child to follow the ideal of personal advancement, goes to the seminary, and for Midori it is a transient space between the countryside and the neighbouring licensed quarter – she "*passes right through* Daionjimae on her way to the Yoshiwara" as Maeda puts it (2004: 128). The children's time in the story begins when the main characters are about in their mid-teens. Two festivals, one in summer and the other in autumn involving the local community and the whole town respectively, punctuate this time in the story as does the lattice gate scene between the two events. The time ends with the main characters' entering the adult world. No other child, however, experiences the change from childhood to adulthood as acutely as Midori. The present article explores the childhood in Higuchi's *Takekurabe* from a spatial and temporal perspective to elaborate on the specificities of the Daionjimae childhood. A special attention is paid to the alteration of the protagonist Midori's position in relation to play.

Midori, the only female child among the characters of *Takekurabe*, is first introduced by describing her appearance that begins by a reference to her hair. This is clearly not accidental because Midori's hairdos are important signs indicating her position in the society and her change from a girl to a woman. As for her

appearance, she possesses everything one would expect from an ideal beauty. Also, she is talkative, outspoken, spirited and most importantly, as Maeda aptly formulates it by drawing on Johan Huizinga's *Homo Ludens*, "the very embodiment of play" (ib. 129). It is Midori who takes the liberty to break the existing rules and establish those of her own. However, Midori's position in Daionji-mae is neither stable nor secure – she is at the same time an outsider and insider as well as someone who is despised and admired. It is due to the background and position of her family, her father an accountant, her mother a seamstress for courtesans, and her sister Ōmaki a courtesan that she can afford to have a quite outlandish lifestyle for a child. Significantly, Midori, her sister and their parents have come from the country to search for luck in the city. The "fortune" then is making their living by keeping a house for gentle-men. Midori is flattered by the manager of the house where her sister works as a courtesan as well as by other courtesans who expect to be in favour of her sister by giving her money. Unlike other Daionjimae children, she never lacks money. Her affluence and generous gestures, such as buying matching rubber balls for all the twenty girls in her class or buying trinkets at a paper shop to the joy of the shopkeeper, alongside with her beauty, friendly and lively character, but most of all, her playfulness, win her on the children's side. While they first tease her because of her country-style clothing and southern accent, she soon becomes the object of their admiration. Part of her time is taken up by school but the predominant environment that surrounds and influences her is Yoshiwara and Daionjimae: "The rest of the time she was on her own: lolling around her sister's rooms for half the day, playing in the streets the other half. Her head was full of the sounds of samisen and drum, of the twilight reds and purples of the quarter" (Higuchi 1981: 260).

The proximity of Yoshiwara can be heard as well as seen. The samisen music played by geishas and the lyrics of their songs are in the background of the action taking place in the story and sometimes even influence it. This adds another dimension to the polyphony of discourses in the novella. Another indication of the neighbouring licensed quarter is the traffic of rickshaws and the passing through of men that is rendered in the details of the movement of their bodies between their homes and the quarter at different times of the day: "In evening they rush into the quarter, at dawn they leave less cheerfully.

It's a lonely ride home, with only dreams of the night before to keep a man company" (ib. 270). The Yoshiwara clients' appearance in Daionjimae streets is considered a natural part of the neighbourhood scene, and everybody knows from their looks and posture who they are and where they go to or come from, yet there is an unwritten rule that Daionjimae residents are supposed not to notice them as the Yoshiwara clients are making an effort to look invisible, let alone have their gaze rest on these men:

> A hat pulled low, a towel around the face. More than one of these gentlemen would rather that you did not look. To watch will only make you feel uneasy. That smirk of theirs – not half-pleased with themselves as the sting of their lady's farewell slap sinks in. After all, she wouldn't want him to forget her. (Ib. 270)

It is no wonder that Midori whose understanding of the world relies on a child's concept of play should take away a distorted idea of the adult world: "Needless to say, Midori, who spent her days and nights immersed in such a world, soon took on the color of the quarter. In her eyes, men were not such fearsome things. And her sister's calling was nothing to disparage" (ib. 271). The fourteen-year-old girl has grasped only the shiny surface of the life in Yoshiwara and obviously she could not have the slightest "notion of what price Ōmaki might have paid to reign supreme in her profession. To her it was all a game. She knew about the charms and tricks the girls would use" (ib.).

The revelation of what the adult world and the profession involve comes only towards the end of the story and is foreshadowed by an incident during the Festival of Senzoku Shrine. The Daionjimae children are divided into two groups or gangs with their own leaders. What first seems to be a childish rivalry between the children goes out of hand when Sangōro and Midori are attacked instead of Shōta, who is the leader of the Front or Main Street Gang. Maeda provides some important social and cultural details for the understanding of the relationship between the children. Shōta is the only child who attends a prestigious public school while the other children go to the local private school – at the time it is the public schools that are well equipped and provide the best education, but none of the other Daionjimae children can afford it (Maeda 2004: 25). Therefore, the

conflict between children has actually a much more serious reason –
according to Maeda, other children see Shōta as to have betrayed
them. Shōta further distinguishes himself from the other children by
wearing luxurious attire of a grown-up during the festival time while
the others are dressed in similar simple clothes with stylised street
names attached to them (ib. 125). On the one hand, Shōta's adult
behaviour "has to do with the fact that he is an orphan raised by his
grandmother, as well as adult work imposed on him, namely,
collecting daily interest payments on loans to [Yoshiwara] clients"
(ib. 126), on the other hand, by wearing the clothes he does Shōta
distances himself not only from his peers he plays with but also from
the territorial bonds that appear to have profound social and cultural
significance (ib. 125). *Takekurabe* explicitly shows how these bonds
become especially pronounced during the neighbourhood festival
time. Significantly, Shōta's different clothing marks double betrayal,
moreover, as Maeda emphasises, "given that a village festival is an
occasion for communal solidarity, it signifies an unforgivable
betrayal" (ib. 126). Drawing on Yanagita Kunio's discussion of the
implications of the sacred ritual called "Zattona," Maeda suggests
that Chōkichi, the leader of the Back Street Gang, and the gang
children's raid on the house of the paper shop that is Main Street
Gang's meeting place during the festival night, is a version of the
Zattona ritual in which children go to the back door of a house to
condemn the person living in it for a wrongful deed (ib. 126–127).
According to Maeda, the children carrying lanterns and "raising a
ruckus" serve

> to mete out divine punishment against those who have
> betrayed the community. The gang's fighting was a
> form of sacred play allowed only on festival days; the
> logic of the festival, which permitted ordinarily pent-
> up energies to flow out unchecked, takes full control
> over the gang members. According to this logic,
> sanctions most certainly have to be meted out, in the
> name of the guardian spirit, against Shōta's arrogance,
> which has violated the festival's communality. (Ib.
> 127)

However, what happens is that as Shōta appears to be absent, Sangōro becomes the target. To defend Sangōro, Midori exercises her usual outspokenness, but she then falls victim herself when Chōkichi, the leader of the Back Street Gang responds to Midori's standing up for her group of children and defending their right on the place. Chōkichi pours it out on Midori:

> "You're nothing but a whore, just like your sister," Chōkichi shot back. He stepped around from behind the others and grabbed his muddy sandal. "This is all you're worth." He threw it at Midori.
>
> With a splatter, it struck her square on the forehead. She turned white, but the shopkeeper's wife held her back. "Don't. You'll get hurt."
>
> "Serves you right," Chōkichi gloated. "By the way, guess who's joined our side. Nobu from Ryūge Temple! So try and get even any time you want." (Higuchi 1981: 264)

The insult hurts Midori deeply, but she is devastated by the news of Nobuyuki having become part of the Back Street Gang. Nobuyuki is a serious child, highly critical of the predominant mentality of Daionjimae and, and unlike the other children, he is devoted to his studies and is destined to attend a seminary to become a priest. Midori has been looking up to him with respect and admiration. She does not know that Chōkichi has managed to manipulate him into joining the gang for the festival time by appealing to the very territorial bonds (Maeda 2004: 125) whose significance has been outlined above.

When Shōta sees Midori later and apologises for what has happened, and asks whether her head hurts, Midori answers playfully as is so characteristic of her, and determined to keep face:

> "Well. It's nothing that will leave a scar," Midori laughed. "But listen, Shōta, you mustn't tell anyone. If Mother ever found out, I'd get a real scolding. My parents never lay a hand on me. If they hear a dolt like Chōkichi smeared mud on my face with his filthy sandal – ." She looked away. (Higuchi 1981: 266)

Little does Midori realise what she is saying at the moment she assumes that the smear of mud will not leave a scar. In the direct physical sense it does not, but she is obviously to fathom toward the end of her utterance, as she significantly averts her eyes, that there are also scars that hurt even if they are not physically there, and that Chōkichi had, in fact, marked her for her life. It appears that irrespective of all the admiration and positive attitude to her, people knew all along whom she was to become. Now it had been blurted out. The losing face that this new awareness involves makes her feel that not only herself but other people will still "see" the invisible sign on her forehead: "From the day after the festival, Midori came to school no more. She could wash the mud from her face, but the shame could not be scrubbed away so easily" (ib. 269).

Although the ambivalence of the Daionjimae residents' attitudes to Midori and her temporary stay in the neighbourhood can be seen as to have made her susceptible to becoming a target of insult and abuse, the conflict scene is striking in its sheer violence towards her. While it may first seem that it is by accident that Chōkichi takes out the revenge for betrayal meant for Shōta on Sangōro and Midori, Maeda argues that this "transcends mere plot machinations" (Maeda 2004: 127). Maeda's informed and sensitive reading of this scene in the light of the social and historical context as well as the Japanese cultural code of the festival with its surviving elements of old agrarian tradition in the story's narrative present illuminates once again the profound impact of territorial bonds on human relations when these are being renewed and reasserted in the festival time. It is during the Festival of Senzoku Shrine that the attack on Midori takes place, and in the conflict scene, before being hit, it is Midori asserting the right of her group of children on the place. Thus, Midori takes it for granted that Daionjimae is her ground while it is actually not, as Maeda explicates:

> Midori, who was born in Kishū, is the lone outsider among the children in *Takekurabe*. Her origins are left vague. Strictly speaking, Midori is not under the protection of Senzoku Shrine, nor does her family belong to the Ryūgeij temple parish. /.../ Midori is exempt from the territorial bonds that entangle the other children of Daionjimae. (Ib. 128)

Midori's affluence as well as her predestined entrance into the world of prostitution, (and becoming in a way one of these very few women who will be able to get ahead in life as the men and boys can at best only have odd jobs in the licensed quarter), "set her apart from the Daionjimae children's world" but "also make her an easy mark for sacrifice come festival time" (ib. 129). Thus, without being aware of it herself, Midori, conceived of as fundamentally an outsider irrespective of her involvement in the community, serves as a sacrificial victim of rites that the space and time of the festival demand when the community quarter has turned into a festival ground. Maeda interprets the scene in which Midori is attacked physically and through rude language as follows:

> Contained in this abusive language is the resentment that has built up among the Daionjimae residents, who suffer the domination of the Yoshiwara on a daily basis. Stripped of her role as 'queen among the children,' her identity as a 'lowly beggar' laid bare, Midori is easily the most appropriate sacrifice for Chōkichi's Backstreet Gang. (Ib. 130)

The symbolic act of Midori's abuse is the first instance of foreshadowing of her transformation during the second major event – Otori Fair, when both her hairdo and attire signal that her body has given a sign by which she has become a woman and is thus considered ready to enter her destined profession.

This festival time attack with its implications that Maeda illuminates, complicates the so far positive idea of Midori as the embodiment of play by revealing its terrible flipside. This could be further elaborated on by relying on Mikhail Bakhtin's theorising of the carnival, as Midori's abuse contains such elements of the carnival as "uncrowning" and "thrashing" (1984b: 198). Chōkichi's verbal attack can be seen as an example of carnival thought and speech serving the function of frankness during the festival time set in a way against the mentality of Daionjimae outside the festival time: "Thought and speech had to be placed under such conditions that the world could expose its other side: the side that was hidden, that nobody talked about, that did not fit the words and forms of prevailing philosophy (Bakhtin 1984b: 271). According to Bakhtin, "In the world of carnival all hierarchies are cancelled" (1984b: 251).

The uncrowning of Midori the queen during the festival time can be seen in terms of Bakhtin's discussion of "the popular-festive system of images, which is most clearly expressed in carnival." (1984b: 197). In his explication of an example from the Fourth Book of Rabelais' *Gargantua and Pantagruel* Bakhtin argues that:

> thrashing and abuse are not a personal chastisement but are symbolic actions directed at something on a higher level, at the king. /.../
>
> In such a system the king is the clown. He is elected by all the people and is mocked by all the people. He is abused and beaten when the time of his reign is over /.../ The clown was first disguised as a king, but once his reign had come to an end, his costume was changed, "travestied," to turn him once more into a clown. The abuse and thrashing are equivalent to a change of costume, to a meta-morphosis. Abuse reveals the other, true face of the abused, it tears off his disguise and mask. It is the king's uncrowning. (1984b: 197)

In addition, Midori's treatment during the carnival reveals the part of cultural dynamics where violence is involved in the cultural practices that seek to reassert and reconfirm the unity and sense of identity of a community. However, that a child should be the target of mockery and derision is highly problematic. Despite Midori's awareness of her tentative role of the queen at top of the social hierarchy and play being her element, she is obviously unable to take the abuse during the carnival in carnival's terms, that is, as purely symbolic. Instead of readily assuming the temporary role of a clown and seeing her treatment in terms of mere festival-time travesty, Midori feels personally deeply hurt. Midori is caught in a game of which she has no idea. If we consider the festival time and space also as a play-ground of sorts, it could be argued that Midori changes form a subject to object of play already before she enters the adult world to begin to perform the role in the licensed quarter that has been waiting for her and which she has been appointed by her parents.

On account of Midori being an outsider in Daionjimae, her humiliation may have another implication. In their criticism of Bakhtin's carnival theory, Peter Stallybrass and Allon White argue

that carnival "often violently abuses and demonizes weaker, not stronger, social groups – women, ethnic and religious minorities, those who do not belong" and they see carnival as complicit with the dominant culture (qtd. in Davidson et al. 2003: 34). Seen from this perspective, notwithstanding her status as the queen, which children and adults alike benefit from, Midori is abused during the carnival also because of her difference. Thus, not only is Midori uncrowned as queen, but she is also debased as other, which shows the complexity of her position in Daionjimae. Moreover, while Midori becomes a sacrificial victim embodying Yoshiwara, and by attacking her, Daionjimae inhabitants symbolically attack their "oppressor," it is paradoxically actually from the hand of the very oppressor that they take their daily bread, however, which the Daionjimae residents will not admit. However, there is one character in *Takekurabe*, who stands apart from the crowd in this respect. Nobuyuki decisively challenges Chōkichi's violence when they meet after Nobuyuki has learned about his attack of Sangorō and Midori. By this Nobuyuki questions the values and practices of the dominant culture that allow and tolerate the abuse of the weaker in the name of renewing territorial and social bonds.

The meeting of Midori and Nobuyuki after the incident during the Festival of Senzoku Shrine is a crucial event in the space and time of their Daionjimae childhood. It occurs accidentally in front of the Daikokuya owner's house where Midori lives, at the lattice gate, shortly before the second festival, the Otori Fair. The time before the meeting and the meeting itself are rendered in great detail with Nobuyuki's and Midori's alternating points of view, allowing an insight into their thoughts about each other and the meeting situation, accompanied by the narrator's voice providing a commentary every now and then.

On the way to his sister upon mother's request to deliver a package, the strap of one of his clogs is completely broken. He tries to fix the clog without success. What make the matters worse are the pouring rain and the wind that rolls away his umbrella. Midori looks out of the window and notices that someone is in trouble. Neither of them has a clue at this point who the other is, but before this scene the narrator's voice, focalised this time through Nobuyuki's consciousness, likens Midori's mother in the house to "some latter-day widow of Azechi" and the voice then continues: "and she

[Midori – E. R.] would be there too, straight from the ancient tales, a young Murasaki" (Higuchi 1981: 279). The reference here is to *Genji Monogatari* [*The Tale of Genji*] by Murasaki Shikibu, which is only one of the numerous references to various Japanese cultural texts in *Takekurabe*. According to Danly, "The equation of Midori with the young Murasaki, and the passing Nobu with the travelling Genji, is an obvious hint /.../ at the blossoming, inarticulate love between Nobu and Midori" (ib. 330 n. 42). Midori has been rehearsing ways of pouring it out on Nobuyuki how much she resents him because of his involvement with Chōkichi's gang, as she considers him responsible for the attack and insult. However, when they recognise each other, neither of them can speak. Midori has brought a piece of silk with her to the gate to hand it over to Nobuyuki so that he can fix his clog, but she is unable to articulate it. The tense and loaded lattice gate scene culminates with Midori's realisation of the impossibility of opening of the gate:

> The last thing she could do was open the gate, but she could not turn her back on him, either. What was she to do? There – she hurled the rag outside the lattice without saying anything. /.../ But her mother kept on calling. /.../ Odd, how her one gesture moved him, and yet he could not bring himself to reach out and take the cloth. (Ib. 281)

Maeda argues that for Nobuyuki "the qualities of the licensed quarter that Midori exhibits so innocently are an object of dread, the Daikokuya owner's house a forbidden, taboo space" while "Midori's yearning for Nobuyuki /.../ represents a departure from her appointed role as the incarnation of play. Although she can entertain – and manipulate – her playmate Shōta at will, she completely loses this power before Nobuyuki" (Maeda 2004: 131). In his insightful reading of the scene Maeda further suggests that "Her very attraction to him /.../ has provided her with a glimpse of her own liberation from the spell of the Yoshiwara and allows her to grasp an entirely new possibility for growing into an adult (ib.). That the lattice gate remains closed, indicates that "The children of Daionji-mae /.../ are permitted no escape from their assigned roles" (ib.).

The lattice gate scene can be seen as another foreshadowing of the events of the second festival, the festival of the whole town, the

Otori Fair. Maeda sees the function of the gate in this scene as highly symbolic and explains Midori's inability to open the gate because it has "the Yoshiwara main gate and the individual brothel's lattice windows /.../ superimposed on it" (ib. 132). This indicates the irreversibility of the course of life awaiting her and indicates her departure from the space and time of childhood:

> Midori, unable to transcend the barrier of the lattice gate, has been torn away from the play space of children and corralled in the play space of adults. The very moment she catches a glimpse beyond the lattice gate of the one person who can liberate her from the Yoshiwara spell, she is recaptured by the world of the brothel. (Ib. 133)

Considering the whole lattice gate scene in the light of its reworking of intertextual references, Maeda argues that with the exception of the lyrical note introduced by the piece of Yūzen silk, it changes into a most grim parody of the original works to which it alludes (ib. 133).

It is known that in addition to reading Japanese authors, Higuchi also read Dostoevsky's *Crime and Punishment* in translation during the last year of her life (Keene 1995: 290). While the possibility of any influence of this encounter on her work remains only hypothetical without careful research, there might be an affinity between the two writers' works in terms of what Bakhtin calls carnivalisation in Dostoevsky's novels, that is, "an extraordinarily flexible form of artistic visualization, a peculiar sort of heuristic principle making possible the discovery of new and as yet unseen things" (1984a: 166).

Bakhtin's discussion of the characteristics of carnivalisation in Fyodor Dostoevsky's novels and especially in *Crime and Punishment* allows another reading of the lattice gate scene which emphasises its pivotal nature in *Takekurabe*. Bakhtin elaborates on the importance of space in the symbol-system of carnival by arguing that various spaces, of which the threshold and the gate to front and back yard are also relevant for *Takekurabe*, "take on the meaning of a 'point' where *crisis*, radical change, an unexpected turn of fate takes place, where decisions are made, where the forbidden line is overstepped, where one is renewed or perishes" (1984a: 169–170). In

Bakhtin's terms, it could be argued that generally speaking, Daionjimae is a threshold space for Midori, as it is a transitory one for her. Moreover, the house of the Daikokuya owner where Midori lives is on the threshold (of Yoshiwara) where it is out of the question to live a biographical life in biographical time, that is, that she is born, passes through childhood and youth, marries, gives birth to children, dies – "the only time possible is *crisis time*" (1984a:169). Like Dostoevsky "leaps over" biographical time in *Crime and Punishment* (Bakhtin 1984a: 169), Higuchi does the same in *Takekurabe* in her rendering the last months of Daionjimae children's lives before they enter the adult world. A substitute to the threshold in *Takekurabe* is the lattice gate, at which the crucial meeting of Midori and Nobuyuki takes place. In the light of the earlier discussion of the scene, the lattice gate is, indeed, a space where "one can experience only crisis, make ultimate decisions" (Bakhtin 1984a: 170). While the lattice gate scene is also that of the first love between Midori and Nobuyuki, what overshadows this is their loss of childhood innocence. With this emphasis *Takekurabe* confirms Fowler's observation about the way that growing up is rendered in Japanese literature as was discussed in the beginning of the article.

Now, from this perspective, the time and space of Otori Fair which, unlike the Festival of Senzoku Shrine is that of the whole town including Yoshiwara, only function to finally seal Midori in the adult world, when her first period makes her physically a woman, ready to move to the licensed quarter. On the third day of Otori Fair Shōta goes looking for Midori. Another boy, Donkey from the dumpling shop, tells him that he has seen her in the morning with a new hairdo and praises her beauty. Shōta expresses his hope that Midori will not follow the footsteps of her sister, but Donkey challenges him and reveals that he has already made plans concerning Midori for the following year – after opening his own shop and saving some money he is going to buy her for a night. When Shōta finds Midori in Yoshiwara later that day, he does not understand the meaning of her "hair done up in *shimada* style of a young woman" (Higuchi 1991: 283). He compliments Midori on her gorgeous looks without realising how he hurts her as Midori is deeply unhappy about her new situation. Shōta invites her to play but "Midori felt her face color. Shōta was still a child, clearly. Where did one begin to explain?" (ib. 284) The scene that marks Midori's

having left her childhood behind and grown up takes place on the threshold again as Shōta has followed Midori to her house. In the course of their dialogue he is struggling to understand the sudden transformation of Midori but she remains silent while caught in turmoil of feelings and thoughts:

> If they would just leave her alone ... she'd be happy to spend night and day in a dark room. / .../ Oh! She hated, hated, hated this growing up! Why did things have to change? What she would give to go back a year, ten months, seven months, even.
>
> These were the thoughts of someone already old. (Higuchi 1981: 285)

Maeda suggests that Midori's first period during the Yoshiwara festival "is both a testament to her status as a blood offering to the Otori Shrine's principal deity and a symbol of the polluting and sinful burden of sex and money that Midori must bear on her transfer to the licensed quarter" (Maeda 2004: 135). This time the idea of the house as a threshold space is even more poignant because in Bakhtin's terms, once again, Midori "can experience only crisis, /.../ die or be reborn" (1984a: 170). Indeed, in the words of Maeda, "Midori is keenly aware that the girl once living inside her is now *dead*. For her to be reborn as a woman who plays with men, the life of the girl who once played as a child must come to an end" (Maeda 2004: 135).

Towards the end of the story it is striking that with the narrative switching to the hearsay mode another time, Midori's voice completely disappears, and her situation is rendered only through the voices of those concerned about Midori and her mother's response that she will soon overcome her whim, which does not assure those who ask. Also, the hearsay about her suggests that some people admire her for being ladylike and others regret that she is no longer that merry child who cheered them up. This polyphony with Midori's voice eventually silenced, however, intensifies the sense that Midori is no longer a subject expressing her opinion, asserting herself, being outspoken with her witty observations that used to make children and adults laugh, but that she has become an object of hearsay, moreover, an object of pleasure and play in the adult world. There are other children for whom this time also marks the end of childhood, such as

Shōta and Nobuyuki, but for them it is nowhere near as abrupt and irreversible as for Midori. Significantly, the end of Midori's childhood as well as that of some of her peers has a powerful effect that can be seen and felt in the whole neighbourhood: "The front street was quiet suddenly, as if a light had gone out" (Higuchi 1981: 287).

The Daionjimae childhood in Higuchi's *Takekurabe* is presented in terms of a specific limited spatial and temporal perspective. It is marked by its geographical, historical, cultural and social peculiarities that influence the development of the children and shape their fate. The character that is able to enjoy the child's world of play to the fullest and the longest is Midori, but it is then the most mercilessly that she has to abandon it. Play remains her element, but the place, time, and the circumstances as well as the players change. Most importantly, she changes from a subject to an object of play. Children's entering the adult world leaves an empty space in Daionjimae. This further amplifies the sense of time passing created by the story, and the time of childhood becoming forever unattainable. There remain only the imaginary snapshots of the past that can bring back memories, evoke again some scenes, utterances, sensations, feelings, longings – the nostalgia of the space and time never to be inhabited again. But *Takekurabe* is a landmark work also in a wider sense. According to Danly, "The realism of [Higuchi's] best stories was /.../ grounded in her sense of place /.../ But she distilled from her localities something that was universal, that captured a generation at the very moment of its rueful disillusionment (ib. 162). Danly suggests that in the context of how many promises of the Meiji period were crushed, Higuchi's *Takekurabe* could be seen as "an elegy on lost opportunities" in which the writer "articulated the yearning of [her] generation for an age of innocence and optimism too quickly snatched from them" (ib. 134).

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On Some Universal Tendencies in MS[2] Verse Metres in European Poetry

MARIA-KRISTIINA LOTMAN

Introduction

Throughout the history of versification in verses written in the most different verse forms, traditions and languages evolve similar regularities and features of development. This paper aims to describe several of the more particularly conspicuous tendencies, by focusing attention on the two fundamental foundations: metrics and rhythmics. Special emphasis will be placed on the metrical and rhythmical aspects of different verse parts, especially the beginning and ending of verse. More complicated problems, which on the one hand are related to the prosody of poetry, and, on the other for instance, the evolution of secondary rhythmics, will be left for the future treatments.

The present approach proceeds from the principle of analysis which studies metrical structures by ranking minimal structural elements (metremes; for details, see M. Lotman 1998: 1860–1861). According to this method, every element of structure is signified with a certain symbol corresponding to its type. Thus, as an example the four-stressed meter can be described proceeding from this principle as the following chain:

&&A&A&A&A&&

where each symbol A is in correspondence with one accentual unit and & signifies metrical boundaries.

Metrical systems are distinguished in accordance with how many different elements the metrical chain contains, that is, how many symbols make up the basic alphabet of a metre. If the metrical structure is the result of ranking only one type of element, then we define it as a MS^1 verse. If, however, the meter is an organized chain of two types of elements, then it is considered to be a MS^2 verse. An example is a scheme of the trochaic tetrameter:

&&AB&AB&AB&AB&&

where each symbol A corresponds with a position for potentially accentual syllable, B corresponds to an unstressed syllable, and & signifies metrical boundaries.

Thus, the present paper is devoted to the meters which in their deep structure can be reduced to two elements. The material for this analysis includes certain European MS^2 verse metres from the earliest extant forms to the contemporary.

One of the most recurrent features in the evolution of verse structure is that the metrical organization of verse begins in a particular verse-end and progresses to the beginning in the course of time. Thus, verse-end is often organized with considerably stricter rules, while the beginning of verse is more liberated – the more archaic the verse is, the more distinctly it is manifested in surface structures. There are also different possibilities which depend on what is the main principle of organizing the verse structure, and which secondary principles participate in versification. According to the main principles of versification, the following types can be distinguished.

1. Syllabic verses with quantitative elements

Several early European verse forms developed, at first, a syllabic structure and then obtained progressively quantitative restraints, therefore, becoming continuously stricter. The source of these forms is presumably the proto Indo-European metrics (the common

features and developmental processes of these forms; the Greek, Indian, Iranian, Slavic and Celtic verse were the grounds to reconstruct the Indo-European metre as a syllabic verse with a quantitative ending).

Let us characterise briefly the more important metrical traits of it (see also Gasparov 1989: 14–16 and West 1982: 29–31). It was an isosyllabic verse: the number of syllables was metrically relevant, and the primary element of metrical structure was syllable. Two different verse metres are distinguished: the so-called "short" and the "long". The "short" verse had 7 or 8 syllables, while the "long" verse consisted of 10 to 12 syllables. To some degree, syllable quantity was relevant as verse ending occurred a certain regularity in alternation of heavy and light syllables. Thusly, this created the so-called quantitative ending. The penultimate syllable is decisive[1]: depending on the verse type, it was either heavy, creating a strong position and consequently a feminine ending, or light, creating as a result of weak penultimate position a masculine ending. The quantity of the last syllable was irrelevant, the quantity of the antepenultimate syllable, on the other hand, was determined by the penultimate being contrastively light or heavy and, in such a manner, created a rhythmical opposition. The rules of the deep structure are most evident using the transcription of the generative method[2]. In this manner the following scheme of the short Indo-European verse has been created:

$$\&AAAAAABA\&$$

1) $A \rightarrow x$ (where 'x' is a syllable with optional quantity)
2) $B \rightarrow \cup / {-}...$ or $B \rightarrow {-} / \cup ...$ (that is, the antepenultimate syllable is light if the penultimate syllable is heavy, and vice versa)

The two resulting structures are:

(a) $xxxxx\cup - x$
(b) $xxxxx - \cup x$

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[1]   The last syllable is in many traditions ambivalent and not subjected to metrical regularities; it is a signal of boundary, just like the first syllable of verse.

[2]   The method is derived from the generative metrics elaborated by Morris Halle and Samuel J. Keyser (see, for instance Halle & Keyser 1972, but also M. Lotman 2006: 253–266 and M.-K. Lotman 2006: 287–308.

The closest preserved forms to the Indo-European verse are Indic metres, the first of all octosyllabic verse forms, which similarly reconstructed Indo-European verse consisting of eight syllables, the first four being ancipitia and the last four quantitatively regulated. For instance, Gregory Nagy analyses an octosyllabic verse from Rig-Veda (Nagy 1974: 166):

$$\&AAAABA_5BA\&$$

The chain is realized with the following syllabic-quantitative correspondence rules:
1) One syllable with optional quantity corresponds to position A.

   $A \rightarrow x$

1a) One heavy syllable corresponds to position A_5.

   $A \rightarrow -$

2) One light syllable corresponds to position B.

   $B \rightarrow \cup$

Accordingly, the structure of the vedic verse ($xxxx\cup - \cup x$)   has supposedly taken a step forward towards the metrical organization, as compared to the hypothetical Indo-European verse.

Analogous versification is also characteristic of certain Aeolic verse forms where the number of syllables is fixed with metrical rules, while the rules of quantity are free in the beginning of verse (see also Meillet 1923; Nagy 1974: 166; West 1982: 29–34). In this case the Glyconic verse also consists of eight syllables, while the Pherecratean verse is shortened by one. The description of the latter is as follows:

$$\&A_1A_2BAABA_5\&$$

The metre is realized with syllabic-quantitative correspondence rules:
1) One light syllable corresponds to position A:

$A \rightarrow \cup$

1a) One heavy or one light syllable corresponds to position A_1, but the latter only in the case when position A_2 is filled with a heavy syllable:

   $A_1 \rightarrow -$

   $A_1 \rightarrow \cup /... -$

1b) One heavy or one light syllable corresponds to position A_2, but the latter only in the case when position A_1 is filled with a heavy syllable:

$A_2 \rightarrow$ —

$A_2 \rightarrow \cup / $ — …

1c) One heavy or one light syllable corresponds to position A_5.

$A_5 \rightarrow$ —

$A_5 \rightarrow \cup$

2) One heavy syllable corresponds to position B:

$B \rightarrow$ —

Verses of such type have evolved farther from the Indo-European verse: here most of the verse is regulated, and only the first two positions are ancipitia.

The same features are also present in another verse structure of Indo-European origin: the Serbo-Croatian decasyllabic *deseterac* (Jakobson 1952: 23–30):

$$\&AAAAAABBA_7A\&$$

1) One syllable with optional quantity corresponds to position A.

$A \rightarrow X$

1a) One heavy syllable corresponds to position A_7.

$A_7 \rightarrow$ —

2) One light syllable corresponds to position B.

$B \rightarrow \cup$

As evidenced by the description, this verse has not yet developed a recurrent syllabic-quantitative structure, however, the tendencies towards it are rather strong.

2. Quantitative-syllabic verse forms

After the syllabic-quantitative structure had been established, verse continued its evolution. In Greek tradition the quantitative-syllabic verse was formed. This type is distinguished by the main constituent of versification being a quantitative principle. The syllabic structure had become more liberated, but certain rules still applied. An example of an early quantitative-syllabic verse is the archaic iambic trimeter. This metrical structure of the archaic trimeter was not as

liberal as it was characteristic of the classical trimeter. Resolutions (that is, using two light syllables instead of one heavy) took place only in the first anceps and the heavy positions of the first two dipodies, while the last dipody was always realized according to the scheme x—◡—. Also, in the first position of the dipody a heavy syllable was admitted, but the number of syllables did not vary (for details, see, for instance, M.-K. Lotman 2006: 291–293). Therefore, the structure of the beginning and end of verse is different in principle, the first being more liberated and the latter considerably stricter.

Similar features characterize the archaic trochaic tetrameter, where the main difference from the iambic trimeter is that the beginning of verse has three additional positions. Strong positions can be resolved everywhere except in the last two positions, thus, it is also a form with stricter rules for verse-end[3].

Such regularity is clearly manifested in ancient dactylic penta-meter, which almost never occurs independently[4], but usually with hexameters in elegiac distichs. Pentameter consists of two catalectic half verses made of three dactylic feet, while the last half verse is always octosyllabic. On the other hand, the rules of the first half verse are analogical to these of hexameter: dactyls can be contracted to spondees; therefore, the syllabics ranges between 6–8 syllables. Usually this metrical difference is explained with an effort to avoid monotony, which would result from the repetition of two purely dactylic half verses. Yet in avoiding monotony, the admission of spondees in the second half verse, which would result in a wider range of possible variations, would be even more effective. Con-sequently, the extended fixation of verse ending is rather aimed to demarcate the verse-end of the distichic strophe.

However, similar examples can be found not only in the Indo-European versification, but in completely different language mate-rial. One example is the Estonian folk metre, the so-called *regilaul* which has originated from the Fenno-Ugric traditional verse. In the structure of the Estonian *regilaul*, different strata can be ascertained as the protoverse is most probably an octosyllabic verse with the quantitative ending, deriving from the Baltic-Finnic proto-metre

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[3]   The structure of tetrameter is also described in West 1982: 39–42.
[4]   See West 1982: 45 for exceptions.

(so-called Kalevala metre see also Korhonen 1999: 72–89). In time, the quantitative organization spreads across the verse and the resulting structure can be described with the following chain:

$$\&\&A_1B_1\&A_2B\&A_3B\&AB\&\&$$

In the chain the following syllabic-quantitative-accentual rules are in effect[5]:

1) One heavy stressed syllable or a light unstressed syllable corresponds to position A, while a light stressed syllable is in position A avoided:

A→ —́

or

A→ ∪

2) One light stressed syllable, heavy unstressed syllable or light unstressed syllable corresponds to position B:

B→ ∪́

or

B→ —

or

B→ ∪

In the next stage of evolution a new rule is added:

3) Both the positions A and B of one foot can be filled with one monosyllabic word of the third duration (but not of the second duration):

$$\&AB\& \rightarrow \#—\#$$

Subsequently, certain rhythmical liberties arise analogically with the ancient quantitative verse where the sequence of two light syllables is admitted in one position. Such verse can be called quantitative-syllabic, since the number of syllables is subjected to quantity and therefore ranges from 8 to 10 (usually the occurrence of hexasyllabic verses is shown as well[6], although it has to be kept in mind that the prosody of the Estonian poetical language allows numerous and often used licences for the disyllabification of a syllable). New

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[5]   See Põldmäe 1978: 150–157; Lotman 1985: 57–81; for a more detailed description see Sarv 2008.

[6]   A thorough statistics is presented in Lehiste 1973: 135–139.

possibilities first concern the beginning of a verse: from 2100 verses sampled from the folk songs gathered in the 19th century, ca 12% of the verses are with resolutions, of which nearly 90% are in the first foot, while in both the second and third foot the occurrence of resolutions approaches 5%. In addition, there is a small number of ambiguous verses; furthermore, in the fourth foot resolutions are not admitted.

It is also important that only in the first foot both the positions of the foot can be resolved, creating a tetrasyllabic foot. Accordingly, there are new rules:

1a) In the positions A_1-A_3 also a sequence of two light syllables can occur:

$A \rightarrow$ —́

or

$A \rightarrow$ ∪

or

$A \rightarrow$ ∪∪

2a) In the positions B_1-B_3 a sequence of two light syllables can occur:

$B \rightarrow$ ∪́

or

$B \rightarrow$ —

or

$B \rightarrow$ ∪∪

2b) The first foot can be tetrasyllabic:

$A_1B_1 \rightarrow$ ∪∪∪∪

See, for instance, *Laulikule palka* [Pay to a bard] B3.1–3:

∪́∪∪́∪−́∪   −́∪ −́∪

Küla aga ütleb: "Kuku, kuku!"

∪́∪∪́∪−́∪   −́∪ −́∪

Küla aga ütleb: "Laula, laula"

∪́∪∪́∪ −́∪ −́ ∪∪ −́∪

Mina aga ütlen: mis mina laulan!

∨ ∨ | | | ∨ | |
A B AB A B A B

Eventually, another important change takes place proceeding from the altered role of word accent in the Estonian versification. Accent becomes a constituent of versification and *regilaul* develops some

new licences, allowing rules which are peculiar to syllabic-accentual verse. Light stressed syllables make their way to the A positions. And again, such cases are more frequent at the beginning of verse, while the quantitative rules are rather well preserved in the verse ending. In resolutions sometimes heavy syllables are admitted, being also a result of the interference of accentual principle.

3. Syllabic and syllabic-accentual verse forms

Versification where the main principle of organization is the number of syllables, but in the verse-end the accentual rules are added, is inherent to certain medieval Latin and Greek verse metres, which are characterized by fixed syllabics and regulated verse ending. These metres evolved from ancient ones, the most important sources being trochaic septenarius, iambic trimeter and iambic trimeter. After the disappearance of quantitative oppositions, iambi and trochees (differently from dactyls, anapaests and other structures with three or four elements) were adjusted easily with the syllabic versification system, although some fundamental changes took place. To be more precise, such feet were henceforth treated as consisting of two elements not only in deep structure, but also in surface structures that is, resolutions were no longer allowed. Since all the syllables were perceived now as of uniform quantity, the equal duration of verse line was accomplished with employment of the isosyllabic principle. Thus, the trochaic septenarius developed into 15-syllabic verse consisting of octosyllabic and heptasyllabic half verses, the iambic trimeter evolved into the 12-syllabic consisting of pentasyllabic, and the heptasyllabic half verses and iambic dimeter into 8-syllabic verse (for a thorough description see Norberg 2004: 100–113).

At the same time, regulated verse ending was formed. Here was the determining rule: verses with the heavy penultimate syllable (—◡), took the form x́x: the penultimate heavy syllable was replaced with the stressed one, while the last syllable was unstressed. If the penultimate syllable was light (◡◡), then the ending depended on the number of syllables of the last word. In the case the last word was tri- or tetrasyllabic, the proparoxytonic verse-end evolved (x́xx); moreover, at the same time, if the last word was disyllabic, then the

paroxytonic verse-end x́x evolved. Such inconsistency was common in the versification of the 4th-6th century; however, during the 6th-7th century the levelling of forms took place, and the dactylic endings became standard. When the syllabic rules and regulation of endings had taken shape, the latter started to evolve throughout the whole verse, and stresses were placed proceeding from the tendency of dissimilation in every other positions. As a result of these processes, the medieval syllabic-accentual verse evolved (for more details see Gasparov 1989: 87–114). A characteristic example of the versification, where the isosyllabism and accentual verse-end are fixed, but in other parts of verse frequent hesitations between quantitative and accentual rhythmics can be spotted, is Angilbert's poem *Versus de bella quae fuit acta Fontaneto* [Verses on the battle of Fontanetum], see 1–2 (syllabic quantities are determined by ancient rules; it has to be kept in mind that in Angilbert's era quantitative contrasts did not play any actual prosodic role):

$$\_\ \acute{\_}\ \cup\ \_\ \quad\ \acute{\_}\ \_\ \quad\ \acute{\_}\ \cup\ \acute{\_}\ \_\ \quad\ \acute{\_}\ \_\ \quad\ \acute{\_}\ \cup\ \textbf{x}$$
Aurora cum primo mane tetram noctem dividet,
$$\acute{\_}\ \ \cup\ \acute{\_}\ \ \_\ \ \acute{\_}\ \_\ \cup\!\acute{\_}\ \ \_\ \ \_\ \_\ \acute{\_}\ \ \_\ \acute{\_}\ \cup\ \textbf{x}$$
Sabbatum non illud fuit, sed Saturni dolium.

Accentual rules are more liberated in the beginning of verse and stricter in the end of verse also in many contemporary syllabic-accentual forms. A fixed ending in syllabic forms often depends on the structure of the natural language, as, for instance, the oxytonic end in French verse forms and the paroxytonic end in Spanish verse (Quilis 2007: 27, 31).

The same tendencies can also be found in the Estonian poetry, especially in iambic and amphibrachiac metres, being metres where the first element has to be filled with an unstressed syllable. In these metres according to the laws of Estonian accentuation the first position is usually realized with a monosyllabic word (except in the case of foreign words; it should be noted that such exception is not shared by the Finnish language). However, not only nonlexical words with a relatively weak stress, but also lexical words carrying a rather strong accent are used in this position. Let us take a closer look to the Estonian iambic tetrameter.

$$\&\&A_1B\&AB\&AB\&AB\&A\&\&$$

where the following syllabic-accentual rules are in effect:
1) One unstressed syllable or a syllable with a secondary accent (usually a monosyllabic nonlexical) corresponds to position A:
   A → x, x̀
1a) Position A₁ can also be filled with a syllable carrying a main accent:
   A → x́
2) One stressed syllable or a syllable with a secondary accent corresponds to position B:
   B → x́, x̀
2a) Position B can also be filled with one unstressed syllable:
   B → x
See, for example, an excerpt from Henrik Visnapuu's poem *Amee-rika pale* [American face] 9–10:

> x́   x̀ x x̀ x x̀x x́ x
> Ürgvoodavuses otse raiskab
> x́   x̀x x́ x x́ x x́ x
> maa oma ande nelja tuule.

Moreover, in the beginning of iambic verses phrases with dactylic rhythm can also be found. Friedrich Kuhlbars's poem *Õnnelik põllumees* [Happy Farmer] is written in iambic tetrameter, while in the third stanza the second and the fourth verse begin with a dactyl:

> x̀ x́ x x́ x x́ x x́
> Mu riigi põhjaks rahu jääb,
> x̀ x x x́ x x x x x
> kuni mu päike looja läeb.
> x́ x́ x   x́   x x x x x
> Ma annan, saan ta kojale,
> x́ x x x̀ x x́ x x
> Kuningakepi pojale.

At the same time, the rest of the verse is in compliance with metre – apart from the first foot, the strong positions are correctly filled with syllables carrying primary or secondary stresses.

Similar deviation of iambic tetrameters can be found, for instance, in several poem's by Marie Under (see, for instance, *Kevadmuld* [Spring Soil] 28–30) and in Lydia Koidula's iambic tetrameters in the poem *Lootus* [Hope] 19–21, but also in other verse traditions. Thus, for instance, in English dramatic iambic pentameter the first foot in comparison with other non-ictic positions contains syllables with main accents and other irregularities more often (see Tarlinskaja 1987: 14). In Russian iambic verse before the 20th century, syllables with main stresses occur in non-ictic positions only in anacrusis and monosyllabic words (M. Lotman 1995: 274–276).

4. Accentual-syllabic verse

Accentual-syllabic verse is determined as a structure where the number and configuration of stresses is regulated more strictly than the number of syllables, like, for instance, strict stress-meter. Thorough statistical analyses have been carried out on the English, Russian, as well as the German strict stress-meter (Gasparov 1974; Tarlinskaja 1993). Analyses reveal here also the regularities for-mulated in this paper: in the beginning and the middle of the verse, the syllabic structure is more liberated, while verse-ends tend to become fixed. Often the fixedness characterizes not only the con-figuration of syllabic intervals, but the syllabic constitution of the last word (see, for instance, Tarlinskaja 1993: 77, 96). Such tenden-cies can be illustrated with a sample from the Estonian four-ictic stress-meter, see Henrik Visnapuu's *Hakkame kinni päikesest!* [Let us grasp the sun] 1–5:

x́   x x x́ x x́ x x̀
Hakkame kinni päikesest!
x́ x x̀   x́   x x́ x x̀ x
Päike on paistnud inimhinge,
x́ x̀ x́ x x̀ x   x́ x x̀
öö on taganenud südameist.
x́ x x x́ x x x́ x x̀
Lahkume suletud sadamaist.
x́ x x x́ x x x́ x x̀ x

Helenda südame kõrgepinge!
It is a verse with 1–3 syllabic intervals and a rhyme scheme of
aBaaB. In addition its syllabic structure is fixed in the end and
varying in the rest of the verse. The syllabics of the final foot is
unalterable, but also the penultimate foot is mostly disyllabic (in the
given sample recurrent). Like in examples in Marina Tarlinskaja's
monograph, in this sample every verse ends with a polysyllabic
word. Yet this structure is not a firm law: in the Estonian masculine
verse monosyllables often occur in verse-end, as is the case in many
poems, for instance, in the same text v. 8: "Valgust rabad ja vilja
sood".

In practice, stress-meter is also the Estonian accentual-syllabic
dactylic hexameter. The incidence of contractions in the Estonian
stichic hexameter is shown in the following table[7]:

Author	I	II	III	IV	V
Jaan Bergmann (1856–1916)	12,4%	5,0%	19,6%	24,8%	1,4%
Friedrich Kuhlbars (1841–1924)	10,6%	4,5%	7,6%	6,1%	1,9%
Matthias Johann Eisen (1857–1934)	13,8%	6,2%	20,0%	7,2%	0,2%
Villem Ridala (1885–1942)	10,0%	5,4%	4,4%	4,9%	0,0%
Jaan Lõo (1872–1939)	35,4%	9,6%	14,6%	17,8%	2,2%
Gustav Suits (1883–1956)	22,7%	25,5%	18,2%	12,7%	3,6%
Henrik Visnapuu (1890–1951)	11,4%	5,7%	42,9%	20,0%	2,9%
Juhan Sütiste (1899–1945)	3,8%	0,0%	7,7%	1,9%	0,0%
Anna Öpik (1886–1955)	30,4%	18,0%	55,2%	34,9%	0,5%

In the table only the data of the five first feet are presented, since the
sixth foot is always disyllabic in the Estonian hexameter too. The
Estonian hexameter proceeds from the patterns of the ancient versifi-
cation, and therefore here as well, regardless of the different versifi-
cation system, the syllabic structure quite firmly determines the
verse-end: few exceptions of the contractions in the fifth foot can be
interpreted also as dactyl, since in these cases the *biceps*-part of the

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[7] See also M.-K. Lotman 2005: 92–118. The source texts were all the
hexametrical works written in the given period sampled from the following
editions: Bergmann 1923; Eisen 1919; Kuhlbars 1923; Homer (manuscript
in the Estonian Literary Museum, Lõo, J. transl.); Ridala 1908, 1914, 1927;
Suits 1992; Sütiste 1955; Visnapuu 1964–1965; Homer 1938 (Öpik, A.
transl).

foot is filled with a diphthong which in Estonian poetry often act as disyllabic. As for the rest of the verse, different authors have different preferences: we can see both the regressive rhythmics as well as the dissimilative alternation.

5. Combined forms

The constituents of the versification of combined forms are syllabics, quantity and accents. These forms occur, first of all, in syllable-timed languages (see also Pike 1945: 35), which have a dynamic accent, but at the same time quantitative contrast. There are different variations of the prevailing principles of versification: forms, where both the syllabics and quantity are regulated, while in verse-end also accentual rules are added. On the other hand there are also forms, which have a strong quantitative-syllabic verse-end, but the beginning of verse integrates quantitative, syllabic and also accentual organization.

An example of the first type is Latin dactylic hexameter, where in the first half of verse word-accents do not coincide with strong positions, while in the last half they do. See the following table (De Neubourg 1986: 147).

Tab. 1. Word-accents in the strong positions of Latin hexameter

	I	II	III	IV	V	VI
Ennius	78,3	33,4	18,5	33,8	79,6	85,8
Cicero	84,5	34,2	13,4	44,6	94,9	99,2
Lucretius	77	41,9	21,7	48,9	93,9	97,7
Catullus	73,5	28,2	11	61,5	91,18	99,5
Vergil	68	33,1	24,6	37,7	99,1	99,4
Horace	71,4	30,3	25	47	96,9	96,9
Ovid	79,7	36,6	14,6	47,7	99,5	99,9

We can see that Ennius, who is as far as we know the first hexametrical author in Latin poetical tradition, has not yet developed a strict pattern of word-accents: the incidence of word-accents in

strong positions of the fifth and sixth foot is prevailing, but not a
metrical law.

At the same time, several classical authors almost always filled
the strong position of the sixth foot with the stressed syllable. Vergil
and Ovid have also all but a fixed word-accent in the fifth foot. Ca-
tullus (as well as Lucretius and Cicero) have relatively more accen-
tual fourth strong position: it tends to be stressed especially in the
case of spondaic feet (Raven 1965: 99–101). For instance, Catullus
64, 21:

$$\overset{\centerdot}{—}\ \ \overset{\smallsmile}{\cup}\overset{\smallsmile}{\cup}—\overset{\smallsmile}{\cup}\overset{\smallsmile}{\cup}\ \ \overset{\prime}{—}\cup\cup\overset{\prime}{—}\overset{\centerdot}{—}\ \ \ \overset{\prime}{—}\cup\cup\overset{\centerdot}{—}—$$

tum Thetidi pater ipse iugandum Pelea sensit.

Similar forms evolved in Greek poetry. Since the 1st century AD,
such hexameters where the penultimate position is realized not with
a heavy, but with a light syllable, were written systematically,and the
result is the scheme of the last foot: ∪x (differently from the
classical form — x). Such forms were named myouric or meiouric
verses (μύουρος, μείουρος). The interference of word-accents in
certain authors is also a characteristic (during this period a melodic
accent was gradually replaced with a dynamic one): word-accent
became relevant in verse-end (it is also a universal regularity that
case of verse changes begin and become fixed first of all in verse-
end): the penultimate syllable was often filled with a syllable
carrying an acute (West 1982: 173–174), see the well-known
example by Lucian (*Podagra* 312):

$$—\ \ \ \cup\cup—\ \cup\cup—\cup\cup—\ \cup\cup—\cup\ \cup\cup—$$

ἀλλ᾽ ἔθανεν ψολόεντι δαμεῖσα θεοῦ φρένα βέλει.

In this example we see distinctly how in the first half of the verse
positions A are filled with unstressed (but heavy) syllables, but in the
second half the A positions are filled with stressed syllables. More-
over, in contrast to the classical hexameter, the last strong position is
light and stressed.

The other types of combined forms are represented, for instance,
in the earlier Latin dialogue verses (iambic senarius, trochaic septe-
narius) and Seneca's iambic trimeter: these are characterized by
strong syllabic-quantitative endings (the sixth foot is always a
disyllabic iambus), while versification of the rest is determined by

accent, quantity and syllabics at the same time (for details, see also M.-K. Lotman 2003: 100–131; and M.-K. Lotman 2006: 299–304).

6. Summary

In this paper some important tendencies were described in the evolution of the European verse:

(1) The fixedness of the verse-end: the verse ending is often the first to form, but at the same time it is the most stable unit in verse.

(2) The freedom of the beginning of verse: rhythmical liberties and deviations tend to accumulate in the initial part of the verse. Thus, the initial part of the verse continues to reflect its formation.

(3) The regressive formation of verse: at first the ending is formed and then the rest of the verse is organized stage-by-stage towards the beginning.

There are several theories to explain these phenomena, but apparently one of the reasons for that is the necessity to demarcate verse ending: the rules of the verse ending are stricter in order to support the effect of the completeness of verse.

Accordingly, the liberated beginning of verse is inherent both to the Indo-European verse, where only verse-end was quantitatively regulated, as well as in modern syllabic-accentual iambi, where the first foot is often more liberated than the rest of verse. This regularity manifests itself particularly clearly in examining the evolution of a single metre, whether it is the ancient trimeter or the Estonian hexameter: the last foot maintains its structure, while the beginning is the most flexible part of the verse.

It seems that if a metre naturally shifts from one versification system to another, then the change tends to start from the verse's initial part. For instance, both the Estonian *regilaul* and the archaic Greek dipodic verse have undergone the transition from the syllabic-accentual, where the number of syllables is constant, to the accentual-syllabic versification, where the number of syllables varies. In the Estonian *regilaul* it is due to the abundance of the material even easier to observe that syllabic variations occur mostly in the first feet. In the first extant Greek archaic trimeters, syllabic variations concern the first three feet; yet, the first element of the

metrical line is the only *anceps*-position where disyllabic replacement is admitted.

On the other hand, if the shift is imposed upon a verse, for instance in the case of the medieval Latin verse where the quantities lost their contrasts and the adaptation of new versification systems was inevitable, then the ending is the first to be formed, and only after that the rest of the verse.

The cases of transference of metres, and even traditions, have to be treated separately. First of all, the surface structures are perceived, and, therefore, the most obvious and conspicuous features of versification are adopted first. For instance, earlier Estonian hexameter attempts to convey the strict rules of the last two feet, while metrically there are several licenses which were not admitted in the ancient hexameter (trochee instead of spondee, for example). Moreover, verses do not follow the ancient rhythmics: the number of contractions is considerably smaller and the distribution is different).

Evidently, the treated phenomena are statistical regularities, but not absolute rules: every discussed regularity has exceptions and very important exceptions. There are numerous cases where the deviation is in the verse-end; there are also instances where it is the initial part of the verse which is particularly elaborated. Yet regardless of the language, tradition, versification system or metre these tendencies evolve in such different verse forms that they can be regarded as universals of versification.

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